

**Trusted Research Assessment Proforma**

**You have been asked to complete this form as your planned research has been identified as being, potentially, in scope of the UK National Security and Investment Act (NSIA) and/or Export Control (EC) legislation.**

Due diligence is not a single process and refers to the totality of checks or reasonable steps that the University must undertake as part of initiating or managing its research relationships. As the Principal Investigator you are being asked to contribute to this process because you are likely to be best placed to provide certain information about the organisation/s you will be working with.

Researchers and institutions engaged in international collaboration must consider any potential security related issues related to their research and research-related interactions and take the necessary steps to manage these.

Collaborations with international organisations which have different political and legal systems to the UK can, in some cases, leave researchers and institutions vulnerable to potential misuse.

**NSIA and Export Control Assessment**

The NSIA is designed to ensure assets developed in UK, with the potential to be used against the nation’s national security interests or which may be sensitive for commercial reasons, are not transferred to an international partner without UK Government scrutiny.

ECs 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 of terrorism or citizen repression.

EC and NSIA apply to both tangible and intangible technologies. In this context technology includes information necessary for the development, production or use of physical items or software. Technology may take forms inc: blueprints, diagrams, models, formulae, tables, source code, engineering designs and specifications, manuals and instructions written or recorded on other media or devices, research data, algorithms, knowledge or know-how.

Military, dual and end- use items are in scope. Dual-use are those designed for civil purposes, but which may be used for military purposes. End- use is particularly relevant academia and refers to emerging technologies in sensitive sectors which could in the future be applied for malign intent.

**Please assess all aspects of your planned research in completing the following form. Any questions should be directed to your R&I RDE or IKE contact**.

**The University is required to maintain a full record of Trusted Research assessments which may need to be made available to external funders and or regulatory bodies in an external audit. This questionnaire will form part of this document set**.

**If EC or the NSIA does apply, then you will be required to apply for a licence from the UK Government’s Export Control Joint Unit (ECJU) or make an NSIA notification; you will be supported by the University in doing this.**

**TO BE COMPLETED BY PRINCIPAL INVESTIGATOR:**

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| **SECTION 1: PLANNED Research SUMMARY details** | |
| **Research activity title** |  |
| **UoA Principal Investigator** |  |
| **Funder (if applicable)** |  |
| **Worktribe ref. (if applicable)** |  |
| **R&I Research Development Executive (RDE) or Impact and Knowledge Exchange (IKE) contact** |  |
| **Research activity type** | e.g. collaborative research project, exploratory discussion, contract service, post graduate research, invited seminar etc. |
| **Proposed international partner** |  |

**TRUSTED RESEARCH ASSESSMENT:**

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| **SECTION 2: Export Control aND NATIONAL SECURITY INVESTMENT ACT** | |
| **As part of this research activity will any staff or students from UoA or the partner travel to or work with countries on the** [UK Government’s list of countries under current trade sanctions, arms embargoes and other trade restrictions](https://www.gov.uk/guidance/current-arms-embargoes-and-other-restrictions)? | **Yes.** please provide details.  **No** |
| **Do the partner organisation or individuals involved in the research appear on any of the following UK or US sanctions lists:**  [UK Sanctions lists](https://search-uk-sanctions-list.service.gov.uk/)  [US Entity List](https://eur03.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.ecfr.gov%2Fcurrent%2Ftitle-15%2Fsubtitle-B%2Fchapter-VII%2Fsubchapter-C%2Fpart-744%2Fappendix-Supplement%2520No.%25204%2520to%2520Part%2520744&data=05%7C02%7Cj.e.snow%40abdn.ac.uk%7Cc3677d26ea364a231efb08dca7bd0d57%7C8c2b19ad5f9c49d490773ec3cfc52b3f%7C0%7C0%7C638569678279451380%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C0%7C%7C%7C&sdata=48i5Un8ebRky%2B3bn56S0ZenrUJ%2Fgfb%2F8kmt5xTw%2F6cY%3D&reserved=0) | **Yes.** please provide details.  **No** |
| **As part of this research activity will you, or any member of your project team, need to transfer any technology to the international partner?**  ***Note:*** *Please answer this question in response to items that are tangible (physical e.g. equipment, materials, components etc) AND items which are intangible (e.g. software, information, plans, manuals, diagrams, data, know how etc).*  *The method of transfer of these items to the partner can include physical, electronic (inc. Teams) oral or other means.* | **Yes.** please provide details.  **No**  **Unsure** |
| **As part of this research activity, do you expect to be working with technology, equipment, software or samples that are controlled (i.e. require a licence to be exported) as defined under UK legislation?**  ***Note:*** *In order to determine whether your research is subject to export control restrictions, you need to use the* [*UK strategic export control list*](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1181396/uk-strategic-export-control-lists.pdf) *and* [*the goods checker tool*](https://www.ecochecker.trade.gov.uk/spirefox5live/fox/spire/OGEL_GOODS_CHECKER_LANDING_PAGE/new)*, both provided by the UK Government.*  *See.* [*UK Government guidance*](https://www.gov.uk/guidance/export-controls-applying-to-academic-research) *on the application of Export Controls to academic research****.*** | **YES** - I know I will be working with technology that is controlled;  IF YES PLEASE SPECIFY INCLUDING CONTROLLED ITEM CODE  **NO** - I have checked the controlled items lists and I am sure that export controls DO NOT apply to my research;  **POSSIBLY** - I have read controlled items lists, and think that my research might be controlled, but I am not sure;  **UNSURE -** I have read the controlled items lists but I am not able to determine if my research is controlled. |
| **As part of this research project, do you expect to import items from the United States that are** [**controlled under US legislation**](https://www.bis.doc.gov/index.php/regulations/commerce-control-list-ccl)**?**  ***Note:*** *US export legislation is extraterritorial. This means that you need to ensure that you comply within the UK. This question still applies to items in transit – i.e. if you are planning to import an item before later on planning to distribute it on to another partner.* | **Yes –** please provide details  **No**  **Unsure** |
| **Is your research intended to be used for military purposes?** | **Yes** – please provide details  **No**  **Unsure** |
| **Does your research have the *potential* to be used for military or WMD (nuclear, chemical or biological weapons) purposes, even if its intended use is civilian?**  ***Note:*** *Items that are designed for civil purposes, but which may be used for military purposes are known as dual-use items. Dual uses might include the potential to support the design, development, production, stockpiling and/or use of WMDs.* | **Yes**  **No**  **Unsure** |
| Will the research activity involve the acquisition, at any level, of control of an asset (physical or intangible such as IP, know how or data) to the partner in any of the [17 sensitive areas for national security](https://www.gov.uk/government/publications/national-security-and-investment-act-guidance-on-notifiable-acquisitions/national-security-and-investment-act-guidance-on-notifiable-acquisitions).  NSI guidance for universities is [here:](https://www.gov.uk/government/publications/national-security-and-investment-act-guidance-for-the-higher-education-and-research-intensive-sectors/national-security-and-investment-act-guidance-for-the-higher-education-and-research-intensive-sectors)  ***Note:*** *Level of control means transfer of ownership or provision of any use rights to the partner e.g. licence or an option in a research agreement.* | **Yes –** please detail.  **No**  **Unsure** |
| **End-use: Emerging technologies (UK) - applied research in certain fields is deemed high risk by the UK Government where it could potentially be misused for military purposes. Will the research activity involve any of the following categories?**  ***Note:*** *These usually apply to (STEM subjects, but can also apply to some non-STEM research.*  *When selecting from the list, it’s important to select those which not only apply to your own research or work-package but also those which apply to the entire research project. This is because the end use of the entire project may have a dual use nature.* | **Please select all that apply:**  Aeronautical and space technology;  Applied chemistry, biochemistry and chemical engineering;  Applied physics;  Biotechnology;  Electrical and mechanical engineering;  Instrumentation and sensors;  Materials technology;  Nuclear technologies;  Production and process technology;  Telecommunications and information technology. |
| **End Use: Emerging technologies (USA) - the USA have identified 14 Categories of Emerging Technologies: Will this research activity involve any of the following?** | **Please select all that apply:**  Biotechnology  Artificial intelligence (AI) & machine learning  Position, Navigation & Timing (PNT)  Microprocessor technology  Advanced computing technology  Data analytics technology  Quantum information & sensing  Logistics technology  Additive manufacturing  Robotics (swarming technology, micro-drones)  Brain-computer interface  Hypersonics  Advanced Materials  Advanced surveillance technologies |
| **Will the research involve engagement with a party on the Canadian named organisation list ?** | **Please check list here:**  [**named organisation list**](https://ised-isde.canada.ca/site/science/en/safeguarding-your-research/guidelines-and-tools-implement-research-security/sensitive-technology-research-and-affiliations-concern/named-research-organizations) **this**  **YES (provide details) / NO** |

**General Risk Assessment:**

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| **SECTION 3: PROJECT-SPECIFIC INFORMATION** | |
| **Research activity details** | |
| **What work will be undertaken at UoA?** | Please provide summary description |
| **What work will be undertaken at partner organisation?** | Please provide summary description |
| **Will any UoA staff travel to the partner organisation?** |  |
| **Will any partner staff travel to UoA?** |  |
| **Please provide a brief statement on the resources required to deliver the proposed research at UoA and at partner and how these will be co-ordinated – to include as appropriate laboratory and teaching facilities, IT.** |  |
| **Financial and in-kind support** | |
| **Will any funding be distributed from UoA to the partner or vice versa as part of this research activity?** | If yes please detail value and details of external funder |
| **Will UoA or the partner provide any in kind support to the other?** | If yes, please provide details |
| **As part of this activity, will the activity be supported by any funding that derives from US Federal Funding?** |  |
| **IT requirements** | |
| **Will any partner staff or students require access to UoA systems as part of this activity (including remote access to UoA IT systems)?** |  |
| **Will UoA staff or students require access to UoA systems if they visit partner?** |  |
| **Regulated research** | |
| **Will the work you or your partner undertake utilise or involve any of the following in their research?** | Human Participants  Data from Humans (including survey data)  Human Tissues  Animal Research  Development of a potential medical device  Drugs trial  Personal data (as defined by UK GDPR)  Involve genetic modification  Involve research on pathogenic organisms |
| **If yes to the above please detail what ethical approvals will be required at UoA and at partner** |  |
| **Conflicts of Interest (CoI)** | Detail any CoI in undertaking this research that need to be declared |
| **safeguarding** | |
| **Does the partner have a safeguarding policy?** |  |
| **Please confirm you have read and understood the UoA** [**Safeguarding in Research and Innovation – Code of Practice**](https://www.abdn.ac.uk/staffnet/documents/policy-zone-research-and-knowledge-exchange/Safeguarding-in-Research-Code-of-Practice.pdf) |  |
| **As part of this research, are you or any member of your team, likely to work with children or adults at risk?** |  |
| **Have you considered if any of your research team will be put at any safeguarding risk in the delivery of this research activity?** | If any safeguarding issues are identified please briefly explain how these will be managed. |
| **As part of this project, are you or any member of your team, likely to be working with in an international development or humanitarian context?** |  |
| **Intellectual Property** | |
| **As part of this research, will you be utilising any background UoA or partner IP?** |  |
| **Is your project likely to generate intellectual property (IP) that may be used in commercial applications?** |  |
| **Has the prospective partner been accused of IP infringement and/or theft?** |  |

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| **SECTION 4: PARTNER ORGANISATION** | |
| **Name of partner organisation** |  |
| **Partner organisation contacts** | Academic contact:  Professional services contact: |
| **Web address** |  |
| **Legal status *(e.g. HEI, charity, govt. body, research institute, company, third sector)*** |  |
| **Date established** |  |
| **Is partner state or publicly funded?** |  |
| **Company/charity registration number or unique tax reference** | *(Enter n/a if not applicable)* |
| **Strategic plan and mission** | Please attach a copy of or link for the proposed partner’s Strategic Plan/Mission statement. |
| **Audited financial statement of partner** | Please attach or hyperlink latest audited financial statements for last 3 years. |
| **What is the size of the institution’s turnover?** |  |
| **Are there any concerns about the institution’s financial viability?** |  |
| **Is the prospective partner subject to any organisational structures or relationships that could compromise their independence or integrity? Are there any sources of unwanted control or influence?** |  |
| **National and International recognition.** Fora HEI confirm  [THE world ranking](https://www.timeshighereducation.com/world-university-rankings)  [QS World University Rankings](https://www.topuniversities.com/world-university-rankings/2023) |  |
| **Legal Judgements/Actions**  Are there any recent legal judgements against the partner or any pending legal action against it? | Please provide a statement from the proposed partner and also undertake your own web search. |
| **Governing Policies**  Does the institution have policies on:  -equal opportunities  -safeguarding  -health and safety  -ethics requirements  -environmental and sustainability issues that UoA would expect to see in a partner organisation? | Please add hyperlinks to copies of relevant policies |
| **Does the institution practice equality of treatment on basis of gender, ethnicity, sexual orientation and religion?** | Please add hyperlinks to copies of relevant policy or statement or request a written statement from the partner. |
| **Ethical Considerations**  Does the institution have any affiliations or relationships that might be of concern (e.g. tobacco companies)? |  |
| **Partner’s existing international collaborative research portfolio.** | Please provide a statement from the proposed partner listing their key collaborative research projects or hyperlinks to existing material. |
| **Are there any political associations of the institution including with the military which UoA should be aware of?** |  |
| **Country** |  |
| [**Corruption Perceptions Index ranking:**](https://www.transparency.org/en/cpi/2022/)  ***Ranking: Against 198 countries.*** | Ranking:  Scoring:  A low score indicates a country in which the level of corruption in the public sector is perceived to be high. This does not mean that the University wishes to avoid these collaborations, but it may indicate that the project requires additional monitoring. |
| **Please consult UK Government** [**FCO overseas business risk guidance**](https://www.gov.uk/government/collections/overseas-business-risk) | Please flag any concerns relevant to the project. |
| **Please consult** [**UK government travel guidance**](https://www.gov.uk/foreign-travel-advice) | Please flag any concerns relevant to the project. |
| **Does the country abide by the Human Rights Act, European Convention on Human Rights and/or UN Declaration of Human Rights?** |  |

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| **SECTION 5 : PREVIOUS COLLABORATIONS** | |
| **Have you worked with this partner organisation previously?** | Yes (please provide details) / No |
| **Are you aware of any other UoA researchers who have worked with the partner previously?** | Yes (please provide details) / No |
| **Is this partner organisation an existing registered supplier for UoA?** | Yes / No |

**TO BE COMPLETED BY RESEARCH AND INNOVATION OR EXTERNAL RELATIONS**

**Entity and open-source checks**

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| UK Govt ECJU End user service entity check. | Detail if check made, result and date. |
| US government bureau of security and industry [entity list](https://www.ecfr.gov/current/title-15/subtitle-B/chapter-VII/subchapter-C/part-744/appendix-Supplement%20No.%204%20to%20Part%20744)? | Detail if check made, result and date. |
| Does the university appear on the Chinese Defence Universities tracker [list of defence laboratories?](https://unitracker.aspi.org.au/defence-laboratories/) | Provide details. |
| Does the university appear on the [Chinese Defence Universities Tracker](https://unitracker.aspi.org.au/)? | Provide details. |
| Has an initial online search has been carried out for any negative news stories? | Provide details. |
| [Google Patents](https://patents.google.com/) can help identify what an entity develops, e.g., patents relating to military technology. | Provide details if check made. |
| For companies: is it listed on [OpenCorporates](https://opencorporates.com), a data aggregator for over 200 million registered companies globally? | Provide details if check made. |
| **Other sources – detail results of any checks made using other sources such as those listed below.** | |
| Georgetown [Centre for Emerging Science and Technology](https://cset.georgetown.edu/) dataset and [Chinese Talent tracker](https://chinatalenttracker.cset.tech/) | |
| [US Air University China Aerospace Studies Institute](https://www.airuniversity.af.edu/CASI/Publications/) | |
| China’s [National Enterprise Credit Information Publicity System](https://www.airuniversity.af.edu/CASI/Publications/) | |