



**University of Leicester Research Governance Office  
Standard Operating Procedures**

**TR-SOP-6 UoL Audit**

**Procedure for Conducting Audits on Export Control Licences  
held by the University of Leicester**

**Version 1**

**Effective Date: 23<sup>rd</sup> January 2025**

This SOP will be implemented in line with this document's effective date for all UoL research.

Please note the appendices associated with this SOP may be subject to interim changes. Please ensure that appendices are downloaded from the RGO webpages prior to use to ensure the latest version of the document is being used. For active studies there is no requirement to update appendices to the latest version.

## 1.0 Introduction and Scope

This SOP sets out the procedure for auditing the use and management of export control licences the University of Leicester currently holds. This is not a procedure for auditing research projects to assess whether they should have, or should have had, an export control licence or not.

## 2.0 Purpose

The UK government restricts the export of goods or technology to foreign countries which could contribute to the proliferation of weapons of mass destruction (WMD) or be used in terrorism. There are also sanctions relating to specific countries which the University, and individuals working at the University, must abide by. Such goods or technology, and/or collaborations, can only be exported or sanctioned, when there is a valid export control licence in place.

Anyone using a valid export control licence must comply with the terms attached to it to ensure there are no legal, reputational or security implications for the academic and/or university.

The process for how the University arranges export control licences, including determining the conditions for its use and training requirements of individuals involved are set out in TR-SOP-2 (UoL Export Control).

## 3.0 Non-Compliance

Where it is identified that the Trusted Research process detailed below has not been followed, this will be raised by the Trusted Officer. Further discussions will be held within the Research Governance Office. Ongoing non-compliance will be escalated to the Head of Department/School and managed by the Director of the Research and Enterprise Division (or their delegate).

Non-compliance with Trusted Research processes will be considered Research Misconduct in line with the [Research Code of Conduct](#) under section 8.2.7 - Failure to meet ethical, legal and professional obligations and will be handled in line with the Code of Conduct.

## 4.0 Responsibilities

Action	Undertaken by	Activity
Arrange audit with internal licence holder (CI)	TR Team	6 months after a licence (regardless of the licence type) is first issued the TR Team will contact the CI to arrange an audit for the use of the licence. The UoL Export Control Audit form will be sent to the CI for completion at this point.

Action	Undertaken by	Activity
Completion of audit form	CI	The CI should complete UoL Export Control Audit form as much as possible one week before the meeting date.
Meeting for Audit	TR Team and CI	The TR Team and the CI will then meet to discuss the licence and any transfers, cross checking documentation to ensure all obligations have been met.
Audit Review	TR Team	TR Team will complete the rest of the UoL Export Control Audit form, highlighting any non-compliance issues that need to be resolved. This document will be sent to the CI, setting out the date of the next audit.
Repeat Audit	TR Team	<ul style="list-style-type: none"> <li>• If no transfers have taken place, or there are concerns raised over compliance, an audit should be repeated in 6 months.</li> <li>• If a transfer has taken place and no concerns are highlighted, an audit can be repeated in 1 year.</li> </ul>
Escalation	TR Team	<p>If significant non-compliance issues are identified, the Director of RED and the Head of Department shall be informed.</p> <p>If upon a follow up audit there are still significant non-compliance issues, the use of the licence by the staff member will be revoked and the matter escalated via the Head of School/Head of College. HR will be informed and disciplinary action taken where appropriate.</p>
End of Audit	TR Team	It is expected that each audit will be completed within 4 weeks of the initial notification of audit.

## 5.0 Development and approval record for this document

This table is used to track the development and approval of the document.

Author	Job title	Reviewed by	Approved by	Date approved
Reuben Sneller	Trusted Research Officer	Shaun Monkman	Cat Taylor	23 <sup>rd</sup> January 2025

## 6.0 Review Record

This table is used to track the changes made across document revisions.

Date	Version number	Reviewed by	Description of changes (If any)