

EXPORT CONTROL COMPLIANCE STATEMENT

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OVERVIEW

Export control refers to a set of legal restrictions on the transfer of certain goods, technology, software and knowledge from the United Kingdom to a destination outside the UK. An export licence is needed before the export of controlled military goods, software and technology and items on the UK dual-use list from the United Kingdom to another country.

Export controls are designed to restrict the export and communication of sensitive technology or strategic goods, with the aim of preventing weapons of mass destruction (WMD) proliferation and countering international threats such as terrorism.

In the UK, exports of strategic goods and any licences required are administered by the [Export Control Joint Unit \(ECJU\)](#). Some international students enrolled on certain UK advanced courses need to be certified via the [Academic Technology Approval Scheme \(ATAS\)](#).

UNIVERSITY COMMITMENT TO EXPORT CONTROL COMPLIANCE

In pursuit of its mission to undertake excellent research and provide world-class education, the University engages widely in international research collaboration, global movement of researchers and the exchange of new ideas. However some of the knowledge held, goods used, and activities conducted by academics and researchers have the potential to be misused. Compliance with Export Control is seen as part of the broader responsibility for research integrity and the University will ensure research is undertaken in line with relevant legislation, guidance and ethical principles.

The University Secretary has overall responsibility for the export control compliance at The Open University and is supported by the Research, Enterprise and Scholarship (RES) Unit in matters relating to export control.

Although responsibility for compliance with Export Control regulations rests with the individual researcher, the University will take 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:

- Ensure that all necessary licences are applied for prior to exporting any controlled goods or technology, and that any licences we hold are correctly used in line with their terms and conditions. Raise awareness, knowledge and understanding of export control regimes within our academic community.
- Maintain clear and effective export control processes and procedures and processes including appropriate record keeping and internal audit arrangements.
- Provide advice and training to support our researchers and the research process.
- Keep up to date with evolving legislation and relevant regulations.

Failure to adhere to export control obligations is a criminal offence and can lead to financial penalties for both the individuals concerned and the University, legal costs, reputational damage for the University, and even imprisonment.

Individual responsibilities

It is the responsibility of individual researchers to be aware of and comply with export control laws and the University's relevant procedures. Researchers, particularly in science and engineering disciplines, should ensure that they:

- Have read and understood University guidance on *Export Control*;
- Are aware whether their research areas may be subject to *Export Control* legislation;
- Where there research is subject to legislation, have undertaken appropriate training;
- Consider the University's guidance on *Export Control* whenever embarking on an activity that could:
 - lead to the physical or electronic export of restricted goods, software, data, technology or know how outside the UK;
 - involve goods, software or technology with the potential for military or WMD use;
 - involve the transfer of knowledge within the UK for use in a WMD programmes outside the UK (including through teaching);
 - involve the transit of restricted goods, software, data, technology through the UK.
 - Seek advice and apply for licences as necessary.

Should a researcher suspect that Export Controls may apply to their work, they should seek advice from the RES Unit. RES can advise on whether activity is subject to controls and support the use of existing Open General Export Licences held by the University or apply for a specific export licence from the ECJU to carry out an activity.

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Further Information on the support provided by the University is available on the University's [Export Control](#) webpage (internal link only).