

**UCL**

**Academic Partnerships**

**Due diligence checklist**

When establishing or renewing all types of academic partnership Academic Policy, Quality and Standards will undertake due diligence checks and risk assessments on the partner organisation.

This checklist sets out the information and evidence required to complete the due diligence checks on a partner organisation.

The Academic Policy, Quality and Standards team will liaise with the proposing Department as required in order to complete the information below.

**Section A** – is completed for all partnership proposals.

**Section B** – is completed for high risk partnerships where it is considered that there is a specific requirement to confirm a partner organisation is of sound financial standing.

Advice on the due diligence process can be obtained from the Senior Policy Advisor (Academic Partnerships) in the Academic Policy and Quality Assurance team ([academic.partnerships@ucl.ac.uk](mailto:academic.partnerships@ucl.ac.uk)).

Once completed, the checklist and the supporting evidence will be submitted to the Academic Partnerships Review Group for consideration along with the Academic Partnership Proposal/Renewal form as applicable and where appropriate Site Visit Checklist.

**Section A**

|  |
| --- |
| 1. **Basic Partner information** |
| 1. Name of partner institution: 2. Named academic and administrative contact for partner: 3. Background and history of partner (including details of the political, ethical and cultural context under which the partner operates): 4. Brief description of partnership, including type of partnership |

|  |  |  |  |
| --- | --- | --- | --- |
| 1. **Organisational due diligence** | | | |
| **Category of evidence** | **Obtained/Completed** | **Acceptability\*** | **Risks identified ?** |
| 1. Copy of Mission statement | Yes/No | e.g. Acceptable/  Further information required |  |
| 2. Copy of Strategic Plan | Yes/No |  |  |
| 3. Copy of most recent Annual Report (if applicable) | Yes/No |  |  |
| 4. Holder of Student Visa license (if applicable)? | Yes/No |  |  |
| 5. Copy of Prospectus and other relevant publicity | Yes/No |  |  |
| 6. Copy of Institutional structure, constitution and governance | Yes/No |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| 8. The legal status of the partner including company registration/charity registration numbers where applicable:   * <https://www.gov.uk/get-information-about-a-company> * <https://register-of-charities.charitycommission.gov.uk/> * <https://www.gov.uk/government/publications/overseas-registries/overseas-registries> | Yes/No |  |  |
| 9. The Beneficial Owners of the partner (Not applicable for public bodies)   * <https://www.gov.uk/get-information-about-a-company> for UK and Overseas partners. * <https://www.gov.uk/government/publications/overseas-registries/overseas-registries> | Yes/No |  |  |
| 10. Sanctions lists for the identified partner institution and Beneficial Owner:   * <https://www.gov.uk/government/publications/the-uk-sanctions-list> * <https://www.gov.uk/government/publications/financial-sanctions-consolidated-list-of-targets> * https://sanctionssearchapp.ofsi.hmtreasury.gov.uk/ * <https://finance.ec.europa.eu/eu-and-world/sanctions-restrictive-measures/overview-sanctions-and-related-tools_en> * <https://sanctionssearch.ofac.treas.gov/> | Yes/No |  |  |
| 11. Online search of Beneficial Owners to establish if they are Politically Exposed Persons (PEPs) or a family member or known close associate of a PEP (spouse or partner, children and parents or a joint beneficial owner of a legal entity with the PEP or for the benefit of the PEP). | Yes/No |  |  |
| 12. Online search for any negative reputational reports/ business/ ethical interests/links the partner has which could present potential risks | Yes/No |  |  |
| 13. Online search for any current or past collaborations with UK HEIs. | Yes/No |  |  |
| 14. Online search for:   1. any accreditation or recognised status of the proposed partner. i.e. listings on Ministry of Education, Qualifications/Accreditation Agency website/registers.   ii) Consideration of any reports from accreditation or other bodies (i.e. Ofsted, OfS) | Yes/No |  |  |
| 15. Potential conflicts of interest between UCL and the proposed partner organisation | Yes/No |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| 1. **Learning opportunities due diligence** | | | |
| 1.. Copies of Student support Policies | Yes/No |  |  |
| 2. Copy of teaching and learning strategy (or equivalent) | Yes/No |  |  |
| 3. Copy of Learning resources strategy (or equivalent) | Yes/No |  |  |
| 4. Copy of Staff recruitment and development policy | Yes/No |  |  |
| 5. Copies of CVs of staff who would be teaching/supporting students on the programme | Yes/No |  |  |
| 6.. . Copy of partner’s:   * Equality and Diversity policy or similar statement of values * Anti-Racism policy or equivalent * Sexual Harassment Policy or equivalent   Health and Safety Policy or equivalent (where students will study at the partner) | Yes/No |  |  |
| 7. Administrative staffing structure relevant to the partnership | Yes/No |  |  |
| 8. Admissions, examinations and student record policies, systems and procedures (i.e. where UCL policies will not be in use) | Yes/No |  |  |
| 9. Confirmation that the partner has the authority/ legal right to grant joint/dual awards. |  |  |  |
|  | Yes/No |  |  |
|  | Yes/No |  |  |

**Section B**

|  |  |  |  |
| --- | --- | --- | --- |
| 1. **Financial due diligence** | | | |
| **Category of evidence** | **Obtained/Completed** | **Acceptability\***  ***Acceptable/***  ***Further information required*** | **Risks Identified** |
| 1. Three years of audited accounts | Yes/No |  |  |
| 2. Current budget statement | Yes/No |  |  |
| 3. Sources of income | Yes/No |  |  |
| 4. Banker’s reference, where appropriate | Yes/No |  |  |

**Summary of Considerations for Approval/Renewal of Academic Partnership**

|  |
| --- |
| A summary of the considerations which should be reflected upon by Academic Partnerships Review Group in making a decision as to whether the partnership should be approved or renewed. |
|  |

|  |  |
| --- | --- |
| **Completed by:** | **Date** |