



Checklist GRE

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## Checklist for Global Responsible Engagement

In the current multipolar global context, collaboration with foreign partners and transborder research have become more complex, and the current security and geopolitical situation bring several risks and challenges for academic collaboration. Increased geopolitical tension as well as increased collaboration with partners in countries with non-democratic governance, rapidly growing research systems, or violation of academic freedom, makes greater demands for universities' global responsible engagement.

Global Dynamic Engagement is a prioritised part of the University's Platform for Strategic Work 2023-24. Collaboration with international partners is encouraged at the same time as ethical and security risks are highlighted. One action in the Platform is to develop support for guidance on ethical issues in international collaboration. This checklist constitutes one part of such support.

### Action points

The checklist is intended to highlight potential risks and ethical considerations in international collaboration and activities, and thereby provide support for staff and doctoral students in securing global responsible engagement. The checklist is also intended to assist in preparing international collaboration and projects, and to guide on a possible decision to enter or abstain from a project, collaboration, or visit.

The checklist is not in itself prescriptive or associated with any form of clearance or approval. However, a risk discussion should be elevated to a higher level, such as a discussion with the head of department/equivalent or a designated group at department, faculty, or University level, if:

- any of the indicators below points towards a risk with high likelihood or with severe consequence, or
- the visit, collaboration, or project, to the best of your knowledge, will raise any other ethical or security concerns.

## Indicators

The list of indicators, presented below, is not exhaustive and there may be other relevant issues to consider.

### **Indicator 1: Democratic principles and restricted academic freedom**

- Is the partner located in, or associated with, a country where sanctions may have been imposed by the EU or UN, where democratic freedom and rights are restricted, or where violations of human rights or academic freedom are well documented?
- Is there a risk that authorities of the country or the university will influence project content, choice of research area, or data collection?

[Link to EU Sanctions Map](#)

[Link to Freedom in the World](#)

[Link to World Justice Project Rule of Law](#)

[Link to Academic Freedom Index](#)

### **Indicator 2: Misuse of research and negative unintended applications**

- Could the visit/project/collaboration be directly misunderstood, misused, or have obvious unintended applications which would be negative?
- Does the collaboration include, or could be associated with, an actor within or closely linked to armed forces or the defence industry, or a partner violating human rights?
- Will the collaboration or project conflict with the Swedish dual-use item legislation?

[Read more about export control and dual-use item legislation](#)

- Will the technology readiness level of the research be unsuitable for collaboration with the specific partner?

### **Indicator 3: Partner reputation and University values**

- Are there any potential ethical or reputational risks to you, your partner, Lund University, or other partners to Lund University?
- What is the partner's relation with the government and political parties in the partner country?
- Will the project or any activity related to the project conflict with Lund University core values?

[Read more about Lund University's core values](#)

### **Indicator 4: Conflicts regarding use of data, IPR and patent rights**

- Do you and your partner have a common understanding of access to data before use, implications of confidentiality, ownership of results, intellectual property rights including the right of staff to exploit research results for patent and commercialisation?
- How will proper data protection be ensured?

[Read more about personal data and data protection](#)

[Read more about information security](#)

**Indicator 5: Ethics dumping and security regarding personal and biological data**

- Does the project/collaboration raise significant ethical concerns related to the use of animals, humans, human tissue, or personal data?
- Has the research project, if needed, obtained ethical clearance in the collaborating country and by the Swedish ethical review authority?
- Does the collaboration include sharing of personal data or large-scale biological data that can be linked to personal data without ethics permit and data transfer agreements in place?

[Read more about research ethics and animal testing ethics](#)

**Indicator 6: Personal safety**

- Is there any risk for discrimination or repression of Lund University representatives or partner representatives in the partner country – legally as well as in practice?
- Will the visit/project/collaboration expose Lund University staff or doctoral students, partner colleagues or students, to an increased personal risk related to areas such as transmittable diseases, terror threats, criminality, corruption, espionage, or information theft?