

**Form A**

**New Partner Proposal and Due Diligence**

*This is the first stage in the approval process for developing a partnership with another organisation.*

In accordance with the Terms of Reference of the Due Diligence Panel (DDP), a partnership is:

‘where the achievement of the learning outcomes for a module or programme are dependent on arrangements made with (an) other delivery or support organisation(s)

or

‘where the learning opportunities leading or contributing to the award of academic credit or a qualification are delivered, assessed or supported through an arrangement with one or more organisations other than the University of Liverpool’.

*This Form A will require scrutiny by and endorsement from the DDP and then approval from the Leadership Team (SLT). The purpose of this form is to determine if the University wishes to proceed with the development of a collaborative arrangement with the proposed partner or partners. This decision can only be made on approval of this Form A and approval of a fully completed* ***Form B: Business Case for the Approval of a New Partnership Arrangement****. These may be submitted together to the DDP and then the SLT in which case the decision to approve or not will be final. Or you may submit this Form A without Form B to the Due Diligence Panel and SLT; this will provide you with a provisional decision on the proposed partner before proceeding to develop and submit the business case required for Form B.*

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| **UNIVERSITY MANAGEMENT INFORMATION** | |
| **NAME OF PROPOSER**: (or nominated key contact) |  |
| **SCHOOL/INSTITUTE:** |  |
| **DEPARTMENT:** |  |
| **NAME OF PROPOSED LINK TUTOR** |  |
| **DATE:** |  |

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| **SECTION 1** | | | | | |
| **1.1 INFORMATION ABOUT THE PROPOSED PARTNER INSTITUTION** | | | | | |
| **Legal Name**  This is the name to appear on the contract with UoL  *Please provide evidence of the partner’s legal identity (as described above), for example**founding/governing documents such as Memorandum or Articles of Association or relevant statutes/government authorisation for public bodies.* | |  | | | |
| **Legal Status**  (Higher Education Institution/Other Educational Institution/Public/Private/Charity/Private Business/Governmental organisation, UK or non-UK) | |  | | | |
| **Trading Name**  This is the name which will appear in advertising about the programme(s) and partnership with UoL | |  | | | |
| **Company Registration Number** | |  | | | |
| **Website** |  | | | | |
| **Partner Address** | |  | | | |
| **Partner Principal Contact Details** | |  | | | |
| **Name and Designation of the Signatory for Agreements** | |  | | | |
| **OfS Registration** | | **Yes** | **No** | | **N/A** |
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| **Strategic-Level Development**  (i.e. initiated at institutional level) | | **Yes** | | **No** | |
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| **Year of Establishment** |  | | | |
| **Number of academic staff:** | **Full time** | | **Part time** | |
| **Number of support staff:** | **Full time** | | **Part time** | |
| **Number of academic staff with a PhD qualification:** |  | | | |
| **Number of undergraduate students:** | **Full time** | | **Part time** | |
| **Number of taught postgraduate students:** | **Full time** | | **Part time** | |
| **Number of research students:** | **Full time** | | **Part time** | |
| **Gross income for each of the last three years:** | **Year** | **Year** | | **Year** |
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| **Total number of students for each of the last three years:** | **Year** | **Year** | | **Year** |
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| **Does the HE provider operate in more than one location? If so, please list each location:** |  | | | |
| **Partners Mission Statement and Strategic Plan** |  | | | |
| **For overseas organisations (from both EU and non-EU countries), evidence of the standing based on advice from organisations such as the British Council, NARIC, the Foreign Commonwealth Office etc.** |  | | | |
| **Position and standing of proposed partner**  *Please indicate the position of the proposed partner institution in relevant league tables.* |  | | | |
| **For Dual/Joint Degree Proposals Only**  *Please provide evidence that the Partner Institution has Degree Awarding Powers and the legal authority to award Joint and/or Dual Degrees, recognised in the Partner’s country* |  | | | |

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| **1.2** | **Identification of the lead partner where there are multiple partners involved in the arrangement:**  *If there are multiple partners involved in the proposed arrangement please indicate which of the partners is the lead partner or confirm that UoL is the lead partner and complete individual Forms for each of the partners:* |
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| **1.3** | **Fit between the University of Liverpool and the partner(s)**  *Please describe the fit with the University’s Strategic Plan. If there are multiple partners involved in the proposed arrangement, please describe the fit for each partner.*  *Please outline the proposed subject areas.* |
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| **1.4** | **Fit with the Institutional/School and Faculty objectives**  *Please state how this partnership will help to achieve Institutional/School and Faculty objectives.* |
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| **1.5** | **Partnerships with organisations in China**  *Proposed links with partners in China must first be considered by the XJTLU Joint Liaison Group. Please confirm that this proposal has been notified to the JLG and discussed with XJTLU.* | | | | | |
| **Yes** |  | **No** |  | **Not Applicable** |  |
| **If yes, what were the outcomes of the discussions?** | | | | | |
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| **SECTION TWO**  **To be completed for prospective partners who are not registered with the Office for Students**  **Prospective partners who are registered with the Office for Students please go to Section Three** |

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| **SECTION TWO** | |
| **ADDITIONAL PARTNER INFORMATION** | |
| **Education Permission**  Are any in-country approvals required for the partnership or delivery of TNE?  If so, please provide details of:   * The statutory permissions for education delivery required in this jurisdiction. * Details or copies of permissions held and/or required by the Partner to carry out the proposed partnership. * If in-country approvals will be applied for after validation, please provide details of the mechanism(s) and anticipated timescales for this activity. |  |
| **Approvals/Licences/Consents**  Please provide details of any other statutory permissions required in this jurisdiction, if applicable. |  |
| **Quality/Inspection Reports**  Please identify and provide copies of recent institutional quality assurance or professional body reports, if applicable. |  |
| **Management Structure**  Please provide the organisational management structure for the Partner Institution. This may be supported by provision of an organisation chart. |  |
| **Resources**  Please provide a broad summary of the physical and human resources, further details for programme level resources will be considered at validation.  **Physical**  Description of infrastructure in place to support higher education (please provide details).  **Research environment**  please describe the research facilities available at the proposed partner institution, for example, libraries, laboratories, electronic resources, equipment, archives and collections:  **Human**  Teaching staff/administrative staff/other categories. |  |
| **Financial Statements**  Evidenced by last 3 years’ audited  Accounts, if applicable. |  |
| **Please Specify the Academic Level the Partner is Currently Delivering at.** e.g. FHEQ Level(s) 4, 5, 6, 7, 8 - or equivalent. |  |
| **Student Complaints Policy**  Please provide the student complaints policy that will apply to students studying on the proposed programmes.  Please also confirm how/where this will be made available to students. |  |
| **Insurance – UK Partners**  Please provide insurance certificates for Public Liability Insurance, Employer’s Liability Insurance, Professional Indemnity and Data Protection.  Where delivery takes place at more than one site, please confirm whether a single insurance policy covers all sites or if there are separate insurance policies in place for each site. |  |
| **Insurance – International Partners**  Please describe what insurance arrangements you have in place to:   1. Protect employees; 2. Protect visitors to your Institution or members of the public; 3. Cover a negligent act or omission by you (or your employees) in a professional capacity.   Please provide copies of insurance certificates, for any policies that are in place.  Where delivery takes place at more than one site, please confirm whether a single insurance policy covers all sites or if there are separate insurance policies in place for each site. |  |
| **Information about academic or business links in the UK and Overseas** |  |
| **What experience does the proposed partner have in delivering higher education?** |  |

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| **MODERN SLAVERY** | |
| Does the organisation have a programme in place to ensure that modern slavery and human trafficking does not exist in the organisation and supply chain?  Has the organisation made any form of public commitment to eradicate slavery in their organisation and supply chains?  *Please provide any supporting documentation, such as a policy/procedure.* | Yes  No  Yes  No |
| To your knowledge, has the organisation and/or have any of its directors, executive officers, staff, or other persons associated with it:   * 1. been convicted of any offence involving slavery and human trafficking   2. been or are the subject of any investigation, inquiry or enforcement proceedings by any governmental, administrative, or regulatory body regarding any offence or alleged offence of, or in connection with, slavery and human trafficking?   *If the answers to a) or b) are “Yes”, please provide additional details of any enforcement/remedial orders served and of any remedial action or changes to procedures you have made as a result.* | a. Yes  No    b. Yes  No |
| **BRIBERY INFORMATION** | |
| Does your organisation have an Anti-Bribery and Corruption policy?  Does your organisation have a programme in place to ensure that bribery does not exist in your organisation and supply chain?  *If yes, please provide a copy of the Policy.* | Yes  No  Yes  No |
| Does your organisation require any third parties it deals with to have anti-corruption policies and procedures in place? | Yes  No |
| Are payments made by your organisation to third parties reflective of the market rate for the work that they carry out? | Yes  No |
| To your knowledge is your organisation or parties within your organisation being investigated, prosecuted, convicted, or excluded from various business activities for corruption? | Yes  No |
| **CONSUMER LAW** | |
| Does your organisation provide material information regarding study upfront to the student including, for example, information relating to entry requirements, core modules, methods of assessment, total costs (with no hidden extras), and information about how to make a complaint? | Yes  No |
| Are the terms and conditions which the Student signs up to fair, accessible, and transparent? For instance, are students able to access the terms and conditions; are there appropriate cancellation rights? | Yes  No |
| Are you aware of, and does your organisation comply with, the United Nations Guidelines for Consumer Protection which set out the main characteristics of effective consumer protection legislation? If not, how does the organisation manage this?  <https://unctad.org/topic/competition-and-consumer-protection/un-guidelines-for-consumer-protection> | Yes  No |
| **EQUALITY AND HUMAN RIGHTS** | |
| Does your organisation have an Equality and Human Rights Policy or any policy regarding basic rights and freedoms of people?  *If yes, please provide a copy of the Policy.* | Yes  No |
| Does the operation of your organisation align with the University’s stance regarding Equality and Diversity? | Yes  No |
| Does the operation of your organisation align with the UN Charter on Human Rights regarding the protection of human rights?  <https://www.un.org/en/about-us/universal-declaration-of-human-rights> | Yes  No |
| Does your organisation provide training to your staff, or any third parties that your organisation deals with on treating people equally and preserving human rights? | Yes  No |
| **CRIMINAL FINANCES** | |
| Please confirm that your organisation will comply with any applicable laws, regulations, codes, and sanctions relating to tax evasion facilitation. | I/we confirm  I/we do not confirm…. |
| To your knowledge, has your organisation or any of the individuals or companies that work with your organisation been engaged in the following:   1. facilitating tax evasion or foreign tax evasion; 2. aiding, abetting, counselling, or procuring the commission of a tax evasion offence or foreign tax evasion offence by another person. | 1. Yes  No  2. Yes  No |
| Does your organisation have a policy that takes steps to eradicate corruption, money laundering, and tax evasion in your organisation and/or supply chains?  *If yes, please provide a copy of the Policy.* | Yes  No  Title of supporting policy/documentation, if applicable: |
| Does your organisation require any third parties that your organisation deals with to have in place policies and procedures, which target corruption, money laundering, and tax evasion? | Yes  No |
| **COUNTER TERRORISM AND SECURITY** | |
| Are you able to demonstrate due regard to the duty to prevent extremist views, including provision of support for vulnerable students, appropriate risk assessment and action planning, and appropriate senior leadership engagement? | Yes  No |
| Do you provide training to your staff, or any third parties that your organisation deals with, on preventing people from being drawn into terrorism? | Yes  No |
| **FREEDOM OF SPEECH AND ACADEMIC FREEDOM**  <https://www.liverpool.ac.uk/media/livacuk/cgso/policycentre/policies/governance/Policy,and,Code,of,Practice,on,Freedom,of,Speech,2022,FINAL.pdf> | |
| Please confirm that you will act in a manner that is consistent with the University’s policies on counter-terrorism, freedom of speech, and academic freedom. | Yes  No |
| Do you have any risk assessment processes in place to ensure that external speakers do not give extremist views in any presentations/speeches? | Yes  No |
| **DATA PROTECTION AND INFORMATION SECURITY** | |
| Does your organisation have a Data Protection Officer, or someone responsible for data protection? If so, please provide contact details. | Yes  No |
| Does your organisation have an Information Security Policy and/or Data Protection Policy? If so, please describe your organisation’s arrangements for auditing compliance with these policies. | Yes  No  Title of supporting policy/documentation, if applicable: |
| Please provide a description of the measures you have in place to ensure the security of any data transferred to you from the University.  (200 words maximum) | |
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| Where are your organisation’s servers, which hold personal data located e.g. Microsoft Cloud, Amazon, on-site? |  |
| Does your organisation have a policy and process for managing internal information security breaches?  *If yes, please provide a copy of the Policy.* | Yes  No |
| Has your organisation ever had a security breach resulting in loss or unauthorised disclosure of personal data?  *If yes, please provide details.* | Yes  No |

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| **SECTION THREE** |
| **PROPOSED ARRANGEMENT WITH THE PARTNER(S)** |

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| **3.1** | **Type of arrangement under consideration**  *Please provide a brief description of the arrangement of the proposed arrangement* |
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| **3.2** | **Rationale for the proposed arrangement**  *Please provide a brief rationale in the box below:* |
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| **3.3** | **Information about the award covered by the proposed information**  *Please complete the table below:* | |
| **Type of award** |  |
| **FHEQ level** |  |

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| **3.4** | **Expected student numbers**  *Please indicate below:* |
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| **3.5** | **Likely timescale for introduction**  *Please complete the table below:* | |
| **What is the expected start date for students on the provision covered by the proposed arrangement?** |  |
| **At which partner organisation will the students commence their programme of studies?** |  |
| **Where students commence their studies at a partner organisation and complete their studies at the UoL, what is the expected start date at the University of Liverpool?** |  |

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| **3.6** | **Marketing**  *Please provide brief outline plans for marketing the proposed arrangement. Detailed information will be required in Form B.* |
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| **3.7** | **Are there any issues to be considered relating export control legislation for controlled technologies, and other legal requirements for either teaching or research partnerships e.g. ATAS (Academic Technology Approval Scheme), Nagoya etc**  [**https://www.liverpool.ac.uk/intranet/research-support-office/help/guides/trusted-research/**](https://www.liverpool.ac.uk/intranet/research-support-office/help/guides/trusted-research/) |
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| **3.8** | **What process will be used to allocate and protect the IP of any research for both partners.** |
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**3.1 Risk Assessment of Proposed Partner Organisation**

With reference to the information provide above, please complete the risk assessment table below using the following scoring matrix:

A score of 1 = a perceived low risk

A score of 2 = a perceived medium risk

A score of 3 = a perceived high risk

*If there are multiple partners please copy, paste and complete the risk assessment table accordingly.*

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| **Name of organisation:** |  | | |
| **Location of proposed partner organisation** | | **Risk level** | **Please enter the relevant score** |
| UK-based | | 1 |  |
| European | | 2 |  |
| Other | | 3 |  |
| **Language of proposed partner organisation** | | | |
| UK or English first language | | 1 |  |
| EHEA[[1]](#footnote-1), English second language | | 2 |  |
| Non-EHEA, English second language | | 3 |  |
| **Nature of proposed partner organisation** | | | |
| University/HEI with taught degree awarding powers | | 1 |  |
| University/HEI with taught and research degree awarding powers | | 1 |  |
| UK Government body or agency | | 1 |  |
| UK HE provider with no degree awarding powers | | 2 |  |
| Publicly-funded FE College | | 2 |  |
| Large business organisation | | 2 |  |
| Voluntary sector | | 2 |  |
| Governmental organisation (outside of the UK) | | 2 |  |
| Small private college/organisation | | 3 |  |
| Other | | 3 |  |
| **Subject area risks**  Please review the information provided in the link below to establish whether the proposed subject area involved in the collaboration presents a risk to the University  <https://www.liverpool.ac.uk/intranet/research-support-office/help/guides/trusted-research/> | |  |  |

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| **Is an Off-Campus Risk Assessment Required** | | Yes | No |
| **Outcomes of Off-Campus Risk Assessment** | | | |
| Acceptable | no further action but ensure controls are maintained |  | |
| Adequate | Look to improve at next review |  | |
| Tolerable | Look to improve within specified timescale |  | |
| Unacceptable | Stop activity and make immediate improvements |  | |

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| **SECTION FOUR** |
| **ENDORSEMENT OF THE PROPOSAL** |

**For the Dean of School/Institute**

I confirm that I am satisfied with the content of this proposal, and that the appropriate off campus risk assessment processes have been undertaken

Guidance on Off Campus Activities can be found below

<https://www.liverpool.ac.uk/intranet/safety/guidance/offcampusactivities/#info>

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| **Name & Position:** |  |
| **Signed:** |  |
| **Date:** |  |

**For the Faculty EPVC/Director of Operations**

I confirm that I am satisfied with the content of this proposal, and that the appropriate off campus risk assessment processes have been undertaken

Guidance on Off Campus Activities can be found below

<https://www.liverpool.ac.uk/intranet/safety/guidance/offcampusactivities/#info>

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| **Name & Position:** |  |
| **Signed:** |  |
| **Date:** |  |

**Policies and Procedures**

<https://www.liverpool.ac.uk/studentsupport/staffhub/safeguarding/prevent/>

<https://unctad.org/topic/competition-and-consumer-protection/un-guidelines-for-consumer-protection>

<https://www.liverpool.ac.uk/policy-centre/governance/policyandcodeofpracticeregardingfreedomofspeech/>

<https://www.liverpool.ac.uk/intranet/safety/guidance/offcampusactivities/#info>

<https://www.liverpool.ac.uk/legal/data_protection/policy/#d.en.736542>

<https://www.liverpool.ac.uk/csd/regulations/>

<https://www.liverpool.ac.uk/policy-centre/governance/policyonanti-corruptionandbribery/>

<https://www.un.org/en/about-us/universal-declaration-of-human-rights>

1. [↑](#footnote-ref-1)