

Tool for risk assessment in international collaborations

The purpose of this tool is to help you identify potential risks for or with a specific project/collaboration, to be informed of useful resources and to get an overview of potential risks taken at KI as an institution. The information you enter into this form will be handled confidentially.

The form consists of 9 sections (up to 42 questions + a final assessment) and takes approx. 10 minutes to complete.

You can save and return to the form as you please.

Press Submit at the end to get a copy of the risk assessment by email.

Are you, the person completing this form, the Principal Investigator (PI) of the project or the person responsible for the project/collaboration?

- Yes, I am the PI
 Yes, I am the person responsible for the project/collaboration
 No, I am another project team member

The information you enter will be handled confidentially. It is optional to provide personal information.

Please provide your name and email address below.

Please provide your email address below.

First name

Last name

e-mail

Section 1/9: Personal information

Name of the project

Name of Principal Investigator/Person responsible for project/collaboration

Position

Department

1. CBM 2. CLINTEC 3. CNS 4. Dentmed 5. FyFa 6. GPH 7. IMM
 8. KBH 9. KI DS 10. KI SÖS 11. Labmed 12. LIME 13. MBB 14. MEB
 15. MedH 16. MedS 17. MMK 18. MTC 19. NEURO 20. NVS 21. OnkPat

Section 2/9: Project/Collaboration Information

What is the focus of the project/collaboration?
(Choose all that apply.)

- Research
- Education
- Invitation to a meeting or to host a meeting
- Other

Please specify other:

Short summary / Abstract

Please provide a brief background to explain the context of the collaboration. If available, please provide the abstract of the project plan for the collaboration.

Purpose, goal, anticipated outcomes

Please provide the purpose or goals of the project plan for the collaboration, if available. If not, please provide a brief description of the envisioned outcomes of the collaboration.

You may choose to upload a document with the purpose/goals/outcomes of the project here.

Section 3/9: Critical Technology/Materials, Dual-use

Is the subject of the project/collaboration identified as a critical technology area according to the EU's recommendations?

These technology areas are advanced semiconductors, AI, quantum technologies, biotechnologies, advanced connectivity, navigation and digital technologies, advanced sensing technologies, space and propulsion technologies, energy, robotics and autonomous systems, advanced materials, manufacturing, and recycling technologies. Among these, advanced semiconductors, AI, quantum technologies, and biotechnologies are considered the most sensitive.

European Commission Recommendation on Critical Technology Areas

Yes/Maybe No

If so, please state the critical technology area below

Please get in touch with the export control coordinator considering the sensitive area of the collaboration, exportkontroll@ki.se.

Does the project/collaboration involve the transfer of materials, samples, data or a product/outcome that can be exported?

Yes/Maybe No

Have you read Karolinska Institutet's guidelines on export control of dual-use products?

Dual-use items are goods and technologies that may be used for both civilian and military purposes. Export control is a term used to describe the laws and regulations that prohibit strategically, sensitive products from falling into the wrong hands.

KI Guidelines for Export Control of Dual-use Items

Yes No

Is there a risk for dual-use research results?

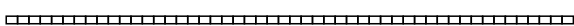
Dual-use items may not be exported outside the EU without a license from the Swedish Inspectorate of Strategic Products (ISP). In some special cases, transfer within the EU of such items may also require a license. KI must ensure that all handling of dual-use items is carried out in accordance with applicable export control laws and regulations.

Yes No

Please get in touch with the export control coordinator at KI for support in classifying products and applying for export licenses, exportkontroll@ki.se.

Partial assessment: How do you assess the risks with your collaboration based on the information in this section on a scale 0-10?

No risk Medium risk High risk



(Place a mark on the scale above)

Section 4/9: Financial/Legal Implications

Which category does the project/collaboration fall under?

In case of research collaboration, there are two possible forms: commissioned research and other types of collaborative research. As the legal situation substantially differs, it is necessary to be clear about which collaboration form is envisaged when commencing discussions regarding potential collaboration.

Collaborate with KI
(Choose all that apply)

- Comissioned Research
- Collaborative Research
- Education
- Other

Please specify:

What are you/KI contributing with to the project/collaboration?

Please consider thoroughly before answering as the answer has implications on the balance between KI and your partner.

(Choose all that apply.)

- Funding
- Time
- Staff
- Materials/Samples
- Equipment
- Premises
- Knowledge
- Data
- Other

Please specify your other contribution to the collaboration.

What is your collaborator contributing with to the project/collaboration?

Please consider thoroughly before answering as the answer has implications on the balance between KI and your partner.

(Choose all that apply.)

- Funding
- Time
- Staff
- Materials/Samples
- Equipment
- Premises
- Knowledge
- Data
- Other

Please specify the other contribution of your collaborator.

In your opinion, is the project/collaboration balanced?

Yes No/Maybe

If so, explain why in your opinion the project/collaboration is/might be unbalanced.

Does the funding model entail risks regarding independence, integrity, ethics or academic freedom?

It is important to know who is financing the project, directly or indirectly. This is especially true when working with financiers in authoritarian countries. There is a risk that funding from other countries could create ties and dependencies that may cause friction at a later stage.

During the check, you should ask yourself: What other activities is the funding organization involved in? Are there potential controversies or conflicts? Has the organization funded other foreign universities? Experiences? How autonomous is the organization? If it is a company - what is the company's structure like? Does it originate in a different country? Is the company involved in legal proceedings regarding IP infringement, corruption, bankruptcy, etc.?

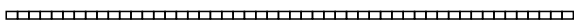
When KI is providing the funding, consider the financial risk for KI and what measures KI can implement to mitigate it.

Yes/Maybe No

Describe how the funding model entail risks.

Partial assessment: How do you assess the risks with your collaboration based on the information in this section on a scale 0-10?

No risk Medium risk High risk



(Place a mark on the scale above)

Section 5/9: Partner Country/organization

Which country/ies will you collaborate with and visit within the framework of the project/collaboration?

Please consider also transfer of data or material outside of Sweden when answering this question.

Certain countries or funding agencies may have specific requirements. Be especially aware of the requirements for collaboration with USA. Read more here:

Research Funding Forms and KI Registration

Is the collaborative country a sanctioned country according to the Swedish government?

The sanctions that apply in Sweden are decided by the UN or the EU. In total, Sweden is bound by some forty sanctions regimes. These include both geographical sanctions targeting specific countries or regions and thematic sanctions targeting specific problems.

International Sanction on the Swedish Government's Homepage (in Swedish)

Yes No

You should be particularly careful with your collaboration project and contact KI's export control coordinator, exportkontroll@ki.se.

Does the background control of the country you plan to cooperate with lead to any red flags?

Support for assessment of risks regarding human rights in international collaborations:

Support for the Assessment of Human Rights Risks in International Collaborations

Indices that can be used as support in a risk assessment:

Academic Freedom Index ; Freedom in the World ; WJP Rule of Law Index ; Corruption Perceptions Index

Yes/Maybe No

In what areas?
(Check all that apply.)

- The country is not a well functioning democracy
- The country has an authoritarian government, a recent history of internal or external violent conflict, high levels of corruption, or ethical dissenting positions
- Problematic discussions on basic principles such as academic freedom, organisational culture
- Risk that the country's government tries to improperly influence the research or educational subject, content or data
- Other

Specify other area(s)

Which organizations/institutions will you collaborate with and visit within the framework of the collaboration?
Please consider also transfer of data or material outside of Sweden when answering this question.

Does the background control of your partner organization/institution lead to any red flags?

This is particularly important with counterparts from non-democratic countries.

During a background check, you can ask yourself the following questions: Who are my partner's strategic partners? Could there be conflicts of interest for KI? What is the partner's relationship with the government, political parties or other important social actors (eg military, police, ethnic, religious etc)? Is the partner reputable? Is there a risk/history of the government or other external actors unduly influencing the research or educational subject, content or data? Does the partner have a functioning organization for research ethics?

Yes/Maybe No

In what areas?
(Check all that apply)

- My partner's strategic partners
 - Conflict of interest for KI
 - The partner's relation to the government, political parties or other relevant actors
 - The partner's work with research ethics
 - The partner's motive for collaboration
 - Other
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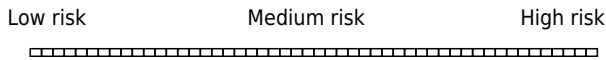
Specify other area(s)

Are you familiar with the Swedish Security Service's situational picture of the security threats to Sweden?

The Swedish Security Service Status Report (in Swedish)

Yes No

Partial assessment: How do you assess the risks with your collaboration based on the information in this section on a scale 0-10?



(Place a mark on the scale above)

Section 6/9: Ethical Aspects

Does the project/collaboration entail research on humans or animals which requires ethical approval in Sweden or in another country and includes an application for ethical review?

Guide to the Application for Ethics Review

- Yes
- Not Yet
- Not relevant

Does the project/collaboration require an ethical application for animal research?

Ethical Application for Using Laboratory Animals

- Yes
- Not Yet
- Not relevant

Has the researcher that you plan to work with been involved in cases of research misconduct? You should check for instance references, publications, previous research collaborators.

- Yes
- No
- Not sure

Partial assessment: How do you assess the risks with your collaboration based on the information in this section on a scale 0-10?

No risk Medium risk High risk

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(Place a mark on the scale above)

Section 7/9: Involved Students/Researchers

Does the project/collaboration involve employment of students, fellows or hosting of external staff/faculty?

Read about employment regulations on [Information about Your Employment](#)

- No
 Employment of Ph. D student or Post doctoral fellow at KI
 Hosting of Ph. D student or Post doctoral fellow
 Hosting External Researcher
 Other

Please specify other:

Is/Will any of the external faculty/staff also affiliated to KI?

- Yes
 No

Land of Origin

Home Institution

What type of activity will be performed in the partner country?
(Check all that apply.)

- Meeting/Conference
 Fieldwork
 Research stay
 Student exchange
 Sharing of data
 Sharing of sample
 Other

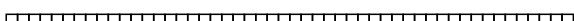
Specify other activity

Regarding the students and researchers actively involved in the collaboration - have you considered any potential risks they might encounter and how they can be supported?

Ask yourself if there are risks for the students or researchers involved in connection with the collaboration. It can for instance be in regard to discrimination, transmittable diseases, terrorist threats, crime, corruption, espionage, information theft. Make sure the involved students and researchers have the necessary insurance coverage.

Partial assessment: How do you assess the risks with your collaboration based on the information in this section on a scale 0-10?

No risk Medium risk High risk



(Place a mark on the scale above)

Section 8/9: Conflict of Interest

Is your secondary occupation (Bisysslor) declaration up to date?

Secondary Occupations

- Yes
- Not Yet
- Not relevant

Is there a conflict of interest in this project/collaboration related to your position at KI or your secondary occupation?

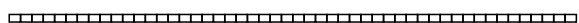
Guidelines on Conflict of Interest (in Swedish)

- Yes/Maybe
- No

Please describe the potential conflict of interest and how you plan to manage it.

Partial assessment: How do you assess the risks with your collaboration based on the information in this section on a scale 0-10?

No risk Medium risk High risk



(Place a mark on the scale above)

