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## Legal developments: European Union

From 1 January 2021, the Regulation (EU) 2020/2171 of the European Parliament and of the Council of 16 December 2020 amending Annex IIa to Council Regulation (EC) No 428/2009 as regards granting a Union General Export Authorisation for the export of certain dual-use items from the Union to the United Kingdom of Great Britain and Northern Ireland is applied. (OJ L 432, 21.12.2020). Link: [https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=unserv:OJL\\_2020.432.01.0004.01.ENG](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=unserv:OJL_2020.432.01.0004.01.ENG)

The list of national authorities empowered in the Member States to grant export licences, to prohibit the transit of non-community dual-use items and to grant authorisations for the provision of brokering services has been updated on 7 January 2021. Link: [https://trade.ec.europa.eu/doclib/docs/2019/september/tradoc\\_158374.pdf](https://trade.ec.europa.eu/doclib/docs/2019/september/tradoc_158374.pdf)

### European Commission

On 15 December 2020, it entered into force the 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. (OJ L 421/1, 14.12.2020). Available at: <https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32020R1749&qid=1607946716856&from=EN>

On 7 January 2021, the Commission adopted the Implementing Decision (EU) 2021/27 on the request for registration of the European citizens' initiative entitled 'Civil society initiative for a ban on biometric mass surveillance practices'. (OJ L 13, 15.1.2021). Available at: [https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv%3AOJL\\_2021.013.01.0001.01.ENG&toc=OJ%3AL%3A2021%3A013%3ATOC](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv%3AOJL_2021.013.01.0001.01.ENG&toc=OJ%3AL%3A2021%3A013%3ATOC)

### Council of the EU

On 13 November 2020, the Council issued the confirmation of the final compromise text with a view to agreement regarding the Proposal for a Regulation of the European Parliament and of the Council setting up a Union regime for the control of exports, brokering, technical assistance, transit and transfer of dual-use items (recast). Available at: <https://data.consilium.europa.eu/doc/document/ST-12798-2020-INIT/en/pdf>

"Export Control Forum 2020", recording and presentations. Link: [https://trade.ec.europa.eu/doclib/docs/2020/december/tradoc\\_159148.pdf](https://trade.ec.europa.eu/doclib/docs/2020/december/tradoc_159148.pdf)

### European Parliament

"Review of dual-use export controls", Briefing by the European Parliament, 15 January 2021. Available at: [https://www.euro-parl.europa.eu/RegData/etudes/BRIE/2016/589832/EPRS\\_BRI\(2016\)589832\\_EN.pdf](https://www.euro-parl.europa.eu/RegData/etudes/BRIE/2016/589832/EPRS_BRI(2016)589832_EN.pdf)

## Legal developments: International

### United Kingdom

"UK Strategic Export Control Lists. The consolidated list of strategic military and dual-use items that require export authorisation from Great Britain and Northern Ireland", Department of International Trade. January 2021. Link: [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/948279/uk-strategic-export-control-list.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/948279/uk-strategic-export-control-list.pdf)

"United Kingdom Strategic Export Controls Annual Report 2019". Presented to Parliament pursuant to Section 10 of the Export Control Act 2002 Ordered by the House of Commons to be printed on 30th November 2020. Available at: [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/940273/uk-strategic-export-controls-annual-report-2019-web-accessible-version.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/940273/uk-strategic-export-controls-annual-report-2019-web-accessible-version.pdf)

### China

On 1 December 2020, the Export Control Law adopted by the People's Republic of China took effect. Global Law translation for reference only, 30 October 2020. Available at: <http://www.glo.com.cn/Content/2020/11-04/1555021531.html>

MOFCOM Order No. 1 of 2021 on Rules on Counteracting Unjustified Extra-territorial Application of Foreign Legislation and Other Measures. Available at: <http://english.mofcom.gov.cn/article/policyrelease/announcement/202101/20210103029708.shtml>

## United States

Expansion of Certain End-Use and End-User Controls and Controls on Specific Activities of U.S. Persons. Link: <https://www.bis.doc.gov/index.php/documents/regulations-docs/federal-register-notices/federal-register-2021/2708-86-fr-4862/file>

Change to the License Review Policy for Unmanned Aerial Systems (UAS) to Reflect Revised United States UAS Export Policy. Link: <https://www.bis.doc.gov/index.php/documents/regulations-docs/federal-register-notices/federal-register-2021/2705-86-fr-2252-change-to-license-review-policy-for-uas-rule-1-12-21/file>

Amendment to Country Groups for Ukraine, Mexico and Cyprus Under the Export Administration Regulations. Link: <https://www.bis.doc.gov/index.php/documents/regulations-docs/federal-register-notices/federal-register-2020/2687-85-fr-8421-1-1/file>

Removal of Hong Kong as a Separate Destination under the Export Administration Regulations. Link: <https://www.bis.doc.gov/index.php/documents/regulations-docs/federal-register-notices/federal-register-2020/2685-85-fr-83765/file>

Amendments to National Security License Review Policy under the Export Administration Regulations. Link: <https://www.bis.doc.gov/index.php/documents/regulations-docs/federal-register-notices/federal-register-2020/2655-85-fr-68448-national-security-license-policy-revision-0694-ai05-10-29-20/file>

## Sanctions against Iran

Between October 2020 and January 2021, US continued sanctions pressure on Iran issuing a series of individual sanctions for offences relating to: proliferation of conventional weapons, procurement of dual use goods, terrorism and financial support.

## Wassenaar Arrangement

List of Dual-Use Goods and Technologies and Munitions List, compiled by the Wassenaar Arrangement Secretariat December 2020. Available at: <https://www.wassenaar.org/app/uploads/2020/12/Public-Docs-Vol-II-2020-List-of-DU-Goods-and-Technologies-and-Munitions-List-Dec-20-3.pdf>

## United Nations Security Council

Review of the implementation of resolution 1540 (2004) for 2020. Letter dated 28 December 2020 from the Chair of the Security Council Committee established pursuant to resolution 1540 (2004) addressed to the President of the Security Council. Available at: <https://documents-dds-ny.un.org/doc/UN-DOC/GEN/N20/388/13/PDF/N2038813.pdf?OpenElement>

## Members' works

The "Dual-Use Unit", established by the University of Liège to support academic and research activities to comply with EU legislation on dual-use items trade, has updated its interactive verification process, available at both <http://www.esu.ulg.ac.be/49/app.php> and [https://www.recherche.uliege.be/cms/c\\_11374378/fr/dual-use](https://www.recherche.uliege.be/cms/c_11374378/fr/dual-use)

Enzo Caponetti, "Analysis of the major changes of the final compromise text of the new EU Export Control Regulation (RECAST DU Regulation 428/2009)", European Studies Unit – Liege University, 23 November 2020. Available at: [http://www.esu.ulg.ac.be/file/20201215075555\\_Dual-Use-RECAST-final-agreement-18-Nov-2020.pdf](http://www.esu.ulg.ac.be/file/20201215075555_Dual-Use-RECAST-final-agreement-18-Nov-2020.pdf)

Veronica Vella, "Summary of Regulation (EU) 2020/2171 of the European Parliament and of the Council of 16 December 2020 amending Annex IIa to Council Regulation (EC) No 428/2009" European Studies Unit – Liege University, 21 December 2020. Available at: [http://www.esu.ulg.ac.be/file/20210118091132\\_Analysis-Reg-2020-2171-.pdf](http://www.esu.ulg.ac.be/file/20210118091132_Analysis-Reg-2020-2171-.pdf)

Launch of *TIM Dual-Use Web Platform*: support to strategic trade control awareness raising and mapping of scientific collaborations, developed by the Joint Research Centre of the European Commission in collaboration with Liege University (European Studies Unit), 2021. Link: [https://knowledge4policy.ec.europa.eu/text-mining/tim-dual-use\\_en](https://knowledge4policy.ec.europa.eu/text-mining/tim-dual-use_en)

Vincent Boulanin, Kolja Brockmann and Luke Richards, "Responsible artificial intelligence research and innovation for international peace and security", SIPRI, November 2020. Link: [https://www.sipri.org/sites/default/files/2020-11/sipri\\_report\\_responsible\\_artificial\\_intelligence\\_research\\_and\\_innovation\\_for\\_international\\_peace\\_and\\_security\\_2011.pdf](https://www.sipri.org/sites/default/files/2020-11/sipri_report_responsible_artificial_intelligence_research_and_innovation_for_international_peace_and_security_2011.pdf)

## Studies and more: Articles, reports, links

New tools for nonproliferation and disarmament research and teaching launched by the James Martin Center for Non-proliferation Studies (CNS) at the Middlebury Institute of International Studies (MIIS) and the Vienna Center for Disarmament and Non-Proliferation (VCDNP). Available at: [https://jamesmartincns.wpengine.com/wp-content/uploads/2016/02/new\\_tools\\_flyer.pdf](https://jamesmartincns.wpengine.com/wp-content/uploads/2016/02/new_tools_flyer.pdf)

China's Export Control Law (Enacted) Material (including joint comments by industrial associations of Japan, Europe and the United States on China's Draft Export Control Law), Center for Information focusing on Security Trade Controls (CISTEC). Link: [https://www.cistec.or.jp/english/export/china\\_law.html](https://www.cistec.or.jp/english/export/china_law.html)

Laurence Nardon (ed.), "Technology Strategies in China and the United States, and the Challenges for European Companies", *Études de l'Ifri*, Ifri, October 2020. Available at: [https://www.ifri.org/sites/default/files/atoms/files/nardon\\_technology\\_strategies\\_china\\_us\\_2020.pdf](https://www.ifri.org/sites/default/files/atoms/files/nardon_technology_strategies_china_us_2020.pdf)

Cari N. Stinebower, "To Which Points of the Export Control Law Should We Pay Attention?", Winston & Strawn LLP, 4 December 2020. The article focuses on the Export Control Law of the People's Republic of China that entered into force on 1 December 2020. Available on : <https://www.winston.com/en/us-election-global-impact/to-which-points-of-the-export-control-law-should-we-pay-attention.html>

## News

"Australia to toughen export controls over fears technology could fall into hands of foreign armies", The Guardian, 5 January 2021. Available at: <https://amp-theguardian.com/cdn.ampproject.org/c/s/amp.theguardian.com/australia-news/2021/jan/06/australia-to-toughen-export-controls-over-fears-technology-could-fall-into-hands-of-foreign-armies>

"Justice Department issues business review letter for proposed University Technology Licensing Program", Department of Justice - Office of Public Affairs, 13 January 2021. Available at: <https://www.justice.gov/opa/pr/justice-department-issues-business-review-letter-proposed-university-technology-licensing>

"U.S. bans technology exports to Chinese semiconductor and drone companies, calling them security threats", The Washington Post, 19 December 2020. Available at: <https://www.washingtonpost.com/technology/2020/12/18/china-smic-entity-list-ban/>

"German Citizens on Trial for Violating EU Russia Arms Embargo", EU Sanctions Law Practice and Guidance, 18 December 2020. Link: <https://www.europeansanctions.com/2020/12/2-german-citizens-on-trial-for-violating-eu-russia-arms-embargo/>

"Iran Passes Nuclear Law", Arms Control Association, 10 December 2020.

Link: <https://www.armscontrol.org/blog/2020-12/p4-1-iran-nuclear-deal-alert>

"Former Raytheon Engineer Sentenced for Exporting Sensitive Military Related Technology to China", Department of Justice - Office of Public Affairs, 18 November 2020. Available at: <https://www.justice.gov/opa/pr/former-raytheon-engineer-sentenced-exporting-sensitive-military-related-technology-china>

## "Of interest"

### EU Partner-to-Partner (P2P) webpage

Link: <https://ec.europa.eu/jrc/en/research-topic/chemical-biological-radiological-and-nuclear-hazards/eu-p2p-outreach-programmes-export-control/dual-use-goods>

Newsletters: <https://ec.europa.eu/jrc/en/search/site/eu%20p2p%20newsletter>

### EU Non-Proliferation and Disarmament Consortium EUNPD Newsletter (monthly).

Available: <https://www.nonproliferation.eu>

### TIM Dual-Use Web Platform

Link: [https://knowledge4policy.ec.europa.eu/text-mining/tim-dual-use\\_en](https://knowledge4policy.ec.europa.eu/text-mining/tim-dual-use_en)