



# **Responsible internationalisation Workshop I Due diligence- Know your partner**

# Outline of the workshop

- 11.00–11.05 Introduction
- 11.05–11.15 Group work: Set the scene
- 11.15–11.30 Partnerships in higher education – Key questions and tools
- 11.30–11.55 Research security – Building blocks for risk appraisal
- 11.55–12.25 Collaborative work
- 12.25–12.30 Wrap up

# Collaborative work

## Set the scene

1. Which third country(ries) do you cooperate with the most?
2. What makes your institution an attractive partner?





Norwegian Directorate  
for Higher Education  
and Skills

# Guidelines & Tools

Nordic TCA 25–27 March, Helsinki

Torill Iversen Wanvik

# National guidelines and tools for responsible international knowledge cooperation

## Guidelines and tools for responsible international knowledge cooperation

The guidelines provide an overview of laws and regulations that the Norwegian research and education sector must adhere to, and they highlight key considerations and procedures for faculty, and for institutional leadership and administration. The guidelines offer tools for managing risks and enhancing security in international academic cooperation.



### › General advice for institutional leadership and administration

Here you'll find a summary of advice aimed at institutional leadership and administration for the development of systems for responsible international cooperation.

### › General advice for academic communities

Here you'll find a summary of advice directed towards academic communities to develop responsible international cooperation.

### › International research and innovation cooperation

Here you'll find resources on research cooperation, open science and data sharing, and agreements on research cooperation.

### › International higher education cooperation

Here you'll find an overview of known challenges in international cooperation in higher education, what information should be assessed about partner country and partner institution.

### › Risk and security management at the knowledge institution

Here you'll find resources on security management, recruitment and appointment, and the safeguarding of employees, students, and guest researchers.

### › Academic values and research ethics

Here you'll find resources on academic freedom, open science and research ethics.

### › Export control of knowledge transfer and international sanctions

Here you'll find an overview of Export Control Regulations and international sanctions, the responsibility of knowledge institutions, and the recommended assessments for leadership and management, and for the academic community.

### › Information security and data protection

Here you'll find an overview of legal frameworks and tools tied to challenges and responsibility in the area of information security and data protection. What should be considered in digital cooperation with partners abroad?

### › Asset mapping [🔗](#)

Here are some tips for conducting an asset mapping exercise. The website is only in Norwegian.

## Asset Mapping and Value Assessment

- Organizations in the university and college sector must have an **overview** of the **assets** they manage.
- Here you will find suggestions for approaches to conducting asset mapping and value assessment, serving as a basis for adaptation and use in local work.

## What should due diligence of a partner entail?

- Due diligence of the partner entails mapping activities, the sector in which the organisation operates, a commercial and ethical assessment of the institution's/enterprise's management and framework conditions:
  - Does the partner have a specific political, ideological or commercial agenda that should be taken into account?
  - Is the partner, including its employees or persons that serve on its governing bodies, linked to military activities or companies with an unclear profile?
  - What kind of relationship does the partner have with its own authorities, national or local?
  - What kind of decision-making structures does the partner have?
  - Check any previous relationships with foreign partners. Are there any issues or incidents that have caused problems?
  - Is the partner committed to following rules or norms for ethical conduct, transparency, openness, and academic freedom?
  - Is the partner in a sound financial situation, and does it have good and reliable operating systems?

# Due diligence assessments

## Two levels Individual level

## How to verify a researcher's CV?

## Web of Science (WoS)

- Is the person on any sanctions or embargo lists?
- What education, skills, and research outputs does the person have?
- **Who does the person currently work for, and who have they worked for previously? (WoS)**
- **Has the person received research funding or participated in projects? (WoS)**
- **Which research environments and knowledge institutions has the person collaborated with? (WoS)**
- Does the person have contact with the private sector or military organizations?
- Does the person have connections to groups or institutions with terrorist purposes?
- Does the person have a criminal record?
- **What sources does the person receive research funding or scholarships from? (WoS)**
- **Are there any potential conflicts of interest? (WoS)**

# Due diligence assessments

## Institutional level

### – When?

#### – New partnerships

#### – Reviewing/renewing

- High risk partnerships?
- Change in management?
- Changes in regulatory framework?
- Still relevant academically and strategically?
- Still contribute to quality in research, education and teaching, competence?

- Is the institution on any sanctions or *embargo lists*?
- Is the institution on other important *lists*?
- What are the institution's background, *reputation*, and academic *achievements*?
- Who are the *main funders*, and has the institution received significant funding?
- Is the institution a *member* of any *associations*?
- Does the institution have contact with military institutions or organizations?
- Has the institution worked on sensitive or high-risk topics?
- Is the institution involved in the private sector?
- Does the institution have active collaborations with other institutions in your country or other countries?
- Is the institution part of national or international committees?
- Does the institution participate in the development of standards nationally or internationally?

# Relevant

# Search engines

Category	Search Engine/Overview	Description
Companies	OpenCorporates	Global search engine for company information.
Companies	The Oil Fund	Overview of companies excluded from the Oil Fund's investments.
Patents	European Patent Office	European patent search database. Content: European patents + many national databases (USA, Japan, China, etc.).
Patents	PATENTSCOPE (WIPO)	International patent database from WIPO. Coverage: International PCT applications + national collections from many countries.
Patents	Google Patents	Search engine for patents and patent documents. Patents from many countries, combined with scientific articles. Limitation: Not always precise legal status.
Sanctions	EU Sanction Map	Official overview of EU sanctions by country, topic, and legal act: • Persons, companies, sector sanctions • Embargoes (weapons, technology, finance, etc.)
Sanctions	EU Consolidated Sanctions List	Consolidated list of all individuals and entities under EU sanctions. Use: Name search / screening.
Sanctions	EU Sanction Tracker	EU Sanction Tracker is a tool for navigating and gaining insights into the lists of individuals, groups, and entities subject to EU financial sanctions and travel bans.

The image features a vibrant orange background with several geometric shapes. A large, semi-transparent purple shape on the left contains a photograph of a woman with long dark hair, smiling gently. Below it, a smaller purple rounded rectangle shows a close-up of a hand holding a small, light-colored object. The text 'Collaborative work' is written in white, bold, sans-serif font on the right side of the orange background.

# Collaborative work

# Collaborative work

## Everyone

- What role do you currently play and what role can you possibly play in facilitating due diligence at your institution? (what is the scope of action based on your areas of responsibility?)

## Choose between alternative A or B

- **A:** What factors matter the most when conducting due diligence of *new* international partners in third countries, and what might trigger a need for a deeper assessment?
- **B:** What are potential red flags necessitating risk assessments in *ongoing* collaborations?

