

HDR SANCTIONS ASSESSMENT FORM

Purpose:

The purpose of this form is to assign a risk rating to an application for admission to, or change to an existing, Higher Degree by Research (HDR) candidature from a citizen of a [sanctions regime](#). The assignment of a risk rating enables Flinders University to take a risk-based approach in its compliance with [Australian sanction laws](#).

This form is also to be used for the annual review, with respect to compliance with Australian sanction laws, of a HDR candidature from a citizen of a sanctions regime.

Please note: sanctions regimes can be subject to frequent and significant change by the Australian Government. Accordingly, this form is also subject to frequent change. [Research, Development & Support \(RDS\)](#) can provide further advice regarding compliance with United Nations Security Council (multilateral/international) and Australian (unilateral/autonomous) sanctions.

How to complete this form:

- For a new HDR candidature application or any change to the time-based research project of a previously approved HDR candidature:
 - Sections A1 and A2 to be completed by the Office of Graduate Research
 - Sections B, C, and D1 to be completed by the Principal Supervisor
 - Section E to be completed by the College HDR Coordinator
 - Section F to be completed by the Dean of Graduate Research
- For the annual sanctions review of a HDR candidature:
 - Section A1 to be completed by the Office of Graduate Research → Section D2 to be completed by the Principal Supervisor
 - Section E to be completed by the College HDR Coordinator
 - Section F to be completed by the Dean of Graduate Research

Please note that the Office of Graduate Research (OGR) will not consider this form unless all relevant sections and attachments, if necessary, have been completed.

Framework:

[Higher Degrees by Research Policy](#)

[HDR Admission and Enrolment Procedures](#)

[HDR Sanctions Procedures](#)

Section A1: Details [New Applicant / Change / Annual Review] - OGR to Complete

Name:

Citizenship:

Email:

Student ID #

FAN #

For a new HDR candidature application or any change to the time-based research project of a previously approved HDR candidature:

→ Complete Section A2

For the annual sanctions review of a HDR candidature:

→ Provide last completed milestone:

→ Send to Principal Supervisor to complete Section D2

Section A2: Additional Details [New Applicant / Change] - OGR to Complete

Does the applicant wish to be considered for:

Admission only

Admission and scholarship ¹

Enrolled student applying to change the time-based research project of a previously approved HDR candidature ²

Is the applicant an Australian citizen?

Yes

No

Is the applicant an Australian permanent resident?

Yes

No

Does the applicant hold an Australian humanitarian visa?

Yes

No

→ Send to Principal Supervisor to complete Sections B, C, and D1

¹ Applications from citizens of sanctions regimes will not be shortlisted for scholarships until the HDR Sanctions Assessment Form has been approved by the Dean of Graduate Research.

² Student visa conditions do not allow Iranian citizens to change their program of study, thesis, or research topic, unless approved by the Department of Home Affairs.

Section B: Project Details [New Applicant / Change] – Principal Supervisor to Complete

Degree:

College:

Name of Principal Supervisor:

Name of Associate Supervisor(s):

Name of Adjunct Supervisor(s):

Research Project Title:

**Research
Project
Description**

or

**Description of
Change**

→ Complete Section C

Section C: Risk Rating [New Applicant / Change] – Principal Supervisor to Complete

The following questions have been designed to identify whether a HDR candidature meets key components that are common to multiple sanctions regimes. However, it is important to note that there is no single list that applies to all sanctions regimes. Rather, Australian law gives effect to a variety of country-specific sanctions. The Department of Foreign Affairs and Trade (DFAT) [sanctions regimes website](#) outlines each sanctions regime in further detail.

QUESTION 1:

Does the research project involve:

1) Military goods or non-military lethal goods?

- To determine military or non-military lethal goods, check whether the research project falls under any of the broad categories listed in [Table 1 of the Defence and Strategic Goods List](#).
- If it does, you must contact the [RDS Defence Exports Officer](#) to obtain the control thresholds for the relevant category and, if required, submit an application for DSGL assessment.

2) Other sanctioned goods?

- To determine other sanctioned goods, take note of the citizenship listed in Section A1.
- [Click here](#) and check whether the research project falls under any of the broad categories listed for the relevant 'sanctions regime' (i.e. country). Note: many sanctions regimes will not appear in this document as they have no other sanctioned goods except military/lethal goods.
- If it does, you must contact the [RDS Defence Exports Officer](#).

No → Proceed to Question 2

Yes → Is the applicant an Australian citizen or permanent resident (see Section A2)?

No → High risk rating → Complete Section D1

Yes → Medium risk rating → Complete Section D1

QUESTION 2

Does the research project provide direct or indirect access to any of the goods listed in Question 1? For example, through ancillary use or through presence in a shared laboratory?

→ If it does, you must contact the [RDS Defence Exports Officer](#).

No → Proceed to Questions 3

Yes → Medium risk rating → Complete Section D1

QUESTION 3

Does the research project involve dual-use goods?

- To determine dual-use goods, check whether the research project falls under any of the broad categories listed in [Table 2 of the Defence and Strategic Goods List](#).
- If it does, you must contact the [RDS Defence Exports Officer](#) to obtain the control thresholds for the relevant category and, if required, submit an application for DSGL assessment.

No → Low risk rating → Complete Section D1

Yes → Medium risk rating → Complete Section D1

Section D1: Declaration [New Applicant / Change] – Principal Supervisor to Complete

I declare that:

I am aware of Flinders University's [HDR Sanctions Procedures](#); and

All information provided on this form is true and correct to the best of my knowledge, information and belief.

I understand that:

Providing false information in this form resulting in a breach of the HDR Sanctions Procedures could result in serious penalties for me and/or Flinders University; and

If the applicant is admitted, the time-based research project, project requirements, or research environment will be monitored on an annual basis to ensure compliance with Australian sanction laws; and

Any change in the status of the time-based research project, project requirements, or research environment that may affect compliance with Australian sanction laws must be reported to the College HDR Coordinator and the Office of Graduate Research.

Name:

Signature:

Date:

→Send to College HDR Coordinator to complete Section E

Section D2: Declaration [Annual Review] - Principal Supervisor to Complete

Based on the previously approved HDR candidature, I declare that:

There has been no change to the time-based research project, project requirements, and research environment that may result in a breach of the [HDR Sanctions Procedures](#).
Please contact Research, Development and Support if you require further advice.

If applicable: evidence and records are able to be provided to demonstrate compliance with any required risk assessment and/or DFAT sanctions permit.

I understand that:

Providing false information in this form resulting in a breach of the [HDR Sanctions Procedures](#) could result in serious penalties for me and/or Flinders University; and

Any change in the status of this time-based research project, project requirements or research environment that may affect compliance with Australian sanction laws must be reported to the College HDR Coordinator and the Office of Graduate Research.

Name:

Signature:

Date:

→Send to College HDR Coordinator to complete Section E

Section E: Declaration - HDR Coordinator to Complete

I declare that:

I am aware of Flinders University's [HDR Sanctions Procedures](#); and

I am aware that the risk rating identified in Section C has been completed by the Principal Supervisor with the essential methodological and theoretical expertise to provide a thorough and meaningful risk rating.

I am aware that this is an annual review of compliance identified in Section D2 (continuing HDR students only)

I understand that:

If the applicant is admitted, the time-based research project, project requirements and research environment will be monitored on an annual basis to ensure compliance with Australian sanction laws; and

The Principal Supervisor has agreed that if there is any change in the status of this time-based research project, project requirements or research environment that may affect compliance with Australian sanction laws, this will be reported to the College HDR Coordinator and the Office of Graduate Research.

Name:

Signature:

Date:

→ Send to Office of Graduate Research to complete Section F

Section F: Approval - Dean of Graduate Research to Complete

With respect to compliance with Australian sanction laws, Flinders University:

Approves this application for admission to a HDR candidature, or change to a time-based research project; or

Does not approve this application for admission to a HDR candidature, or change to a time-based research project (provide further information below).

Name:

Signature:

Date: