Collaborative Provision Due Diligence Form

This form is to record the Due Diligence undertaken by the University 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.

## Section A should be completed by the Collaboration Sponsor following Faculty Board approval to proceed with the proposal. The form should then be sent to the Quality, Standards and Accreditation Team (QSAT) at qsa@soton.ac.uk together with the Initial Proposal Form, Risk Assessment, Site Visit Checklist and Business Case. QSAT coordinates the exchange of due diligence letters and information. Once the information has been received from the prospective partner, QSAT will organise the Due Diligence Approval Panel. 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 and QSAT will be able to advise on this.

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| **Section A - About the proposed partner (to be completed by the collaboration Sponsor for all proposed collaborative provision arrangements, both in the UK and overseas and with both education and non-education institutions).** | | | |
| **Name of partner** |  | | |
| **Registered address of partner** |  | | |
| **Type of Collaboration:** |  | | |
| **Collaboration Sponsor** (Lead Academic) |  | Schools involved: |  |
| Number of students in proposed (or current) collaboration |  | Length of relationship between partner and University of Southampton (or new relationship) |  |
| **Area to consider** | **Evidence required** | **Comments by Collaboration Sponsor** | **Comments by Due Diligence Approval Panel** |
| Brief information about the proposed partner: type of institution (public or private), types of programmes offered (subject area and level), student numbers on the different levels. |  |  |  |
| Strategy and Mission of proposed partner - is it compatible with the University of Southampton? | A copy of the partner’s Strategic Plan/link to plan on website |  |  |
| Does the institution figure in any national or international rankings? | Details as available |  |  |
| Check whether the University of Southampton has previously worked with the partner? | Consult the International Office and QSAT |  |  |
| Check whether there are any other known political, business or ethical issues associated with the institution which should be considered by carrying out a web search on the organisation's name and by checking with Marketing and Communications. | Details as available |  |  |
| Does the institution have any other partners with which it delivers education i.e. joint awards, dual awards, Erasmus Mundus Schemes, Articulation arrangements? | List partner institutions and type of relationship (if the list is extensive, include just a few with similar standing to the University of Southampton) |  |  |
| Is a relationship with the partner likely to lead to a conflict of interest with a member of staff of the University of Southampton? | Register of Interests. School to ask QSAT to carry out check. |  |  |
| Check whether the partner has  been subject to a review by the Quality Assurance Agency for Higher Education or equivalent? If so, what was the outcome of the review? For non UK partners, check with the partner. | Report on QAA website for UK institutions. Copy of report from partner for non UK institutions. |  |  |
| Are there any accreditation or recognition requirements required by the partner i.e. from a national higher education authority, or local professional bodies? | Details, if applicable |  |  |

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| **Section B – Learning and Teaching Environment (to be completed by QSAT)** | | |
| **Area to Consider** | **Evidence Considered** | **Comments by Due Diligence Approval Panel** |
| What learning resources are there to deliver the proposed programme, including laboratory, teaching, IT, and library facilities. | A site visit report from the Collaboration Sponsor and other individuals who have been to the partner institution. This may also be established at the Collaboration Approval Panel. |  |
| What student welfare support does the partner provide? | A site visit report from the Collaboration Sponsor and other individuals who have been to the partner institution. This may also be established at the Collaboration Approval Panel. |  |
| What is the availability and quality of student accommodation? | A site visit report from the Collaboration Sponsor and other individuals who have been to the partner institution. This may also be established at the Collaboration Approval Panel. |  |

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| **Section C – Financial Due Diligence (to be completed by QSAT)** | | |
| **Area to Consider** | **Evidence Considered** | **Comments by Due Diligence Approval Panel** |
| Financial status of the partner | Latest Financial Accounting Statement |  |
| Details of current Professional Indemnity Insurance and Public (General) Liability Insurance for the partner | Copies of relevant insurance documents |  |
| Business Plan – does the plan cover a realistic timeframe, indicates breakeven point and exit strategy and costs? | Copy of business plan prepared by Head of Faculty Finance |  |

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| **Section D – Legal Due Diligence (to be completed by QSAT)** | | |
| **Area to Consider** | **Evidence Considered** | **Comments by Due Diligence Approval Panel** |
| Does the proposed partner have the legal capacity to enter into the agreement? | Due Diligence Letter |  |
| Is the proposed partner legally entitled to confer an award jointly with another institution (where applicable). | Due Diligence Letter |  |
| Does the partner have policies on equal opportunities, health and safety? | Due Diligence Letter  Copies of policies |  |
| Are there any concerns raised from the partner’s response to the due diligence letter. | Due Diligence Letter |  |

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| **Section F – Human Resources - only to be completed where the proposed partner is EU or International (to be completed by QSAT)** | | |
| **Area to Consider** | **Evidence Considered** | **Comments by Due Diligence Panel** |
| What is the operating model of the collaboration? Will University of Southampton staff be required to work overseas and on what basis? |  |  |
| Individual employees working for the University of Southampton overseas must have the right to work in the host country. What documentation is required? |  |  |
| What are the requirements regarding corporate and individual tax affairs? |  |  |

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| **Section G - About the country: (only to be completed where the proposed partner is EU or International. Information to be provided by the International Office)** | | |
| **Area to Consider** | **Comments by International Office** | **Comments by Due Diligence Approval Panel** |
| What are the higher education structures in the country of the proposed partner? |  |  |
| Are there any particular cultural assumptions about higher education learning methods which may impact on the delivery of the arrangement? |  |  |
| Under what legal and regulatory framework is higher education offered in the country concerned? |  |  |
| What is the political, ethical and cultural context of the country? Are there any issues which may be at odds to the University’s diversity policies? |  |  |
| Are there any travel issues noted on the government’s foreign travel advice website? |  |  |

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| **Outcome of Due Diligence Approval Panel Meeting** | |
| Members of Due Diligence Approval Panel: |  |
| Decision of Due Diligence Approval Panel: |  |
| Date of Due Diligence Approval Panel: |  |

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| **Outcome of the Education Partnerships Subcommittee Meeting** | | |
| **Activity** | **Required/Not Required** | **Rationale** |
| Is any additional information required or are any additional checks required at Collaboration Approval Panel/School Programmes Committee stage? |  |  |
| Is an additional site visit required? If so, by  whom? Are there any particular resources which should be inspected during the site visit? |  |  |
| Are discussions with other partners of the  prospective partner organisation required? |  |  |
| For proposals where a Collaboration Approval  Panel is required, should this involve an external member or an additional internal member with specific expertise (for example in the case of any online delivery)? |  |  |
| Should the Collaboration Approval Panel be held at the partner? |  |  |
| Should the Collaboration Approval Panel be held at the University? |  |  |
| Date of consideration by Education Partnerships Subcommittee |  | |