

COMPLIANCE ASSESSMENT FORM
UNSC and AUTONOMOUS SANCTIONS
HIGHER DEGREE BY RESEARCH STUDENTS



THIS CHECKLIST **MUST BE COMPLETED** FOR **ALL** HIGHER DEGREE BY RESEARCH APPLICATIONS FROM CITIZENS OF THE **SANCTIONED COUNTRIES LISTED BELOW.**

BACKGROUND

In situations where the United Nations Security Council (UNSC) has determined the existence of a threat to the peace, breach of the peace, or an act of aggression, the [Charter of the United Nations](#) authorises it to decide on measures to be taken to maintain or restore international peace and security. Members of the United Nations (Australia) are legally bound to accept and carry out these measures. Those measures that do not involve the use of armed force are known as "sanctions".

"Autonomous sanctions" are punitive measures not involving the use of armed force that the Australian Government chooses to take (as opposed to measures it is obliged to take by virtue of UNSC resolution) as a foreign policy response to situations of international concern. In 2011 Australia enacted the *Autonomous Sanctions Act 2011 (Act)* and the associated *Autonomous Sanctions Regulations 2011 (Regulations)* to enable Australia to impose its Autonomous Sanctions more effectively.

Sanctions **APPLY** to distance education, offshore campuses and joint-degree courses offered with foreign universities.

More information about UNSC sanctions and Australian Autonomous Sanctions is available from the Department of Foreign Affairs and Trade (DFAT) at <http://dfat.gov.au/international-relations/security/sanctions/Pages/about-sanctions.aspx>.

RESEARCH APPROVAL

The Senior Deputy Vice-Chancellor will be the authority that will formally approve or reject the students' application. No student is to be admitted without the formal approval of the Senior Deputy Vice-Chancellor.

SANCTIONED COUNTRIES

- | | |
|---|--|
| <ul style="list-style-type: none"> • Central African Republic (CAR) • Crimea and Sevastopol • Democratic People's Republic of Korea (North Korea) [DPRK] • Democratic Republic of Congo • Eritrea • Iran • ISIL(Da'esh) and Al-Qaida • Lebanon • Libya | <ul style="list-style-type: none"> • Myanmar • Russia • Somalia • Sudan • Syria • The Taliban • Yemen • Zimbabwe |
|---|--|

SECTION A: APPLICANT DETAILS

(To be completed by Admissions Staff)

Applicant Student ID:

Surname		Given Name(s)	
Sanctioned country the applicant is a citizen of:			
Does the applicant have dual citizenship? If yes please specify 2nd country of citizenship.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown	

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Is the applicant a permanent resident of Australia?	<input type="checkbox"/> Yes <input type="checkbox"/> No If YES <u>no further action</u> unless it is known student is returning to country of birth.
Does the applicant hold an Australian Humanitarian Visa?	<input type="checkbox"/> Yes <input type="checkbox"/> No If YES <u>no further action</u> unless it is known student is returning to country of birth.
Does the applicant hold a scholarship OR receive financial support from an institution/ government located in a sanctioned country? If yes please provide details	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown

SECTION B: DETAILS OF APPLICATION, OFFER AND/OR SCHOLARSHIP(S)

(To be completed by Coordinator or Supervisor)

School / Centre

- Place only
 Place and scholarship offer

B1: Name of Degree

B2: Name/Title of Proposed Project

B3: Intended Area of Research – *please attach another sheet if necessary*

B4: External Organisations

Does the proposed project involve or require any external organisations (ie in terms of funding, intellectual property, research collaboration, deliverables, etc)? *If yes please provide details*

- No
 Yes

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SECTION C: ASSESSMENT OF ALL APPLICANTS *(To be completed by ADR)*

C1: Does the research project provide:

- a) **technical advice, assistance or training; or**
- b) **financial assistance; or**
- c) **a financial service; or**
- d) **any other service**

in relation to the supply, sale, transfer, manufacture, maintenance or use of any arms or related matériel?

Please tick any of the below that apply.

- Weapons, ammunition, military vehicles and equipment;
- Any spare parts or accessories for weapons, ammunition, military vehicles and equipment;
- Paramilitary or law enforcement equipment (eg batons, clubs, body armour, anti-riot gear, restraints etc);
- Any goods listed in the *Defence and Strategic Goods List (DSGL)* – Use the [DSGL Search Tool](#) to search the DSGL.
- None.

[DSGL Search](#) is a tool with advanced search features that will assist the ADR to determine whether the goods, software or technology used in the research project are listed in the 2015 Defence and Strategic Goods List. The DSGL Search tool enables users to save and print the search terms and the control list items that match the search. Users also have the option of browsing the entire DSGL.

[<https://dsgl.defence.gov.au/Pages/Search.aspx>]

C2: Does the research project provide:

- a) **technical advice, assistance or training; or**
- b) **financial assistance; or**
- c) **a financial service; or**
- d) **any other service**

in relation to military activities? *(Not applicable to Iranian students)*

- Yes No

If Yes to either C1 or C2, please provide details:

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SECTION D: ASSESSMENT OF IRANIAN APPLICANTS *(To be completed by ADR)*

IS THE APPLICANT FROM IRAN? YES NO IF NO GO TO SECTION E

D1: If the applicant is a citizen of Iran, does the research project provide:

- a) technical advice, assistance or training; or
- b) financial assistance; or
- c) investment, brokering or other financial service; or
- d) any other service.

in relation to the supply, sale, transfer, manufacture, maintenance or use of any of the following:
Please tick the appropriate response:

(a) Graphite of a kind specified in the Autonomous Sanctions (Export and Import Sanctioned Goods – Iran) Amendment Specification 2016	<input type="checkbox"/> Yes <input type="checkbox"/> No
(b) Raw metals of a kind specified in the Autonomous Sanctions (Export and Import Sanctioned Goods – Iran) Amendment Specification 2016	<input type="checkbox"/> Yes <input type="checkbox"/> No
(c) Semi-finished metals of a kind specified in the Autonomous Sanctions (Export and Import Sanctioned Goods – Iran) Amendment Specification 2016	<input type="checkbox"/> Yes <input type="checkbox"/> No
(d) Software for integrating industrial processes of a kind specified in the Autonomous Sanctions (Export and Import Sanctioned Goods – Iran) Amendment Specification 2016	<input type="checkbox"/> Yes <input type="checkbox"/> No
(e) All goods set out in INFCIRC/254/Part 1	<input type="checkbox"/> Yes <input type="checkbox"/> No
(f) All goods set out in INFCIRC/254/Part 2	<input type="checkbox"/> Yes <input type="checkbox"/> No
(g) All goods set out in S/2015/546	<input type="checkbox"/> Yes <input type="checkbox"/> No
(h) Items mentioned in the Charter of the United Nations (Sanctions – Iran) (Export Sanctioned Goods) List Determination 2016	<input type="checkbox"/> Yes <input type="checkbox"/> No
(i) Any battle tanks, armoured combat vehicles, large calibre artillery systems, combat aircraft, attack helicopters, warships, missiles or missile systems as defined for the purpose of the United Nations Register of Conventional Arms, or related materiel, including spare parts	<input type="checkbox"/> Yes <input type="checkbox"/> No

If 'yes' to any of the above, please provide details:

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SECTION E: ASSESSMENT OF SYRIAN APPLICANTS *(To be completed by ADR)*

IS THE APPLICANT FROM SYRIA? YES NO

IF NO GO TO SECTION F

E1: If the applicant is a citizen of Syria, does the research project provide:

- a) technical advice, assistance or training; or
- b) financial assistance; or
- c) a financial service; or
- d) any other service

in relation to the supply, sale, transfer, manufacture, maintenance or use of any of the following:
Please tick the appropriate response.

(a) Equipment and technology for use in the construction and installation of new power plants for electricity, as specified in the Autonomous Sanctions (Export Sanctioned Goods - Syria) Specification 2012	<input type="checkbox"/> Yes <input type="checkbox"/> No
(b) Equipment or technology for the oil and gas industry, or the petrochemical industry, as specified in the Autonomous Sanctions (Export Sanctioned Goods - Syria) Specification 2012	<input type="checkbox"/> Yes <input type="checkbox"/> No
(c) Newly printed or unissued Syrian denominated bank notes or newly minted or unissued Syrian denominated coinage.	<input type="checkbox"/> Yes <input type="checkbox"/> No
(d) Equipment, technology or software for the monitoring or interception of internet or telephone communications, of a kind specified in the Autonomous Sanctions (Export Sanctioned Goods - Syria) Specification 2012 ;	<input type="checkbox"/> Yes <input type="checkbox"/> No
(e) Luxury goods, of a kind specified in the Autonomous Sanctions (Export Sanctioned Goods - Syria) Specification 2012	<input type="checkbox"/> Yes <input type="checkbox"/> No
(f) Goods of particular concern if destined for end-users in Syria, including materials, chemicals, micro-organisms and toxins, of a kind designated in the Autonomous Sanctions (Export Sanctioned Goods – Syria) Designation 2012	<input type="checkbox"/> Yes <input type="checkbox"/> No

If 'yes' to any of the above, please provide details:

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E2: If the applicant is a citizen of Syria, does the research project provide:

- a) technical advice, assistance or training; or
- b) financial assistance; or
- c) a financial service; or
- d) any other service.

in relation to the supply, sale, transfer, import, purchase or transport of an item of gold, precious metals or diamonds? Please tick the appropriate response.

Yes No

If you answered "yes" to E2 please provide details:

SECTION F: ASSESSMENT OF APPLICANTS FROM LIBYA

(To be completed by ADR)

IS THE APPLICANT FROM LIBYA? YES NO

IF NO GO TO SECTION G

F1: If the applicant is a citizen of Libya, does the research project provide technical, financial or other assistance or training, related to the following: Please tick the appropriate response.

<p>(a) The provision of armed mercenary personnel, whether or not originating in Australia</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
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If 'yes', please provide details:

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SECTION G: ASSESSMENT OF APPLICANTS FROM CRIMEA AND SEVASTOPOL

(To be completed by ADR)

IS THE APPLICANT FROM CRIMEA OR SEVASTOPOL? YES NO

IF NO GO TO SECTION H

G1: If the applicant is from Crimea or Sevastopol, does the research project provide:

- a) technical advice, assistance or training; or
- b) financial assistance; or
- c) a financial service; or
- d) any other service.

in relation to the direct or indirect supply, sale or transfer of items of a kind specified in the [Autonomous Sanctions \(Russia, Crimea and Sevastopol\) Amendment Specification 2017](#), relating to the creation, acquisition or development of infrastructure in one or more of the following sectors:

Please tick the appropriate response:

Transport	Yes <input type="checkbox"/> No <input type="checkbox"/>
Telecommunications	Yes <input type="checkbox"/> No <input type="checkbox"/>
Energy	Yes <input type="checkbox"/> No <input type="checkbox"/>
The exploitation of oil, gas and mineral reserves in Crimea or Sevastopol	Yes <input type="checkbox"/> No <input type="checkbox"/>

If 'yes' to any of the above, please provide details:

G2: If the applicant is from Crimea or Sevastopol, does the research project provide:

- a) technical advice, assistance or training; or
- b) financial assistance; or
- c) a financial service; or
- d) any other service.

in relation to the manufacture, maintenance or use of items of a kind specified in the [Autonomous Sanctions \(Russia, Crimea and Sevastopol\) Amendment Specification 2017](#), relating to the creation, acquisition or development of infrastructure in one or more of the following sectors:

Transport	Yes <input type="checkbox"/> No <input type="checkbox"/>
Telecommunications	Yes <input type="checkbox"/> No <input type="checkbox"/>
Energy	Yes <input type="checkbox"/> No <input type="checkbox"/>
The exploitation of oil, gas and mineral reserves in Crimea or Sevastopol	Yes <input type="checkbox"/> No <input type="checkbox"/>

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If 'yes' to any of the above, please provide details:

G3: If the applicant is from Crimea or Sevastopol, does the research project provide:

- a) technical advice, assistance or training; or
- b) financial assistance; or
- c) a financial service; or
- d) any other service.

in relation to:

- the granting by a person of a loan or credit, or
- the establishment of a joint venture

to create, acquire or develop infrastructure in any of the following sectors in Crimea or Sevastopol?

Please tick the appropriate response:

Transport	Yes <input type="checkbox"/> No <input type="checkbox"/>
Telecommunications	Yes <input type="checkbox"/> No <input type="checkbox"/>
Energy	Yes <input type="checkbox"/> No <input type="checkbox"/>
The exploitation of oil or gas, or of mineral resources specified in the Autonomous Sanctions Amendment (Russia, Crimea and Sevastopol) Specification 2015	Yes <input type="checkbox"/> No <input type="checkbox"/>

If 'yes' to any of the above, please provide details:

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SECTION H: ASSESSMENT OF APPLICANTS FROM DEMOCRATIC PEOPLE'S REPUBLIC OF KOREA (NORTH KOREA) [DPRK]

(To be completed by ADR)

IS THE APPLICANT FROM DPRK? YES NO

IF NO GO TO SECTION I

H1: If the applicant is a citizen of DPRK, does the research project provide technical training, advice, services or assistance in relation to a supply for the benefit of the DPRK, of any of the following: *Please tick the appropriate response.*

Arms or related matériel	Yes <input type="checkbox"/> No <input type="checkbox"/>
Goods determined by the Security Council or the Committee for the purposes of subparagraphs (8)(a)(i) or (ii) of UNSC resolution 1718, or goods to which the measures mentioned in paragraphs 8(a), (b) and (c) of UNSC resolution 1718 apply under a decision of the Security Council or the Committee	Yes <input type="checkbox"/> No <input type="checkbox"/>
Goods mentioned in the documents specified by the Minister for Foreign Affairs and included in the Charter of the United Nations (Sanctions – Democratic People's Republic of Korea) (Documents) Instrument 2017	Yes <input type="checkbox"/> No <input type="checkbox"/>

If 'yes' to any of the above, please provide details:

H2: If the applicant is a citizen of DPRK, does the research project provide technical training, advice, services or assistance in relation to the manufacture, maintenance or use of arms or related matériel

Yes No:

If you answered "yes" to H2 please provide details:

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H3: If the applicant is a citizen of DPRK, does the research project provide technical training, advice, services or assistance that could contribute to the proliferation of sensitive nuclear activities or the development of nuclear weapon delivery systems in the DPRK? Please tick the appropriate response.

Yes No

If you answered "yes" to H3 please provide details:

H4: If the applicant is a citizen of DPRK, does the research project provide any service including training, advice, or assistance in relation to an extractive or related industry in or outside the DPRK including any service that assists with, or is provided in relation to, the creation, construction, installation, development, maintenance or decommissioning of infrastructure associated with an extractive or related industry in or outside the DPRK? Please tick the appropriate response.

Extractive or related industry means an industry engaged in any of the following:

- a) extracting raw materials from the earth
- b) exploring or prospecting for raw materials to be extracted from the earth
- c) refining or processing raw materials extracted from the earth

Yes No

If you answered "yes" to H4 please provide details:

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SECTION I: ASSOCIATE DEAN (RESEARCH) OF SCHOOL DECLARATION & RECOMMENDATION	
I declare that I am aware of the United Nations Security Council sanctions and the Australian Autonomous sanctions and the School has mechanisms in place to ensure that the graduate research admissions and candidature management procedures and processes put in place by the University to ensure compliance with sanctions are being followed.	
Recommendation:	I recommend that based on the information provided herein the application of: (student name) is <input type="checkbox"/> Approved <input type="checkbox"/> Rejected
Comments:	
Name:	
School:	
Signature:	Date:
SECTION I: SCHOOL DEAN ENDORSEMENT	
Name:	
Comments:	
Signature:	Date:
SENIOR DEPUTY VICE-CHANCELLOR APPROVAL	
Application: <input type="checkbox"/> Approved <input type="checkbox"/> Rejected	
Comments:	
Name:	Professor Arshad Omari
Signature:	Date:
Record Keeping	SUB/_____ <p style="margin: 0;">This document shall be kept by the School on a HPRM file</p>

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