

DUE DILIGENCE PROFORMA – RESEARCH, EDUCATION & ENTERPRISE RELATIONSHIPS

For use in relation to sensitive countries listed in Appendix A

Proposed relationship Details

|  |  |
| --- | --- |
| Company/university name (and website, address, contact details) |  |
| Company registration no. |  |
| Project title |  |
| Imperial lead  (name and department) |  |
|  |  |
| Description of the opportunity, including proposed scale and duration | |
| The Opportunity  Organisation Background  Collaborations with other HEIs: | |

Due Diligence Assessment Criteria

|  |  |
| --- | --- |
| Check | Yes/No (Where there is a concern, please summarise and provide relevant URLs) |
| Is the entity a new partner for the College? |  |
| Does the entity have any associations with any organisation or individual listed here? [LINK - list to be maintained by RO, and accessed by designated staff in RS, Enterprise, Advancement and IRO via SharePoint] |  |
| Is or will the opportunity be subject to any foreign security classification? |  |
| Does the entity have any affiliation with, or be, state run in any way? |  |
| Does the entity have any known involvement in weapons manufacture or production, gambling, tobacco or alcoholic beverages? |  |
| Is the proposed activity in, or may be used in, any of the following fields:   1. Nuclear related materials, facilities, equipment or software {NB. ANY activity of this nature involving foreign entities will require specific export licence from the UK Government [(https://www.imperial.ac.uk/research-and- innovation/research-office/export-controls/do-i- need-a-licence/)](https://www.imperial.ac.uk/research-and-innovation/research-office/export-controls/do-i-need-a-licence/)} 2. Unmanned air vehicles (UAVs) 3. Launch vehicle technology 4. Manufacturing techniques for aerial vehicles 5. Surveillance and tracking systems 6. Cyber surveillance 7. Technology for military or potential military use |  |
| Does the proposed activity involve any students or staff requiring ATAS (Academic Technology Approval Scheme) clearance? ([https://www.imperial.ac.uk/study/international-](https://www.imperial.ac.uk/study/international-students/visas-and-immigration/atas/) [students/visas-and-immigration/atas/](https://www.imperial.ac.uk/study/international-students/visas-and-immigration/atas/)) |  |
| Have any conflicts been identified with other activities being undertaken within the College? |  |
| Does the Imperial team involved in this proposed relationship have, or intend to have, any financial interest in the partner? |  |
| Does the College Register of External Interests identify any conflicts? If yes please elaborate? |  |
| Does the entity have a ‘poor public image’ resulting from company practices, such as poor environmental conduct, health and safety record, legal or regulatory actions, or human rights record, which may be detrimental to the College’s brand or reputation? |  |
| Has the need for export control been checked and if applicable what was the outcome? |  |
| Is there anything else that may give rise to suspicion on the motives of the entity, or their end-use of the research, technology or other outputs, e.g. national security concerns, could the research be used by a hostile state, or any other sensitivities that need to be notified? If yes, please provide detailed comment please complete section 6 below in addition to any other details required. |  |
|  | |
| Issues identified:  Reputational Risk and Final remarks: | |

# DECLARATIONS

To be completed by the Imperial lead

**Your recommendation as to how the matter should proceed**

**Details of any non-standard or potentially onerous conditions proposed in connection with the proposed relationship**

**Any other comments**

# APPROVALS

For all Reviews

|  |  |
| --- | --- |
| Lead proposer  ………………………………………………………. Signature / Approval over email  ………………………………………………………. Name  ………………………………………………………. Date | Head of Department  ……………………………………………………… Signature / Approval over email  ……………………………………………………… Name  ……………………………………………………… Date |

|  |  |  |
| --- | --- | --- |
| Dean of Faculty:  ………………………………………. Signature  ……………………………………… Name  …………………………………….. Date | Research & Enterprise: Vice-Provost (Research & Enterprise)  Education: Provost  …………………………………….. Signature  …………………………………….. Name  …………………………………….. Date | Reviewed by College Secretary:  ……………………………………. Signature  ……………………………………. Name  …………………………………… Date |

# Any additional notes and requirements