Preliminary Review Checklist for Security Export Control

All faculty and staff are required to carry out a preliminary review before each transfer of technologies or export of goods. A preliminary review is a process to check whether or not the transfer or export falls under any of the items mentioned in this checklist. If you answer “Yes” to any question, or if you are not sure whether you can say “No” to any question, you will need to submit an Application for Institutional Examination for Security Export Control, together with this checklist.

Note: If you intend to send copies of your paper with the aim of presentation or publication at an academic conference or in an academic journal, or if you want to carry a personal computer abroad for your own use, you will not need to carry out a preliminary review because such action is excluded from the scope of export control.

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| **1. Review in terms of list controls, catch-all controls and the trigger condition** (called “informed” condition by METI) | | |
| (1) Does the technology constitute any of the following, i.e., a list control technology?  1. Arms 2. Nuclear power 3. Chemical weapons 3-2. Biological weapons  4. Missiles 5. Advanced materials 6. Material processing 7. Electronics  8. Computers 9. Telecommunications 10. Sensors 11. Navigation devices  12. Marine 13. Propulsion units 14. Miscellaneous 15. Sensitive items  **⇒ Matrix of Goods and Technologies (Ministry of Economy, Trade and Industry)**  **http://www.meti.go.jp/policy/anpo/matrix\_intro.html (Japanese)** | Yes No  ↓ If Yes…  Goods: Export Trade Control Order, Appended Table \_\_, Category \_\_- \_\_  Technology: Foreign Exchange Order, Appended Table, Category \_\_- \_\_ |
| (2) Does the technology constitute any of the following, i.e., a catch-all control technology? Does the importer or transferee reside anywhere other than the countries named on the “Group A list”?  Countries on the “Group A list”: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Luxembourg, Netherlands, New Zealand, Norway, Poland, Portugal, Spain, Sweden, Switzerland, United Kingdom of Great Britain and Northern Ireland, United States of America  **⇒ List of Category 16 Items and Catch-All Control Items**  **http://www.meti.go.jp/policy/anpo/anpo03.html (Japanese)** | Yes No  ↓ If Yes…  List of Category 16 Items and Catch-All Control Items  Class \_\_, Category \_\_ |
| (3) Did you receive a notice from the Minister of Economy, Trade and Industry to ask for submission of an application for export permission? | Yes No |
| If you answer “No” to all of questions (1), (2) and (3), you do not need to apply for export permission.  If you answer “Yes” to any one of these questions, please answer the following questions and submit an Application for Institutional Examination for Security Export Control, together with this checklist.1 | | |
| **2. End-use verification** | | |
| (4) Is there any possibility that the technology or goods may be exploited for the development, manufacture, use or storage of WMD or delivery vehicles (e.g., nuclear weapons, chemical or bacterial warfare agents, rockets, unmanned aerial vehicles)? | Yes No |
| (5) Is there any possibility that the technology or goods may be exploited for any purpose listed in the appendix of the Ministerial Order2 (e.g., development, manufacture, use or storage of nuclear fuel materials, nuclear source materials, or nuclear reactors including their components and auxiliary equipment; deuterium water production; nuclear fusion; processing or reprocessing of nuclear fuel materials)? | Yes No |
| (6) Are the technology or goods going to be exploited for any operation listed in the appendix of the Ministerial Order2 to be conducted by a government body controlling military affairs or homeland security or its agency (e.g., development, manufacture, use or storage of chemical substances, microbes, toxins, rockets or unmanned aerial vehicles; space research)? | Yes No |
| (7) Is the destination located in Afghanistan, the Central African Republic, the Democratic Republic of the Congo, Iraq, Lebanon, Libya, North Korea, Somalia, South Sudan or Sudan? Is there any possibility that the technology or goods may be exploited for the development, manufacture or use of conventional weapons? | Yes No |
| **3. End-user verification** | | |
| (8) Is the end-user named on METI’s End User List?  **⇒ End User List (Ministry of Economy, Trade and Industry)**  **https://www.meti.go.jp/english/press/2019/0426\_001.html (English)** | Yes No |
| (9) Has the end-user ever been engaged in the development, manufacture, use or storage of WMD or delivery vehicles (e.g., nuclear weapons, chemical or bacterial warfare agents, rockets, unmanned aerial vehicles)? | Yes No |
| If you answer “Yes” to either (8) or (9), please submit a checklist in the form specified on the next page. | | |

1 Japan’s security export control is outlined on the “Security Export Control in Japan” website of the Ministry of Economy, Trade and Industry. https://www.meti.go.jp/policy/anpo/englishpage.html (English)

2 Ministerial Order Specifying Potential Use of the Exporting Goods in Development, etc., of Nuclear Weapons (Order of the Ministry of Economy, Trade and Industry No. 249 of 2001)

For any questions or inquiries, please contact the following team.

E-mail: titeki@adm.kanazawa-u.ac.jp (Intellectual Property Section, University Corporate Relations Division)

Application No.

(Leave blank.)

Checklist Related to the Guideline for Judging “When Apparent”

If you answered “Yes” to either question (8) or (9) of the Preliminary Review Checklist, you must answer all of the following questions and submit this checklist as well.

When the question is irrelevant to the intended transfer of technologies or export of goods, please choose “N/A” (Not applicable).

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| End-use and specifications for the goods or technologies | (1) Has the importer, the end-user or their agent offered clear explanations about the end-use? | Yes No N/A |
| (2) In light of the end-user’s business realities and technological levels, is it possible to reasonably explain why the end-user needs to import or introduce the goods or technology? | Yes No N/A |
| Conditions or requirements for installation or use of the goods or the items incorporating the technology | (3) Is the site for installing or using the goods or related items identified clearly? | Yes No N/A |
| (4) Is the site for installation or use located in an area which is neither within or near a military facility nor in a controlled access zone or any other area requiring strict confidentiality? Does the information available to you suggest that the end-use is not questionable? | Yes No N/A |
| (5) Are you sure that the end-user does not require excessive or extremely robust safety measures for transportation, installation or other handling of the goods? | Yes No N/A |
| Conditions or requirements for equipment, devices or facilities associated with the goods or related items | (6) Did you receive explanations about the facilities for using the goods or related items and the primary materials to be concurrently handled? | Yes No N/A |
| (7) Are you sure that the end-user is not asking for an excessive volume of spare parts, consumables or other items? | Yes No N/A |
| (8) Is the end-user asking for a supply of related equipment that is usually necessary for the goods? | Yes No N/A |
| Labeling, shipping, routing and packing | (9) Are you sure that there are no special or extraordinary labeling or shipping instructions for transporting the goods? | Yes No N/A |
| (10) In light of the characteristics of the goods and the destination for delivery, is the designated transportation route reasonable and not suspicious? | Yes No N/A |
| (11) In light of the means of transportation and the destination for delivery, are the packing and labeling instructions reasonable and not suspicious? | Yes No N/A |
| Conditions for pricing, payments and warranties | (12) Are you sure that the proposed conditions for pricing, payments and warranties for the goods are not extraordinarily advantageous to the supplier or exporter? | Yes No N/A |
| (13) Are reasonable performance guarantees required at generally demanded levels? | Yes No N/A |
| Refusal of installation or other support services; confidentiality requirements | (14) Is the end-user asking for the dispatch of experts for installation, technical advice or other support services that are generally needed for the goods? | Yes No N/A |
| (15) Are you sure that the confidentiality requirements for the final destination, the goods or other issues are not extraordinarily stringent? | Yes No N/A |
| Collation with the End User List | (16) If the end-user is an enterprise or organization named on the End User List, are you sure that the end-use of the goods or the technology does not correspond to any types of suspected usage on the End User List (cf. Commodity Watch List for WMD Catch-All, Notification No. 7 of March 30, 2005, Trade and Economic Cooperation Bureau, Ministry of Economy, Trade and Industry)? | Yes No N/A |
| Other | (17) Is the export or transfer free of any other suspicious elements in terms of transaction practices? (For example, the end-user is unwilling to provide clear explanations about any issue that suppliers or exporters definitely need to know about.) | Yes No N/A |

Application No.

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