

Process Narrative – Due Diligence

Sr No	Narrative	Reference																				
1	Request for contract is received																					
2	Group 1 check is performed																					
3	If the request fits in Group 1	Go to step 5																				
4	If the request does not fit in Group 1	Go to step 6																				
5	Request is sent to the respective academic unit for processing																					
6	Group 2 check is performed																					
7	If the request fits in Group 2	Go to step 9																				
8	If the request does not fit in Group 2	Go to step 10																				
9	Request is sent to PTC for processing																					
10	Group 3 check is performed																					
11	If the request fits in Group 3	Go to step 13																				
12	If the request does not fit in Group 3	Go to step 14																				
13	Request is sent to Commercialisation or EPU team for processing																					
14	For all other requests, identify Is it research ?																					
15	If it is research	Go to step 17																				
16	If it is not research	Go to step 5																				
17	Due diligence performed																					
18	<p>Risk assessment done based on UniSA Risk Matrix and Risk Appetite</p> <table border="1"> <thead> <tr> <th>Risk Assessment</th> <th>High</th> <th>Moderate</th> <th>Low</th> </tr> </thead> <tbody> <tr> <td>Averse</td> <td>X</td> <td>X</td> <td>X</td> </tr> <tr> <td>Cautious</td> <td>UniSA Research Office</td> <td>AU</td> <td>AU</td> </tr> <tr> <td>Accepting</td> <td>UniSA Research Office</td> <td>AU</td> <td>AU</td> </tr> <tr> <td>Open</td> <td>UniSA Research Office</td> <td>AU</td> <td>AU</td> </tr> </tbody> </table>	Risk Assessment	High	Moderate	Low	Averse	X	X	X	Cautious	UniSA Research Office	AU	AU	Accepting	UniSA Research Office	AU	AU	Open	UniSA Research Office	AU	AU	
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Open	UniSA Research Office	AU	AU																			
19	If it is High Risk (Not averse)	Go to Step 33																				
20	If it is Medium or Low Risk	Go to Step 5																				
21	Foreign entity (owned or controlled) assessment																					
22	If any party in the contracts is international or foreign entity	Go to step 33																				
23	If no party in the contracts is international or foreign entity	Go to Step 5																				
24	Defence Contract assessment																					
25	If it is a defence contract	Go to step 33																				
26	If it is not a Defence Contract	Go to Step 5																				
27	VCA assessment																					
28	If it is an agreement where VCA is with the Director UniSA Research office or VC/DVCRE signatory ?	Go to step 33																				
29	If the VCA is not with Director UniSA Research office or VC/DVCRE	Go to Step 5																				
30	Contract Template assessment																					
31	If the contract template is a UniSA template or an external pre-approved template	Go to step 5																				
32	If there are changes to standard or pre-approved templates	Go to step 33																				
33	Send the request to the research contracts team via the Research Contract Online Form																					