Export Control Checklist

The purpose of this checklist tool is to support researchers to determine whether their activity falls within scope of UK Export Control regulations. This document is intended to be read in conjunction with the University [Export Control Policy](https://www.bath.ac.uk/legal-information/export-control-policy/).

If your answer to any of these questions is ‘yes’, please contact the Export Control Manager (Research-Governance@Bath.ac.uk).

*Please note that you should understand the word ‘item’ here as referring to goods, technology, software, or knowledge that could be either tangible and intangible in form.*

**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, such as materials and equipment, and also to intangible technology, and information, and to software.

Breaching Export Controls can lead to criminal and civil sanctions, including unlimited fines and custodial sentences.

UK Export Controls require exporters to obtain export licences before transferring controlled items 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, of information, where this is conducted in a manner that is substantially the same as providing the recipient with a document.

**Checklist**

1. **Does your research require the ‘export’ of an item outside of the UK?**

*Please note, ‘export’ is defined as the transfer of an item from the UK to a destination outside the UK. This includes the physical export of items and also electronic transfer. Examples include:*

* *Shipping components/devices*
* *Travelling overseas with an item (e.g., data on a laptop, or a camera in luggage)*
* *Emailing information (technology) to overseas collaborators*
* *Technical discussions during an international web conference*
* *Delivering a digital presentation to an audience who are physically located outside of the UK*
* *Accessing data whilst outside of the UK (e.g., via cloud storage)*
1. **Is your research related to one of the areas highlighted as ‘high risk’ by the UK Government (**[**here**](https://www.gov.uk/guidance/export-controls-applying-to-academic-research#high-risk)**)?**

*Please note, if your research falls into one of these categories, this does not guarantee that you are within scope of the controls. However, this does mean that further investigation is prudent.*

1. **Is the item specially designed for military use?**
2. **Could the items be intended for a civilian use, but have potential to be used for military or WMD use (dual use)? **
3. **Have you been able to identify an control listing within the UK Strategic Export Control List (**[**here**](https://www.gov.uk/government/publications/uk-strategic-export-control-lists-the-consolidated-list-of-strategic-military-and-dual-use-items-that-require-export-authorisation)**) that describes your research?**

*Please note, you can use the Goods Checker Tool to assist you (*[*here*](https://www.ecochecker.trade.gov.uk/spirefox5live/fox/spire/OGEL_GOODS_CHECKER_LANDING_PAGE/new)*)*

1. **Have you been informed by the Export Control Organisation or a third party that the item is subject to export control? **
2. **Is your research related to a Weapons of Mass Destruction (WMD) Purpose?** 

*Please note, “WMD purposes” means use in connection with the development, production, handling, operation, maintenance, storage, detection, identification or dissemination of chemical, biological or nuclear weapons or other nuclear explosive devices, or the development, production, maintenance or storage of missiles capable of delivering such weapons.*

1. **Are you working with a partner who is new to you, and/or are there any unusual requests for shipping, labelling, forwarding addresses?** 
2. **Are you working with a partner based in an embargoed destination?** 

*A full list of embargoed destinations can be found* [*here*](https://www.gov.uk/guidance/current-arms-embargoes-and-other-restrictions#countries-subject-to-arms-embargo-trade-sanctions-and-other-trade-restrictions)*.*