**HDR Research Risk Assessment Checklist for Thesis Examiners**

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| PURPOSE OF THIS CHECKLISTThis checklist sets out the framework for UTS to undertake a risk assessment of thesis examiners to ensure UTS is compliant with relevant legislation and regulations, including Australian sanctions laws and Defence Export Controls.When engaging with potential examiners there are several important regulatory schemes to consider. The [International Collaboration and Engagement Portal](https://studentutsedu.sharepoint.com/sites/Internationalcollaborationandrecruitment#regulatory-considerations)[[1]](#footnote-2) contains the [Foreign Engagement Compliance Summary Table](https://studentutsedu.sharepoint.com/%3Ab%3A/r/sites/Internationalcollaborationandrecruitment/Foreign%20Arrangements%20Scheme%20Resources/International%20Engagement%20Compliance%20Summary%20Table.pdf?csf=1&web=1&e=N1Tu16) which covers the Foreign Arrangement Scheme, Foreign Influence Transparency Scheme, Foreign Interference Scheme, Defence Trade Controls[[2]](#footnote-3) and Sanctions[[3]](#footnote-4). While there is some overlap between these requirements, it is important to independently assess international engagements and collaborations against each of the applicable regulatory considerations. UTS as an institution, and you as an individual personally, have obligations to comply with the relevant laws. The consequences of failure to comply are serious. This checklist is a critical and mandatory part of UTS’s due diligence and governance process. PROCESSAll potential examiners are checked against the DFAT [Consolidated List](https://www.dfat.gov.au/international-relations/security/sanctions/consolidated-list) which contains all designated (or prohibited) persons/entities under Australian sanctions laws and is maintained by DFAT. Where there is a match, the potential examiner will be ineligible to examine, and a replacement must be sought.For examiners from countries deemed **high risk** (countries scoring 50 or less on the [Corruption Perceptions Index](https://www.transparency.org/en/cpi/2023)) or [sanctioned countries](https://www.dfat.gov.au/international-relations/security/sanctions/sanctions-regimes), the thesis research topic must undergo due diligence to ensure when shared it is compliant with relevant legislation, including Australian sanctions laws and Defence Export Controls.Note: This process is applied to all potential examiners put forward in the Nomination of Examiner form; and their affiliated institutions. |

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| **STEP 1 – INITIAL DESIGNATED PERSON AND ENTITY AND RESARCH PROJECT CHECK** |
| **RESPONSIBILITY: Principal Supervisor** |
| **ACTION:** All examiners and their employer/ affiliated institution names must be checked against the designated (or prohibited) persons/entity list maintained by DFAT, which is called the Consolidated List. Checks can be made by going straight to the [Consolidated List](https://www.dfat.gov.au/international-relations/security/sanctions/consolidated-list). A positive match is where the examiner’s name OR affiliation with an institution/entity exactly match a designated listing on the Consolidated List. **UTS must NOT have any financial or other involvement with a designated person or entity.**If a positive match arises during this designated person/entity check then this examiner will be rejected. |
| Examiner Name\**\*Ensure Examiner Name is exactly the same on all supporting documentation (e.g. resume, institution profile, etc.)* |  |
| **1.1** Is the examiner/their employer/educational institution listed on the DFAT Consolidated List? | [ ]  No – Cleared to proceed to next step[ ]  Yes – Replace examiner**checked on date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** |
| **1.2** Is the examiner affiliated to a government or employed at an institution or organisation based in a sanctioned and/or Defined High Risk Country?<https://www.dfat.gov.au/international-relations/security/sanctions/sanctions-regimes><https://www.transparency.org/en/cpi/2023> | [ ]  No[ ]  Yes – Sanctioned Country. **Indicate sanctioned country name: \_\_\_\_\_\_\_\_\_\_\_\_**[ ]  Yes – Defined High-Risk Country. **Indicate high-risk country name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_** |
| **1.4 Does the thesis project fall within the Commonwealth Government identified** [**Critical Technology List**](https://www.industry.gov.au/publications/list-critical-technologies-national-interest)**? [This assessment is based on initial assessment and requires Supervisor input]** | [ ]  No[ ]  Yes – **Select from the drop down box the critical technology**Choose an item. |
| **1.5 IF EXAMINER’S AFFILIATED INSTITUTION IS ON** [**ASPI**](https://unitracker.aspi.org.au/) **LIST:****Name of Institution: XXXX****If the examiner’s affiliated institution is based in the People’s Republic of China, check Australian Strategic Policy Institute tracker (**[**ASPI**](https://unitracker.aspi.org.au/)**) and identify if the institution is categorised by ASPI as Very High/High Risk/Top Secret/Secret.***N.B – the ASPI tracker categorisation is* ***not conclusive*** *but just one indicator considered as part of the overall risk assessment.*  | ASPI Risk category (tick all that apply):[ ]  Very high risk[ ]  High risk [ ]  Top secret[ ]  Secret[ ]  None of the above |
| **1.6** Has “YES” been answered for any of the sanctioned/Defined High Risk Country questions above? | [ ]  No – Risk assessment is complete; no further action required.Please submit this form as an attachment with the Nomination of Examiner form.[ ]  Yes **– Move to Step 2** |

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| **STEP 2 – INFORMATION ABOUT THE RESEARCH PROJECT (for High-risk and/or Sanction Countries)**If the examiner and project related information has “YES” to any of the questions in Step 1 relating to sanctioned or Defined High Risk countries, the Principal Supervisor must complete each question in Step 2, to provide more information on the research project. This will allow the relevant Responsible Academic Officer (RAO)/UTS Research Risk Manager to make informed decisions. |
| **RESPONSIBILITY – Principal Supervisor** |
| **ACTION –** Supervisor provides detailed description of and information about the student’s thesis research projectLinks for assessment:[Defence and Strategic Goods List (DSGL)](https://www.defence.gov.au/business-industry/export/controls/export-controls/defence-strategic-goods-list)<https://www.industry.gov.au/publications/list-critical-technologies-national-interest>[Critical Technology List](https://www.industry.gov.au/publications/list-critical-technologies-national-interest) |
| **2.1** Title of Research Thesis: |  |
| **2.3 Please provide a detailed description of the thesis project in the context of the critical technology identified in Step 1. Does the thesis project fall within the scope of the Defence Trade Controls Lists, and if so, what measures are being implemented to manage this?** |
| **2.4 Are there any other relevant matters of concern relating to sanctions law or Defence Export Controls arising from the student's research project/topic, funding/environment that have not been included in the above? If yes, please specify below** | [ ]  No [ ]  Yes  |
| **If yes to 2.4, please provide details of any other relevant matters** |
| **Please attach copy of DSGL assessment outcome** | [ ]  Attached  |
| **PRINCIPAL SUPERVISOR SIGN OFF**  |
| All information provided in STEP 2 is true and correct to the best of my knowledge and belief. I am aware of the Defence Export Controls, Autonomous Sanctions and UNSC Sanctions regime and UTS and my obligations to comply with all relevant sanctions and export control laws. |
| **Completed by Principal Supervisor:** |  |
| **Signature:** |  |
| **Date:** |  |

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| **If Yes to any or all of the above, please** send this proposal for further assessment by the Research Risk Manager (mailto:research.risk@uts.edu.au). |

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| **STEP 3 - REVIEW BY THE RESEARCH RISK MANAGER, if yes to any of the above** |
| **ACTION –** The Research Risk Manager, Research Office, reviews the potential examiner information and project. Where necessary, the Research Risk Manager may obtain further information and advice from the Supervisor, the RAO, Director of Risk, UTS Legal, relevant faculty’s Dean or Associate Dean Research (ADR). Upon completing the assessment, Research Risk Manager will return the checklist to the RAO/Faculty with the recommendation. |
| **3.1 Recommended Action (tick and provide information where relevant)** | **Comments** |
| [ ]  **Category 1** – NO IDENTIFIED RISKProceed with potential examiner.*Advise the outcome to principal supervisor, who will upload the checklist to the Nomination of Examiner form.*  |  |
| [ ]  **Category 2** – RISKExaminer rejected.*Advise the outcome to principal supervisor. A new examiner will need to be nominated.* |  |
| **Research Risk Manager:** |  |
| **Signature:** |  |
| **Date:** |  |

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| **ADDITIONAL INFORMATION** |
| For each of the listed sanctioned countries there are specific regulations that list the types of sanctioned subject matter that may constitute prohibited sanctioned services, these are listed on the DFAT website:[Sanctions regimes | Australian Government Department of Foreign Affairs and Trade (dfat.gov.au)](https://www.dfat.gov.au/international-relations/security/sanctions/sanctions-regimes)**Full List of currently Sanctioned Countries/Regimes (AS and UNSC) can be found at[[4]](#footnote-5):**<https://www.dfat.gov.au/international-relations/what-you-need-know-0>  |
| **Useful Definitions:** |
| **Arms or Related Materiel –** has a very wide meaning and includes goods, technologies, equipment, materials, software relating to weapons, WMD’s, ammunition, military equipment and vehicles, spare parts or accessories and paramilitary equipment**Controlled materials, items or equipment** – means materials, items or equipment designated in the DSGL or some other Controlled List**Corruption Perception Index (CPI) -** offers an annual snapshot of the relative degree of corruption by ranking countries and territories from all over the globe**Designated Person or Entity (or Prohibited Person or Entity) –** a person or entity on the DFAT Consolidated List with whom it is prohibited for UTS to admit, enrol, provide a scholarship or other sponsorship, and/or to collaborate with or have other certain dealings**DFAT –** Department of Foreign Affairs and Trade**DFAT Consolidated List** – List regularly updated by DFAT of designated or prohibited persons or entities (such persons or entities are not necessarily from sanctioned countries)**DSGL –** Defence Strategic Goods List (Part 1 is the Munitions List that covers defence and related items. Part 2 covers those items that have Dual Use)**Dual Purpose Use –** means equipment and technologies developed to meet commercial needs but which may be used either as military components or for the development or production of military systems or weapons of mass destruction**Export Sanctioned Goods** – means the various specifically sanctioned goods included on the AS and UNSC sanctions lists for each sanctioned country and may include items ranging from weapons to diamonds and precious metals **WMD’s –** Weapons of Mass Destruction |

1. These regulatory schemes are subject to change at any time and must be regularly checked. For the most up to date information please check the source website available at [International Collaboration and Engagement Portal](https://studentutsedu.sharepoint.com/sites/Internationalcollaborationandrecruitment#regulatory-considerations). [↑](#footnote-ref-2)
2. The Defence Trade Controls Act regulates the supply, publication and brokering of items on the **Defence and Strategic Goods List (DSGL)**. The [DSGL](https://www.defence.gov.au/ExportControls/DSGL.asp) is a compilation of military and dual-use items that Australia controls for export. [↑](#footnote-ref-3)
3. Refer to the[Subject Matter Overview for Sanctioned Services](https://studentutsedu.sharepoint.com/sites/Internationalcollaborationandrecruitment/Foreign%20Arrangements%20Scheme%20Resources/Forms/AllItems.aspx?id=/sites/Internationalcollaborationandrecruitment/Foreign%20Arrangements%20Scheme%20Resources/Subject%20Matter%20Overview%20for%20Sanctioned%20Services%20Mar%202022.pdf&parent=/sites/Internationalcollaborationandrecruitment/Foreign%20Arrangements%20Scheme%20Resources). [↑](#footnote-ref-4)
4. Please refer to the following link for an up to date list: https://www.dfat.gov.au/international-relations/security/sanctions/sanctions-regimes-currently-implemented-under-australian-sanction-law [↑](#footnote-ref-5)