**Annex C: Export Control and Trade Sanctions Enhanced Due**

**Diligence Template (Please read the Export Control Guidance first).**

|  |  |
| --- | --- |
| Name of Division or Directorate: |  |
| Name of Department: |  |
| Completed by (include name and job title): |  |
| Date: |  |
| Name of Project (where applicable): |  |
| Project filed/area: |  |
| Project or context summary: |  |
| Project sponsor or partner (if any): |  |
| Supporting documents (if applicable): |  |

**Export Controls** are designed to restrict export and communication of sensitive technology and

strategic goods for national security purposes. **The controls apply to the academic community and**

**may apply to a range of areas of academic exchange which might facilitate technology transfer,**

**either verbally, physically, or electronically.** To safeguard yourself and your work you must comply

with government legislation and the rules governing transfer of certain items. Military and dual use

items are under the scope of Export Controls. Dual use items are designed for civil purposes but may

be used for military purposes. Please assess all aspects of your project. If export controls apply, you

may be required to apply for a licence from the Export Control Joint Unit.

|  |  |
| --- | --- |
| **Section 1: Is there an export (or are you asking for another person to arrange on your behalf export of) any of the following:** | If yes, please provide further details. |
| Shipping/sending physical materials (including documents) overseas | YES  NO |
| Taking physical materials (including documents) overseas | YES  NO |
| Taking electronic files including software, data, or technical information overseas (via laptop, mobile or another portable device | YES  NO |
| Accessing software, data or technical information stored on a UK based file system from overseas via remote login or VPN etc | YES  NO |
| Sending email/chat/screenshots containing code, data, or technical information (included encrypted information) to a recipient overseas or who will access overseas | YES  NO |
| Discuss, describe or present technical information via telephone, video conference such as MS Teams/Skype/Zoom, screensharing to someone in an overseas location | YES  NO |
| Upload files to a server/cloud repository with restricted access for individuals to access overseas | YES  NO |
| **Section 2: End Use Controls**  You must not export items or knowledge if you suspect or have been informed that the items might be used to make chemical, biological or nuclear Weapons of Mass Destruction (WMD) or for other military purposes. |  |
| Does the item you wish to export have a **potential** WMD (chemical, nuclear or biological weapons) or military end use or something that is designed for civil purposes, but could be used for miliary purposes (known as dual-use items) | YES/NO/UNSURE (if yes, please provide further details as a licence may be required. If unsure, please seek further advice) |
| **Section 3: Software, Technology and Knowledge** |  |
| Will the project involve research into any of the following categories (which apply to STEM subjects but also to some non-STEM research). For example, drones and/or navigation systems.  Nuclear, Materials, Electronics, Computers, Telecommunications & Information Security, Sensors & lasers, navigation & avionics, marine, aerospace and propulsion, biotechnology. | YES/NO  If yes, state which: |
| As part of this project, do you expect to be working with technology, equipment, software or samples controlled under UK legislation?  To determine this you will need to check:   * The [consolidated list](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) of strategic military and dual-use items that require export authorisation   The government’s [checker tool](https://www.ecochecker.trade.gov.uk/spirefox5live/fox/spire/OGEL_GOODS_CHECKER_LANDING_PAGE/new) | YES  POSSIBLY – I have read the guidance and I think my research is controlled, but I am not sure (please seek further advice).  NO – I do not work in STEM and my project does not include research into or involve any technology. (If NO, go to **section 4**) |
| Could the item be described as ‘technology or ‘knowledge’ including written, electronic or recorded information? | YES/NO (If yes, please provide further details) |
| Is the items software, technology or knowledge that amounts to **basic scientific research** in the public domain? (This means that it must be available without restriction upon further dissemination (other than copyright) and be experimental or theoretical work undertaken principally to acquire knowledge of the fundamental principles or phenomena or observable facts and not primarily directed towards a specific practical aim or objective). | YES/NO |
| **Section 4: US imports**  As part of the project, do you expect to import or use items from the US that are controlled under US legislation? (US legislation is extraterritorial and has to be complied with in the UK. Export documents may state the item is subject to US export control). | YES/NO/UNSURE (If yes, please provide further details and seek further advice). |
| **Section 5: Trade sanctions**  These include restrictions on activities in certain countries (or which may be received by persons who are ordinarily resident in a particular country) and restrictions on financial dealing with persons or organisations named on government lists. | Trade sanctions may be particularly wide and include not only transfer of technology, but also technical assistance in related to restricted goods or technology. Professional and business services (such as audit, IT consultancy and design services) may also be restricted. |
| Is the destination country/ies in which the person/entity is based **or linked** to a country on the UK/EU/US Sanctioned List?  [UK sanctions regimes list](https://www.gov.uk/government/collections/uk-sanctions-regimes-under-the-sanctions-act#:~:text=A%20regime%20is%20a%20collection,a%20particular%20country%20or%20region).) | YES  NO  Name of country (if applicable): |
| Is the country deemed to be **high risk** under the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 ([Schedule 3ZA](https://www.legislation.gov.uk/uksi/2017/692/schedule/3ZA)) | Name of country (if applicable): |
| EU (map and list):  <https://sanctionsmap.eu/#/main> | Country included  YES  NO  If yes, please provide further details and a link: |
| OFAC (US Sanctioned Country list):  [Sanctions Programs and Country Information](https://home.treasury.gov/policy-issues/financial-sanctions/sanctions-programs-and-country-information) | Country included  YES  NO  If yes, please provide further details and a link: |
| If yes, is there any correlation between the sanctioned activity and the proposed university activity (for example the sanctioned country may be sanctioned for specific activities which are unrelated to the project or activity). | YES  NO  N/A  Please provide supporting comments:  If yes, a licence may be required or activity may be prohibited, please seek further advice. |
| **Section 6: Travel and Partners**  Further information can be obtained by checking the UK Foreign, Commonwealth and Development Office (FCDO) travel information on the relevant country or countries. <https://www.gov.uk/foreign-travel-advice> (It should be noted that several travel entities are sanctioned for example Aeroflot, Rossiya Airlines, Ural Airlines and Syrian Arab Airlines. **Booking with a sanctioned airline will breach financial sanctions**). | Is the airline or other entity/legal person included on any sanctioned lists:  YES  NO  N/A  If yes, please provide further details and seek advice: |
| Is any partner person/entity involved on any sanctioned lists? UK: <https://sanctionssearchapp.ofsi.hmtreasury.gov.uk/>  EU: <https://sanctionsmap.eu/#/main>  US: <https://sanctionssearch.ofac.treas.gov/> | YES  NO  (If Yes, please seek further advice) |
| Are any controlling persons of other entities involved in the project on the sanctioned lists under sanctions screening? | YES  NO  N/A  (If Yes, please seek further advice) |
| Additional checks carried out:  (please insert more rows as needed) |  |
| **Further resources:** |  |
| [Getting the deal through Sanctions 2022](https://www.simmons-simmons.com/en/publications/cl2q7qm2n2bjq0b425frkrwek/getting-the-deal-through-sanctions-2022)  Key information on several sanctions regimes jurisdictions: Australia, the EU, Israel, Japan, Mexico, Russia, South Korea, Switzerland, UK and the US. | Please check local sanctions requirements:  <https://www.lexology.com/gtdt/tool/workareas/2> |

Please retain a copy of this form with your records and send a copy to [riskandcompliance@kent.ac.uk](mailto:riskandcompliance@kent.ac.uk)

This email may also be used to request further information and advice.