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| C:\Users\GJA5C0~1.THO\AppData\Local\Temp\1007-SwanUni-Eng 2017 [WHITE] v2.png  **NEW COLLABORATIVE PARTNERSHIP RISK ASSESSMENT GUIDELINES** | | | | | |
| 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 guidance is designed to inform completion of the New Collaborative Partnerships Form: Due Diligence and Risk Assessment and provide a framework for risk assessment and mitigation.  **The Partner Information and Due Diligence evidence section of the form should be completed by Academic Partnerships supporting the proposing Faculty.**  **The risk assessment section of the form 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.  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)  **Risk Definition & Matrix:**   |  |  |  | | --- | --- | --- | | **Score** | **Risk** | **Definition** | | *0* | N/A | Criteria does not apply | | *1* | Insignificant Risk | Minimal/no financial loss/no reputational damage/no risk of injury | | *2* | Minor Risk | Medium financial loss/minor reputational damage/no risk of injury | | *3* | Moderate Risk | High financial loss/some reputational damage/risk of injury | | *4* | Major Risk | Significant financial loss/global reputational damage/litigation/danger to life |   **Outcomes Matrix:**   |  |  |  | | --- | --- | --- | | **Score** | **Risk Rating** | **Recommendation** | |  | *Insignificant Risk* | *Proceed* | |  | *Minor Risk* | *Proceed with appropriate risk mitigation* | |  | *Moderate Risk* | *Proceed with caution with sufficient return* | |  | *Major Risk* | *Do not proceed at this time/proceed with extreme caution and high projected returns* |   N.B. this matrix provides guidance and information for decision making only. The University, through its Academic Quality Infrastructure, will make the decision on whether to proceed or not with any given project based on the information and risk assessment presented through the Due Diligence process.  **Risk Assessment Guidance for Collaborative Partnerships:** | | | | | |
| Location of Partner Institution | | *1 = UK based HE/FE partners*  *2 = UK based workplace partners, EU or FCO low risk international HE partners*  *3 = All other partners, FCO flagged countries*  *4 = All countries defined as high risk by the FCO* | | | |
| Degree Awarding Powers | | *NA = This criteria does not apply*  *1 = Partner has DAPs*  *2 = Partner is/intends to apply for DAPs*  *3 = Partner does not have DAPs*  *4 = Partner cannot achieve DAPs* | | | |
| Status of Partner | | *NA = This criteria does not apply*  *1 = Existing partner*  *2 = Existing partner, poor working experience*  *3 = New partner, some previous experience of collaboration*  *4 = New partner, no previous experience of collaboration* | | | |
| Existing Agreements | | *NA = This criteria does not apply*  *1 = Existing agreements at the proposed level*  *2 = Existing agreements at levels above/below the proposed level*  *3 = Existing agreements but not relating to activity proposed*  *4 = No existing agreements* | | | |
| Partner Type | | *NA = This criteria does not apply*  *1 = Public HEI/FE provider UK*  *2 = Public HEI/FE provider overseas*  *3 = Private provider/industry UK*  *4 = Private provider/industry overseas* | | | |
| Partner’s previous experience of Collaborative delivery | | *NA = This criteria does not apply*  *1 = Previous collaboration with Swansea University and/or longstanding collaborations with high ranking UK Universities*  *2 = Limited collaboration with high-medium ranking UK Universities*  *3 = Limited collaboration with low reputation/overseas partners only*  *4 = No previous experience of collaborative delivery* | | | |
| Partner’s previous collaboration with Swansea University | | *NA = This criteria does not apply*  *1 = Current agreements functioning well*  *2 = Current agreements not functioning well*  *3 = Previous experience >3 years ago*  *4 = No previous experience with Swansea University* | | | |
| Institutional Ranking and Reputation | | *NA = This criteria does not apply*  *1 = QS World Rankings Top 200*  *2 = QS World Rankings 201+*  *3 = In country Top 30 ranking*  *4 = In country 31+/no ranking* | | | |
| International and Professional Recognition | | *NA = This criteria does not apply*  *1 = Recognised by NARIC/Erasmus +*  *2 = Recognised by British Council/internationally*  *3 = Recognised locally/nationally by Ministry of Education or similar*  *4 = Not recognised* | | | |
| Role of Partner in delivery | | *NA = This criteria does not apply*  *1 = Research Only*  *2 = Exchange or supervised delivery with Swansea University*  *3 = Delivery of taught/PGR elements for Swansea University*  *4 = Delivery of whole taught/PGR programme(s) for Swansea University* | | | |
| **Academic Risk Assessment** | | | | | |
| Human and Material Resources at partner institution | | *NA = This criteria does not apply*  *1 = Significant and high quality human and material resources at partner*  *2 = Acceptable human and material resources at partner*  *3 = Limited human and/or material resources at partner*  *4 = Insufficient human and/or material resources at partner* | | | |
| Professional and Subject Expertise | | *NA = This criteria does not apply*  *1 = World leading and in depth professional/subject expertise*  *2 = Acceptable professional/subject expertise*  *3 = Limited professional/subject expertise*  *4 = Very limited or no professional/subject expertise* | | | |
| Type of Programme/s currently running at partner institution | | *NA = This criteria does not apply*  *1 = Provision at all levels, including collaborative programmes*  *2 = Provision at some levels, including the proposed level*  *3 = Provision at some levels, but not at the proposed level*  *4 = No provision* | | | |
| Type of Programme/s proposed at partner institution | | *NA = This criteria does not apply*  *1 = Exchange/placement arrangements*  *2 = Franchised provision*  *3 = Validated provision*  *4= Joint/Double/Dual Awards* | | | |
| Academic Standards and Quality Assurance | | *NA = This criteria does not apply*  *1 = QAA/ESG Standards apply and Swansea University QA processes will apply*  *2 = National recognised QA standards and Swansea University QA processes will apply*  *3 = Local QA standards and Swansea University QA processes will apply*  *4 = No Quality Assurance standards, local/joint QA processes will apply* | | | |
| **Student Experience** | |  | | | |
| Equality and opportunity for all students | | *NA = This criteria does not apply*  *1 = All students are able to fully access all opportunities available*  *2 = Students are treated equally and have limited accessibility to opportunities*  *3 = Some students are treated differently but have some access to opportunities*  *4 = Students are treated differently and have little or no access to opportunities* | | | |
| Admissions & induction | | *NA = This criteria does not apply*  *1 = Swansea University processes apply, admissions controlled by Swansea*  *2 = Partner processes apply, admissions controlled by Swansea*  *3 = Swansea University processes apply, admissions controlled by partner*  *4 = Partner processes apply, admissions controlled by partner* | | | |
| Learning and Assessment | | *NA = This criteria does not apply*  *1 = Approaches consistent with Swansea University Policies*  *2 = Approaches underpinned by recognised standards (QAA/ESG etc)*  *3 = Approaches determined by partner with some not consistent with Swansea University policies*  *4 = Approaches determined by partner and not consistent with Swansea University policies* | | | |
| Accessibility, inclusivity, Wellbeing and Disability | | *NA = This criteria does not apply*  *1 = Full support provided comparable to Swansea University*  *2 = Acceptable support provided for most students*  *3 = Limited support provided for specific student groups*  *4 = No support provided/conditions not recognised* | | | |
| Disciplinary, Complaints and Appeals process | | *NA = This criteria does not apply*  *1 = Swansea University processes apply*  *2 = Joint agreed process applies*  *3 = Partner processes apply* | | | |
| Employment, Internship or other placements | | *NA = This criteria does not apply*  *1 = Additional employment/internship/placement controlled by Swansea UK*  *2 = Additional employment/internship/placement controlled by Swansea overseas*  *3 = Additional employment/internship/placement controlled by partner UK*  *4 = Additional employment/internship/placement controlled by partner overseas* | | | |
| Safe Working and Study Environment | | *NA = This criteria does not apply*  *1 = Clear H&S policies and approach, staff and students will be safe*  *2 = Minor hazards identified and policy approach limited, but overall staff and students will be reasonably safe*  *3 = Lack of policy and approach, limited understanding of H&S, some potential moderate hazards identified*  *4 = Serious concerns/hazards identified, lack of H&S policy and protections* | | | |
| Contingency Planning | | *NA = This criteria does not apply*  *1 = Full, realistic contingency planning provided with acceptable costs*  *2 = Clear contingency planning with moderate-high costs*  *3 = Limited/unclear/unrealistic contingency planning provided*  *4 = No contingency planning provided/ significant costs* | | | |
| Learning and Teaching Language | | *NA = This criteria does not apply*  *1 = English*  *2 = Other – translation available*  *3 = Other – translation not available* | | | |
| Multi-Language Requirements | | *NA = This criteria does not apply*  *1 = Not required*  *2 = Required* | | | |
| **Postgraduate Research Programmes Only:** | | | | | |
| Track record/experience of delivering PGR provision and numbers of PGR students. | | *NA = This criteria does not apply*  *1 = Significant evidence of successful and sustained PGR delivery*  *2 = Limited track record and/or numbers but evidence of successful delivery*  *3 = Low numbers of PGR students and/or some evidence of unsuccessful delivery*  *4 = No evidence of successful PGR delivery* | | | |
| Research Environment | | *NA = This criteria does not apply*  *1 = World class research environment accessible for all students*  *2 = Good research environment accessible to students*  *3 = Limited research environment available to students*  *4 = No evidence of existing research environment/not accessible to students* | | | |
| Supervisory Capacity and Expertise | | *NA = This criteria does not apply*  *1 = Extensive experience and capacity for PGR supervision*  *2 = Acceptable experience and capacity for PGR supervision*  *3 = Limited experience and/or capacity for PGR supervision*  *4 = No experience and /or limited capacity for PGR supervision* | | | |
| **Financial Due Diligence** | | | | | |
| Primary Business Language | | *NA = This criteria does not apply*  *1 = English*  *2 = Other – translation available*  *3 = Other – translation not available* | | | |
| Business Case | | *NA = This criteria does not apply*  *1 = Business case is sound and evidences strong return on investment for Swansea University with strategic alignment and rationale.*  *2 = Business case is sound and suggests moderate return on investment for Swansea University with good rationale.*  *3 = Business case is broadly sound but rationale and benefits are unclear*  *4 = Business case flawed/does not present full costings/benefits cannot be realised* | | | |
| Financial commitment | | *NA = This criteria does not apply*  *1 = No significant costs for delivery*  *2 = All costs borne by partner*  *3 = Shared costs*  *4 = All costs borne by Swansea University* | | | |
| Financial Model | | *NA = This criteria does not apply*  *1 = Clearly evidenced and sustainable model to deliver ROI*  *2 = Some evidence of sustainability with clear ROI*  *3 = Some evidence of moderate sustainability, but ROI is unclear*  *4 = Flawed and/or unsustainable model with no evidence of ROI* | | | |
| Financial Standing of Proposed Partner | | *NA = This criteria does not apply*  *1 = Publicly funded HEI*  *2 = Full accounts provided evidencing financial security*  *3 = Full accounts provided – some issues identified*  *4 = No evidence of financial standing provided/evidence of significant risk of financial insecurity* | | | |
| Transactional Currency | | *NA = This criteria does not apply*  *1 = Pounds Sterling*  *2 = Euros/US/Australian Dollars*  *4 = Other currencies* | | | |
| Repatriation | | *NA = This criteria does not apply*  *1 = Funds can be fully repatriated with no challenges*  *2 = Funds can be fully repatriated with some challenge*  *3 = Funds can be partially repatriated*  *4 = Funds cannot be repatriated* | | | |
| Are there any local tax conditions which may affect the programme? | | *NA = This criteria does not apply*  *1 = Local Tax conditions do not apply*  *4 = Local Tax conditions apply* | | | |
| **Legal Due Diligence** | | | | | |
| Legal Framework | | *NA = This criteria does not apply*  *1 = UK Legal Framework applies*  *4 = Partner Country Legal Framework applies* | | | |
| Legal status of the proposed partner in its own country and its capacity to enter into a legally binding partnership and agreement | | *NA = This criteria does not apply*  *1 = Legal status for agreement*  *4 = No legal status for agreement* | | | |
| Recognition of Award | | *NA = This criteria does not apply*  *1 = Recognised in country of delivery*  *4 = Not recognised in 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. | | *NA = This criteria does not apply*  *1 = No known litigation/investigation*  *2 = Closed and resolved investigation/litigation*  *3 = Open investigation/litigation against individuals within the organisation (e.g. sexual misconduct)*  *4 = Open investigation/litigation against the organisation (Fraud, corruption etc) or recent closed investigation which found against the proposed partner in these areas.* | | | |
| Government Approval/Licensing | | *NA = This criteria does not apply*  *1 = Not required*  *2 = Required but straightforward*  *3 = Required but complex, with existing relationships*  *4 = Required but complex, no existing relationships* | | | |
| Tier 4 status of the partner/proposal - risks or issues regarding UKVI visa compliance. | | *NA = This criteria does not apply*  *1 = No UKVI impact – students will not attend Swansea University*  *2 = Students will attend but for short visits and not require CAS*  *4 = Students will attend Swansea University and require CAS/visas* | | | |
| **Ethical Due Diligence** | | | | | |
| **Does the proposed partner align with Swansea University/UK policy and values in the following areas:** | | | | | |
| Equality, Diversity and Inclusivity | | *NA = This criteria does not apply*  *1 = UK standards/legislation apply*  *2 = Extensive recognition and support provisions within partner*  *3 = Limited recognition and support provisions within partner*  *4 = Criteria not supported locally/nationally (e.g. hostile environment, no recognition of disability/LGBTQ+/gender rights etc)* | | | |
| Sustainability | | *NA = This criteria does not apply*  *1 = UK standards apply*  *2 = Clear evidence of sustainable policy commitment locally/nationally*  *3 = Limited evidence of sustainable policy commitment locally/nationally*  *4 = Criteria not supported locally/nationally* | | | |
| Human Rights | | *NA = This criteria does not apply*  *1 = UK/UNCHR standards apply*  *2 = No evidence of Human Rights issues (Amnesty)*  *3 = Evidence of some previous Human Rights issues, now changing (Amnesty)*  *4 = Criteria not supported nationally – significant Human Rights issues (Amnesty)* | | | |
| Ethics | | *NA = This criteria does not apply*  *1 = UK standards and legislation apply*  *2 = EU standards apply*  *3 = UN standards apply*  *4 = Criteria not supported locally/nationally* | | | |
| Intellectual Property | | *NA = This criteria does not apply*  *1 = UK standards and legislation applies*  *2 = Jointly agreed IP Policy applies*  *3 = Partner IP standards and legislation applies*  *4 = Unregulated or limited local standards* | | | |
| Does the proposed partner have any affiliations or relationships that may be of concern? (e.g. arms, tobacco, oil companies, operations in countries not aligned to the values above) | | *NA = This criteria does not apply*  *1 = No existing relationships identified*  *2 = Some existing relationships with evidence of divestment*  *3 = Extensive relationships with evidence of divestment*  *4 = Extensive relationships with no evidence of divestment/change* | | | |
| **Risk Assessment Summary** (To be completed by Academic Quality Services) | | | | | |
| 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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|  |  | **Consequences** | | | | |
|  |  | **1**  **Insignificant**  No injuries/ minimal financial loss | **2**  **Minor**  First aid treatment/ medium financial loss | **3**  **Moderate**  Medical treatment/high financial loss | **4**  **Major**  Hospitalised/ large financial loss | **5**  **Catastrophic**  Death/ Massive Financial Loss |
| **Likelihood** | **5**  **Almost Certain**  Often occurs/ once a week | 5  Moderate | 10  High | 15  High | 20  Catastrophic | 25  Catastrophic |
| **4**  **Likely**  Could easily happen/ once a week | 4  Moderate | 8  Moderate | 12  High | 16  Catastrophic | 20  Catastrophic |
| **3**  **Possible**  Could happen/ happen once a year | 3  Low | 6  Moderate | 9  Moderate | 12  High | 15  High |
| **2**  **Unlikely**  Hasn’t’ yet happened but could happen | 2  Low | 4  Moderate | 6  Moderate | 8  High | 10  High |
| **1**  **Rare**  Conceivable but 1/100 year event | 1  Low | 2  Low | 3  Low | 4  Moderate | 5  Moderate |

