

**High Risk Proposal Form**

Complete all sections in full - supplementary information can be attached. This form should be completed by the proposer following discussions with colleagues at Queen Mary and the proposed partner. This document must not be shared nor completed by colleagues outside Queen Mary.

Proposals will be considered by the relevant Faculty Executive and relevant Board(s) as part of Queen Mary’s standard governance processes (e.g. Partnerships Board and Taught Programmes Board), together with a copy of the draft memorandum of understanding, agreement or contract. This form needs to be completed if the Faculty/School or other QM proposer feels there are risks they are unsure how to manage.

**Section 1**

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| **Proposer information** |
| Proposer name: |  |
| Responsible school / institute / directorate:  |  |

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| **Partner information** |
| Full name of proposed partner: |  |
| Main purpose of business:  |  |
| Outline key factors that indicate the high-risk status: |  |
| Location of partner: (City and Country): |  |
| Main source(s) of income: |  |
| Have you worked with this partner before? | Yes [ ]  No [ ]   |
| If yes please provide details of collaborative work undertaken: |  |
| Key Contact at partner (person responsible for management of partnership):  |  |

**Section 2. Type of proposed collaboration**

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| **Please tick activity type:** |
| [ ]  Funding Sponsorship agreements |
| [ ]  Flying Faculty |
| [ ]  Branch campus  |
| [ ]  Double degree programme |
| [ ]  Joint degree programme (PhD only) |
| [ ]  Research Institutes  |
| [ ]  Consultancy/Executive Education/Summer School |
| [ ]  Research Framework agreement (data sharing) |

**Section 3. Due Diligence**

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| **3a. Summary of proposal (complete for all proposals)** |
| What is the anticipated start date for the activity? |  |
| Where (in which country?) will the activity outlined in this proposal take place? |  |
| What is the ranking of the country in the Corruption Perceptions Index (out of 180)? | *Transparency.org* |
| Give a summary of the proposal and the rationale for setting up this activity  | *(What are the benefits to the school and/or faculty and/or Queen Mary?)* |
| How does this proposal align to the aims of Strategy 2030? |  |
| Please confirm whether you have sought advice from Global Partnerships and Opportunities on this partner/country? | Yes [ ]  No [ ]   |

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| **3b. Reputation** |
| What is the Foreign and Commonwealth Advice on this country? |  |
| Are there any trade sanctions, embargoes that will impact on the activity? | *See gov.uk for further details* |
| Are there significant cultural / political differences between this country and the UK?  | *(e.g. human rights and equality)* |
| Does the proposed partner operate or conduct activities in other countries that may have a negative impact on Queen Mary? | *See gov.uk for further details* |
| What due diligence has been conducted to ensure the academic quality and standard of the proposed partner?  | *(academic programmes only)* *(For HEIs comment on rankings, national position or specific disciplinary expertise,* *degree-awarding body)* |
| What due diligence has been conducted to ensure that the partner is ethically sound? | *(e.g. association with an industry that could lead to reputational damage – refer to Queen Mary’s* [*Ethical Partnerships Policy*](http://www.arcs.qmul.ac.uk/media/arcs/policyzone/Partnerships-Ethical-Policy.pdf) |
| Does the country have a quality assurance agency or system? | *(academic programmes only)* |
| Outline the implications (risks) for Queen Mary should we need to withdraw from the activity before the end of the contract  |  |
| Copies of relevant policies (or equivalent documentation) should be obtained from the partner. In the interest of transparency, Queen Mary will share the following documents where applicable Anti-Bribery and Corruption Policy Anti-Money Laundering Policy Environmental Sustainability Policy Ethical Investment Policy Gift Acceptance Policy Health and Safety Policies Modern Slavery Statement Research Integrity Policy Joint Research Management Policies with Barts Health NHS Trust Standards of Business Conduct  |

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| **3c. Financial**  |
| How will this proposal be funded? |  |
| What measures will be taken if either Queen Mary or the partner is unable to fund the activity? |  |
| Attach a business case for this proposal | *(to include details of any financial commitment required by Queen Mary and the partner (separately) an (annual) budget, projections and financial milestones* |
| Outline details of the partner’s financial legal capacity and financial ratio of funding against commitment and contingency planning (e.g. solvency risk/liquidity/cashflow) and ROI | *You will need your Finance Business Partner to support you in completing this in particular but also to consider due diligence, particularly for overseas partners.* |
| Outline details of the partner contribution both cash and in kind |  |
| What due diligence has been conducted to ensure that the partner is financially sound? |  |
| Outline what measures have been taken to mitigate any risk from foreign currency exchange rates |  |
| Are there any other financial risks that should be considered?  | *(e.g. repatriation of funds etc.)* |
| **Attach management accounts for the last financial year with this proposal form** |

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| **3d. Legal and Tax** |
| Which country’s law and jurisdiction will the activity fall under?  | *(Queen Mary’s preference is that activities are subject to English governing law)* |
| Is there an established legal framework in place in the country which supports this activity? * Outline details of due diligence conducted to ensure that the legal and regulatory environment is appropriate and suitable for this activity
 | *(e.g. QA assurance framework)* |
| Outline details of tax implications for Queen Mary associated with setting up this activity.  | (e.g. building/facilities, staffing) |
| What measures have been taken to ensure appropriate access to intellectual property and to protect Queen Mary’s IP?  |  |
| Is the activity covered by Queen Mary insurance policies? |  |
| Outline what measures have been taken to determine whether the activity outlined is in scope of the Foreign Influence Registration Scheme (FIRS) |  |

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| **3e. Resources** |
| Will Queen Mary staff spend significant time at partner / overseas location?  | *(seek advice from HR, Queen Mary Travel Insurance)*  |
| Outline details of due diligence conducted to ensure that facilities at partner / location of delivery is comparable to that of Queen Mary’s in London | (e.g. compatibility of IT systems for delivery of programmes overseas, access to journals, library etc) |

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| **3f. Trusted Research (for collaborations in Flying Faculty, PhD Joint degree programmes, Research Institutes, Research Framework agreement (data sharing))** |
| What due diligence has been conducted to ensure compliance in UK export controls legislations and National Security and Investment Act | *(seek advice from JRMO International Research team vp-trustedresearch@qmul.ac.uk)* |
| Outline what measures have been taken to determine the activity is in scope of the Nagoya Protocol on Access and Benefit-sharing | *(seek advice from JRMO International Research team vp-trustedresearch@qmul.ac.uk)* |

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| **3g. Governance** |
| Once established, who will be the Queen Mary lead for this activity? |  |
| How will this activity be managed on a day to day basis? | *(include governance structure)* |
| What measures will be put in place for monitoring and measuring success. What is the timeframe for this? |  |

**Section 4 - Declaration of interest and approval**

By signing this form, the proposer, school/institute signatory, Faculty approver and Chair of Partnership Board all confirm that there is no conflict of interest for this proposal.[[1]](#footnote-1)

The guidelines on Standards of Business Conduct set out general principles to take into account and should be reviewed before signing as appropriate:

[Standards-of-Business-Conduct.pdf](http://www.arcs.qmul.ac.uk/media/arcs/policyzone/ARC2017-34ii-Standards-of-Business-Conduct-updated-22.2.18-v1.pdf)

**Signatures**

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| I declare that the details provided on this form are correct to the best of my knowledge and belief. |
| Proposer electronic signature:  |  |
| Date:  |  |

**Confirmation of approval**

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| Faculty approver | Head of School / Institute / Directorate approver |
| Name | Name |
| Role | Role |
| Electronic signature | Electronic signature |
| Date | Date |

**Partnership Board approval**

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| Chair of Partnership Board |
| Name |
| Role |
| Electronic signature |
| Date |
| Date of meeting  |

1. Queen Mary defines this as “a conflict between the private interests and the official responsibilities of a person in a position of trust”. If there is a possible conflict of interest this should be declared in the signature section and this will be reviewed as part of the consideration of the proposal. [↑](#footnote-ref-1)