

## University of Portsmouth - Statement on Export Controls

The University engages widely in international research collaboration, global movement of researchers and the exchange of new ideas in pursuit of its mission to undertake excellent research, innovation and provide world-class education. However, some of the knowledge held, goods used, and activities conducted by academics and researchers have the potential to be misused. Some of the work done at the University is subject therefore to **export control law** and the **Academic Technology Approval Scheme (ATAS)**, which requires certification of certain foreign students and researchers (from May 2021) enrolled on specific advanced courses.

Controls over the export of strategic goods or technology have been enacted in the UK and the EU for decades via a consolidated list of controlled military and dual use items (such as civil technology that could be used for military purposes). In addition, all UN members have been required since 2004 to maintain export controls to prevent the proliferation of weapons of mass destruction (WMD). UN, EU or UK sanctions may also apply. As a result, in some cases individual academics may need an export licence from the [UK Export Control Joint Unit \(ECJU\)](#) to carry out an activity - failure to obtain one being a **criminal offence**. **Controls can cover not only tangible goods, but also software, data, technology and know-how.**

The trend towards increased international research collaboration requires researchers and universities to become increasingly vigilant as to when export control law applies. Compliance with export controls should also be seen as part of the broader responsibility for research integrity. As such, the University has published this statement to raise awareness within the institution of export control regulations, individual responsibilities and the actions that the University will take to support researchers, including the provision of guidance and advice.

In the academic context, export controls are most likely to apply in relation to scientific and technical research with biological, chemical, nuclear, military, missile and aerospace applications. **The responsibility for compliance with export control regulations rests with the individual researcher.** Therefore, **all researchers**, particularly those in the scientific and engineering disciplines, need to be aware of export control regulations.

Researchers, particularly in science and engineering disciplines, should ensure that they:

- Have read and understood the University's website and guidance on export control
- Are aware whether their research areas may be subject to export control legislation
- Consider the University's guidance on export control whenever embarking on an activity that could:
  - Lead to the *physical or electronic export* (transfer) of goods, software, technology or knowledge **outside** the UK
  - Involve goods, software, technology or knowledge that has the **potential** to be used for military or WMD use
  - Involve the transfer of knowledge **within** the UK for use in a WMD programme outside the UK (including through teaching)
  - Involve the transit of goods, software, technology or knowledge **through** the UK
  - Seek advice and apply for licences as necessary

In the vast majority of cases export controls will not apply, particularly as **basic scientific research**, and **information that is already in the public domain** are exempt from the legislation (except where sanctions apply or the item or technology is intended for a WMD use). However, should a researcher

suspect that export controls may apply to their work, they should consult the University's website and guidance on export control, and if still required contact [RIS](#) . In some cases, it will be necessary to apply for an export licence from the UK ECJU to carry out an activity.

Although responsibility for compliance with export control regulations rests with the individual researcher, particularly the Principle Investigator (PI), the University will ensure that it takes adequate measures to support researchers to achieve compliance and ensure that the University itself has complied with the law. To achieve this, the University will:

- Register with the ECJU web service [SPIRE](#) so that export control queries and licence applications can be submitted.
- Make available clear up-to-date guidance and sources of advice for researchers seeking information on [ATAS](#) and [export control regulations](#).
- Provide particular support as requested to researchers working in disciplines most likely to be affected by export control law.

Information on the support provided by the University is available on the University's export control webpages.

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