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| **NEW COLLABORATIVE PARTNERSHIP FORM: DUE DILIGENCE & RISK ASSESSMENT** | | | | | | | | | | | | |
| **The Partner Information and Due Diligence evidence section should be completed by Academic Partnerships supporting the proposing Faculty.**  **The risk assessment should be completed by Academic Quality Services following submission of the proposal and complete Due Diligence.**  Where risks are identified, Mitigating Actions will be completed following discussion between the Faculty, Academic Partnerships and Academic Quality Services.  The **Partner Due Diligence and Risk Assessment Guidance** provides further information for completing this form.  The University, as part of its obligations under the UK Quality Code, is required to ensure that appropriate and proportionate risk assessment and due diligence enquiries are carried out on all new proposed collaborative arrangements. The following framework is designed to capture the information the University requires to assess the risks posed by any partnerships, and to implement any controls to manage risk where required. Where necessary, further due diligence may be required.  Please note that this document is for internal use only; it is not to be shared with the proposed partner institution/organisation. Please ensure that any supporting documentation is provided in English.  If you have any questions or would like further information, guidance and support, please visit [Academic Quality Services](http://qualityservices.swansea.ac.uk/?page_id=356) or contact [externalexaminers@swansea.ac.uk](mailto:externalexaminers@swansea.ac.uk) | | | | | | | | | | | | |
| **Completed for Academic Partnerships Department:**  Name: Date: | | | | | | | **Completed for Academic Quality Services:**  Name: Date: | | | | | |
| **PROGRAMME INFORMATION (see Programme Proposal where relevant)** | | | | | | | | | | | | |
| **Programme Title:** |  | | | **Award Level:** |  | | | | **Faculty:** | |  | | |
| **School:** |  | | | **Subject Area:** |  | | | | **Programme Director:** | |  | | |
| **PARTNER INFORMATION** | | | |  | | | | | | | |  |
| *Risk Score: NA = zero; 1 = minimal risk; 2 = moderate risk; 3 = high risk; 4= severe risk* | | | | | | | | | | | | |
| **Due Diligence Area** | | **Due Diligence Evidence** | | | | | | | | **Risk Score** | | **Mitigating Actions** |
| Full name of partner institution: | | *To include any previous names if the institution has changed its name in the past 10 years* | | | | | | | | | | |
| Location of partner institution | | *Registered address to include the city and country in which the institution is based. If the institution is split across several campuses please indicate with which campuses SU will have a link* | | | | | | | |  | |  |
| Contact details and website: | |  | | | | | | | | | | |
| European University Charter number (if appropriate): | |  | | | | | | | | | | |
| Date of Founding of Partner | | *What year was the proposed partner established?* | | | | | | | | | | |
| Degree Awarding Powers | | *At what level does the institution have degree awarding powers?* | | | | | | | |  | |  |
| Status of Partner | | *Existing Partner/New Partner (complete sections under ‘New Proposed Partner’ below)* | | | | | | | |  | |  |
| Existing Agreements | | *Is there an existing agreement with proposed partner institution(s) – if so, at what level (Strategic, Exchange, Study Abroad, Postgraduate Taught (standard or extended), Postgraduate Research, Other e.g. summer programme, internships)? Documentary evidence will be required.* | | | | | | | | | | |
| Partner Type | | *Industry, higher education provider, private or public (state owned)?* | | | | | | | |  | |  |
| Previous experience of collaborative delivery | | *Evidence of and reasons for success and/or failure* | | | | | | | |  | |  |
| Partner’s previous collaboration with Swansea University | | *Evidence of and reasons for success and/or failure* | | | | | | | |  | |  |
| Institutional Ranking and Reputation | | *Relevant national and international rankings, e.g. UK League Tables, QS World Ranking, relationships to QAA etc* | | | | | | | |  | |  |
| International and Professional Recognition | | *What relevant bodies is the partner recognised by? Is the institution recognised by NARIC, Bologna Process or other internationally agreed qualification frameworks?* | | | | | | | |  | |  |
| Role of Partner in delivery | | *What is the role of the partner in the proposed delivery?* | | | | | | | |  | |  |
| **DUE DILIGENCE AND RISK ASSESSMENT** | | | | | | | | | | | | |
| **Due Diligence Area** | | **Due Diligence Evidence** | | | | | | | | **Risk Score** | | **Mitigating Actions** |
| **Academic Due Diligence** | | | | | | | | | | | | |
| Human and Material Resources at partner institution | | *Please evidence appropriate human and physical resources to deliver the programme(s) and support students successfully (existing staff, CVs, business plans, learning materials and resources, facilities etc)* | | | | | | | |  | |  |
| Professional and Subject Expertise | | *Does the partner have the relevant disciplinary and professional expertise to monitor and delivery inclusive teaching, learning and assessment in the proposed subject areas?* | | | | | | | |  | |  |
| Type of Programme/s currently running at partner institution | | *What programmes are currently running at the proposed partner (experience of delivery) (e.g. BA/MSc)* | | | | | | | |  | |  |
| Academic Standards and Quality Assurance | | *Is the Faculty/University satisfied that the proposed partner is able to meet the relevant internal and external standards and expectations of Swansea University and the QAA (expressed via the UK Quality Code for Higher Education)?*  *Please evidence the partner’s level of familiarity with the standards and ethos of UK higher education to deliver the collaboration appropriately.*  *Please provide evidence of how the programme and partnership will comply with Swansea University’s Quality Assurance and Review processes.* | | | | | | | |  | |  |
| **Student Experience**  **How will the student experience delivered be equitable to that gained at Swansea University?:** | | | | | | | | | | | | |
| Equality and opportunity for all students | | *How this partnership will be available and provide opportunities for students involved (both at partner and from wider University community)* | | | | | | | |  | |  |
| Admissions/induction processes | | *Operation and control of the admissions and induction processes.* | | | | | | | |  | |  |
| Learning, Teaching and Assessment approaches | | *How the partner will engage with effective learning, teaching and assessment practices and align to Swansea University Policy and practice.* | | | | | | | |  | |  |
| Accessibility, inclusivity, Wellbeing and Disability | | *Support and recognition for students from diverse backgrounds and needing additional support, as required under the Equality Act 2010* | | | | | | | |  | |  |
| Disciplinary, Complaints and Appeals process | | *(Please describe the disciplinary, complaints and appeals process to be used, including how Swansea University will oversee this).* | | | | | | | |  | |  |
| Employment, Internship or other placements | | *(Please describe any employment, internship or other placements or overseas study within this programme and indicate who will be involved, the scale and how it will be managed to ensure the student experience is positive).* | | | | | | | |  | |  |
| Safe Working and Study Environment | | *Please provide evidence that the prospective partner can provide an appropriate and safe working environment for staff and students* | | | | | | | |  | |  |
| Contingency Planning | | *Please provide evidence of contingency planning in case things go wrong with the programme or partnership – how will Swansea University complete its obligations to students?* | | | | | | | |  | |  |
| Learning and Teaching Language | | *English/other* | | | | | | | |  | |  |
| Multi-Language Requirements | | *Will multi-language supervision or Externality be required and if so how will this be managed?* | | | | | | | |  | |  |
| **Postgraduate Research Programmes Only:** | | | | | | | | | | | | |
| Track record/experience of delivering PGR provision and numbers of PGR students. | | *Demonstrate experience of quality delivery at PGR level, notably PhD provision.* | | | | | | | |  | |  |
| Research Environment | | *Access to research expertise, seminars, conferences, additional resources/facilities not otherwise listed* | | | | | | | |  | |  |
| Supervisory Capacity and Expertise | | *Evidence of established experience and capacity for local supervision of PGR students.* | | | | | | | |  | |  |
| **Financial Due Diligence** | | | | | | | | | | | | |
| Primary Business Language | | *What will be the primary business language and will any translation be required?* | | | | | | | |  | |  |
| Business Case | | *Full costings presented, clear cost-benefit analysis conducted and clear benefits identified* | | | | | | | |  | |  |
| Financial commitment | | *Cost/no cost to Swansea* | | | | | | | |  | |  |
| Financial Model | | *Sustainability and security, Market intelligence, IDO reports and projected number growth/income generation.* | | | | | | | |  | |  |
| Financial Standing | | *Verified & published Accounts OR international institutional ranking (QS)/ state funded institution (PMB/SMT to approve)* | | | | | | | |  | |  |
| Transactional Currency | | *What will be the primary business currency?* | | | | | | | |  | |  |
| Repatriation | | *Can income generated be repatriated to the UK?* | | | | | | | |  | |  |
| Are there any local tax conditions which may affect the programme? | | *e.g. Chinese Tax laws* | | | | | | | |  | |  |
| **Legal Due Diligence** | | | | | | | | | | | | |
| Legal Framework | | *Which country’s legal system will apply to the partnership? Is there local legislation which may impact on the student experience?* | | | | | | | |  | |  |
| Legal status of the proposed partner in its own country and its capacity to enter into a legally binding partnership and agreement | |  | | | | | | | |  | |  |
| Recognition of Award | | *Will the award be recognised in the country of delivery?* | | | | | | | |  | |  |
| Details of any of the following which is current, or which is known to be pending, threatened or possible in relation to the institution or the proposed partnership:   * any litigation or arbitration; * any prosecution; * any investigation or inquiry by a government or official body * any ethical/political matters to be taken into consideration. | |  | | | | | | | |  | |  |
| Government Approval/Licensing | | *Is Government Approval or Licences required for this type of collaboration? (please specify and demonstrate how Swansea will assured that these are in place)* | | | | | | | |  | |  |
| Tier 4 status of the partner/proposal - risks or issues regarding UKVI visa compliance. | | *Does the partnership raise risks around attendance monitoring or UKVI compliance that may impact on Swansea University’s licence?* | | | | | | | |  | |  |
| **Ethical Due Diligence** | | | | | | | | | | | | |
| Local Higher Education Conditions | | *Are there any local conditions which may affect the partner’s ability to comply with the principles of UK HE, relevant legislation and Swansea’s quality and standards?* | | | | | | | |  | |  |
| Does the proposed partner align with Swansea University policy and values in the following areas?: | | | | | | | | | | | | |
| Equality, Diversity and Inclusivity | | *Evidence e.g. links to policy, statements, government legislation etc.* | | | | | | | |  | |  |
| Sustainability | | *Partner/country’s approach to climate change, sustainability, recycling etc.* | | | | | | | |  | |  |
| Human Rights | | *Partner/country’s approach to Human Rights, modern slavery, gender and LGBTQ+ rights, UNCHR etc.* | | | | | | | |  | |  |
| Ethics | | *Partner/country’s approach to research ethics, governance, bribery/corruption, evidence of degree selling etc.* | | | | | | | |  | |  |
| Intellectual Property | | *Partner/country’s approach to IP, control of IP* | | | | | | | |  | |  |
| Affiliations or relationships that may damage the reputation of Swansea University | | *(e.g. arms, tobacco, oil companies, operations in countries not aligned to the values above)* | | | | | | | |  | |  |
| Conflicts of Interest | | *The University requires that the Proposer/Proposing Team should declare and manage any personal, professional, academic or business interests which may conflict with their duties to the University.* | | | | | | | |  | |  |
| **Due Diligence Summary** (To be completed by Academic Partnerships Dept.) | | | | | | | | **Complete/Issues raised** | | | | **Enhanced Due Diligence Required?** |
| Academic | | | | | | | | ü X | | | |  |
| Financial | | | | | | | | ü X | | | |  |
| Legal | | | | | | | | ü X | | | |  |
| Ethical | | | | | | | | ü X | | | |  |
| **Risk Assessment Summary** (To be completed by Academic Quality Services) | | | | | | | | **Score** | | | |  |
| Academic | | | | | | | |  | | | |  |
| Financial | | | | | | | |  | | | |  |
| Legal | | | | | | | |  | | | |  |
| Ethical | | | | | | | |  | | | |  |
| **Total Score:** | | | | | | | |  | | | |  |
| **Risk (Standard Programmes):** | | | | | | | | | | | | |
| **Low**  **0 - 44** | | | **Moderate**  **45-88** | | | **High**  **89 - 133** | | | | **Severe**  **134-176** | | |

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| **Risk (PGR Programmes):** | | | |
| **Low**   1. **47** | **Moderate**  **48-94** | **High**  **95 - 141** | **Severe**  **142 - 188** |

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| **APPROVAL RECORD** | | |
| Faculty Learning and Teaching/ Postgraduate Research Committee Approval: | Name: | Date approved: |
| Collaborative Partnerships Board Executive Approved: |  | Date approved: |
| Programme Management Board Approved: |  | Date approved: |
| Collaborative Partnerships Board Approved: |  | Date approved: |
| Conditions/Recommendations: |  | |
| Conditions/Recommendations Confirmed: |  | Date approved: |

