CATEGORY 5 -
TELECOMMUNICATIONS AND "INFORMATION SECURITY"

Part I. TELECOMMUNICATIONS

Notes: 1. The control status of components, "lasers", test and "production" equipment, and "software" therefor which are specially designed for telecommunications equipment or systems is determined in Category 5, Part 1.

2. "Digital computers", related equipment or "software", when essential for the operation and support of telecommunications equipment described in this Category, are regarded as specially designed components, provided they are the standard models customarily supplied by the manufacturer. This includes operation, administration, maintenance, engineering or billing computer systems.

A. SYSTEMS, EQUIPMENT AND COMPONENTS

5A001 Telecommunications systems, equipment, and components.

License Requirements

Reason for Control: NS, AT

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License Requirement Notes: See §743.1 of the EAR for reporting requirements for exports under License Exceptions.

License Exceptions

LVS: N/A for 5A001.a and b.4
$5000 for 5A001.b.1, b.2, b.3, b.5, and .d
$3000 for 5A001.c

GBS: Yes, except 5A001.a and b.4

CIV: Yes, except 5A001.a, b.3 and b.4

List of Items Controlled

Unit: Equipment in number; parts and accessories in $ value
Related Controls: See also 5A101 and 5A991
Related Definitions: N/A

Items:

a. Any type of telecommunications equipment having any of the following characteristics, functions or features:

a.1. Specially designed to withstand transitory electronic effects or electromagnetic pulse effects, both arising from a nuclear explosion;

a.2. Specially hardened to withstand gamma, neutron or ion radiation; or

a.3. Specially designed to operate outside the temperature range from 218 K (-55° C) to 397 K (124° C).

Note: 5A001.a.3 applies only to electronic equipment.

Note: 5A001.a.2 and 5A001.a.3 do not apply to equipment on board satellites.

b. Telecommunication transmission equipment and systems, and specially designed components
and accessories therefor, having any of the following characteristics, functions or features:

b.1 Being underwater communications systems having any of the following characteristics:

b.1.a. An acoustic carrier frequency outside the range from 20 Khz to 60 Khz;

b.1.b. Using an electromagnetic carrier frequency below 30 Khz; or

b.1.c. Using electronic beam steering techniques;

b.2. Being radio equipment operating in the 1.5 MHz to 87.5 MHz band and having any of the following characteristics:

b.2.a. Incorporating adaptive techniques providing more than 15 Db suppression of an interfering signal; or

b.2.b. Having all of the following:

b.2.b.1. Automatically predicting and selecting frequencies and "total digital transfer rates" per channel to optimize the transmission; and

b.2.b.2. Incorporating a linear power amplifier configuration having a capability to support multiple signals simultaneously at an output power of 1 kW or more in the 1.5 MHz to 30 MHz frequency range or 250 W or more in the 30 MHz to 87.5 MHz frequency range, over an "instantaneous bandwidth" of one octave or more and with an output harmonic and distortion content of better than -80 Db;

b.3. Being radio equipment employing "spread spectrum" techniques, including "frequency hopping" techniques, having any of the following characteristics:

b.3.a. User programmable spreading codes; or

b.3.b. A total transmitted bandwidth which is 100 or more times the bandwidth of any one information channel and in excess of 50 Khz;

Note: 5A001.b.3.b does not control radio equipment specially designed for use with civil cellular radio-communications systems.

Note: 5A001.b.3 does not control equipment operating at an output power of 1.0 Watt or less.

b.4. Being digitally controlled radio receivers having all of the following:

b.4.a. More than 1,000 channels;

b.4.b. A "frequency switching time" of less than 1 ms;

b.4.c. Automatic searching or scanning of a part of the electromagnetic spectrum; and

b.4.d. Identification of the received signals or the type of transmitter; or

Note: 5A001.b.4 does not control radio equipment specially designed for use with civil cellular radio-communications systems.

b.5. Employing functions of digital "signal processing" to provide voice coding at rates of less than 2,400 bit/s.

c. Optical fiber communication cables, optical fibers and accessories, as follows:

c.1. Optical fibers of more than 500 m in length specified by the manufacturer as being capable of withstanding a proof test tensile stress of 2 x 10^9 N/m^2 or more;

Technical Note: Proof Test: on-line or off-line production screen testing that dynamically
applies a prescribed tensile stress over a 0.5 to 3 m length of fiber at a running rate of 2 to 5 m/s while passing between capstans approximately 150 mm in diameter. The ambient temperature is a nominal 293 K (20° C) and relative humidity 40%. Equivalent national standards may be used for executing the proof test.

   c.2. Optical fiber cables and accessories designed for underwater use.

   Note: 5A001.c.2 does not control standard civil telecommunication cables and accessories.

   N.B. 1: For underwater umbilical cables, and connectors thereof, see 8A002.a.3.

   N.B. 2: For fiber-optic hull penetrators or connectors, see 8A002.c.

d. "Electronically steerable phased array antennae" operating above 31 GHz.

   Note: 5A001.d does not control "electronically steerable phased array antennae" for landing systems with instruments meeting ICAO standards covering microwave landing systems (MLS).

5A101 Telemetering and telecontrol equipment usable for "missiles".

License Requirements

   Reason for Control: MT, AT

Control(s)      Country Chart

MT applies to entire entry  MT Column 1
AT applies to entire entry  AT Column 1

License Exceptions

   LVS: N/A

List of Items Controlled

   Unit: Number
   Related Controls: N/A
   Related Definitions: N/A
   Items:

The list of items controlled is contained in the ECCN heading.

5A980 Communications intercepting devices; and parts and accessories therefor.

License Requirements

   Reason for Control:

Controls on equipment described in this entry are maintained in accordance with the Omnibus Crime Control and Safe Streets Act of 1968 (Public Law 90-351). A license is required for ALL destinations, regardless of end-use. Accordingly, a column specific to this control does not appear on the Commerce Country Chart. (See §742.13 of the EAR for additional information on the scope of this control.)

   Note: These items are subject to the United Nations Security Council arms embargo against Rwanda described in §746.8 of the EAR.

License Exceptions

   LVS: N/A
   GBS: N/A
   CIV: N/A

List of Items Controlled
5A991 Telecommunication equipment, not controlled by 5A001.

License Requirements

Reason for Control: AT

Control(s) Country Chart
AT applies to entire entry AT Column 1

License Exceptions

LVS: N/A
GBS: N/A
CIV: N/A

List of Items Controlled

Unit: $ value
Related Controls: N/A
Related Definitions: N/A

Items:

a. Any type of telecommunications equipment, not controlled by 5A001.a, specially designed to operate outside the temperature range from 219 K (-54 °C) to 397 K (124 °C).

b. Telecommunication transmission equipment and systems, and specially designed components and accessories therefor, having any of the following characteristics, functions or features:

Note: Telecommunication transmission equipment:

a. Categorized as follows, or combinations thereof:

1. Radio equipment (e.g., transmitters, receivers and transceivers);

2. Line terminating equipment;

3. Intermediate amplifier equipment;

4. Repeater equipment;

5. Regenerator equipment;

6. Translation encoders (transcoders);

7. Multiplex equipment (statistical multiplex included);
8. Modulators/demodulators (modems);

9. Transmultiplex equipment (see CCITT Rec. G701);

10. "Stored program controlled" digital crossconnection equipment;

11. "Gateways" and bridges;

12. "Media access units"; and

b. Designed for use in single or multi-channel communication via any of the following:

   1. Wire (line);
   2. Coaxial cable;
   3. Optical fiber cable;
   4. Electromagnetic radiation; or
   5. Underwater acoustic wavepropagation.

b.1. Employing digital techniques, including digital processing of analog signals, and designed to operate at a "digital transfer rate" at the highest multiplex level exceeding 45 Mbit/s or a "total digital transfer rate" exceeding 90 Mbit/s;

Note: 5A991.b.1 does not control equipment specially designed to be integrated and operated in any satellite system for civil use.

b.2. Modems using the "bandwidth of one voice channel" with a "data signalling rate" exceeding 9,600 bits per second;

b.3. Being "stored program controlled" digital cross connect equipment with "digital transfer rate" exceeding 8.5 Mbit/s per port.

b.4. Being equipment containing any of the following:

b.4.a. "Network access controllers" and their related common medium having a "digital transfer rate" exceeding 33 Mbit/s; or

b.4.b. "Communication channel controllers" with a digital output having a "data signalling rate" exceeding 64,000 bit/s per channel;

Note: If any uncontrolled equipment contains a "network access controller", it cannot have any type of telecommunications interface, except those described in, but not controlled by 5A991.b.4.

b.5. Employing a "laser" and having any of the following characteristics:

b.5.a. A transmission wavelength exceeding 1,000 nm; or

b.5.b. Employing analog techniques and having a bandwidth exceeding 45 MHz;

Note: 5A991.b.5.b does not control commercial TV systems.

b.5.c. Employing coherent optical transmission or coherent optical detection techniques (also called optical heterodyne or homodyne techniques);

b.5.d. Employing wavelength division multiplexing techniques; or

b.5.e. Performing "optical amplification";

b.6. Radio equipment operating at input or output frequencies exceeding:

b.6.1. 31 GHz for satellite-earth station applications; or

b.6.2. 26.5 GHz for other applications;

Note: 5A991.b.6. does not control equipment for civil use when conforming with an
International Telecommunications Union (ITU) allocated band between 26.5 GHz and 31 GHz.

b.7. Being radio equipment employing any of the following:

b.7.a. Quadrature-amplitude-modulation (QAM) techniques above level 4 if the "total digital transfer rate" exceeds 8.5 Mbit/s;

b.7.b. QAM techniques above level 16 if the "total digital transfer rate" is equal to or less than 8.5 Mbit/s; or

b.7.c. Other digital modulation techniques and having a "spectral efficiency" exceeding 3 bit/sec/Hz;

Notes: 1. 5A991.b.7 does not control equipment specially designed to be integrated and operated in any satellite system for civil use.

2. 5A991.b.7 does not control radio relay equipment for operation in an ITU allocated band:

a. Having any of the following:

a.1. Not exceeding 960 MHz; or

a.2. With a "total digital transfer rate" not exceeding 8.5 Mbit/s; and

b. Having a "spectral efficiency" not exceeding 4 bit/sec/Hz.

b.8. Providing functions of digital “signal processing” as follows:

b.8.a. Voice coding at rates less than 2,400 bit/s;

b.8.b. Employing circuitry that incorporates "user-accessible programmability" of digital "signal processing" circuits exceeding the limits of 4A003.b.

c. "Stored program controlled" switching equipment and related signalling systems, having any of the following characteristics, functions or features, and specially designed components and accessories therefor:

Note: Statistical multiplexers with digital input and digital output which provide switching are treated as "stored program controlled" switches.

c.1. "Data (message) switching" equipment or systems designed for "packet-mode operation" and assemblies and components therefor, n.e.s.

c.2. Containing "Integrated Services Digital Network" (ISDN) functions and having any of the following:

  c.2.a. Switch-terminal (e.g., subscriber line) interfaces with a "digital transfer rate" at the highest multiplex level exceeding 192,000 bit/s, including the associated signalling channel (e.g., 2B+D); or

  c.2.b. The capability that a signalling message received by a switch on a given channel that is related to a communication on another channel may be passed through to another switch.

Note: 5A991.c does not preclude the evaluation and appropriate actions taken by the receiving switch or unrelated user message traffic on a D channel of ISDN.

c.3. Routing or switching of "datagram" packets;

c.4. Routing or switching of "fast select" packets;

Note: The restrictions in 5A991.c.3 and c.4 do not apply to networks restricted to using only "network access controllers" or to "network access controllers" themselves.
c.5. Multi-level priority and pre-emption for circuit switching;

**Note:** 5A991.c.5 does not control single-level call preemption.

c.6. Designed for automatic hand-off of cellular radio calls to other cellular switches or automatic connection to a centralized subscriber data base common to more than one switch;

c.7. Containing "stored program controlled" digital crossconnect equipment with "digital transfer rate" exceeding 8.5 Mbit/s per port.

c.8. "Common channel signalling" operating in either non-associated or quasi-associated mode of operation;

c.9. "Dynamic adaptive routing";

**Note:** 5A991.c.10 does not control packet switches or routers with ports or lines not exceeding the limits in 5A991.c.10.

c.10. Being packet switches, circuit switches and routers with ports or lines exceeding any of the following:

   c.10.a. A "data signalling rate" of 64,000 bit/s per channel for a "communications channel controller"; or

   **Note:** 5A991.c.10.a does not control multiplex composite links composed only of communication channels not individually controlled by 5A991.b.1.

   c.10.b. A "digital transfer rate" of 33 Mbit/s for a "network access controller" and related common media;

   c.11. "Optical switching";


d. Optical fibers and optical fiber cables of more than 50 m in length designed for single mode operation;

e. Centralized network control having all of the following characteristics:

   e.1. Receives data from the nodes; and

   e.2. Process these data in order to provide control of traffic not requiring operator decisions, and thereby performing "dynamic adaptive routing";

   **Note:** 5A991.e does not preclude control of traffic as a function of predictable statistical traffic conditions.

f. Phased array antennae, operating above 10.5 GHz, containing active elements and distributed components, and designed to permit electronic control of beam shaping and pointing, except for landing systems with instruments meeting International Civil Aviation Organization (ICAO) standards (microwave landing systems (MLS)).

g. Mobile communications equipment, n.e.s., and assemblies and components therefor; or

h. Radio relay communications equipment designed for use at frequencies equal to or exceeding 19.7 GHz and assemblies and components therefor, n.e.s.

### B. TEST, INSPECTION AND PRODUCTION EQUIPMENT

**5B001** Telecommunication test, inspection and production equipment, as follows (See List of Items Controlled).

License Requirements

**Reason for Control:** NS, AT
Control(s)                  Country Chart
NS applies to entire entry NS Column 2
AT applies to entire entry AT Column 1

License Requirement Notes: See §743.1 of the EAR for reporting requirements for exports under License Exceptions.

License Exceptions
LVS: $5000
GBS: Yes
CIV: Yes

List of Items Controlled

Unit: Equipment in number; parts and accessories in $ value
Related Controls: See also 5B991.
Related Definition: N/A
Items:

a. Equipment and specially designed components or accessories thereof, specially designed for the "development", "production" or "use" of equipment, functions or features controlled by 5A001, 5D001 or 5E001.

Note: 5B001.a. does not control optical fiber characterization equipment not using semiconductor "lasers".

b. Equipment and specially designed components or accessories thereof, specially designed for the "development" of any of the following telecommunication transmission or "stored program controlled" switching equipment:

   b.1. Equipment employing digital techniques, including "Asynchronous Transfer Mode" ("ATM"), designed to operate at a "total digital transfer rate" exceeding 1.5 Gbit/s;

   b.2. Equipment employing a "laser" and having any of the following:

      b.2.a. A transmission wavelength exceeding 1750 nm;

      b.2.b. Performing "optical amplification";

      b.2.c. Employing coherent optical transmission or coherent optical detection techniques (also called optical heterodyne or homodyne techniques); or

      b.2.d. Employing analog techniques and having a bandwidth exceeding 2.5 GHz;

      Note: 5B001.b.2.d. does not include equipment specially designed for the "development" of commercial TV systems.

   b.3. Equipment employing "optical switching";

   b.4. Radio equipment employing quadrature-amplitude-modulation (QAM) techniques above level 128;

   b.5. Equipment employing "common channel signalling" operating in either non-associated mode of operation or quasi-associated mode of operation.

5B991 Telecommunications test equipment, n.e.s.

License Requirements

Reason for Control: AT

Control(s)                  Country Chart
AT applies to entire entry AT Column 1

License Exceptions
C. MATERIALS

5C991 Preforms of glass or of any other material optimized for the manufacture of optical fibers controlled by 5A991.

License Requirements

Reason for Control: AT

Control(s) Country Chart
AT applies to entire entry AT Column 1

License Exceptions

LVS: N/A
GBS: N/A
CIV: N/A

List of Items Controlled

Unit: $ value
Related Controls: N/A
Related Definitions: N/A
Items:

The list of items controlled is contained in the ECCN heading.

D. SOFTWARE

5D001 "Software", as described in the List of Items Controlled.

License Requirements

Reason for Control: NS, AT

Control(s) Country Chart
NS applies to entire entry NS Column 1
AT applies to entire entry AT Column 1

License Requirement Notes: See §743.1 of the EAR for reporting requirements for exports under License Exceptions.

License Exceptions

CIV: Yes, except for "software" controlled by 5D001.a and specially designed for the "development" or "production" of items controlled by 5A001.b.4

TSR: Yes, except for exports and reexports to destinations outside of Austria, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Japan, Luxembourg, the Netherlands, Portugal, Spain, Sweden, or the United Kingdom of "software" controlled by 5D001.a and specially designed for items controlled by 5A001.b.4.

List of Items Controlled

Unit: $ value
Related Controls: See also 5D991
Related Definitions: N/A
Items:

The list of items controlled is contained in the ECCN heading.
a. "Software" specially designed or modified for the "development", "production" or "use" of equipment, functions or features controlled by 5A001 or 5B001.

b. "Software" specially designed or modified to support "technology" controlled by 5E001.

c. Specific "software" as follows:

   c.1. "Software" specially designed or modified to provide characteristics, functions or features of equipment controlled by 5A001 or 5B001;

   c.2. "Software" which provides the capability of recovering "source code" of telecommunications "software" controlled by 5D001;

   c.3. "Software", other than in machine-executable form, specially designed for "dynamic adaptive routing".

d. "Software" specially designed or modified for the "development" of any of the following telecommunication transmission or "stored program controlled" switching equipment:

   d.1. Equipment employing digital techniques, including "Asynchronous Transfer Mode" ("ATM"), designed to operate at a "total digital transfer rate" exceeding 1.5 Gbit/s;

   d.2. Equipment employing a "laser" and having any of the following:

      d.2.a. A transmission wavelength exceeding 1750 nm; or

      d.2.b. Employing analog techniques and having a bandwidth exceeding 2.5 GHz;

   d.3. Equipment employing "optical switching"; or

   d.4. Radio equipment employing quadrature-amplitude-modulation (QAM) techniques above level 128;

5D101 "Software" designed or modified for the "development", "production" or "use of items controlled by 5A101.

License Requirements

   Reason for Control: MT, AT

Control(s)                  Country Chart
   MT applies to entire entry MT Column 1
   AT applies to entire entry AT Column 1

License Exceptions

   CIV: N/A
   TSR: N/A

List of Items Controlled

   Unit: $ value
   Related Controls: N/A
   Related Definitions: N/A
   Items:

The list of items controlled is contained in the ECCN heading.

5D991 "Software" specially designed or modified for the "development", "production", or "use" of equipment controlled by 5A991 and 5B991.

License Requirements
Reason for Control: AT

Control(s) Country Chart
AT applies to entire entry AT Column 1

License Exceptions

CIV: N/A
TSR: N/A

List of Items Controlled

Unit: $ value
Related Controls: N/A
Related Definitions: N/A
Items:
The list of items controlled is contained in the ECCN heading.

E. TECHNOLOGY

5E001 "Technology", (see List of Items Controlled).

License Requirements

Reason for Control: NS, AT

Control(s) Country Chart
NS applies to entire entry NS Column 1
AT applies to entire entry AT Column 1

License Requirement Notes: See §743.1 of the EAR for reporting requirements for exports under License Exceptions.

License Exceptions

CIV: N/A
TSR: Yes, except for exports or reexports to destinations outside of Austria, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Japan, Luxembourg, the Netherlands, Portugal, Spain, Sweden, or the United Kingdom of "technology" controlled by 5E001.a for the "development" or "production" of the following:
1) Items controlled by 5A001.b.4; or
2) "Software" controlled by 5D001.a that is specially designed for the "development" or "production" of items controlled by 5A001.b.4.

List of Items Controlled

Unit: $ value
Related Controls: See also 5E101 and 5E991
Related Definitions: N/A
Items:
a. "Technology" according to the General Technology Note for the "development", "production" or "use" (excluding operation) of equipment, functions or features or "software" controlled by 5A001, 5B001 or 5D001.
b. Specific "technologies", as follows:
   b.1. "Required" "technology" for the "development" or "production" of telecommunications equipment specially designed to be used on board satellites;
   b.2. "Technology" for the "development" or "use" of "laser" communication techniques with the capability of automatically acquiring and tracking signals and maintaining communications through exoatmosphere or sub-surface (water) media;
b.3. "Technology" for the "development" of digital cellular radio systems;

b.4. "Technology" for the "development" of "spread spectrum" techniques, including "frequency hopping" techniques.

c. "Technology" according the General Technology Note for the "development" or "production" of any of the following telecommunication transmission or "stored program controlled" switching equipment, functions or features:

c.1. Equipment employing digital techniques, including "Asynchronous Transfer Mode" ("ATM"), designed to operate at a "total digital transfer rate" exceeding 1.5 Gbit/s;

c.2. Equipment employing a "laser" and having any of the following:
   c.2.a. A transmission wavelength exceeding 1750 nm;
   c.2.b. Performing "optical amplification" using praseodymium-doped fluoride fiber amplifiers (PDFFA);
   c.2.c. Employing coherent optical transmission or coherent optical detection techniques (also called optical heterodyne or homodyne techniques);
   c.2.d. Employing wavelength division multiplexing techniques exceeding 8 optical carriers in a single optical window; or
   c.2.e. Employing analog techniques and having a bandwidth exceeding 2.5 GHz;  
   Note: 5E001.c.2.e. does not control "technology" for the "development" or "production" of commercial TV systems.

c.3. Equipment employing "optical switching"; or

c.4. Radio equipment having any of the following:
   c.4.a. Quadrature-amplitude-modulation (QAM) techniques above level 128; or
   c.4.b. Operating at input or output frequencies exceeding 31 GHz; or
   Note: 5E001.c.4.b. does not control "technology" for the "development" or "production" of equipment designed or modified for operation in any ITU allocated band.

c.5. Equipment employing "common channel signalling" operating in either non-associated or quasi-associated mode of operation.

5E101 "Technology" according to the General Technology Note for the "development", "production" or "use" of equipment controlled by 5A101.

License Requirements

Reason for Control: MT, AT

Control(s) Country Chart
MT applies to entire entry MT Column 1
AT applies to entire entry AT Column 1

License Exceptions

CIV: N/A
TSR: N/A

List of Items Controlled

Unit: $ value
Related Controls: N/A
Related Definitions: N/A
Items:
The list of items controlled is contained in the ECCN heading.

5E111 "Technology" according to the General Technology Note for the "development", "production", or "use" of "software" controlled by 5D101.

License Requirements

Reason for Control: MT, AT

Control(s) Country Chart
MT applies to entire entry MT Column 1
AT applies to entire entry AT Column 1

License Exceptions

CIV: N/A
TSR: N/A

List of Items Controlled

Unit: N/A
Related Controls: N/A
Related Definitions: N/A
Items:

a. Specific “technologies” as follows:
   a.1. “Technology” for the processing and application of coatings to optical fiber specially designed to make it suitable for underwater use;
   a.2. “Technology” for the “development” of equipment employing “Synchronous Digital Hierarchy” (“SDH”) or “Synchronous Optical Network” (“SONET”) techniques.

The list of items controlled is contained in the ECCN heading.

5E991 "Technology" for the "development", "production" or "use" of equipment controlled by 5A991 or 5B991, or "software" controlled by 5D991, and other “technologies” as follows

(see List of Items Controlled).

License Requirements

Reason for Control: AT

Control(s) Country Chart
AT applies to entire entry AT Column 1

License Exceptions

CIV: N/A
TSR: N/A

List of Items Controlled

Unit: $ value
Related Controls: N/A
Related Definitions: N/A
Items:

a. Specific “technologies” as follows:
   a.1. “Technology” for the processing and application of coatings to optical fiber specially designed to make it suitable for underwater use;
   a.2. “Technology” for the “development” of equipment employing “Synchronous Digital Hierarchy” (“SDH”) or “Synchronous Optical Network” (“SONET”) techniques.

EAR99 Items subject to the EAR that are not elsewhere specified in this CCL Category or in any other category in the CCL are designated by the number EAR99.