

# THE GLASGOW SCHOOL OF ART

## COLLABORATIVE PROVISION: RISK ASSESSMENT

### POLICY DETAILS:

Date of approval	March 2014
Approving body	Academic Council
Supersedes	
Date of EIA	
Date of next review	<i>See departmental schedule</i>
Author	Policy and Governance
Responsible Executive Group area	Policy and Governance
Related policies and documents	<ul style="list-style-type: none"><li>• Collaborative Provision Policy</li><li>• Collaborative Provision: The Student and Staff Experience</li><li>• Collaborative Provision: Due Diligence</li><li>• Collaborative Provision: Formal Agreements</li><li>• Collaborative Provision: Monitoring and Review</li><li>• Collaborative Provision: International Articulation</li><li>• Collaborative Provision: UK Articulation</li><li>• Collaborative Provision: Policy on Student Exchange Arrangements</li><li>• Collaborative Provision: Guidance on Conflicts of Interest</li><li>• Collaborative Provision: Anti-Bribery and Corruption Policy</li></ul>
Benchmarking	UK Quality Code for Higher Education University of Glasgow

## **RISK ASSESSMENT POLICY**

In developing a proposal for collaborative provision, proposing Schools will submit a business case and academic rationale to GSA Executive Group for approval. If there is initial approval of the business case and academic rationale and the GSA Executive Group wishes to advance matters, it will require that the proposal is subject to appropriate scrutiny. This covers two aspects, namely, a risk assessment and a due diligence exercise. The risk assessment and due diligence exercise will be carried out and managed by the proposing School, within a defined timescale.

On completion of the risk assessment and due diligence exercise, the outcomes will be reviewed by Boards of Studies and Academic Council, as appropriate. Academic approval is sought from Boards of Studies, Undergraduate and Postgraduate Committee (UPC) and Academic Council. Institutional approval is sought from the Executive Group and, where appropriate, the Board of Governors.

Advice is available on all aspects of the policy by contacting Policy and Governance, Finance, Human Resources, Marketing and Communications and Student Support, as appropriate. Initial enquiries should be directed to Policy and Governance.

### **1. Planning and Staff Availability**

1.1 The risk assessment must be a planned exercise and there should be staff allocated by the School to undertake it. The proposal must ensure that the core risks, of potential financial, legal, academic and reputational risks of the proposed arrangement, are effectively assessed.

1.2 GSA's Executive Group requires to be assured that:

- the partner is suitable for collaborating with GSA
- the proposal will establish the risks and the proposers will be responsible for effective risk management strategies
- the proposing School has the knowledge and experience to approve, monitor and deliver teaching, learning and assessment in the subject area(s) envisaged

### **2. Finance**

2.1 There must be a credible business plan that has been realistically costed and submitted to the GSA Executive prior to academic consideration by the Boards of Studies, UPC and Academic Council. On approval of the initial business case by the Executive Group, the proposal will move forward by undergoing a risk assessment.

2.2 Using the business plan as a basis, the proposal will establish the financial risks of entering into the arrangement. It is essential to also ensure that financial management arrangements are put in place to manage the risks effectively.

2.3 An assessment of the potential income to be generated together with projected costs and liabilities of the proposal is required. The proposing School will have to ascertain that the proposal will not bring financial disadvantage to GSA. In demonstrating that the proposal is financially viable and sustainable, a proposal must ensure that academic standards, the quality of the student learning experience and GSA's reputation will not be compromised by the arrangement.

2.4 A proposal will assess:

- the financial standing of the proposed partner
- the likelihood of the arrangement succeeding e.g. the demand for the proposed programme
- the potential revenue streams e.g., income generated for a School and GSA
- the level of fees and any limits imposed
- the financial cost of resource implications
- the cost of visits to the partner institution on an ongoing basis
- the cost of the marketing strategy
- the tax regime and tax implications
- the license to trade costs
- the need for insurance and indemnity
- the need for guarantee bonds
- the need to meet any statutory financial obligations
- the ability to transfer funds outside the country in overseas partnerships
- the cost of providing alternative teaching to complete a programme where the arrangement fails
- the potential external forces that may impact on the relationship eg market conditions and demand, the commercial environment, competitors etc
- the growth potential within next five years and any specific opportunities within subject areas

2.5 In addition, the proposing School will:

- outline a management strategy for monitoring financial risks

2.6 Proposals must also address the financial risks in relation to the constraints of location and distance in overseas partnerships. To this extent, the proposing School will assure themselves of any additional financial risks of maintaining geographically remote partnerships in terms of communications, logistics and resources.

### **3. Legal**

3.1 Proposals will identify and assess the legal risks involved in a proposal for collaborative provision. Legal risks may involve complex and changing legislation and for this reason proposing Schools are responsible for the ongoing assessment of legal issues. Partnerships with international institutions may involve unfamiliar regulatory frameworks, which proposing Schools will identify, assess and monitor. Proposals must define mechanisms for ensuring there will be compliance with legislative and transnational legislative requirements. Such mechanisms will subsequently be introduced and managed by the proposing School, as appropriate. The above assessments will be carried out as part of the monitoring process.

3.2 A proposal will:

- identify and assess the regulatory framework relative to the partner institution

- identify the need for the proposed institution to be registered, accredited or recognised by the appropriate authorities in the jurisdiction where the programme will be delivered
- identify the need for the proposed institution to have the approval of the relevant national authority
- assess compliance with UK legislation on visas and immigration in the admission of students and international students
- assess the partner institution's approach to financial incentives ensuring compliance with UK legislation on bribery
- assess the operation of the arrangement within the financial regulations of the Scottish Funding Council
- assess the arrangement in compliance with any other requirements in respect of publicly funded resources
- assess the issue of legal jurisdiction in the event of disputes

3.3 In addition, proposing Schools will:

- outline a management strategy for monitoring legal risks

#### **4. Human Resources and Legislative Matters**

4.1 Proposals must not be inconsistent with GSA Human Resources strategy, recruitment targets and policies.

4.2 A proposal will assess:

- the impact on academic and support staff
- the impact on services
- the compatibility of the policies and procedures of the proposed partner institution with GSA, such as equality and diversity, data protection, freedom of information, health & safety etc.

#### **5. Reputational**

5.1 GSA must be satisfied that the proposal will not damage its reputation and that the proposed institution is a suitable partner. The proposal will address the risks attached to entering into such a relationship.

5.2 An evaluation of the proposed partner will include:

- the partner institution's national and international standing
- the partner institution's existing or past collaborations and their success
- the partner institution's business interests in terms of potential ethical risks
- the partner institution's ability to positively contribute to GSA's national and international standing
- the partner institution's commitment and support for the collaboration

- the partner institution’s vision and understanding of the arrangement
  - the partner institution’s ability to interact with GSA programme team on an organisational level
- 5.3 The proposal must be consistent with GSA’s strategic priorities and international strategic vision and GSA must be satisfied that it is appropriate to undertake the proposal given its existing collaborative arrangements and commitments.
- 5.4 The proposal will assess:
- GSA’s ability to enter into the collaboration in light of GSA’s other commitments and priorities
  - GSA support for the collaboration at School and institutional level

## **6. Academic Standards and Quality Assurance**

- 6.1 Academic standards must be assured. GSA has established quality assurance and quality enhancement processes, structures and policies in place for maintaining the academic standards and quality of provision. These processes, structures and policies apply to partnerships with other institutions. The proposing School should additionally refer to GSA policies that specifically relate to collaborations.
- 6.2 In terms of standards, the proposal will establish that the partner has policies and procedures that align with GSA or has comparable ones in place. The arrangement should deliver a comparable quality of student learning experience with the equivalent student support arrangements as that of GSA home campus students.
- 6.3 A proposal will assess:
- what shared understanding and vision the proposed partner institution has of the arrangement
  - what the proposed partner institution identifies as requirements for maintaining academic standards and quality assurance
  - what understanding the proposed partner institution has of the ethos, culture and standards of UK higher education
- 6.4 To allow GSA to monitor and assure itself of the maintenance of academic standards, all GSA programmes relating to collaborative provision are delivered and assessed in English and the proposal will ensure that the partner institution is fully aware of the requirement. Any scenario where English may not be the language of instruction must be clearly and specifically highlighted by the proposing School at each stage of the approval process, together with a detailed rationale and explanation of how this can operate. Further, proposals will ensure that the partner institution is familiar with the concept of employing External Examiners, particularly where the arrangement is for transnational education, and should PSRBs be of relevance the proposing School will engage in the necessary consultation, clarifying this in the proposal.

## **7. Obligations to Students**

7.1 GSA has responsibilities to its students and when entering into a collaboration with another, GSA must be satisfied that the interests of students will be protected.

7.2 The proposal will assess arrangements for:

- regular communication with the partner institution (such as, link tutor arrangements, steering/joint liaison groups, feedback from partners etc.)
- the protection of the interests of students, including contingency arrangements, in the event of suspension, withdrawal or termination of an arrangement including:
  - a partner institution not discharging its responsibilities
  - a material change in status of a partner institution so as to put the arrangement at risk

## **8. Cultural**

8.1 GSA may wish to enter collaborations with partner institutions with similar or differing approaches to providing higher education. The proposal will assess the risks attached to any perceived differences and do so within the context of compliance with the QAA UK Quality Code.

8.2 As part of the risk assessment, proposing Schools may carry out an institutional visit or visits, particularly if the collaboration is with a new partner or with an institution overseas. Proposing Schools may wish to consider including external members on such visits in order to benefit from their specialist knowledge and advice. Proposals will examine the political, ethical and cultural context of entering into an arrangement with a partner institution, particularly if the arrangement is for transnational educational provision.

8.3 Proposals will assess the cultural context and implications of:

- approaches to learning, teaching and assessment
- available learning resources
- learning environments and cultures
- quality management
- academic governance
- linguistic and disciplinary differences

## **9. Monitoring and Review**

9.1 GSA has established monitoring and review procedures for the maintenance of academic standards and the continual enhancement of the quality of learning opportunities. GSA's policies in this respect extend to its collaborative arrangements.

9.2 A proposal will assess and confirm the requirement for:

- First Year Review
- Programme Monitoring and Annual Reporting

- Collaborative Review
- GSA's Annual Report to the University of Glasgow Senate on the operation of the collaboration
- interaction with, and accountability to the GSA's Executive Group and the Board of Governors and Academic Council
- communication with the proposed partner institution for feedback on the operation of the arrangement
- effective operation of the individual School diary to ensure that monitoring and review procedures are undertaken timeously

## **10. Risk Register**

10.1 Risks identified at the outset of a proposed collaboration may change throughout the duration of the arrangement. It is the responsibility of proposing Schools to assess how the risk register will be utilised for regular review of the risks during the life of the arrangement.