



Guidance Note

Due Diligence, Risk Assessments and Management

This guidance material is designed to assist universities to understand how they might develop and implement due diligence, risk assessments and management in accordance with this pillar of the Guidelines to Counter Foreign Interference in the Australian University Sector. The case studies are examples only. They provide a point of reference for decision makers to refer to as appropriate to their circumstances.

It is important to note that identifying risk does not preclude an activity from proceeding. Universities should encourage the declaration of international associations or affiliations to allow the management and mitigation of potential risks.

Tools

There are a number of Australian Government resources which assist universities to have confidence in their collaborations and to make informed decisions around potential risks. These include, but are not limited to:

- The Australian Security Intelligence Organisation's (ASIO) Due Diligence Integrity Tool
 - Please contact outreach@asio.gov.au for a copy of the tool.
- The University Foreign Interference Taskforce's:
 - [Due Diligence Assistance Framework](#)
 - [Factsheet on using open source information for due diligence](#)
- [Foreign Influence Transparency Scheme \(FITS\)](#)
- [Consolidated List](#) of all persons and entities listed under Australian sanctions
- [Defence Export Controls \(DEC\)](#)

Universities should also consider whether the proposed activity, partnership or variation to an existing arrangement needs to be notified under the [Foreign Arrangements Scheme](#).

Assess the technology and research

The Australian Government has a range of requirements that researchers need to consider when collaborating internationally on specific areas or disciplines. This includes unintended applications of research outcomes, and commercial potential of research outcomes.

For more information, go to:

- [Defence Strategic Goods List \(DSGL\) self assessment tool](#)
- Department of Foreign Affairs and Trade - Australian Sanctions Office: [Australian sanctions regimes: export and import sanctioned goods and the provision of sanctioned services](#)
- [Critical Technology Supply Chain Principles](#): Principles outlined on this website are useful for universities to understand supply chains for critical technologies.
- [Department of Prime Minister and Cabinet: Protecting and promoting critical technologies](#) (available on the web archive)
- [Blueprint for Critical Technologies](#) (available on the web archive): Document from PM&C to assist universities to identify which technologies are critical to Australia's national interest.

