

**STCU Spring University on Export Control for the GUAM Countries  
Exam**

1. The provision of technical assistance for operating controlled equipment on the spot through personal means is (e.g. sharing know-how orally) is:

- A. A form of intangible transfer of technology
- B. A form of explicit knowledge
- C. A form of tangible transfer of technology

2. What is the EU P2P programme?

- A. A demand driven outreach programme on dual-use export controls funded by the EU
- B. A demand driven outreach programme on arms export controls funded by the EU
- C. A demand driven outreach programme on ATT implementation funded by the EU
- D. All of the above

3. Which persons are (not limited) involved in a criminal investigation and prosecution? (Choose the best answer)

- A. the suspect, the witness, the criminal investigator and the prosecutor
- B. the suspect, the customs agent, your neighbour and the prosecutor
- C. the expert witness, the licensing authority and the prosecutor
- D. the prosecutor, the policymaker, the customs officer and the licensing authority

4. A dual-use code (DU) and a harmonised system code (HS) are:

- A. Identical to one another
- B. Differ to one another

5. Which of the following international obligations fall under the heading 'disarmament'?

- A. UN Security Council resolution 1540 (2004).
- B. The Nuclear Non-Proliferation Treaty (NPT).

**C. The Chemical Weapons Convention.**

6. General or Global authorisations:

- A. Aim at facilitating trade for compliant exporters
- B. Are not subject to special conditions
- C. Are the same as individual licenses

7. The EU list:

- A. Takes as basis the dual-use list from the WA
- B. Is a compilation of the NSG, AG, MTCR, WA lists plus some entries of CWC
- C. Is used by other non-EU countries
- D. All of the above

8. A tangible means of expression includes:

- A. Compact Disc Read-Only Memories (CD ROMs)
- B. USB drivers
- C. Books
- D. Hard disks
- E. All of the above

9. Generally, who determines the policies and operational procedures of an ICP ?

- A. The country
- B. The exporter
- C. The UN Security Council

10. In building the risk profile of an organisation, what the SPO abbreviation stands for?

- A. Assessing the Sensitivity of an exporter's business activities and existing internal Policies against the Obligations set in the law
- B. Standardised Policy Overview
- C. Security Performance Operations

11. Dual use items are **formally** defined by

- A. The Chemical Weapons Convention
- B. The European Union
- C. World Trade Organization
- D. Not defined

12. Intangible transactions concerns :

- A. Export of equipment and material
- B. Export of technology**
- C. Both

13. How many categories exist in the EU dual use list? Can you name at least 4 categories?

10 categories

Category 0 Nuclear Materials, Facilities and Equipment

Category 1 Special Materials and Related Equipment

Category 2 Material Processing

Category 3 Electronics

Category 4 Computers

Category 5 Telecommunications, Part 1 and Information Security, Part 2

Category 6 Sensors and Lasers

Category 7 Navigation and Avionics

Category 8 Marine

Category 9 Aerospace and Propulsion

14. A five digit numbering system is used to identify controlled goods. Can you explain the dual use code structure?

The first character identifies category, the second character identifies the sub-category breakdown second indicate, the third character identifies control regime and the last two product

15. In which resolution of the UN Security Council, the tasks of the customs authorities are prescribed?

UNSCR 1540/2004

16 The Criminal Investigation phases are:

- A. Company audit, criminal investigation and prosecution
- B. Tactical phase, end phase and prosecution
- C. Information and preparation phase, tactical phase and end phase**
- D. None of the above

17. The future of weapon control requires

- A. The quick negotiation of new treaties to meet the many challenges.
- B. Simple agreements establishing the core norm and without complex and technical verification provisions.
- C. A governance model involving many stakeholders (states, international organisations, businesses, professional communities, individuals, etc.) who each contribute to the goal of weapon control.**

D. Reinforced efforts to achieve new robust treaties.

18. An export of controlled equipment can be accompanied by a technology/software transfer:

- A. Yes
- B. No

19. Which objectives can be seen as Enforcement Objectives?

- A. to identify and disrupt procurement
- B. to investigate and prosecute
- C. to prevent the illegal export of strategic goods
- D. All of the above

20. Sending an email containing a design of a controlled equipment:

- A. Constitutes an intangible transfer of technology
- B. Constitutes a tangible transfer of technology
- C. It is not controlled

21. In which situation is the most likely a level of criminal intent?

- A. an export warning on an invoice
- B. proven knowledge of export control legislation
- C. the use of diversion routes and false documents
- D. All of the above

22. Which one of the actors below is called often as the “first line of defence” for ensuring compliance with export control laws?

- A. The custom authorities
- B. The licensing authorities
- C. Industry

23. Which of the following reasons characterize the present difficulties in negotiating new and maintaining existing disarmament, arms control and non-proliferation treaties (more than one answer may be correct):

- A. Growing geopolitical rivalry among the globe's superpowers.
- B. Accelerating speed with which new technologies with potential military utility are being developed.
- C. Certain developing countries refuse to participate in new treaty negotiations because they fear that they will be excluded from access to technologies needed for their economic, scientific and technological development.
- D. The negotiation of new treaties cannot keep up with the speed of scientific and technological progress.
- E. All of the above

24. A software transfer concerning information for the production of equipment with technical specifications below the controlled ones:

- A. it is never controlled
- B. It can be controlled depending on the end-use and final destination of the transaction