

HOW TO NAVIGATE THE CONSOLIDATED LIST AND SEARCH FOR CONTROLLED ITEMS

This guidance is based on the University of Manchester's publicly available export control information and is reproduced with permission of the University of Manchester.

THE CONSOLIDATED LIST

- The Consolidated List refers to the [Consolidated List of Strategic Military and Dual-Use items that Require Export Authorisation](#) ("the Consolidated List"/ "the List"). The list contains controlled items and classifies them by code.
- To establish whether a particular item is controlled or establish whether you use any controlled items in your research you will need to search the Consolidated List. This guidance is designed to help you undertake an effective search.
- Searches should include:
 - a) Direct searches for the physical goods that you use in your research and/or intend to export (e.g. samples, materials, equipment) *as well as*
 - b) searches for those physical goods for which your research may be applicable. For example, if you are working with materials (e.g. alloy) for the development of aeroengines (the engine/aircraft) your search should include engines/aircraft as well as alloys.

ACCESSING THE CONSOLIDATED LIST

- Previous guidance recommended the use of the Goods Checker Tool. However, we now recommend using the live PDF of the [Consolidated List of Strategic Military and Dual-Use Items that Require Export Authorisation](#) as the Goods Checker Tool is not updated as regularly as the live PDF.
- Clicking the above link takes you to the webpage containing the live-PDF, which contains the most up-to-date list. The page also contains links to the Goods Checker Tool, but it is recommended that the live-PDF is searched for most accurate results in your query.
- **Please note, the version of the List that can be searched via the Goods Checker Tool does not include the control entries that the UK added unilaterally to the Consolidated List in 2024 (PL9013, PL9014 and PL9015).**

SEARCHING THE CONSOLIDATED LIST PDF

STEP 1: LOCATE AND SELECT THE LIVE PDF using the link above (highlighted in red)

below). Note: while you can download the PDF, we recommend that you visit the live page for every new search, as this will provide the most up-to-date version of the Consolidated List.

The screenshot shows the GOV.UK website page for the 'Consolidated list of strategic military and dual-use items that require export authorisation'. The page includes a breadcrumb trail: Home > Business and Industry > Trade and Investment > Exporting > Export controls and licensing. The main heading is 'Guidance Consolidated list of strategic military and dual-use items that require export authorisation'. Below the heading, there is a brief description: 'Assess your goods, software and technology to determine whether or not they are controlled and require a licence to export.' The page also lists the source as 'Export Control Joint Unit and Department for Business and Trade', published on 10 April 2013, and last updated on 3 April 2024. A 'Documents' section is highlighted with a red box, showing a PDF icon and the title 'Consolidated list of strategic military and dual-use items that require export authorisation' with a file size of 2.26 MB and 396 pages. To the right, there is a 'Related content' section with links to 'Export controls: dual-use items, software and technology, goods for torture and radioactive sources', 'Applying for export licences using SPIRE', and 'UK strategic export controls'.

STEP 2: SEARCH THE PDF

- Enter a key word such as:
 - a physical good that you use in your research (i.e. samples, materials, equipment) and
 - a physical good to which your research will be applicable (i.e. equipment, materials, processes) and
 - a related research output (i.e. algorithms to develop aircraft, 'aircraft' being the word inserted as a search term here)

'source code' (or source language) is a convenient expression of one or more processes which may be turned by a programming system into equipment executable form.

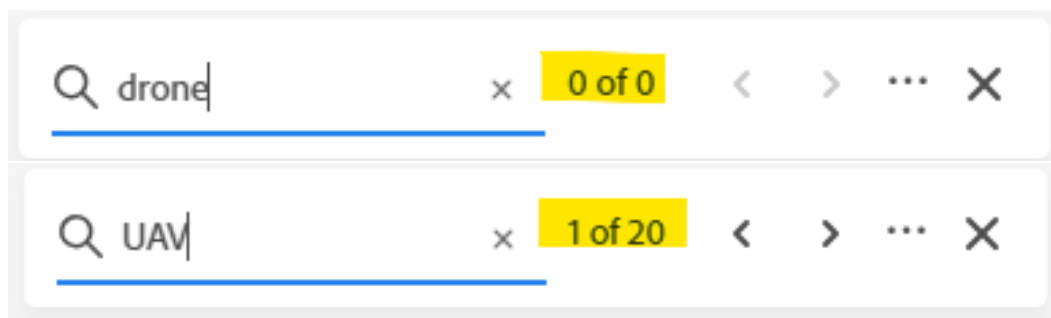
"Unmanned Aerial Vehicle" (or "UAV") means any "aircraft" capable of initiating flight and sustaining controlled flight and navigation without any human presence on board;

"use" means operation, installation (e.g. on-site installation), maintenance, checking, repair, overhaul and refurbishing;

"vaccines" are medicinal products in a pharmaceutical formulation licensed by, or having marketing or clinical trial authorisation from, the regulatory authorities of either the country of manufacture or of use, which is intended to stimulate a protective immunological response in humans or animals in order to prevent disease in those to whom or to which it is administered.

The screenshot shows a search bar with the word 'aircraft' entered. To the right of the search bar, there is a search icon, a close icon (x), and a page indicator showing '1 of 85'.

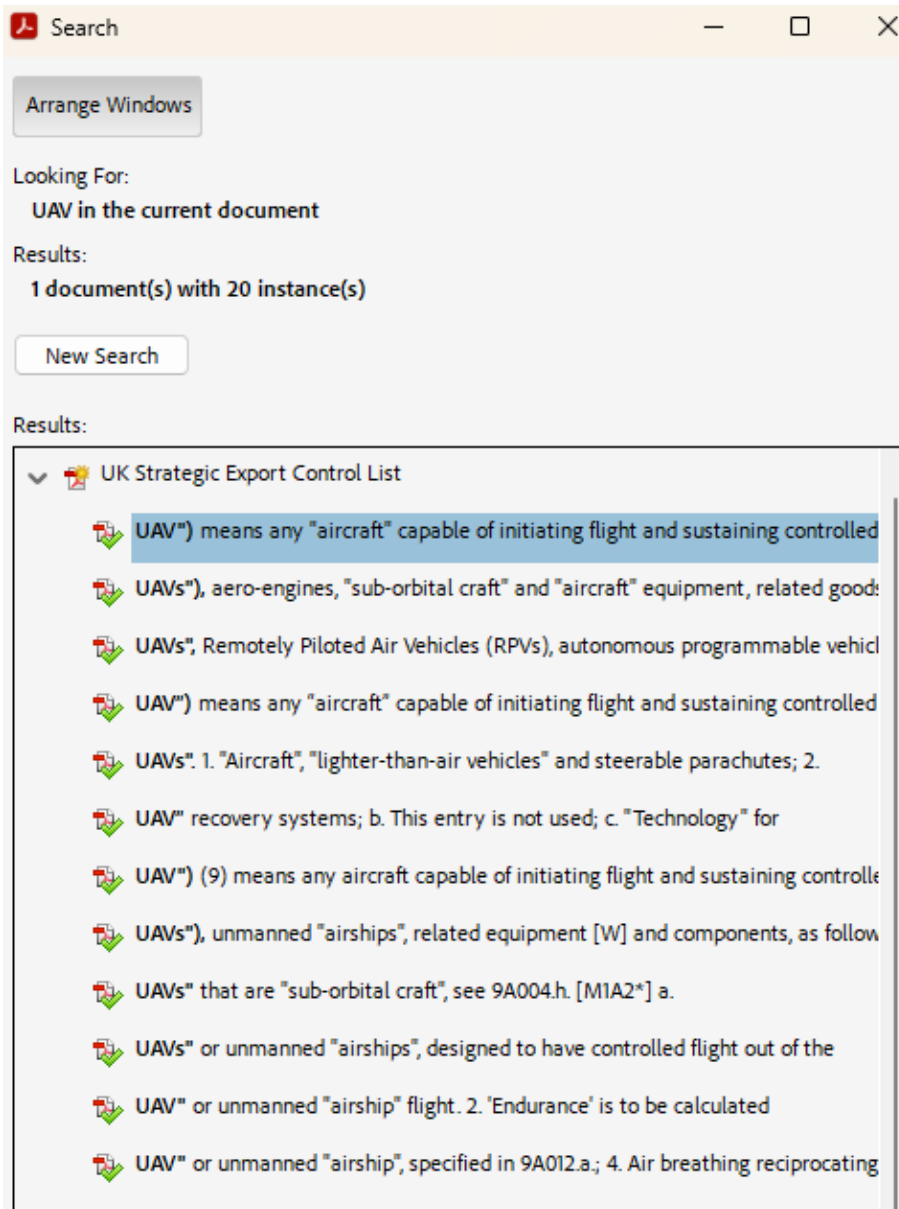
- Depending on your search term, the number of results you receive will vary; you may need to look through the highlighted results to identify the terms relevant to your work.
- The terms you use in your searches are important: use as many alternatives for your item as possible.
 - For example, if you are checking 'drones', use alternative terms such as 'UAV'.
 - It is your responsibility to determine whether the item you are planning to export is controlled, which is why you are strongly advised to do numerous searches to exhaust all possibilities relevant to your physical goods that are related to your research project.
 - In the example below, the search term 'drone' does not return any results, but 'UAV' returns several:



9A012 [W] "Unmanned aerial vehicles" ("**UAV**s"), unmanned "airships", related equipment and components, as follows:
N.B. 1 SEE ALSO 9A112.
*N.B. 2 For "**UAV**s" that are "sub-orbital craft", see 9A004.h.*

[M1A2*] [M19A*] a. "**UAV**s" or unmanned "airships", designed to have controlled flight out of the direct 'natural vision' of the 'operator' and having any of the following:
 1. Having all of the following:
 a. A maximum 'endurance' greater than or equal to 30 minutes but less than 1 hour; and
 b. Designed to take-off and have stable controlled flight in wind gusts equal to or exceeding 46.3 km/h (25 knots); or
 2. A maximum 'endurance' of 1 hour or greater;
Technical Notes:
For the purposes of 9A012.a.:
 1. 'Operator' is a person who initiates or commands the "**UAV**" or unmanned "airship" flight.
 2. 'Endurance' is to be calculated for ISA conditions (ISO 2533:1975) at sea level in zero wind.
 3. 'Natural vision' means unaided human sight, with or without corrective lenses.

- **Note** – in some PDF browsers (e.g. Adobe Pro), you may be able to perform an advanced search which can show you more details, as in the following example:



STEP3: DETERMINE WHETHER OR NOT YOUR ITEM IS CONTROLLED

- Once you have identified a relevant entry, click through the results to find the relevant item for your query and view further information (which may include further technical 'thresholds' details such as physical parameters or capabilities) of the control restrictions.
- For example, 'Unmanned aerial vehicles' designed to be controlled out of the direct natural vision of the operator are controlled but only where they have a maximum 'endurance' greater than or equal to 30 minutes, but less than one hour, *and* are designed to take-off and have stable controlled flight with wind gusts equal to or exceeding 46.33 km/h (25 knots), *or* a maximum 'endurance'

of 1 hour or more. (The example below was identified with the search term 'UAV' and looking in section 9A012):

9A012 [W] "Unmanned aerial vehicles" ("UAVs"), unmanned "airships", related equipment and components, as follows:
N.B. 1 SEE ALSO 9A112.
N.B. 2 For "UAVs" that are "sub-orbital craft", see 9A004.h.

[M1A2*] a. "UAVs" or unmanned "airships", designed to have controlled flight out of the [M19A*] direct 'natural vision' of the 'operator' and having any of the following:
1. Having all of the following:
a. A maximum 'endurance' greater than or equal to 30 minutes but less than 1 hour; and
b. Designed to take-off and have stable controlled flight in wind gusts equal to or exceeding 46.3 km/h (25 knots); or
2. A maximum 'endurance' of 1 hour or greater;

Technical Notes:

For the purposes of 9A012.a.:

1. 'Operator' is a person who initiates or commands the "UAV" or unmanned "airship" flight.
2. 'Endurance' is to be calculated for ISA conditions (ISO 2533:1975) at sea level in zero wind.
3. 'Natural vision' means unaided human sight, with or without corrective lenses.

- If you hit or exceed these thresholds, the good is controlled and you may need a licence to export that physical good. Please contact the Research Governance Team for further information and guidance on next steps in this case (researchgovernance@admin.cam.ac.uk)
 - Alternatively, you may wish to consider adjusting your proposed work to keep it under the controlled thresholds; this way no export licences may be required, unless your research involves technology or software.
 - If your research involves technology or software, please follow the guidance on [how to navigate the Consolidated List and search for controlled technology and software](#) because the associated technology or software may or may not be controlled.
- If you do not hit the thresholds, the physical item is not controlled, but the technology and software associated with it may be still controlled in some circumstances due to the General Technology Note.¹ Please follow the

¹ **GENERAL TECHNOLOGY NOTE (GTN)** (To be read in conjunction with section E of Categories 1 to 9.)

The export of "technology" which is "required" for the "development", "production" or "use" of goods controlled in Categories 1 to 9, is controlled according to the provisions of Categories 1 to 9.

"Technology" "required" for the "development", "production" or "use" of goods under control remains under control even when applicable to non-controlled goods.

guidance on **How to navigate the Consolidated List and search for controlled technology and software.**

- **IMPORTANT:** If you have been informed, are aware, or suspect that the recipient of the item you plan to export intends to use it for military or WMD purposes, you will need to apply for an export licence, irrespective of the item being or not being on the Consolidated List.

FURTHER GUIDANCE/INFORMATION

For further information and guidance, please contact the Research Governance and Integrity Team at researchgovernance@admin.cam.ac.uk

Controls do not apply to that "technology" which is the minimum necessary for the installation, operation, maintenance (checking) or repair of those goods which are not controlled or whose export has been authorised.

Note: This does not release such "technology" specified in 1E002.e., 1E002.f., 8E002.a. and 8E002.b.

Controls on "technology" transfers do not apply to information "in the public domain", to "basic scientific research" or to the minimum necessary information for patent applications.