Policy Name: Export Control Policy	
Owner and Key Contact(s) *Who is responsible for the development, implementation and review of the policy and for the completion of this coversheet?*	Navdeep Bains Interim Director, Research & Impact Services
Date issued	24/01/2022
Approving body/ bodies *Policies should not be published online until they have been approved. Please include the paper reference for the relevant committee.*	Export Control Working Group Policy Oversight Group University Executive Board
Related Statutes, Ordinances, Regulations, Policies and Guidance	University's Research Code of Practice Institutional Online Export Control Resource Bank Financial Procedure 11 (Non-Research Contracts, Commercial and Other Trading) Financial Procedure 13 (Exploitation of Intellectual Property (IP)) Financial Procedure 14 (Research Grants and Contracts) Financial Procedure 15 (Purchasing)
Equality Screening Form submission date and outcome *If an EIA was completed in addition to screening, append to this coversheet.*	02/12/2021 Full EIA not required. Screening Form ref: EIA412
Version Control	
Current Version Number	V1.1
Date of Last review	26/05/2022
Date of Next review	March 2023
Expiry date	N/A
Amendment History	
Ensure links are updated online following amendments.	

Version No.	Date	Summary of amendments (if no change, write NA)	Author
1	24/01/2022	Establishment of Policy	Catherine Cochrane
1.1	26/05/2022	Amendment to section 3 to clarify which members of staff the policy applies to.	

University of Warwick

Export Control Policy

1.   **Definitions**

ATAS	The Academic Technology Approval Scheme is a certificate that is issued by the Foreign Commonwealth & Development Office that gives students clearance to study certain subject areas in the UK, where knowledge could be used in programmes to develop Advanced Conventional Military Technology (ACMT), weapons of mass destruction (WMDs), or their means of delivery.
Competent Authority	The organisation with the legally delegated authority to oversee the administration of Export Control regulations in a defined country. In the UK this is the Export Control Joint Unit (ECJU).
Principal Investigator	The individual responsible for the preparation, conduct, and delivery of a research grant, contract, or project.
Research	Creative work undertaken on a systematic basis in order to increase the stock of knowledge, and the use of this stock of knowledge to devise new applications.
Researcher	Any University staff member on a 'Research Only, or 'Teaching & Research' contract.
Research Student	Any individual registered at the University and undertaking research as part of a degree or higher degree.
Research Supervisor	Any member of University staff who is responsible for overseeing and supporting research students, as outlined by the Doctoral College.
University Staff	Anyone who has a contractual relationship with the University including: all employees, temporary staff engaged via the Variable Monthly Staff (VAM) Payroll, Unitemps and/or other agency contracts, consultants engaged by the University, Emeritus staff, and those on honorary contracts.

2.　Context and Background

Export Control regulations aim to restrict the export and communication of sensitive technology and strategic goods to prevent the proliferation of Weapons of Mass Destruction (WMD) and to counter international threats such as terrorism. The controls apply to the transfer of physical goods, technology, and information, and carry criminal and civil sanctions, including unlimited fines and custodial sentences.

The mission of the University of Warwick is to transform our region, country, and the world for collective good. Through our internationally excellent education and research, we are enriching lives and driving positive change, and much of this depends on our international partnerships, the global movement of researchers, and the exchange of new ideas.

However, some of the knowledge exchanged, goods transferred, and activities conducted by our academics have the potential to be misused, and therefore certain elements of work delivered by the University is subject to export control law. The University takes seriously its obligations in this regard and outlined within the Export Control Policy ('The Policy') is the institutional control environment and the steps that must be followed by staff working in controlled areas.

The responsibility for compliance with Export Control regulations ultimately rests with the individual researcher or staff member who intends to export goods, technology, software, or knowledge outside of the UK, or use technology imported from the United States of America.

The Policy should be read alongside the [University's Research Code of Practice](#), [Institutional Online Export Control Resource Bank](#) , [Financial Procedure 11](#), [Financial Procedure 13,](#) [Financial Procedure 14,](#) and [Financial Procedure 15.](#)

3.　Scope of Policy

This Policy applies to all University staff involved in any university activity which is or could be subject to Export Control as explained in The Policy. Staff are required to read and understand the Policy. It is published on the [University's Policy webpages](#), the [institutional Export Control webpages](#) and the [Induction training webpages](#). Updates to the Policy will be provided via all-staff email, insite briefings and through regular R&IS communications with academic departments.

Postgraduate Research Students (PGRs) and any Student of the University who is undertaking and/or involved in research will be deemed a 'researcher' for the purposes of the Policy and subject to the provisions and responsibilities herein.

4.   Roles and Responsibilities

Defined roles and responsibilities are as follows:

The University Executive Board approve and champion the Policy. Oversight is provided by the Research Governance & Ethics Committee, which reports directly to the University Council and Senate.

Research & Impact Services (R&IS) is responsible for:

- Owning and updating the Export Control Policy, as required to reflect changing internal and external guidelines.
- Ensuring the provision of Export Control training for all staff, and for facilitating and/or delivering disciplinary-specific provision to researchers in STEM areas;
- Ensuring that all research applications & contracts proposals that are submitted to R&IS receive the Pre-Award Export Control scrutiny outlined in Section 7.1 below;
- Ensuring that all Warwick contracts include appropriate 'Export Control' provision;
- Providing an Export Control helpdesk, via Export-Control@Warwick.ac.uk, to receive and support queries directly from academic departments;
- To provide 1-1 technical guidance and support to staff and students in relation to Export Control;
- Providing institutional oversight to compliance with Export Control licences;
- Providing an 'Export Control Quality Assurance' report to each meeting of the Research Governance & Ethics Committee for onward referral to Council and Senate;
- Providing an annual presentation and report on Export Control to STEM departments;
- Maintaining an appropriate 'Export Control' risk ranking in the institutional strategic risk register and overseeing the delivery of mitigating actions;
- Maintaining central records of Export Control Licences;
- Providing access to the central SharePoint log of all live and completed Export Control licences to individuals nominated by Finance Office, Legal Risk & Compliance, and IDG;
- Lead on the co-ordination and be the contact point for institutional and external Export Control audits.

Finance Office is responsible for:

- Ensuring that all staff involved in the Procurement of goods understand, and comply with, Export Control regulations;
- Ensuring that all contractual documentation relating to the procurement of goods contains appropriate Export Control provision;
- Referring to R&IS any transfers of goods, knowledge and/or activities that may require an Export Control licence;
- Supporting institutional and external (via the ECJU) Export Control audits.

Legal & Compliance Services is responsible for:

- Ensuring that all contracts that are agreed by Legal & Compliance Services, on behalf of the University, contain appropriate Export Control terms;

- Referring to R&IS any activities that in the view of Legal & Compliance Services may require an Export Control licence;
- Supporting institutional and external Export Control audits.

The **Information & Digital Group (IDG)** is responsible for:

- Managing the effective provision of blank devices where these are required for international travel;
- Developing IT solutions for research defined as 'high risk' in the context of Export Control, to ensure data security;
- Overseeing institutional compliance with the University's Information Management Policy Framework.

All Academic Heads of Department (HoDs) in all disciplines are responsible for:

- Promoting awareness of the Policy and the institutional Export Control environment to all staff;
- Identifying areas of teaching, consultancy, and procurement in the department that have a higher risk of being relevant to Export Control regulations, to ensure the necessary mitigating actions are in place, working closely in this regard with R&IS;
- Ensuring that all research staff and research students undertake the 'Export Control' module of the Epigeum online training provision;
- Actively managing the risks to the department around Export Control, including via inclusion on departmental risk registers and reviewing, on at least a termly basis, risks and mitigating actions;
- Ensuring that departmental 'international travel' processes comply with the requirements outlined in Section 7.3 below.

All STEM Heads of Departments are responsible for the HoDs activities above and in addition for:

- Promoting awareness of internal disciplinary-specific training in Export Control to all research staff, research students, and all staff engaged in Postgraduate teaching;
- Identifying areas of research activity in the department that have a higher risk of being relevant to Export Control regulations, to ensure the necessary mitigating actions are in place, working closely in this regard with R&IS;
- For those areas identified as high risk, ensuring that associated researchers and research students understand the requirement that they engage with institutional Export Control training and support;
- Flagging any issues of concern with R&IS via Export-Control@Warwick.ac.uk.

Principal Investigators are responsible for:

- Reading and understanding the Policy and associated online Export Control Guidance, and how it applies to their research area/s;

- Undertaking the Export Control module of the [Research Integrity online training](#); and engaging with training and information provided by the University;
- Understanding how Export Control applies to their research area/s;
- Ensuring that members of the Principal Investigator's team fully comply with Export Controls;
- When a holder of an Export Control licence, for maintaining, and updating as required, individual licence logs and dedicated project site, to ensure accurate records are kept;
- Conducting regular reviews of their activities to ensure that any proposed shift in scope is immediately referred to R&IS for an export control check;
- Following the international travel processes outlined in Section 7.3 below.

Researchers are responsible for:

- Reading and understanding the Policy and the institutional [online Export Control guidance](#); and how it applies to their research area/s;
- Undertaking the Export Control module of the Epigeum [Research Integrity online training](#); and engaging with future training and information provided by the University;
- Having awareness of whether their research area/s may be subject to Export Control legislation, with support being provided by the University for researchers to screen their research activities, via R&IS;
- Following the international travel processes outlined in Section 7.3 below;
- Seeking advice from Export-Control@Warwick.ac.uk if they believe that Export Controls may apply to their work.

Research supervisors are responsible for the 'researcher' activities listed above and for ensuring that their research students:

- Read and understand the Policy and the institutional [online Export Control guidance](#); and how it applies to their research area/s;
- Undertake the Export Control module of the Epigeum [Research Integrity online training](#) and engage with future training and information provided by the University;
- Are aware of their responsibilities with regards to Export Control and follow best practice in this regard;
- Follow the international travel processes outlined in Section 7.3 below.

All staff are responsible for:

- Reading and understanding the Policy and the institutional [online Export Control guidance](#) and how it applies to their area of work;
- Undertaking the Export Control module of the [Research Integrity online training](#) and engaging with future training and information provided by the University;
- Having awareness of whether their work, or the research they support, is subject to export control;
- Seeking advice from Export-Control@Warwick.ac.uk if they believe that Export Controls may apply to their work.

5. What is Export Control?

Export Control regulations aim to restrict the export and communication of sensitive technology and strategic goods to prevent the proliferation of WMD and counter international threats, including terrorism. They apply to the transfer of physical goods, technology, and information, and carry criminal and civil sanctions, including unlimited fines and up to ten years in prison.

5.1 UK Export Control

UK Export Controls require individuals to apply for export licenses when they are transferring controlled items or technology from the UK to a destination outside of the UK. This includes the physical export of items and electronic transfer, as well as oral transmission, where this is conducted in a manner that is substantially the same as providing the recipient with a document.

In exceptional circumstances, UK Export Control applies to the transfer of controlled items/technology within the UK where it is known that the ultimate end-use is for WMD related activities outside of the UK.

There are a wide range of activities delivered by universities that could be subject to Export Control regulations, such as: research involving, or delivered on behalf of, international partners or collaborators; the development and delivery of international research partnerships, facilities and/or campuses; the export of materials; teaching and supervising under-graduate/post-graduate students; presenting at international conferences; staff remote-working from outside of the UK; academic exchange; and international visits for the purposes of conducting research or teaching and/or discussing potential future collaboration.

Academics have a legal obligation to ensure that their work complies with export control regulations - failure to obtain an appropriate licence to export controlled goods may result in a criminal offence being committed.

Responsibility for implementing and managing Export Controls in the UK falls within the remit of the Export Control Joint Unit (ECJU). Responsibility for enforcement lies with Her Majesty's Revenue and Customs (HMRC).

5.1.1 High risk areas

The ECJU highlights the following as high-risk research areas:

- Aeronautical and space technology;
- Applied chemistry, biochemistry and chemical engineering;
- Applied physics;
- Biotechnology;
- Electrical and mechanical engineering;
- Instrumentation and sensors;
- Materials technology;

- Nuclear technologies;

- Production and process technology;

- Telecommunications and information technology.

The ECJU also advises that computer-based services and activities that take place online, in the cloud or through distributed computing, including virtual learning environments (VLEs), e-Research, and e-Science may give rise to export control considerations. This means that accessing the University's VLE from outside of the UK constitutes an export.

5.1.2   What areas are controlled?

Items/technologies are controlled in any of the following circumstances:

a) They are 'military items' that appear on the UK Strategic Export Control Lists.

b) They are 'dual-use items' that appear on the UK Strategic Export Control Lists – these being civil items and technologies that could be used for WMD or military purposes.

c) They are classed as items with 'WMD End-Use Concerns' – items that are not specifically listed on the control lists, but are intended, or may be intended, either in their entirety or in part, for WMD purposes, defined as: '*use in connection with the development, production, handling, operation, maintenance, storage, detection, identification, or dissemination of chemical, biological, biological or nuclear weapons or other nuclear explosive devices, or the development, production, maintenance or storage of missiles capable of delivery of such weapons*'. WMD End-Use Concerns only apply if you 'have been informed', 'are aware' or 'have reason to suspect' WMD End-Use. In circumstances where WMD End-Use Controls apply, no items, knowledge, or assistance of any kind can be given without first applying for, and obtaining if necessary, the relevant export licence.

d) They are classed as items with 'Military End-Use Concerns'- items that are not specifically listed on the control lists, but you 'are aware' or 'have been informed' that the items are, or may be, intended for incorporation into military equipment, or for the development, production or maintenance of such equipment, or for use in a plant for production of such equipment in a location subject to an arms embargo, or where you have been informed that items will be used as parts or components of military goods obtained illegally from the UK.

e) Items to be exported to a specific country that is subject to UK Government embargo or sanctions.

5.1.3   Exemptions

There are exemptions that apply to the controls of software and technology, but not goods, in limited circumstances, as follows, and noting that these exemptions do not apply where there are 'End Use Concerns' or to sanctions controls:

a) The information is already in the public domain: Must be available without restriction upon further dissemination, with the exception of copyright restrictions. Information that has to be purchased from a supplier who controls the supply, requires registration, has restrictions on access, or is subject to Government or Military Defence security classifications, is not considered to be in the public domain. The intention to publish controlled research data does not trigger this exemption.

b) Research in the pursuit of basic scientific knowledge, defined by the ECJU as 'experimental or theoretical work undertaken to solely obtain new knowledge of the fundamental principles of phenomena or observable facts and not primarily directed towards a specific practical aim or objective', provided the research has no links to industry and there is no collaborator involved which is claiming IP ownership or imposing any conditions on publishing the results for the research. This exemption cannot be applied to physical goods.

c) The minimum information necessary for a patent application.

As stated above, these exemptions do not apply where there are 'End Use Concerns' or to sanctions controls.

5.2 Academic Publications

Academic publication is not exempt from the UK Export Control regulations. The UK's Secretary of State may prevent publication where this is deemed "necessary" under Export Control regulations. Consequently, to ensure compliance, staff and students should contact R&IS in advance of submitting controlled content for publication.

If you intend to publish controlled content, please contact Export-Control@warwick.ac.uk for guidance and support.

5.3 United States Export Controls

US Export Controls, known as US Export Administration Regulations (EAR) which regulate the export of Dual-Use items, and the International Traffic in Arms Regulations (ITAR) which regulate the export of military and defence related items, may also apply to University activities.

The US Export Controls operate a "deemed export" concept. This means that disclosing or transferring controlled items to a non-US national is deemed an export.

5.3.1 US Export Administration Regulations (EAR)

The EAR impose export clauses on Dual-Use US goods, technology, or software that are listed on the US Commerce Control List (CLL), including preventing them from being shared with 'parties of concern' defined by the U.S Bureau of Industry and Security as follows:

- Denied Persons List: A list of individuals that have been denied export privileges.

- **Entity List**: Foreign parties that are prohibited from receiving some or all items subject to the EAR unless the exporter secures a licence.
- **Unverified List**: A list of parties whose bona fides the U.S. Bureau of Industry and Security have been unable to verify.
- **Military End-User List**: Foreign parties that are prohibited from receiving items of potential military end-use unless the exporter secures a licence.

US EAR can apply to the disclosure of controlled goods/technology/software to non-US nationals within or outside the UK, including within a research group, where a qualifying percentage of the technology to be disclosed has come from the US, generally 25% (the 'de minimis' rule).

5.3.2 US International Traffic in Arms Regulations (ITAR)

US ITAR apply to the export of defence and military related goods, technology, or software that are listed in the US Munitions List (USML). All items containing **any** components or technology of US origin must comply with ITAR.

5.3.3 Guidance on US Regulations

When receiving items from the US, the University should be informed by the exporter if EAR or ITAR apply. Researchers should ensure that they are aware of any related restrictions on technology, goods, and/or software that they are using, and immediately contact R&IS via Export-Control@Warwick.ac.uk who will ensure that the exporter provides the specific conditions of compliance. It is the duty of the exporter to provide these conditions – a general requirement to comply with US regulations should not be accepted.

5.4 EU Export Control

The European Union (Withdrawal) Act 2018 incorporated European Union (EU) derived legislation into domestic legislation in the UK. This included the EU's export control regime. On the basis that the UK was no longer a member state, it introduced licencing requirements for the transfer of controlled items from the UK to the European Union where previously there had been none.

EU export regulations do not apply extraterritorially, but rather must be followed by all those who are physically located within an EU member state. Therefore, all university staff and research students who are working and/or undertaking research whilst overseas in the EU must refer to that particular member state's competent authority to ensure they comply with the relevant legislation should they export controlled items from that location.

Staff and research students who wish to work/undertake research whilst in the EU must receive the necessary Departmental approvals and should contact R&IS at Export-Control@Warwick.ac.uk for Export Control guidance.

6.   University Export Control Compliance

6.1   Individual responsibility

The responsibility for compliance with Export Control regulations ultimately rests with the individual researcher/staff member who intends to export goods, technology, software, or knowledge outside of the UK, or use technology imported from the United States of America.

To assist individual staff in meeting their obligations, the University provides guidance and support through a central Export Control resource bank and via a dedicated team situated in R&IS that can be contacted via export-control@warwick.ac.uk.

7.   Establishing Whether a Licence is Required

7.1   Research

The University's Financial Procedure 14 requires that all proposals for research grants and contracts, and prospective research collaborations with external parties, must be submitted to R&IS by the Principal Investigator at the earliest possible stage, and always prior to funder submission, and before detailed discussions with external partners have commenced.

R&IS will undertake an 'Export Control screening process', asking questions in two key areas, specifically, the nature of the physical goods/technology to be transferred, and the proposed end user of the research, as outlined below. The same screening is also embedded within the University's Research Ethics and Sponsorship application forms. Principal Investigators must fully consider each question to ensure an accurate response:

- Questions regarding physical goods or technology (Answering 'yes' to one or more triggers an 'export control' discussion with R&IS):

  a) Please indicate if you are transferring (physically, electronically or verbally) any technologies, material, equipment or know-how to any non-UK organisation, in the following categories?

  0- Nuclear materials, facilities and equipment

  1- Special materials and related equipment

  2- Materials processing

  3- Electronics

  4- Computers

  5- Telecommunications and "information security"

  6- Sensors and lasers

  7- Navigation and avionics

  8- Marine

9- Aerospace and Propulsion

If yes, please provide details

b) At which Technology Readiness Level (TRL) is your research?

c) Are you receiving any technology, material, equipment or know-how from the US or which is subject to US export control?

Note: if goods or technology are not listed on the Control Lists, a licence for End-Use Controls may still be required. This applies if the goods are likely to be sent to an end-user where there are concerns that they might be used in a WMD programme, or if the end use is military in an embargoed location, or for the end use is for incorporation into military items that have been obtained illegally.

- Questions regarding end users. (Answering 'yes' to one or more triggers an 'export control' discussion with R&IS):

  a) Is your research funded by or are you collaborating with a non-UK military organisation?

  b) Does the technology, material, equipment or know-how have the potential to support the design, development, production, stockpiling or use of nuclear, chemical or biological weapons?

  c) Do you have any concerns that the end user of this research could use the technology, material, equipment or know-how to support the design, development, production, stockpiling or use of nuclear, chemical or biological weapons?

7.2   Due diligence of international partners – research collaborations

It is the responsibility of the Principal Investigator to refer proposed research collaborations with non-UK partners to R&IS, who will ensure that appropriate due diligence is undertaken. This process includes a companies house check, credit check, a comprehensive review utilising the Lexis Due Diligence software, a ResearchGate and/or Scopus review, and a full sanctions review.

Any concerns arising from the due diligence process will be referred to the Director, R&IS, who will either make a decision as to whether the proposed collaboration can proceed or escalate to Senior Officers (Group Finance Director, PVC (Research) and Provost) for a final decision, having due regard for: the University's Research Code of Practice, Anti-Bribery Policy, and Modern Slavery Policy; academic freedom and independence; scope, methods and nature of the research; national security; cyber-security; institutional reputation; and relevant international legal frameworks and regulations.

7.3 Due diligence of international partners - non-Research Collaborations

Departments are required to submit any proposals for non-research activity to Finance Office for approval, in line with Financial Procedure 11. Departments are responsible for undertaking initial due diligence on proposed partners/ customers. This should include an initial screening process in order to identify activities that may raise Export Control considerations.

Where Export Control considerations are identified, it is the responsibility of the contracting department to refer the activity in question to R&IS via Export-Control@Warwick.ac.uk for support.

7.4   International Travel

A particular area of risk with regards to Export Control is travel and work outside of the UK, specifically with regards to accessing, or having access to, data that is defined as 'controlled' and/or that has end use concerns.

University staff should not take controlled/end-use data out of the UK, unless they hold the relevant export control licence.

Electronic devices containing controlled data should not be taken overseas, unless the relevant export control licence is in place. Where electronic devices contain controlled data, a blank electronic device should be requested by the academic from their home Department, who will liaise where required with IDG via helpdesk@warwick.ac.uk

Researchers/staff travelling and working outside of the UK should access email via WebMail, and University shared drives or other University servers should not be used to access controlled information overseas.

To ensure compliance with Export Control regulations, all academics that are planning to travel and/or work outside of the UK, must inform their Departmental Administrator in advance, to ensure that the necessary support and advice is received prior to travel.

7.5   International visitors to campus

UK law does not operate to a 'deemed export' concept. Therefore, sharing controlled items with international visitors to campus is not an export in most circumstances. The only exception to this rule is transfers for WMD purposes with an ultimate end use outside of the UK. In this limited circumstance the goods and/or technology must not be shared without an export licence.

Should international visitors wish to take controlled items out of the UK, it is their responsibility to apply for an export control licence in advance of their visit. Furthermore, should a Warwick academic wish to continue to share controlled items with the visitor once they have returned to their home institution, it is the responsible of the academic to apply for an export control licence, via Export-Control@Warwick.ac.uk.

Where international visits to campus are planned that are related to research that may include controlled items, these should be referred to R&IS in advance for an Export Control licence check.

7.6 Teaching

The expectation is that all taught course content should already be in the public domain and therefore not subject to Export Controls. Where taught courses, including undergraduate and postgraduate taught 'research based' dissertations, are related to controlled areas and involve information not in the public domain, these should be referred to R&IS (via Export-Control@Warwick.ac.uk) for an Export Control check.

7.7 Post-graduate research that require ATAS compliance.

The Academic Technology Scheme (ATAS) certificate is issued by the Foreign Commonwealth & Development Office (FCDO) which gives students clearance to study certain subject areas in the UK, where knowledge could be used in programmes to develop Advanced Conventional Military Technology (ACMT), weapons of mass destruction (WMDs), or their means of delivery.

An ATAS certificate will be required as part of a student visa application if the course that the student is applying to attracts ATAS. An ATAS certificate is also required by any person holding any visa with limited leave in the UK, including a Standard Visitor visa. In such circumstances, ATAS may not be required to apply for the visa, but the ATAS clearance certificate will be required to study on the course.

Courses that require ATAS clearance for students in certain immigration categories have specific CAH3 codes, with this information being contained in SITS and on the Home Office ATAS webpage.

Support for Departments and Students with regards to ATAS is provided by the University's Student Opportunity: Immigration and Compliance Team who can be contacted via immigrationservice@warwick.ac.uk.

ATAS clearance for an individual does not remove any requirement for an Export Control licence, where the technology is controlled and an export is taking place, or where there are end-user concerns. Where an Export Control check is required, the Postgraduate Admissions Team, or the Student Records team for current students who require a new ATAS certificate, will send a questionnaire to the student, who will be advised to seek the input of their supervisor when completing it. Any questionnaires that indicate a particular student's research may be controlled must be referred to R&IS via Export-Control@Warwick.ac.uk.

8. Applying For and Complying with a Licence

In cases where an Export Control licence is required, R&IS will work with the academic to decide whether the export can take place under an existing Open General Export Licence (OGEL), and if not, what type of licence is required.

The submission of a licence will receive R&IS support but requires significant input from the academic. Once complete, it will be submitted by R&IS via the ECJU's online licensing system, SPIRE, with the review and approval process typically taking between four to twelve weeks.

Exports cannot take place until the licence has been issued and must comply with all the terms of the licence.

R&IS will notify the academic once the licence is in place and inform them of the licence terms and conditions. It is the responsibility of the academic and their team to ensure that the export is delivered in compliance with the licence terms. For each licence, a dedicated Project SOP will be provided to the academic and their team by R&IS, outlining the required steps with regards to records keeping and attending to the terms of the licence.

Records of transfers/exports of a controlled item should be kept for a minimum period of four years from the end of the year in which the transfer/export took place, or for the minimum length of time detailed in the licence. It is the responsibility of the research/project team, or the individual responsible for exporting the controlled items, to maintain the records shown below.

Information that should be recorded is as follows:

a) The Export Licence reference number;
b) The nature of the export;
c) Description of items (goods, software, data or technology) exported;
d) The date of transfer or the dates between which the transfer took place;
e) The quantity of the goods (if any) to which the transfer relates;
f) Details (name and address) of the original source of the items (if not originating from Warwick);
g) Details (name and address) of anyone involved in the export, including the consignee and end user;
h) Correspondence with the ECJU relating to the project and licence (if any) (this will be stored by R&IS);
i) Any further records that are required to be kept as detailed under the specific licence.

It is necessary to record the information listed above for each transfer including any communication made by e-mail, video conferencing[1], and/or r-cloud platforms. In addition to the above information concerning the details the exports that take place, it is also best practice to save copies of emails used to export data. ECJU Compliance Visitors may ask to see examples of emails used to exchange technology.

The Project SOP will provide a link to a secure and dedicated SharePoint folder set up by R&IS for the Project, in which the academic will be expected to store all relevant records, copies of emails sent to overseas organisations, record any exports that take place including by phone, video call and/or r-cloud platforms and register these exports in the Project Export Log.

Once the final export has taken place, for example at the end of a research project, the academic must inform R&IS who will check that the necessary information has been uploaded to the SharePoint folder, and ensure that it is maintained for the required four years.

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[1] A summary of the conference content should suffice paying particular attention to the technology actually shared.

9. Audit

The ECJU may audit licences to ensure compliance. In such cases, the PI, Academic Department, R&IS and the Finance Office will be involved in the audit. PIs are required to ensure that all information required to support the audit is provided in a timely manner, and that they are available to meet with the Auditors, as required.

10. Training and Information

10.1 Epigeum

All staff are required to complete the Export Controls module as part of the Epigeum Research Integrity training course, accessible via Organisational Development Research supervisors should ensure that their students have completed this training.

This training module provides an introduction to export controls and how they apply within a university context. All staff should complete this to ensure they have a foundational understanding of the regulations.

10.2 Export Control Resource Bank

A central Export Control resource bank is available to all staff and students, containing up-to-date guidance and support, case studies, and links to further support.

10.3 Export Control Team

Advice and guidance on Export Control is available from the R&IS Research Governance team, which can be contacted via Export-Control@Warwick.ac.uk.

10.4 External resources

Training and guidance on Export Control is provided by the ECJU. Guidance for how the controls apply to academic research can be accessed on GOV.UK on the page 'Export controls applying to academic research'.

11. Equality, Diversity and Inclusion

An Equality Screening Form was completed on 02/12/2021. This confirmed that a full Equality Impact Assessment (EIA) was not required. The Equality Screening Form reference is EIA412.