Commission Delegated Regulation (EU) 2020/1749 of 7 October 2020 amending Council Regulation (EC) No 428/2009 setting up a Community regime for the control of exports, transfer, brokering and transit of dual-use items

COMMISSION DELEGATED REGULATION (EU) 2020/1749

of 7 October 2020

amending Council Regulation (EC) No 428/2009 setting up a Community regime for the control of exports, transfer, brokering and transit of dual-use items

THE EUROPEAN COMMISSION,

Having regard to the Treaty on the Functioning of the European Union,

Having regard to Council Regulation (EC) No 428/2009 of 5 May 2009 setting up a Community regime for the control of exports, transfer, brokering and transit of dual-use items[(1)], and in particular Article 15(3) thereof,

Whereas:

(1) Regulation (EC) No 428/2009 requires dual-use items to be subject to effective control when they are exported from or in transit through the Union, or are delivered to a third country as a result of brokering services provided by a broker resident or established in the Union.

(2) Annex I to Regulation (EC) No 428/2009 establishes the common list of dual-use items that are subject to controls in the Union. Decisions on the items subject to controls are taken within the framework of internationally agreed dual-use controls including the Australia Group[(2)], the Missile Technology Control Regime[(3)], the Nuclear Suppliers Group[(4)], the Wassenaar Arrangement[(5)] and the Chemical Weapons Convention[(6)].

(3) The list of dual-use items set out in Annex I to Regulation (EC) No 428/2009 needs to be updated regularly in order to ensure full compliance with international security obligations, to guarantee transparency, and to maintain the competitiveness of economic operators. The control lists adopted by the international non-proliferation regimes and export control arrangements has been changed during 2019 and until end of February 2020, and therefore Annex I to Regulation (EC) No 428/2009 should be amended accordingly. In order to facilitate references for export control authorities and economic operators, Annex I to that Regulation should be replaced.

(4) Annexes IIa to IIf to Regulation (EC) No 428/2009 establishes Union General Export Authorisations.

(5) Annex IIg to Regulation (EC) No 428/2009 establishes a list of dual-use items that are to be excluded from the scope of national general export authorisations and Union General Export Authorisaitions.

(6) Annex IV to Regulation (EC) No 428/2009 establishes authorisation requirements for certain intra-Community transfers.

Changes to legislation: *There are currently no known outstanding effects for the Commission Delegated Regulation (EU) 2020/1749. (See end of Document for details)*

(7) The amendments to the list of dual-use items set out in Annex I necessitate consequential amendments to Annexes IIa to IIg and Annex IV for dual-use items which are also listed in Annexes IIa to IIg and Annex IV.

(8) Regulation (EC) No 428/2009 empowers the Commission to update the list of dual-use items set out in Annex I as well as Annexes IIa to IIg and Annex IV by means of delegated acts, in conformity with the relevant obligations and commitments, and any modifications thereto, that Member States have accepted as members of the international non-proliferation regimes and export control arrangements, or by ratification of relevant international treaties.

(9) Considering the importance of ensuring full compliance with international security obligations as soon as practically possible, this Regulation should enter into force on the day following that of its publication.

(10) Regulation (EC) No 428/2009 should therefore be amended accordingly,

HAS ADOPTED THIS REGULATION:

Article 1

Council Regulation (EC) No 428/2009 is amended as follows:

(1) Annex I is replaced by the text set out in Annex I to this Regulation.

(2) Annexes IIa to IIg are replaced by the text set out in Annex II to this Regulation.

(3) Annex IV is replaced by the text set out in Annex III to this Regulation.

Article 2

This Regulation shall enter into force on the day following that of its publication in the *Official Journal of the European Union*.

This Regulation shall be binding in its entirety and directly applicable in all Member States.

Done at Brussels, 7 October 2020.

For the Commission

The President

Ursula VON DER LEYEN

***Changes to legislation:** There are currently no known outstanding effects for the Commission Delegated Regulation (EU) 2020/1749. (See end of Document for details)*

ANNEX I

LIST OF DUAL-USE ITEMS(referred to in Article 3 of this Regulation)

This list implements internationally agreed dual-use controls including the Australia Group[(7)], the Missile Technology Control Regime (MTCR)[(8)], the Nuclear Suppliers Group (NSG)[(9)], the Wassenaar Arrangement[(10)] and the Chemical Weapons Convention (CWC)[(11)].

GENERAL NOTES TO ANNEX I

1. For control of goods which are designed or modified for military use, see the relevant list(s) of controls on military goods maintained by individual EU Member States. References in this Annex that state "SEE ALSO MILITARY GOODS CONTROLS" refer to the same lists.

2. The object of the controls contained in this Annex should not be defeated by the export of any non-controlled goods (including plant) containing one or more controlled components when the controlled component or components are the principal element of the goods and can feasibly be removed or used for other purposes.

NB: In judging whether the controlled component or components are to be considered the principal element, it is necessary to weigh the factors of quantity, value and technological know-how involved and other special circumstances which might establish the controlled component or components as the principal element of the goods being procured.

3. Goods specified in this Annex include both new and used goods.

4. In some instances chemicals are listed by name and CAS number. The list applies to chemicals of the same structural formula (including hydrates) regardless of name or CAS number. CAS numbers are shown to assist in identifying a particular chemical or mixture, irrespective of nomenclature. CAS numbers cannot be used as unique identifiers because some forms of the listed chemical have different CAS numbers, and mixtures containing a listed chemical may also have different CAS numbers.

NUCLEAR TECHNOLOGY NOTE (NTN)

(To be read in conjunction with section E of Category 0.)

The "technology" directly associated with any goods controlled in Category 0 is controlled according to the provisions of Category 0.

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

The approval of goods for export also authorizes the export to the same end-user of the minimum "technology" required for the installation, operation, maintenance and repair of the goods.

Controls on "technology" transfer do not apply to information "in the public domain" or to "basic scientific research".

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.

Changes to legislation: *There are currently no known outstanding effects for the Commission Delegated Regulation (EU) 2020/1749. (See end of Document for details)*

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 "technolog"y 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.
NUCLEAR SOFTWARE NOTE (NSN)

(This note overrides any control within section D of Category 0)

Section D of Category 0 of this list does not control "software" which is the minimum necessary "object code" for the installation, operation, maintenance (checking) or repair of those items whose export has been authorised.

The approval of goods for export also authorises the export to the same end-user of the minimum necessary "object code" for the installation, operation, maintenance (checking) or repair of the goods

Note: The Nuclear Software Note does not release "softwar"e specified in Category 5 – Part 2 ("Information Securit"y).
GENERAL SOFTWARE NOTE (GSN)

(This note overrides any control within section D of Categories 1 to 9.)

Categories 1 to 9 of this list do not control "software" which is any of the following:

a. Generally available to the public by being:

1. Sold from stock at retail selling points, without restriction, by means of:

a. Over-the-counter transactions;

b. Mail order transactions;

c. Electronic transactions; or

d. Telephone call transactions; and

2. Designed for installation by the user without further substantial support by the supplier;

Note: Entry a. of the General Software Note does not release "softwar"e specified in Category 5 – Part 2 ("Information Securit"y).

b. "In the public domain"; or

c. The minimum necessary "object code" for the installation, operation, maintenance (checking) or repair of those items whose export has been authorised.

Note: Entry c. of the General Software Note does not release "softwar"e specified in Category 5 – Part 2 ("Information Securit"y).
GENERAL "INFORMATION SECURITY" NOTE (GISN)

"Information security" items or functions should be considered against the provisions in Category 5 – Part 2, even if they are components, "software" or functions of other items.
EDITORIAL PRACTICES IN THE *OFFICIAL JOURNAL OF THE EUROPEAN UNION*

***Changes to legislation:** There are currently no known outstanding effects for the Commission Delegated Regulation (EU) 2020/1749. (See end of Document for details)*

In accordance with the rules set out in paragraph 6.5 on page 108 of the Interinstitutional style guide (2015 edition), for texts in English published in the *Official Journal of the European Union*:

— a comma is used to separate the whole number from decimals,

— whole numbers are presented in series of three, each series being separated by a thin space.

The text reproduced in this annex follows the above-described practice.

ACRONYMS AND ABBREVIATIONS USED IN THIS ANNEX

An acronym or abbreviation, when used as a defined term, are found in ‘Definitions of Terms used in this Annex’.

Acronym or meaning abbreviation	
ABEC	Annular Bearing Engineers Committee
ABMA	American Bearing Manufacturers Association
ADC	Analogue-to-Digital Converter
AGMA	American Gear Manufacturers’ Association
AHRS	Attitude and Heading Reference Systems
AISI	American Iron and Steel Institute
ALE	Atomic Layer Epitaxy
ALU	Arithmetic Logic Unit
ANSI	American National Standards Institute
APP	Adjusted Peak Performance
APU	Auxiliary Power Unit
ASTM	American Society for Testing and Materials
ATC	Air Traffic Control
BJT	Bipolar Junction Transistors
BPP	Beam Parameter Product
BSC	Base Station Controller
CAD	Computer-Aided-Design
CAS	Chemical Abstracts Service
CCD	Charge Coupled Device
CDU	Control and Display Unit
CEP	Circular Error Probable
CMM	Coordinate Measuring Machine
CMOS	Complementary Metal Oxide Semiconductor
CNTD	Controlled Nucleation Thermal Deposition