|  |  |
| --- | --- |
| A close up of a logo  Description automatically generated | **Collaborative Partnerships: Partner Periodic Review** **Due Diligence Form**Updated October 2024 |

The University is required to carry out a process of due diligence periodically for existing strategic partners through the partner periodic review process before agreements are renewed. To facilitate this, we request that **[Insert Organisation Name]** complete the following Due Diligence Form and provide appropriate documentary evidence. This is completed by all partners, although the extent of the due diligence will be defined through a risk-based approach and may be adapted, e.g. in relation to the expected evidence, depending on the nature and experience of the organisation.

**All statements and supporting documentation must be supplied in English. All legal documents (e.g. insurance certificates, government accreditation, company registration certificates, lease/ownership documentation etc must be Official Certified English Translations.**

Advice on the due diligence process can be obtained from the Head of Academic Quality and Head of Collaborative Programmes.

Once completed, the Due Diligence and supporting evidence will be submitted to the Academic Quality Unit and considered as part of the Partner Periodic Review process and used to inform the report to ASQEC and Academic Board.

**SECTION ONE: GENERAL INFORMATION ABOUT THE PARTNER ORGANISATION’S BUSINESS AND LEGAL STATUS**

|  |  |
| --- | --- |
| Legal Name and Address of Organisation (the name that will appear on the Agreement or Contract)*Please* *provide evidence of the organisation’s legal identity, e.g. founding/governing documents such as Memorandum or Articles of Association or relevant statutes/government authorisation for public bodies.*  | *Legal Name:**Address:**Supporting Evidence:*  |
| * 1. **Legal status of the organisation**

(Higher Education Institution/Other Educational Institution/Public/ Private/Charity/Private Business/ Governmental organisation, UK or non-UK) | *Commentary and Supporting Evidence:* |
| * 1. **Trading Name** (if different to Legal Name) e.g. to be used in advertising the partnership and programmes
 |  |
| * 1. **Company Registration/Charity Registration Numbers/ UKPRN or overseas equivalent** (if applicable)**:**
 |  |
| * 1. **Website:**
 |  |
| * 1. **Office for Students (OfS) Registration**
 | Yes/No/N/A Organisations not registered with Office for Students must provide additional information in Section 2 |
| * 1. **Location**
1. Does the organisation operate in more than one location? If so, please list each location with full address.
 |  |
| 1. Provide detail of the ownership and/or any lease arrangements in place for all teaching locations and the head office/primary site (if separate premises) and provide copy of lease/ownership as appropriate.
 | *Commentary and Supporting Evidence:* |
| * 1. **Year of Establishment:**
 |  |
| * 1. **Number of Staff**
1. Academic Staff:
 |  |
| 1. Number of Support Staff:
 |  |
| **1.9 Number of Students:** |  |
| 1. Number of Undergraduate students:
 | Full Time | Part Time |
| 1. Number of Taught Postgraduate students:
 | Full Time | Part Time |
|  |  |
| * 1. **KEY CONTACTS:**
 |  |
| **Head of Organisation (signatory for agreement):** |  |
| Name: |  |
| Job Title: |  |
| Email address: |  |
| Telephone number: |  |
| **Key contact for partnership:** |  |
| Name: |  |
| Job Title: |  |
| Email address: |  |
| Telephone number: |  |

**T**

**WO:** **ADDITIONAL PARTNER INFORMATION**

**SECTION 2: ADDITIONAL PARTNER INFORMATION**

|  |
| --- |
| * 1. **INSURANCE**
 |
| 1. **Insurance – UK Partners**

Please detail the public liability insurance arrangements (or equivalent) which the organisation has in force in respect of its responsibilities and liabilities towards students.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. |  |
| 1. **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. |  |

|  |
| --- |
| * 1. **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 [ ]  |
| * 1. **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 [ ]  |
| * 1. **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 [ ]  |
| * 1. **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 [ ]  |
| * 1. **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.
 | i. Yes [ ]  No [ ] ii. 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 [ ]  |
| * 1. **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 [ ]  |
| * 1. **FREEDOM OF SPEECH AND ACADEMIC FREEDOM**
 |
| 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.[Code of Practice on Freedom of Speech](https://www.worcester.ac.uk/documents/Code-of-Practice-on-the-Freedom-of-Speech-Master.pdf) | 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 [ ]  |
| * 1. **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 [ ] Contact Details: |
| Does your organisation hold any Information Security or Cyber Security Certifications? | Yes [ ]  No [ ] *Provide certificate/ documentation, if applicable* |
| Please outline your organisation’s approach to Information Security/Cyber Security and Data Protection: |
| Does your organisation have an Information Security/Cyber Security Policy and a Data Protection Policy? Please describe your organisation’s arrangements for auditing compliance with these policies.  | Yes [ ]  No [ ] *Commentary and Supporting Evidence (provide 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): |
| Does your organisation train staff to be aware of cybersecurity risks, including email threats, device security, data protection and other vulnerabilities? | Yes ☐ No ☐Commentary and Supporting Evidence: |
| 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 [ ]  |
| Has your organisation scoped and undertaken an external penetration test in the past 12 months? | Yes [ ]  No [ ]  |
| * 1. **EDUCATION PERMISSION (for International)**
 |
| Are any in-country approvals required for the partnership or delivery of TNE?If Yes, 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 organisation to carry out the partnership.
* If in-country approvals will be applied for after the review, please provide details of the mechanism(s) and anticipated timescales for this activity.
 | Yes [ ]  No [ ]  |
| **Approvals/Licences/Consents**Please provide details of any other statutory permissions required in the organisation’s jurisdiction, if applicable.  |  |
| **2.11 USE OF RECRUITMENT AGENTS** |  |
| Do you use or intend to use recruitment agents? | Yes [ ]  No [ ]  |
| If Yes, please provide details of:* The rationale for the use of agents
* The relationship between your organisation and that of the agent
* The management of this relationship
* Mechanisms in place for the oversight of recruitment and information materials to be used by the agent for student recruitment

  |  |
| **Further due diligence may be required where recruitment agents are engaged by the potential partner** |

**SECTION THREE: COMPATIBILITY, GOVERNANCE AND MANAGEMENT**

|  |
| --- |
| **3.1 Criterion 1: Compatibility** - the compatibility of the partner with University of Worcester |
| **Please describe the background and history of the organisation:**  |
| **Outline brief details of how the partnership with the University and the course(s) align with your own organisational strategy, mission and objectives:** |
| **Please provide links to evidence the following**: 1. Mission Statement
2. Strategic Plan
3. Higher Education Strategy (or equivalent)
4. Organisational values
 |
| **3.2 Criterion 2: Academic Portfolio** – a summary of the partner’s educational portfolio |
| **Please provide a summary of the organisation’s current educational portfolio, including any existing collaborative arrangements with other HE partners:** |
| * 1. **Criterion 3: Governance** - management arrangements of the partner including leadership and academic governance

*The organisation should evidence that it is governed and managed effectively, with clear and appropriate lines of accountability for its academic responsibilities* |
| **Give brief details of the corporate governance structures** showing the organisational and management arrangement structure: |
| **Give a brief outline of the academic governance structures** showing how oversight of academic quality in HE is managed: |
| **Give brief details (and relevant references) of internal quality assurance arrangements and committee structure that cover delivery of higher education:** |
| **As evidence, please provide links to the following, or similar:** 1. Organisation chart
2. Management structure
3. Committee structures (including membership and terms of reference of governing body/Board and key academic committees)
4. Sample Agendas for committee meetings relating to higher education to evidence the working practice of the governance structure (previous 12 months)
5. Quality Assurance procedures/policies and/or Handbook
 |
| * 1. **Criterion 4: Student Interest** - the ability of the partner to meet the obligations that all students, from all backgrounds, have their interests as consumers protected while they study
 |
| **Please confirm that information currently given to prospective students is in line with the Office for Students regulatory standards and Conditions of Registration for higher education providers and associated guidance on information for students (Office for Students (OFS), 2019 and 2022) and UK Competitions and Markets Authority’s guidance for higher education (CMA, 2023):** |
| **Give brief details (and/or relevant references) of your ability to provide students with the information that they need to make an informed decision before they apply:** |
| **As evidence, please provide links to the following, or similar:**1. Student Terms & Conditions
2. Student Recruitment Policy/Strategy
3. Policies in relation to the accuracy of information for prospective students
 |
| **Are you a member of the Office of the Independent Adjudicator (OIA) Scheme?**Yes [ ]  No [ ] **If No, what are your plans and timeframe for joining this?**  |
| **Give brief details (and/or relevant references/documents) of the processes in place for managing student complaints:** |
| **As evidence, please provide links to the following, or similar:**1. Student complaints processes
 |
| **Please outline the mechanisms for ensuring that registered students can complete the award in the event of the termination of the partnership:** |
| * 1. **Criterion 5: Learning Opportunities and** **High Quality Student Experience** the ability of the partner to ensure that students, irrespective of background or type, are able to benefit from excellent teaching and learning and receive a high quality academic experience.
 |
| **Give brief details (and/or relevant references/documents) of the current student academic support, including personal tutoring (if applicable) available to students:** |
| **Give brief details (and/or relevant references) of the non-academic support for student welfare/well-being and support services available to students:**  |
| **As evidence, please provide links to the following, or similar:**1. Student Charter
2. Health and safety policy (for students)
3. Policies relating to student equal opportunities and diversity
4. Policies relating to students with disabilities
5. Policy in relation to safeguarding and Prevent duty
6. Student engagement policy/strategy
7. Student support services
8. Fitness to Study and Student Behaviour/Disciplinary Procedures
 |
| **Give brief details (and/or relevant references) for tracking of student progression and achievement (including attendance monitoring and processes in place for identifying and assisting students at risk):** |
| **Give brief details (and/or relevant references) for gaining feedback and evaluation from students, and student consultation and representation systems:** |
| **Partner Organisation’s Staff Resources****Give details of the current management, teaching and administrative staff supporting higher education directly employed by the organisation and details of staff development and teaching quality evaluation:** |
| **As evidence, you should provide links to the following, or similar:**1. Teaching and learning strategy
2. Learning resources strategy
3. Staff recruitment policy (teaching staff)
4. Staff induction and staff development policy, including peer observation or similar (teaching staff)
5. Administrative staffing structure
 |
| **Partner Organisations Physical Resources** Please provide a brief description of the physical and virtual learning resources available at your teaching site(s): |
| ***You are also asked to complete the IT & Library Services Due Diligence Form*** |
|  |
| * 1. **Criterion 6: Reputation: the standing of the partner**
 |
| **Give brief details and provide relevant references for any government approval/accreditation or recognised status of the partner, e.g. Ministry of Education, Education Bureau, Qualifications/Accreditation Agencies website/registers, Office for Students****Commentary and Supporting Evidence:** |
| **If the organisation is on the Office for Students (OfS) Register,** please supply the following documentation that was submitted to the OfS: 1. Student Protection Plan with Refund and Compensation Policy/ies
2. Governance Statement
3. CMA Compliance Statement
4. Access and Participation Plan
 |
| **Please list most recent published information/reports on academic standing from accreditation or other bodies relevant to delivery of higher education,** **providing electronic links where possible** e.g ESFA, Ofsted, OfS, Quality Assurance Agency (QAA or overseas equivalent), Chinese Ministry of Education, Education Bureau or other external regulatory bodies, and/or any Professional Statutory Regulatory Bodies (PSRB) (if applicable): |
| **For collaborations leading to Joint or Dual Awards:**Please provide evidence that the partner organisation has the legal and regulatory capacity to grant the relevant joint/dual awards and information on the national/regional qualifications frameworks applicable to the awarding bodies. |
| **Please list any business links which may present any ethical or value-related issues:** |
| * 1. **Criterion 7: Financial Stability** - the ability of the partner to demonstrate financial viability, financial sustainability and evidence of the necessary financial resources to provide and fully deliver the higher education courses as advertised
 |
| **Please provide the following, or link to this information:**1. Audited accounts for most recent financial year
2. Management accounts for most recent financial year and latest forecast for forthcoming year.
 |
| **An additional Financial Sustainability and Management (FSM) Due Diligence may be required for higher risk partnerships and where there is a specific requirement to confirm an organisation is of sound financial standing. Such requirements will be agreed during preliminary discussions.** |

**Related Policies, Documents or Webpages:**

[**Partner Periodic Review**](https://www2.worc.ac.uk/aqu/720.htm)

**Approval/Review Table**

**Recent changes:**

|  |  |  |
| --- | --- | --- |
| **Committee** | **Date** | **Change** |
| N/A | 09/10/2024 | Version 2.1 - Minor amendments to the Partner Approval Due Diligence Form (v.2) to reflect due diligence requirements for current partners subject to Partner Periodic Review  |
|  |  |  |
|  |  |  |
|  |  |  |

|  |  |
| --- | --- |
| **Item** | **Notes** |
| Version Number | V2 |
| Date of Approval | V2 10th July 2024 (ASQEC)  |
| Approved by | Academic Board |
| Effective from | 1st September 2024 |
| Policy Officer | Head of Collaborative Programmes/Head of Academic Quality |
| Department | Directorate of Quality and Educational Development |
| Review date | 1st September 2027 |
| Last reviewed | July 2024 – Significant revisions and updating to Partner Approval Due Diligence Form to ensure accuracy and consistency with current regulatory and sector practice, including Information/Cyber Security and Data Protection and the Franchise Governance Framework (UUK, CUC and Guild HE, July 2024)  |
| Equality Impact Assessment (EIA) | N/A |
| Accessibility Checked | July 2024 |