



THE UNIVERSITY *of* EDINBURGH

University of Edinburgh Export Control and Sanctions Policy

1. Policy Statement and Purpose

What is export control?

UK export control refers to a set of legal restrictions on the transfer of certain goods, equipment, materials, software and technology (e.g. data, designs, know-how) from the UK to a destination or destinations outside the UK with the aim of preventing conflict, human rights abuse, weapons of mass destruction (WMD) proliferation and terrorism.

The laws around export control focus on two main areas;

1. Items and their components that have been specifically designed or modified for military use; and
2. Dual-use items (i.e. non-military items that may be used for military or security purposes, including WMD).

Export is construed widely and covers: (i) the physical and electronic transfer of Controlled Items from within the UK to a destination outside the UK; (ii) the transit of Controlled Items through the UK; and (iii) the transfer of Controlled Items within the UK for use in a WMD programme outside the UK (including teaching taking place in the UK). Export of Controlled Items can occur in a variety of activities such as academic and commercial collaborations, teaching, consultancy and licensing activities and even travelling to a third country overseas with a laptop or papers which contain controlled technology.

What are sanctions?

Sanctions are legal measures intended to pressure targeted regimes, organisations and individuals ("Denied Parties") to change their behaviour by restricting their access to military and economic resources. Most UK sanctions measures take two forms: arms embargoes on states that threaten international security and asset freezes on specified Denied Parties involved in repressive regimes, crime or terrorism. An asset freeze in effect prohibits any form of business or collaboration with

any Denied Parties. It is important to be alert to the risks of inadvertently doing business with any Denied Parties in any activities undertaken outside the UK.

Penalties

The University and individual staff have a responsibility to ensure legal compliance with export control and sanctions legislation. Non-compliance can result in very significant financial penalties and is a serious criminal offence with custodial sentences of up to 10 years, as well as constituting a disciplinary offence. Violations of similar US legislation can also carry severe penalties or result in serious implications in the UK.

Why do we need a policy?

For the great majority of university activities, the legislation will not apply, particularly as basic scientific research and information that is already in the public domain are exempt from export controls, most exchanges are within the UK, and universities rarely have dealings with sanctioned countries or Denied Parties.

However, as a world leading university we increasingly engage with academia, business and industry across the world. Examples of relevant activities which may be covered by the controls include: work for a commercial sponsor; research results circulated for colleague review or presented at an overseas conference; staff or foreign students carrying sensitive research out of the UK or downloading it from a UK server while they are overseas; laboratory equipment or materials (even in very small quantities) exchanged with overseas collaborators; and handling or transfers of certain equipment or technology from the US or equipment or technology containing US origin content.

Relevant disciplines include the following: nuclear engineering; biological sciences involving pathogens; toxic or high energy chemicals; high strength materials; high specification electronics, computers, and telecommunications; automation and control systems; cryptography; lasers, optics and sonar; navigation and avionics; submersibles; aerospace and space; and any work related to a defence programme.

Examples of activities in the University that have required export licences include the temporary export of drones equipped with laser and multispectral sensors to destinations in central Africa and South America.

As export control and sanctions are an important part of UK security legislation and broad in scope across a range of academic disciplines we take institutional compliance and our duties in relation to the legislation very seriously. The purpose of this policy is to ensure that the University and its staff and students remain in full compliance with all export controls and sanction regulations that apply to our activities, proportionate to the overall risk.

2. Scope

The policy applies to all staff at the University of Edinburgh, and visiting academics and students, who are engaged in academic research and consultancy as defined by UK Research and Innovation (UKRI). This includes academic staff, researchers, research students, research support staff, research managers and professional services staff whose activities may involve the physical export, electronic transfer, or transfer by any means, including telephone, of goods, software or technology subject to export controls.

Staff, visiting academics and students should also be mindful however that the movement, storage and retention of certain materials, including some pathogens, toxins and radioactive substances, may be subject to regulatory requirements in addition to those relating to export control. Further information on biosafety and radiation protection policy and regulation can be found on the University Health and Safety Department's dedicated [webpages on biological safety](#) and [radiation protection](#).

3. Policy Detail

The University is committed to supporting compliance by its staff and students with applicable export control and sanctions legislation which includes those from the UK, US and EU. We will ensure that;

1. All staff, visiting academics and postgraduate research students engaged in relevant disciplines are made aware of how the regulations may apply to their activities, through the provision of information, guidance, support, advice and training;
2. Due diligence procedures are followed in respect of all relevant proposed activities, to establish whether they are subject to export control legislation;

3. Proposed activity that is prohibited by sanctions does not proceed;
4. Proposed activity that is subject to export controls will not proceed unless an appropriate license is first obtained and all necessary steps are taken to ensure that its conditions are fully implemented;
5. Any item subject to US export controls shall not be acquired and/or transferred to any party subject to US export controls unless the College Registrar (or nominated contact with the College or School) has agreed a plan or process to ensure that all conditions applicable to the item can be met and/or are fully implemented; and
6. Regular checks and annual audits are conducted to ensure that these principles are strictly observed. If any issues are identified, these shall be investigated promptly, urgent measures taken to prevent any recurrence, disciplinary action considered, and the relevant authorities notified.

4. Related Documents

The policy should be applied in line with the [University's Export Control and Sanctions Compliance Procedure](#).

5. Who to contact for more information

Information on the support provided by the University is available on the [Edinburgh Research Office website](#).

For further assistance, please contact: exportcontrol@ed.ac.uk

6. Policy History and Review

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This policy document replaces all previous versions.

If you would like this document in another format please contact exportcontrol@ed.ac.uk

(A more detailed document control record, showing what text has changed & when it changed, will be held by the authoring team)