International Collaboration Risk Form

Form Preview

Introduction

The Guidelines to Counter Foreign Interference in the Australian University Sector (the Guidelines) were developed by the University Foreign Interference Taskforce. The guidelines are intended to protect the university sector against foreign interference, through supporting an environment of trust and guiding decision making, based on potential risks, so Australian universities can continue to produce world-class research.

Further, some funding bodies are now scrutinising funding proposals and potential foreign interference risks associated with international research collaborations.

This checklist has been developed to cover the key areas addressed in the Guidelines.

The purpose of the form is to prompt the examination of potential foreign interference risks related to your proposed research collaboration, and to assure funding bodies that RMIT University has undertaken relevant early-stage due diligence checks on potential partners.

All form submission data is stored in accordance with the RMIT Privacy and Information Protection Policy.

Why should you complete this form?

RMIT must comply with the government's guidelines. To support you this online checklist has been developed to allow you to assess the possible risks associated with international collaborators on your funding proposal.

Completed checklists will be reviewed by R&I Executive and the Risk Management teams. Any collaborations that are deemed to be potentially of high risk in terms of foreign interference will be sent to the relating School Deans/Deputy Deans Research who will determine if they believe the collaboration should proceed, not proceed or be escalated further

Further escalation will involve a decision by a panel consisting of the DVCR&I, the appropriate ADVCR&I and the Chief Audit and Risk Officer.

Questions?

If you have any questions please contact your Foreign Interference and Foreign Relations representatives in Research Partnerships & Translation (RP&T):

Clare Russell, Director, Research Partnerships and Initiatives Tim McLennan, Executive Director, Research Partnerships and Translation

PART 1: Applicant, project and partner details

* indicates a required field

Applicant

International Collaboration Risk Form
Form Preview

Name of staff member completing this form *

Title	First Name	Last Name

Lead CI email address

Must be an email address.

Lead CI school *

Proposed funding scheme

Is this related to a grant application? If so what funding scheme are you applying to?

ARC Linkage Projects, DFAT COALAR Grant

Is this related to a direct research collaboration or partnership between RMIT and the party?

Proposed project title

Provide a short working title for this project

Proposed international partner/s

Enter the details of the the proposed international partner investigator or key contact person, the name of their organisation, and the country where this organisation is based.

Click "**Add More**" to add additional partners.

Name of partner investigator/key contact	Name of collaborating organisation	Country
e.g. Jane Smith	e.g. COVID Energy Inc, or ABC Solutions Pty Ltd	e.g. United Kingdom, Germany or New Zealand

PART 2: Risk Assessment Questions

International Collaboration Risk Form

Form Preview

1) How did you establish first contact with the potential partner/s or vice versa?

Provide background information on how you got to know the potential partner. For example, time and setting of your first encounter; how were you approached by the potential partner or vice versa; do you know the potential partner via a formal/ informal channel etc.

2) Are you aware of any negative media coverage on the potential partner (including its key personnel / subsidiaries / parent company)?

Please perform a desktop search to highlight any negative media report on the potential partner. Although language barrier may limit search results, a desktop search is an effective method to reveal any significant reputational risk. Key words such as company name, its key staff, parent company and subsidiary should be used to ensure maximum coverage.

3) Is the potential partner (including its key personnel / subsidiary / parent company) related to foreign government/ military?

Please perform a desktop search to highlight any link between the potential partner (including its key personnel/subsidiary/ parent company) and any foreign government/military. You should also liaise with the potential partner and obtain a yes or no answer. We acknowledge that the potential partner may not always provide a true answer. This question should be answered to the best of your knowledge.

4) Does the partner have any past or pending criminal, court or litigation records?

In the desktop search for Q2 and Q3, you should also check if the potential partner has any past or pending criminal, court or litigation records. You are expected to liaise with the potential partner and obtain a yes or no answer. We acknowledge that the potential partner may not always provide a true answer. This question should be answered to the best of your knowledge.

5) Will the proposed collaboration cause an actual, perceived or potential Conflict of Interest for any RMIT staff?

RMIT expects all staff members to act with honesty and integrity, and not to allow any external, personal or financial interests or duties to compromise their obligations, responsibilities and duties to RMIT. All conflicts of interest, regardless of their character or level, will be identified, disclosed and managed to uphold this expectation. Refer to the RMIT Policy: https://www.rmit.edu.au/about/governance-and-management/policies/coi

6) Does the potential research partner appear in the Foreign Influence

Transparency Scheme Public Register?

Refer to: https://www.ag.gov.au/integrity/reports-operation-foreign-influence-transparency-scheme

7) Does the potential research partner appear in Australian Government Register of Lobbyists?

Refer to: https://www.ag.gov.au/integrity/publications/australian-government-register-lobbyists

8) Does the potential research partner appear in Australian Autonomous Sanctions Regimes?

Refer to: https://dfat.gov.au/international-relations/security/sanctions/Pages/consolidated-list.aspx#list.

9) Does the proposed research topic/product appear on the Online Defence Strategic Goods List (DSGL)?

The Defence and Strategic Goods List (DSGL) is the list that specifies the goods, software or technology that is regulated when exported, supplied, brokered or published. A permit is required when exporting, supplying, brokering or publishing DSGL items, unless there is an exemption. Please use your professional knowledge on the proposed research collaboration to determine whether the DSGL applies. Refer to: https://www1.defence.gov.au/business-industry/export/controls/assess-apply/self-assessment-tool

10) Does the proposed research have the potential for current/ future military use?

There have been reports about technology developed through research collaboration between Australian universities and foreign entities used in a way contrary to Australia's interest. You are encouraged to highlight any potential military application of the proposed research. We acknowledge that research may have many end-use applications that often cannot be identified in the early stages of development. Please answer this question to the best of your knowledge.

Desktop Due Diligence Information

If desktop due diligence has been conducted and a memo/file created please copy and paste key information.

Desktop due diligence
Attach a file: