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| **SANCTIONS COMPLIANCE ASSESSMENT FORM** *Staff, Visiting Research Students & Visiting Researchers* |  |

NOTE: Sanctions laws can be subject to frequent change by the Australian government. Please do not store local copies of this form - you can bookmark and downloaded the most current version [here](https://research.uq.edu.au/research-support/ethics-integrity-and-compliance/sanctions-and-export-controls/sanctions-compliance-assessment-forms)

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| OVERVIEW |
| *Sanctions* are measures imposed in response to situations of international concern, including repression of human rights, weapons proliferation, or armed conflict. **Sanctions place restrictions on activities** such as imports, exports, commercial activities and the provision of services (including technical advice, assistance or training) in relation to particular countries. The sanctions that are most relevant to the appointment of staff relate to the provision of services; in particular providing technical advice or training related to sanctioned goods to an individual with a connection to a sanctioned country.Australia implements the United Nation Security Council sanctions via domestic regulations under the [Charter of the United Nations Act 1945](https://www.legislation.gov.au/Series/C1945A00032) and Australian autonomous sanctions under the [Autonomous Sanctions Act 2011](https://www.legislation.gov.au/Series/C2011A00038). |

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| INSTRUCTIONS FOR USE  |
| This form is used to undertake a preliminary assessment of an appointment of an individual (paid or unpaid) who is a citizen of a sanctioned country, to ensure compliance with Australian sanctions laws. Paid or unpaid employment includes but is not limited to University staff, visiting academics and occupational trainees.Refer to the table below to determine which sections of the form to complete, according to the applicant’s country of citizenship.

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| **Country of Citizenship** | **Sections to complete** | **Attachments Required** | **Instructions** |
| **Level 1 Sanctions Assessment – DFAT consolidated list check** |
| Former Yugoslavia *(Bosnia, Herzegovina, Croatia, Macedonia, Montenegro, Serbia, Slovenia, Vojvodina, Kosovo)*Guinea-BissauMaliSouth SudanSudanUkraine (not Crimea & Sevastopol)Yemen | 1 & 7.3 | Curriculum Vitae | * HR completes Section 1 of this form and emails directly to international.sanctions@uq.edu
* The Office of Research Ethics reviews the completed form, checks the applicant and associated entities against the Department of Foreign Affairs and Trade Consolidated List (DFAT) and the Director of Research Ethics will either approve the appointment or recommend referral to DFAT (Section 7.3).
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| **Level 2 Sanctions Assessment – DFAT consolidated list check and assessment of teaching/research activities** |
| *Arms or related materiel* sanctions | Central African RepublicDemocratic Republic of the CongoLebanonLibyaMyanmarSomaliaZimbabwe (former Rhodesia) | 1, 2, 3, 4, **5,** 7  | Curriculum VitaePosition Description | * HR completes Section 1 of this form and emails to the supervisor for completion of Sections 2-4, (and Sections 5 and 6 if applicable) and a signature (Section 7.1).
* The Faculty Associate Dean (Research) or the Institute Deputy Director (Research), or equivalent, reviews the completed form and makes a recommendation (Section 7.2).
* The Office of Research Ethics reviews the completed form, checks the applicant and associated entities against the Department of Foreign Affairs and Trade Consolidated List (DFAT) and the Director of Research Ethics will either approve the appointment or recommend referral to DFAT (Section 7.3).
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| *Country specific sanctions* | Ukraine (Crimea & Sevastopol) | 1, 2, 3, 4, **6.4**, 7 |
| *Arms or related materiel* plus country specific sanctions | DPRK (North Korea)IranIraqRussia Syria | 1, 2, 3, 4, **5, 6.1**, 71, 2, 3, 4**,** **5, 6.2**, 71, 2, 3, 4**, 5, 6.3**, 7 1, 2, 3, 4**,** **5, 6.4**, 7 1, 2, 3**,** 4, **5, 6.5**, 7 |

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| **SECTION 1: applicant and appointment details** *(All countries)* |
| 1.1 Applicant Details |
| **Surname/Family Name(s)** |       |
| **Given name(s)** |       |
| **Title (Dr, Mr, Ms, Mrs, Miss)** |       |
| **Country/ies of citizenship\*** |       |
| **Organisational unit name** |       |
|  **Does the applicant hold an Australian visa?**  | [ ]  Yes, *please specify*      [ ]  No[ ]  Information not available[ ]  N/A – Australian citizen |
| **Does the applicant receive financial support from an institution/government located in a sanctioned country?**  | [ ]  Yes, *please specify*      [ ]  No[ ]  Information not available |
| **Is a current Curriculum Vitae attached?***Please ensure the CV includes the names of past employers and institutions.* | [ ]  Yes [ ]  No - *renewal of appointment, CV as per previous Sanctions Assessment* |
| \*Countries on the Sanctions lists and details of specific sanctions can be found [here.](http://www.dfat.gov.au/sanctions/)  |

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| 1.2 Type of Appointment |
| **[ ]  Continuing [ ]  Fixed Term [ ]  Casual [ ]  Unpaid** |
| **[ ]  Staff Member [ ]  Visiting Academic [ ]  Occupational Trainee** |
| **Position Title:** |       |
| H **Has a Sanctions Assessment been completed previously?***If yes please provide applicant details, advice whether the appointment was approved and date of approval.* | [ ]  No **[ ]** Yes      [ ]  Information not available  |
| **Is a position description attached?** *Please include a copy of the position description (or similar) for the appointment.* *(e.g. Visiting Research Student/ Visiting Academic form, or position advertisement/selection criteria)* | [ ]  Yes[ ]  No - *not required for Former Yugoslavia, Guinea-Bissau, Ukraine (not Crimea and Sevastopol), Yemen*[ ]  No - *renewal of appointment, position description as per previous Sanctions Assessment*[ ]  Information not available |
| **1.3** **Duration Of Appointment** |
| **From (DD/MM/YYYY):**        **To (DD/MM/YYYY):**       |

*If the applicant is from* ***Former Yugoslavia, Guinea-Bissau, Mali, Ukraine (not Crimea and Sevastopol) or Yemen,*** *no further sanctions assessment is required; please email the form directly to* *autonomous.sanctions@uq.edu*

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| SECTION 2: TEACHING ACTIVITIES *(All countries except Former Yugoslavia, Guinea-Bissau, Mali, Ukraine (not Crimea and Sevastopol), Yemen)*  |
| [ ]  N/A The appointment does not involve teaching or tutoring activities |
| **Course Name/s:** |       |
| **Course Description:** |       |

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| SECTION 3: RESEARCH ACTIVITIES *(All countries except Former Yugoslavia, Guinea-Bissau, Mali, Ukraine (not Crimea and Sevastopol), Yemen)*  |
| [ ]  N/A The appointment does not involve research activities |
| 3.1 Research Project Title |
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| **3.2 Provide a comprehensive plain English description of the research project** |
| **Aim**     **Description**     **Methods**     **Equipment and Technologies**      |

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| SECTION 4: GENERAL COMPLIANCE *(All countries except Former Yugoslavia, Guinea-Bissau, Mali, Ukraine (not Crimea and Sevastopol) or Yemen)* |
| 4.1 External Organisations |
| Does the proposed research or teaching activities involve any external organisations (i.e. in terms of funding, intellectual property, research collaboration, deliverables, etc.)?  | [ ]  Yes [ ]  No  |
| *If yes please provide details.*      |
| **4.2 Select the classification of research as defined by the** [**Australian Bureau of Statistics guidelines**](http://www.abs.gov.au/ausstats/abs%40.nsf/0/22e4c184ca111129ca25697e0018fd78?OpenDocument) |
| [ ]  **Pure basic research**: *experimental and theoretical work undertaken to acquire new knowledge without looking for long term benefits other than the advancement of knowledge*[ ]  **Strategic basic research**: *experimental and theoretical work undertaken to acquire new knowledge directed into specified broad areas in the expectation of useful discoveries. It provides the broad base of knowledge necessary for the solution of recognised practical problems* [ ]  **Applied research**: *original work undertaken primarily to acquire new knowledge with a specific application in view. It is undertaken either to determine possible uses for the findings of basic research or to determine new ways of achieving some specific and predetermined objectives.*[ ]  **Experimental development**: *systematic work, using existing knowledge gained from research or practical experience that is directed to producing new materials, products or devices, to installing new processes, systems and services, or to improving substantially those already produced or installed*[ ]  **N/A: No research is being conducted** |
| **4.3 Public Domain** |
| **Are the proposed research or teaching activities in “the public domain”?** “In the public domain” means technology or software which has been made available without restrictions upon its further dissemination (NB: copyright restrictions do not remove technology or software from being “in the public domain"). | [ ]  Yes [ ]  No |
| **4.4 Military activities and Weapons of Mass Destruction** |
| Does the proposed research or teaching activities involve the **development, production or use, or provision of technical advice, assistance or training in the manufacture, maintenance or us** of: |  |
| 1. technical assistance, training, financial or other assistance related to military activities; or
 | [ ]  Yes [ ]  No |
| 1. items with an application in nuclear, chemical or biological weapons programs or in the development of weapons delivery systems (such as missiles);
 | [ ]  Yes [ ]  No |
| *If yes to any of the above, please provide details of the goods identified as described in the project description in Section 2.2, how the applicant may use the goods as part of the proposed research or teaching activities. Include the technical details of equipment identified, if applicable.* |
| 4.5 PC3 Laboratory |
| Will the proposed research or teaching activities involve the use of a PC3 Laboratory? | [ ]  Yes [ ]  No |
| *If yes, please provide details*.      |

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| **SECTION 5: ARMS & RELATED MATERIEL** *(All countries except Former Yugoslavia, Guinea-Bissau, Mali, Ukraine (not Crimea and Sevastopol), Ukraine (Crimea and Sevastopol)), Yemen* |
| Does the proposed research or teaching activities involve the **direct or indirect supply, sale, or transfer or financial transaction related to, or provision of technical advice, assistance or training in the manufacture, maintenance or use** of any “*arms or related matériel*” listed below? [ ]  No[ ]  Yes *Please tick any that apply:* [ ]  Weapons, ammunition, military vehicles and equipment[ ]  Paramilitary equipment (e.g. batons, body armour, restraints etc.)[ ]  Spare parts or accessories for any of the above[ ]  Any items listed in the [Defence and Strategic Goods List (DSGL)?](https://www.legislation.gov.au/Details/F2015C00310) † |
| *If yes, please provide details of the goods identified, how the applicant may use the goods as part of the proposed research and the technical details of equipment identified.*      |
| †Check the [DSGL Quick Reference Guide](http://www.defence.gov.au/ExportControls/DSGLQRG.asp) to see a list of categories of items/technologies on the DGSL. The online [DSGL search tool](https://dsgl.defence.gov.au/pages/search.aspx) is also available to search for specific items in the DSGL. Please ensure you search the types of equipment that will be used in the project (e.g. mass spectrometer). The results can be printed to PDF and attached to this form, which will assist with ADR/DDR review.  |

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| SECTION 6: COUNTRY-SPECIFIC SANCTIONS **6.1: to be completed if the applicant is a citizen of DEMOCRATIC PEOPLE’S REPUBLIC OF KOREA (NORTH KOREA)****6.2: to be completed if the applicant is a citizen of IRAN****6.3: to be completed if the applicant is a citizen of IRAQ****6.4: to be completed if the applicant is a citizen of RUSSIA OR UKRAINE (CRIMEA OR SEVASTOPOL)****6.5: to be completed if the applicant is a citizen of SYRIA** |
| **6.1 Democratic People’s Republic of Korea (North Korea)** |
| Does the proposed research or teaching activities involve the **supply,** **development, production or use, or provision of technical advice, assistance or training in the manufacture, maintenance or use** of: |   |
| 1. Any goods listed in [Charter of the United Nations (Sanctions – Democratic People's Republic of Korea) (Documents) Instrument 2017](https://www.legislation.gov.au/Details/F2017L00539).
2. Extractive or related industries – including industries engaged in extracting raw materials from the earth; exploring or prospecting for raw materials to be extracted from the earth; or refining or processing raw materials extracted from the earth.
3. Vessel and aircraft crewing services
 | [ ]  Yes [ ]  No[ ]  Yes [ ]  No[ ]  Yes [ ]  No |
| 1. Aviation fuel
 | [ ]  Yes [ ]  No |
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| *If yes to any of the above, please provide details of the goods identified and how the applicant may use the goods as part of the proposed research or teaching activities. Include the technical details of equipment identified, if applicable.*      |
| **6.2 Iran** |
| Does the proposed research or teaching activities involve the **development, production or use, or provision of technical advice, assistance or training in the manufacture, maintenance or use** of:1. Any goods listed in the [Charter of the United Nations (Sanctions — Iran) (Export Sanctioned Goods) List Determination 2016](https://www.legislation.gov.au/Details/F2016L01208)
2. Any goods listed in [Autonomous Sanctions (Export and Import Sanctioned Goods - Iran) Amendment Specification 2016](https://www.legislation.gov.au/Details/C2016G00283)
 | [ ]  Yes [ ]  No[ ]  Yes [ ]  No |
| *If yes to any of the above, please provide details of the goods identified as described in the project description in Section 2.2, how the applicant may use the goods as part of the proposed research. Include the technical details of equipment identified, if applicable.*      |
| **6.3 Iraq** |
| Does the proposed research or teaching activities involve **giving, trading, transferring Iraqi cultural property** and other items of archaeological, historical, cultural, rare scientific, and religious importance illegally removed from the Iraq National Museum, the Iraq National Library and other locations in Iraq since 6 August 1990? | [ ]  Yes [ ]  No |
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| *If yes, please provide details of the goods identified and how the applicant may use the goods as part of the proposed research or teaching activities. Include the technical details of equipment identified, if applicable.* |

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| **6.4 Russia or Ukraine (Crimea and Sevastopol)** |
| Does the proposed research or teaching activities involve the **development, production or use, or provision of technical advice, assistance or training in the manufacture, maintenance or use** of:1. [Any goods listed in Autonomous Sanctions (Russia, Crimea and Sevastopol) Specification 2015.](http://www.comlaw.gov.au/Details/F2015L00390)
 | [ ]  Yes [ ]  No |
| *If yes, please provide details of the goods identified and how the applicant may use the goods as part of the proposed research or teaching activities. Include the technical details of equipment identified, if applicable.*       |

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| **6.5 Syria** |
| Does the proposed research or teaching activities involve the **development, production or use, or provision of technical advice, assistance or training in the manufacture, maintenance or use** of:1. Gold, precious metals and/or diamonds
 |  [ ]  Yes [ ]  No |
| 1. Any goods listed in [Autonomous Sanctions (Export Sanctioned Goods-Syria) Specification 2012.](http://www.comlaw.gov.au/Details/C2014G00119)
 | [ ]  Yes [ ]  No |
| 1. Any goods listed in [Autonomous Sanctions (Export Sanctioned Goods-Syria) Designation 2012.](http://www.comlaw.gov.au/Details/F2013C00665)
 | [ ]  Yes [ ]  No |
| 1. Newly printed or unissued Syrian denominated bank notes ornewly minted or unissued Syrian denominated coinage.

Does the project involve **giving, trading, transferring Syrian cultural property** and other items of archaeological, historical, cultural, rare scientific, and religious importance illegally removed from the Syria on or after 15 March 2011? | [ ]  Yes [ ]  No[ ]  Yes [ ]  No |
| *If yes, please provide details of the goods identified and how the applicant may use the goods as part of the proposed research or teaching activities. Include the technical details of equipment identified, if applicable.*       |

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| **SECTION 7: ENDORSEMENTS** |
| A person who makes a false declaration is liable to penalties of perjury. In addition, Australian sanctions laws impose serious penalties for breaching sanctions laws.  |
| **7.1. Supervisor** |
| **Role** | **Name** | **Enrolling Unit** | **Signature and Date** |
|       |       |       |  |
| Comments:       |
| **7.2 ASSOCIATE DEAN (RESEARCH) OR DEPUTY DIRECTOR (RESEARCH)** |
| **Name** | **Faculty/Institute** | **Recommendation** | **Signature and Date** |
|       |       | [ ]  Proceed with appointment as described[ ]  Do not proceed with appointment as described[ ]  Refer to Director Research Ethics |  |
| Comments:       |
| **7.3 DIRECTOR RESEARCH ETHICS** |
| **Name** | **Recommendation** | **Signature and Date** |
| Marc Kamke | Acting DirectorOffice of Research Ethics | [ ]  Proceed with appointment as described[ ]  Refer to DFAT |  |
| Comments:       |