

## Collaborative Provision Due Diligence Form

This form is to record the Due Diligence undertaken by the Royal Agricultural University (RAU) on partners with which we enter into collaborative provision. Where reference is made to other documents, these should be filed with the Due Diligence Form.

**Important: Due diligence enquiries, organisational approval processes and partnership agreements must be completed in line with Code of Practice I: Collaborative Provision prior the implementation of any academic activities.**

Section A should be completed by the RAU partnership proposer following the approval of the business case by the Academic Strategy and Planning Committee (ASPC). The form together with the Preliminary Enquiries Form, Business Case and Risk Assessment should then be sent to the Academic Quality Officer (Partnerships) at [collaborative.provision@rau.ac.uk](mailto:collaborative.provision@rau.ac.uk).

The Academic Quality Officer (Partnerships) facilitates the collation of due diligence documentation and information between the University and the partner. Once the information has been received from the prospective partner, Academic Quality will organize the Organisational Approval meeting where the due diligence will be considered. This requirement may be waived, or a lighter touch approach taken, if the proposed partner has already undergone such enquiries within the last five years; Academic Quality will be able to advise on this.

<b>Section A Partner details</b> <b>To be completed by the RAU partnership proposer, this section is to be completed for all proposed collaborative provision arrangements, both in the UK and overseas and with both education and non education organisations).</b>			
	<b>Name of partner organisation:</b>		
	<b>Registered address of partner organisation:</b>		
	<b>Type of Collaboration:</b>	Choose an item.	
	<b>RAU Partnership proposer:</b> (Lead Academic)		<b>Subject area:</b> Choose an item.
	Number of students in proposed (or current) collaboration	Length of relationship between partner and Royal Agricultural	

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			University (or new relationship)	
	<b>Area to consider</b>	<b>Evidence required</b>	<b>Comments provided by Academic Quality</b>	
<b>1.</b>	Brief information about the proposed partner: type of organisation (public or private), types of programmes offered (subject area and level), student numbers enrolled at different levels of study			
<b>2.</b>	Strategy and Mission of proposed partner - is it compatible with the RAU?	Include link to partner's Strategic Plan/Mission statement or include a copy		
<b>3.</b>	<p><b>National and International recognition</b> Confirmation of the organisation's position in the league tables:</p> <p>For example:</p> <ul style="list-style-type: none"> <li>• Times Higher Education World University Rankings</li> <li>• QS World University Rankings</li> <li>• Academic Ranking of World Universities (ARWU)</li> <li>• The Times Good University Guide</li> <li>• The Guardian University Guide</li> </ul> <p>If the proposed collaboration is at subject level, subject level rankings should also be provided if available.</p>	Details as available		
<b>4.</b>	Has the RAU previously worked with the partner?	Consult the International Office and/or Academic Quality		
<b>5.</b>	Are there any known political, business or ethical issues associated with the organisation? (undertake a web search on the organisation's name and by checking with Marketing and Communications.	Details as available		
<b>6.</b>	<p><b>Ethical considerations:</b> Does the proposed organisation have any other affiliations or relationships that might be of concern and contrary to the RAU's values?</p>			
<b>7.</b>	Does the organisation have any other partners with which it delivers	List partner organisations and type		

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	education i.e. joint awards, dual awards, Erasmus Mundus Schemes, Articulation arrangements?	of relationship (if the list is extensive, include a few with similar standing to the RAU)	
<b>8.</b>	<b>Conflict of Interests:</b> Is a relationship with the partner likely to lead to a conflict of interest with a member of staff of the RAU?		

### Section B Legal Status and Governance

**To be completed by the proposed partner. This section is to be completed for all proposed collaborative provision arrangements, both in the UK and overseas and with both education and non education organisations).**

	Area to consider	Evidence required	Comments provided by Academic Quality
<b>1.</b>	<p><b>Legal status:</b> <b>Articles of Incorporation (or similar, including Founding documents such as Charters, Statutes, etc.) and Confirmation of Powers of Authority</b> Please confirm the organisation's legal status (e.g. corporation, company or charitable trust) in its own country.</p> <p>Please provide relevant supporting documentation e.g. Memorandum of Agreement, charter and statutes, or instrument and articles of governance and association.</p> <p><u>For UK organisations:</u> Is the organisation included in the Office for Students Register?</p> <p><u>For international organisations:</u> Please supply proof, in English, that the organisation can enter into the proposed partnership and is licensed to operate UK programmes.</p>		Statement from the proposed partner to be checked by Legal Services
<b>2.</b>	<p><b>Legal and Regulatory Frameworks for the Country Concerned</b></p> <p>Please provide details of the legal and regulatory frameworks under which the partner operates and comment on its compatibility with the legislative and regulatory framework under which the University operates.</p>		

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<b>3.</b>	<b>Accredited/Recognised Status</b>  Please confirm the organisation's accredited or recognised status accorded by the relevant authorising bodies.  Please provide relevant supporting information e.g. a copy of the licence to operate, listings on Ministry of Education/Qualifications Agency websites/registers. Please also provide any reports of accrediting bodies.		
<b>4.</b>	<b>International:</b> What are the in-country regulatory requirements to operation higher education courses? Include details of review dates and review reports.	Provide copy of Quality Assurance Handbook (or link to website)  Provide latest report from regulatory body	
<b>5.</b>	Are there any accreditation or recognition requirements to be completed prior course delivery can commence?		
<b>6.</b>	<b>Legal proceedings / Arbitration / Prosecutions / Investigations / Complaints</b> Please record here whether any of the following is current, or is known to be pending: <ul style="list-style-type: none"><li>• Any legal or arbitration proceedings (whether as a claimant or a defendant)</li><li>• Any prosecution</li><li>• Any investigation or inquiry by a government or official body</li><li>• Any internal or external formal complaints</li></ul>		
<b>7.</b>	Please record here whether within the last five years any court has made a finding of discrimination against the organisation.		
<b>8.</b>	Please record here whether the organisation has had any contract terminated for breach of contract by another organisation in the last five years.		
<b>9.</b>	<b>Funding:</b> Please confirm whether the organization is publicly (government) and/or privately funded.	Choose an item.	

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<b>10. Organizational structure:</b> Please provide details of the organisation's structure, including any committee structures and senior management team (composition and role).		
<b>11. Quality Assurance/Standards and Ethos of UK Higher Education</b> Please list the quality assurance processes relevant to the partnership and provide evidence where available.		
<b>12. Operational Structures</b> Please record the operational structures and record-keeping structures in place to support learning delivery and/or assessment in a valid, reliable and robust manner.		
<b>13. Professional, Statutory and Regulatory Body (PSRB)</b> Where a PSRB has approved or recognised a programme, please confirm the procedure for informing or consulting with the PRSB with regard to the programme being delivered within a new partnership.  Where a PSRB has approved the organisation, please confirm the need and procedure for informing or consulting with the PRSB with regard to partnership.		
<b>14. Data Protection</b> Please state the organisation's Data Protection Registration Number.		
<b>15. Insurance</b> Please provide copies of policies pertaining to the organisation's insurance cover, and the extent of that cover, including: <ul style="list-style-type: none"><li>• Public Liability,</li><li>• Employer Liability</li><li>• Professional Indemnity</li></ul>		

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<b>16. Register of Sponsors Licensed Under the Points-Based System (UK partners only)</b>  Please confirm whether the organisation is licensed under the UKVI Points-Based-System, stating Tier and Rating. This can be checked against the Register of Sponsors ( <a href="https://www.gov.uk/government/organisations/uk-visas-and-immigration">https://www.gov.uk/government/organisations/uk-visas-and-immigration</a> )		
<b>17. Anti-Bribery or Anti-Corruption Policy</b>  Please provide the organisation's anti-bribery or anti-corruption policy or similar statement of values.  Please confirm whether the policy or statement of values referred to is published on the organisation's website.		
<b>18. Gifts &amp; Hospitality</b>  Please provide the organisation's policies and procedures in relation to gifts and hospitality. If this is not available please provide a statement regarding the organisation's current practices in relation to gifts, hospitality, donations and financial probity.		
<b>19. Complaint Procedures (including Student Complaint Procedures)</b>  Please provide the organisation's complaints procedure, including any student complaints procedure.		
<b>20. Student Information</b>  Please provide evidence of the organisation's mechanisms for publicising the students' rights and responsibilities i.e. a Student Handbook, Student web pages.		
<b>21. Public Information</b>  Please provide details of how the organisation ensures that information released about partnership activity is accurate and complete.		

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22.	<p><b>Equality and Diversity Policy</b></p> <p>Please provide the organisation’s Equality and Diversity Policy Statement.</p> <p>If the organisation does not have an Equality and Diversity Policy please state how the needs of students with protected characteristics are met.</p>		
23.	<p><b>Safeguarding Children and Vulnerable Adults</b></p> <p>Please provide a copy of the organisation’s Safeguarding Children and Vulnerable Adults Policy, identifying the process and the responsible person.</p>		

**Section C Human and Material Resources (capacity to delivery learning and teaching as well as support at the partner organization) To be completed by the proposed partner. This section is to be completed for all proposed collaborative provision arrangements, both in the UK and overseas and with both education and non education organisations).**

	Area to consider	Evidence required	Comments provided by Academic Quality
1.	<p><b>Human Resources</b></p> <p>Please provide the CVs of the organisation’s teaching staff involved in the delivery of the proposed programmes.</p>		
2.	<p><b>Recruitment and Management of Staff</b></p> <p>Please detail the organisation’s procedures for recruiting teaching staff.</p>		
3.	<p><b>Property – sites of delivery</b></p> <p>Please provide details of where the academic provision will be delivered.</p>		
4.	<p><b>Property – Ownership, leases alternative premises, and licencing</b></p> <p>Please confirm whether the organisation:</p> <ul style="list-style-type: none"> <li>owns the buildings and/or land upon which it intends to deliver the programmes,</li> </ul>		

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	<p>or</p> <ul style="list-style-type: none"><li>leases buildings and/or land the organisation intends to deliver from are leased, (if so please confirm the length of the lease)</li></ul> <p>If the current lease is due to expire during the term of the proposed agreement, how will the organisation provide appropriate alternative premises?</p>		
<b>5.</b>	<p><b>Student Support Services</b></p> <p>Please provide copies of any relevant policies related to supporting the wellbeing of students, including details of:</p> <ul style="list-style-type: none"><li>the services in place to support physical and emotional wellbeing</li><li>the services in place to provide academic support</li><li>the services in place to support students who require physical/mental support.</li></ul> <p>The University will provide support where a UK partner does not have any experience in applying for Disability Support Allowance.</p>		
<b>6.</b>	<p><b>Student Career Advice</b></p> <p>Please indicate if career support is available to students and if so what is provided.</p>		
<b>7.</b>	<p><b>Fitness to Practice /Professional Suitability Procedures</b></p> <p>Please provide the organisation's 'Fitness to Practice' or 'Professional Suitability' procedure.</p>		
<b>8.</b>	<p><b>Occupational Health Clearance</b></p> <p>Please state whether the proposed collaborative activity requires the students to obtain Occupational Health Clearance. If so, please what arrangements will be put in place to ensure the Occupational Health Clearance is obtained.</p>		

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<b>1.</b>	<p>Financial status of the partner Is the organisation publicly (state) or privately funded?</p> <p>Please provide the organisation's annual report and financial statement.</p> <p>What is the size of the organisation's turnover? Are there any concerns about the organisation's viability?</p>	<p>Latest Financial Accounting Statement - If further information is required a statement from the Finance Division on the organisation's financial position should be requested</p>	
<b>2.</b>	<p>Details of current Professional Indemnity Insurance and Public (General) Liability Insurance for the partner</p>	<p>Copies of relevant insurance documents</p>	
<b>3.</b>	<p>Business Plan – does the plan cover a realistic timeframe, indicates breakeven point and exit strategy and costs?</p>	<p>Copy of business plan prepared by Director of Finance</p>	

<b>Section E Reputational Standing (to be completed by RAU Academic Quality)</b> Please confirm the reputational and/or academic standing of the proposed partner organisation drawing on the following performance indicators:			
			<b>Comments provided by Academic Quality</b>
<b>1.</b>	<p><b>QAA or international equivalent</b></p> <p>Link to QAA website: <a href="http://www.qaa.ac.uk/en">http://www.qaa.ac.uk/en</a></p> <p>Please confirm that a search for references to the organisation on the QAA website has been conducted. Please highlight any issues which may require further consideration by the University.</p>		
<b>2.</b>	<p><b>External Quality Assurance/Professional Body Reports</b></p>		

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	Please highlight any issues which may require further consideration by the University.		
<b>3.</b>	<b>Web Search</b>  Please confirm that a web search has been conducted on the proposed partner. Please detail any negative reports found regarding the proposed partner for the University's further consideration.		
<b>4.</b>	<b>Avoidance of Corrupt Practices</b>  The corruption perceptions index measures the perceived levels of public sector corruption in various countries and territories. <a href="http://www.transparency.org/research/cpi/overview">http://www.transparency.org/research/cpi/overview</a> Please consult the latest Corruption Perceptions Index and note the country's score and its rank in terms of public sector corruption on a scale of 0 - 100, where 0 means that a country is perceived as highly corrupt and 100 means it is perceived as very clean. A country's rank indicates its position relative to the other countries and territories included in the index.		
<b>5.</b>	<b>Higher Education Structures</b>  Please provide the higher education structure in the country where the proposed partner is operating. This information may be secured from the International Office.		
<b>6.</b>	<b>Political and Cultural Context</b>  Please provide any relevant details of the political and cultural context under which the proposed partner operates and comment on whether there are any issues which may require further consideration by the University.		

**As part of the due diligence, a site visit is undertaken. The completed Venue Check Report and Resource Statement takes into account teaching facilities, specialist facilities, health and safety arrangements, IT infrastructure, IT support, campus facilities, library resources, student support services and specific programme resource requirements.**

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Staff member completing the Due Diligence form:	
Date:	
Date of Institutional approval meeting:	