Appendix 3 – Arrangement Due Diligence assessments

Table 4 – Considerations for due diligence for research and teaching activities

Due Diligence guideline		
Assessment area	**Guidance on establishment of the partnership**	**Monitor and review processes**	**Examples of possible sources**
Research Partner considerations	Investigate and document: • ownership structure and management • controlling interests • business registration • background • board members and directors • any history of legal issues • issues pertaining to IP rights • Partner Research leads standing • avenue of legal recourse if research is stolen or sabotaged	• Contract monitoring and review including milestones and quality • Ethics approvals, monitoring and review where relevant • Any material changes in ownership, leadership or management relevant to the partnership are communicated • Geopolitical circumstances remain static or dynamic	• Legislation establishing the university or agency • Constitution or charter • National research laws and codes • Australian Embassy or High Commission • Government trade and investment commissions • Industry associations and bodies • Regulatory authorities check • Referee check • Background and financial checking agencies
Research or technology	Investigate and document: • whether the technology or research have dual-use military, intelligence, policing or security applications • whether the technology or research have the capacity to significantly enhance or pose risk to Australia's national interest • the technology a sovereign capability • whether the technology or research is likely to significantly advance the strategic or economic interests of the host country of the research partner	• Risk assessments • Threat assessments • Foreign contacts of concern reporting • Conflict of interest declarations • Issues and risk registers • Cyber incidents • Incident reporting • Research completion checklist/plan including security clearances and access	• National higher education laws • National education laws, if applicable to universities • Legislation establishing the university • University constitution or charter • University rules or regulations. • Autonomous sanctions list • Defence Trade Controls • ASIO Countering Foreign Interference Coordination Centre • Australian Cyber Security Centre
Transnational Education Partnership considerations	Investigate and document: • record as an educational institution • level of long-term commitment to education	• Quality of curriculum, curriculum development, teaching practices, assessment of students and Course Review	• Legislation establishing the university. • University constitution or charter. • Policies or procedures around quality assurance

Due Diligence guideline			
Assessment area	Guidance on establishment of the partnership	Monitor and review processes	Examples of possible sources
	- local law relating to higher education (e.g. requirement for Ministry of Education approval) - requirements in respect of national and international recognition of awards - level of investment over time in premises, teaching materials, IT support and other infrastructure - Quality Assurance practices - status of accreditation, where required, with regulatory authorities - graduate outcomes - industry conditions for delivering programs - ability of the partner to maintain professional and ethical academic standards comparable to those of Australian institutions - qualifications of academic staff	- Quality of staff, including qualifications, recruitment, professional development and scholarly activity - Quality of materials and infrastructure for support, including plant such as classrooms and laboratories and related equipment, library, IT support and student services - Quality of students, including entry requirements, pre-requisites and equity of selection criteria - Student progression and success rates - Quality of graduates, including achievements of outcomes and employment - Quality of critique and evaluation, including team approaches, feedback from ~students, peer review and external accreditation	- Internal or external audit processes - Accreditation bodies - review of marketing and other promotional materials prior to its use by the partner institution - review of the qualifications of teaching staff - achievement of student and financial targets as identified in the business and academic plan - participation in off-campus programs by JCU academics (e.g. subject coordinators) - marking or moderation of examinations and assignments - regular inspections of off-campus premises - student surveys - audit of student support services available offshore - audit of teaching materials including IT support and library facilities