

# Network of scientists in Europe related to trade control

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**Seminar on the Export Control of Dual-use  
Materials and Technologies in GUAM  
Countries – 14 –15 March 2018**

# An network

- For what
- With who
- And How

## Scientific cooperation

- Essential principle of the scientific community : **exchange** of knowledges between scientists a necessary condition for the research development
- **Since ever**: middle ages universities (Paris, Bologna, Oxford, Cambridge, Tubingen, Louvain)
- Necessary to produce new knowledge
- Requires the academic freedom

### Knowledge ?

- Basic/fundamental and applied research
- Sensitive and non sensitive
- Controlled and not controlled

# With who

## Scientific community

- Initially **Universities** and associated research centres (and who within those entities)
- Collaboration with **industries** R&D has become for several projects a necessity
- **Difference** between basic/fundamental knowledge and applied research fade away
- **Collaboration** between soft and hard sciences

# And how

- Common **publications** including editing
- **Conferences**, seminars, workshops
- Common research **projects** including PhD
- Common **teaching** programs and seminars

# EU network of scientists potentially related to trade control

## Formal and informal

- ESARDA (European Safeguards Research & Development Association)
- Chaudfontaine

## Established by an EU decision/regulation

- EU non proliferation Consortium
- Erasmus +
- Galileo (Europe's Global Satellite Navigation System)

## Supported by the EU

- ITER (nuclear fusion)

# How to conceal a network and WMD non proliferation principles ?

- Several networks include in their fundamental documents non proliferation **provisions**
- Dedicated network has not been established but the **process** has been initiated

# Example: The EU Framework Programme for Research and Innovation (HORIZON 2020)

EU's main instrument for funding research in Europe: € 80 billion for 2014 to 2020

Includes an **Ethics Review Procedure**:

- **Ethics self-assessment** by the applicant
- **Ethics Screening**: assess the ethical aspects of the proposal objectives, methodology and potential impact
- if needed an **Ethics Assessment** is conducted: in-depth analysis of the ethical issues

Section 8: DUAL USE <sup>a</sup>		YES/NO		Page	Information to be provided	Documents to be provided
<b>Does your research have the potential for military applications?</b>		<input type="checkbox"/>	<input type="checkbox"/>			
<b>If YES</b>	Does your research have an exclusive civilian application focus?	<input type="checkbox"/>	<input type="checkbox"/>		Explanations on the exclusive civilian focus of the research	Confirmation that the inclusion of military partners and technologies relates to civilian applications e.g. in the context of law enforcement activities.
	Will your research use or produce goods or information that will require export licenses in accordance with legislation on dual use items?	<input type="checkbox"/>	<input type="checkbox"/>		Details on what goods and information used and produced in your research will need export licences	Copies of relevant approvals from national export control authorities, if applicable.
	Does your research affect current standards in military ethics – e.g., global ban on weapons of mass destruction, issues of proportionality, discrimination of combatants and accountability in drone and autonomous robotics developments, incendiary or laser weapons?	<input type="checkbox"/>	<input type="checkbox"/>		Details on how the research might affect current standards in military ethics.	A detailed description on what risk mitigation strategies will be implemented to avoid negative implications on military ethics standards outlined in international humanitarian law.

Section 9: MISUSE		YES/NO		Page	Information to be provided	Documents to be provided
Does your research have the potential for malevolent/criminal/terrorist abuse?		<input type="checkbox"/>	<input type="checkbox"/>			
If YES	Does your research involve information on/or the use of biological-, chemical-, nuclear/radiological-security sensitive materials and explosives, and means of their delivery?	<input type="checkbox"/>	<input type="checkbox"/>		Details on the legal requirements of the possession of such items and proposed risk mitigation strategies.	Copies of relevant Approvals, if applicable.  Copies of personnel security clearances, if applicable
	Does your research involve the development of technologies or the creation of information that could have severe negative impacts on human rights standards (e.g. privacy, stigmatization, discrimination), if misapplied?	<input type="checkbox"/>	<input type="checkbox"/>		Details on measures to prevent malevolent abuse.  Details on risk mitigation strategies.	Copies of relevant Ethics Approvals, if applicable.
	Does your research have the potential for terrorist or criminal abuse e.g. infrastructural vulnerability studies, cybersecurity related research?	<input type="checkbox"/>	<input type="checkbox"/>		Details on measures to prevent malevolent abuse.  Details on risk mitigation strategies.	Copies of relevant Ethics Approvals, if applicable.  Copies of personnel security clearances, if applicable.

# Example: ITER

**Not only the EU:** China, India, Japan, Korea, Russia and the United States

## Article 20 of the ITER Agreement

5. Nothing in this Agreement shall require the Members to transfer material, equipment or technology contrary to national export control or related laws and regulations.

## ITER Council Working Group on Export Control, Peaceful Uses and Non-Proliferation (ECWG) [L] [SEP]

- Facilitates **contact** and understanding between the ITER Members on these issues
- **Participation** from Members, Domestic Agencies and Export Control Authorities
- Will **not interfere** with due process in the Member [L] [SEP]

# Internal Compliance Network for Academies: The chaudfontaine initiative

## Objective:

- **confronting** views and experiences on academic potential proliferation of European universities, industries and regulators
- Establishing a **network** of persons in charge within research centres and universities

## How:

- Learning **experiences** from countries and others sectors (industries)
- Establishing **guidelines** or a model for academies
- Establishing a EU network and confronting the model/guidelines with several **volunteers**

# What could be learn from EU experience for GUAM Countries?

- All ready **part of several** formal and informal network:  
enhancing/strengthening their implementation, e.g. ERASMUS+
- Initiated a **similar process** to the EU:  
learning from or in collaboration with