**RESEARCH COMPLIANCE TRIAGE CHECKLIST – STAGE 1 – for completion by lead PI**

*Please complete the sections of this checklist that are relevant to your project and forward to*

[***research-compliance@bristol.ac.uk***](mailto:research-compliance@bristol.ac.uk) *for assessment of any action required*

*For further information, please visit the*[***Research Compliance SharePoint***](https://uob.sharepoint.com/sites/red/SitePages/Research-Compliance.aspx?xsdata=%3D&sdata=ODBlcHhabHV1enJ2TWhhQVEwRk1FM0tKS20xdXBCN3MxZkxGOXA4cStHbz0%3D&ovuser=b2e47f30-cd7d-4a4e-a5da-b18cf1a4151b%2czr23244%40bristol.ac.uk&OR=Teams-HL&CT=1730903905293&clickparams=eyJBcHBOYW1lIjoiVGVhbXMtRGVza3RvcCIsIkFwcFZlcnNpb24iOiI0OS8yNDEwMDMyNDkxNiIsIkhhc0ZlZGVyYXRlZFVzZXIiOmZhbHNlfQ%3D%3D)

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| **Project Start Date** | *Projected start date, or if already started, please confirm the date when it started* |
| **Project Title** |  |
| **Funder** |  |
| **Project Purpose** | *Please explain briefly the purpose of the project and role that UoB/PI will take within this.* |
| **Partners/Collaborators/Consultants** | *Please name any parties that will be involved in the grant or collaboration intended, whether contractually or otherwise* |
| **National Security and Investment Act**  **1.**Does the work fall into one or more of the 17 sensitive areas of the economy?  *Please mark all sectors that are likely to be relevant to your project, or where we are working with a partner that operates in these sectors* | |
| * Advanced Materials * Advanced Robotics * Artificial Intelligence * Civil Nuclear * Communications * Computing Hardware * Critical Suppliers to Government * Cryptographic Authentication * Data Infrastructure | * Defence * Energy * Military and Dual-Use * Quantum Technologies * Satellite and Space Technologies * Suppliers to the Emergency Services * Synthetic Biology * Transport * NONE OF THESE |
| **Export Control**  **1.**Will there be an ‘export’ of any documents, material, information, software, data or technology to a destination outside the UK, **either digitally or physically**?  Examples of an “export” can include:   * Sharing project detail, diagrams, documents, manuals, samples etc with parties overseas, or UK-based parties with overseas affiliations, either in person or by e-mail * Engaging in physical or virtual discussion of novel or technical information with collaborators overseas, or with UK-based parties that have overseas affiliations * Delivery of unpublished material to a publishing house or peer reviewer based outside the UK | *What do you expect will leave the UK, either as physical material or in the form of other transfers such as those in the examples* |
| **2.**Which countries will you “export to” either **directly** or **indirectly**? | *Please list all and any countries that “exports” will be sent to as interim locations or the intended final destination, to the extent that you are aware.* |
| **3.**Will we receive any “export” from any country outside the UK (including the return of material we send to them)? | *What do you expect to receive from outside of the UK and, if so, what countries will this be received from?* |
| **Nagoya Protocol**  **1.**Are you obtaining:   1. **Non-human genetic resource** from a location overseas, e.g. plant, animal, microbial, or other material containing functional units of heredity 2. **Associated Traditional Knowledge** – this includes knowledge, innovations and practices of indigenous and local communities that results from their close interaction with their natural environment, which would not be otherwise available without their input/contribution to your work |  |
| **If ‘no’ to question 1, question 2 is N/A**  **If ‘yes’ to question 1, please answer question 2**  **2.**  **a**. If you are obtaining any **non-human genetic resource or traditional knowledge** described above from countries outside the UK, please list the locations from which this will be received and;  **b**. the format in which this will be received e.g. physical samples, data, local information |  |

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| **RESEARCH COMPLIANCE SPECIALIST REVIEW [INTERNAL USE ONLY]** | |
| **Due diligence considerations undertaken:** | |
| External resources consulted (please list) |  |
| Key issues identified | * End-use concerns * Acquirer concerns * Financial risks identified * Reputational harm queried * Other |
| Further advice required from RCAT / ECJU / ISU? | Yes/No |
| Summary of comments from external adviser |  |
| **Review outcome:**   * Progress to Stage 2 checklist * No further action required | **Reason for recommendation:**   * Export Control [US / UK / Other] * National Security & Investment Act * Other Trusted Research concerns * Assessed as low/no risk * Nagoya Protocol/ABS considerations * Subsidy Control issues |
| **Additional investigations and/or further comments:** | |
| **Key points to raise with DREI colleague / PI:**   * Advice re: non-UK affiliates * Contractual mitigations required BEFORE engagement can proceed * Further investigation recommended * Contractual or other engagement can progress in parallel to Compliance review * Advise AGAINST proceeding with proposed engagement * Nagoya Protocol ABS considerations * Subsidy control discussion * Researcher safety advice—travel advice, ATAS Certificate, Visas * Data security—GDPR, Data access/security/storage | |
| **Completed by:**  Name:  Date:  Signature: | |