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| **URA-FORM-01**  **United Nations and Autonomous Sanctions Risk Assessment Form** | Description: JCU_Logo_RGB |
| JCU Graduate Research School (GRS) | Version 01-2020 |

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| **Purpose of this form** | |
| This is a risk assessment form for Higher Degree by Research applicants from countries with a United Nations Sanction and/or an Australian Autonomous Sanction regime. The sanctions are Australian Federal law and substantial fines and penalties, including prison time apply for a breach of the sanctions. The sanctions regimes are managed by the Department of Foreign Affairs and Trade (DFAT) and there are specific sanctions in place for each country. See <http://dfat.gov.au/international-relations/security/sanctions/sanctions-regimes/pages/sanctions-regimes.aspx> for the current list of countries with sanctions. | |
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| **Sections** | |
| Section 1: Primary Advisor  Section 2: Risk Management Plan: Primary Advisor to complete  Section 3: College Dean  Section 4: DVC Services and Resources | |
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| **Applicant’s Details** | |
| **First / Given Name** |  |
| **Surname / Family Name** |  |
| **Student ID Number (8 digits)** |  |
| **Degree applied for** |  |
| **Primary Advisor** |  |
| **College** |  |
| **Country of Citizenship** |  |

**Section 1: Primary Advisors’ Assessment Primary Advisor to complete**

This form has been provided to you as the proposed primary advisor of a Higher Degree by Research Applicant from a country that has a United Nations Sanction and/or Australian Autonomous Sanction regime implemented. Please see this website for the list of countries with sanctions regimes:

<http://dfat.gov.au/international-relations/security/sanctions/sanctions-regimes/pages/sanctions-regimes.aspx>

**Question 1: Have you been provided with (please indicate with a tick):**

* Applicant’s Research Proposal (APP-FORM-01)
* The specific sanctions for the relevant country (DFAT website)
* HDR United Nations and Autonomous Sanctions (UNAS) Compliance Procedure

**Question 2: Primary Advisors must have at least one discussion with the applicant regarding each of the following points before completing this form. Please indicate below once the following have been discussed with the applicant:**

* The requirements of the sanctions for their country of citizenship
* Any materials to be used / accessed for the project
* Any specialised techniques or technologies to be learnt or used for the project
* Any potential international collaborators
* Any sponsors/non-JCU funding for the project
* Any travel outside of Australia required for the project
* Any financial or commercial transactions required
* Use of facilities outside of Australia

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| **Question 3**: Would the proposed project breach any Restrictions, Sanctions or Bans outlined in the country-specific sanctions regime? | * No | * Yes |
| **Question 4:** Please indicate below the outcome.   * **1. No foreseeable risk of breaching the sanctions – application to proceed.** Please forward this form to the College Dean * **2. Low and manageable risk of breaching the sanctions – application to proceed with Risk Management Plan.** Please complete Section 2 and forward this form to the College Dean * **3. Moderate to substantial risk of breaching the sanctions or risk unable to be managed – application to be declined.** Please return this form to the Graduate Research School. | | |
| **Primary Advisor’s Certification**  In signing below you certify the following (please tick):   * You have read and understood the sanctions for the country of citizenship of the applicant * You are aware of your personal obligation to comply with these laws and the penalties that can be applied for breaching the sanctions * You have been diligent in undertaking the checks required and your assessment is correct to the best of your knowledge at this time * Should the application be successful you will manage the candidate in respect of the UN and Autonomous Sanctions, including ensuring any changes that may affect compliance are reported, assessed and approved prior to implementation. | | |
| Name: Signature: Date: | | |

**Section 2: Risk Management Plan**

**Primary Advisor to complete**

**Note: This section is only required if Outcome 2 was selected in section 1.**

If you determined from Section 1 that there is a low and manageable risk of breaching the sanctions (Outcome 2) you will need to complete the Risk Management Plan below.

Please specify each identified risk and how it will be eliminated or managed. If substantial modification to the project will be required please undertake the revision and resubmission of the project proposal.

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| **Risk** | **Risk will be** | **Action/s to eliminate or manage risk** |
| e.g. The applicant will have access to a laboratory where a banned good is stored. | * Eliminated * Managed | The banned good will be placed in a locked storage cabinet and only those who require access to it will be given a key. These people will also be briefed about safety precautions for using and accessing the banned good when the applicant will be using and accessing the lab. |
| e.g. The applicant will be required to travel to their home country to undertake data collection | * Eliminated * Managed | The applicant will be collecting plant specimens and will not be required to access any facilities, undertake any commercial transactions or receive assistance. The applicant has been briefed about the requirements of the sanctions and activities that could place them at risk of breaching the sanctions. |
|  | * Eliminated * Managed |  |
|  | * Eliminated * Managed |  |
|  | * Eliminated * Managed |  |
|  | * Eliminated * Managed |  |

**Section 3: College Dean Assessment College Dean to complete**

**Have you been provided with (please indicate with a tick):**

* Applicant’s Research Proposal (APP-FORM-01)
* The specific sanctions for the relevant country. See: <http://dfat.gov.au/international-relations/security/sanctions/sanctions-regimes/Pages/sanctions-regimes.aspx>
* HDR United Nations and Autonomous Sanctions (UNAS) Compliance Procedure
* Primary Advisor’s Assessment (Section 1 of this form)
* Risk Management Plan (if required, Section 2 of this form)

**Please indicate the recommended outcome:**

* 1. Application to proceed.
* 2. Application to be declined.

Name: Signature: Date:

Please return this form to the Graduate Research School

If the application is to proceed, this form should be forwarded to the Office of the DVC, Services and Resources.

**Section 4: Tricia Brand, DVC Services and Resources**

The following documentation should be supplied to the DVC Services and Resources by the GRS (please tick to indicate):

* Completed sections 1, 2, 3 and 4 of this form
* The specific sanctions for the relevant country. See: <http://dfat.gov.au/international-relations/security/sanctions/sanctions-regimes/Pages/sanctions-regimes.aspx>

**Please indicate the recommended outcome:**

* 1. Application to proceed.
* 2. Application to be declined.

Comments:

Name: Signature: Date:

Please return this form to the Graduate Research School.