

**Ethics Review of Projects Involving Research with Military Applications or Dual Use Technologies** (non-military items which may also be used for military purposes)

This process applies to non-military research where this may also be used for military purposes regardless of the funding source.

**Export Controls**

Researchers must comply with all legal requirements relating to non-proliferation and dual-use, particularly export controls. Export controls apply to the transfer (by any means) of goods, technology, software and/or knowledge from the UK to a destination outside the UK that may be used for military or Weapons of Mass Destruction purposes.

*Export Control regulations place significant limitations on the exporting of certain technology and information from the UK – it is not always immediately obvious which technologies and information are captured by this regime, so careful thought must be given. Failure to comply with Export Controls can give rise to criminal liability. For more information and relevant resources please visit:* [*https://www.lboro.ac.uk/services/legal-services/export-control/*](https://www.lboro.ac.uk/services/legal-services/export-control/)

**Approval Process**

### The process follows the regular pattern of:

* 1. Self-assessment
  2. Escalation to ADR/Dean
  3. Escalation to relevant sub-committee (where applicable)
  4. Escalation to Ethics Committee

Complete the form on the following page to determine the level of review required.

**Research with Military Applications, or Dual Use Technologies Self-Assessment Form**

Project title:

Investigators:

|  |  |
| --- | --- |
| Is the project one where the application is primarily humanitarian e.g. humanitarian assistance, rehabilitation of injured personnel? | *If yes the self-assessment test is passed.* |
| Does the study involve activity that raises any Weapons of Mass Destruction (WMD)-end use control concerns? | *If yes then the project details should be submitted to the Ethics Committee* |

|  |  |
| --- | --- |
| **For all other Research with Military Applications, or Dual Use Technologies** | **Responses other than ‘yes’ require escalation to AD(R)/Dean and then if unresolved to Ethics Committee** |
| Is the military application legal under UK/EU law (regardless of where in the world the application might be implemented)? |  |
| Does the action adhere without question to the ethical principles in section 2 of the Ethical Policy Framework? |  |
| Will I feel comfortable about the action and its outcomes? |  |
| Will a cross-section of my colleagues,  friends or family feel comfortable about the action and its outcomes? |  |

AD(R)/Dean approval/referral if required

Signed: ……………………………. Date: …………………………….

**Referred to Ethics Committee: YES/NO**

For projects that require referral to Ethics Committee please submit the form along with a supporting statement from the investigator(s) which should address the issues raised to the Ethics Committee Secretary.

The case will be considered in two steps:

**Step 1: Collaborating companies / governmental organisations** (where there is one)

In assessing collaborating companies / governmental organisation factors considered will include:

* + - UK Government entities such as MoD (including the Armed Forces), AWE, DSTL, and GCHQ would only be scrutinised in response to a specific challenge due to the nature of the project.
    - Evidence on companies/organisations would include:
      * Evidence that they have no engagement with activities that would be illegal by UK/EU law. Independent listings may be used for this purpose, e.g. Aviva have compiled a list of companies that they will not invest in due to their involvement in the production of cluster munitions and land mines: https://www.aviva.com/content/dam/aviva-corporate/documents/socialpurpose/pdfs/policies-responses/companies-we-do-not-invest-in-january-2019.pdf
      * Evidence of training in ethics for employees;
      * Evidence of commitment to ethics corporately. This information is normally the public domain.
      * If projects from the company have been approved by Ethics Committee (as recorded in the minutes) within the previous 3 years this step can be skipped.

**Step 2: Project Description**

The factors considered will include:

* + - Projects will be tested against the ethical principles in the usual way.
    - Legal compliance is a minimum expectation. In this context, granting of an Export Control Licence forms a part of the minimum expectation and ethical approvals are in addition to this. Further information is available online [*https://www.lboro.ac.uk/services/legal-services/export-control/*](https://www.lboro.ac.uk/services/legal-services/export-control/)
    - Whether staff involved have the necessary security clearance.