

Checklist of International Risk Considerations

Purpose

Conducting international business and implementing international projects exposes ASU to new risks that may need to be evaluated and mitigated. This checklist outlines such risks. If you answer **Yes** to any of the questions below, please contact Global Operations at global.ops@asu.edu for further assistance in addressing the risk.

| Risk Categories | Risk Considerations | Yes | No |
|-------------------------|---|--|--|
| Reputational | <ul style="list-style-type: none"> ○ Will the project be viewed as politically or morally controversial in the host country? ○ Will a foreign entity have significant say over the technical direction of the project? ○ Will the project pose any type of reputational threat to either the sponsor or ASU? ○ Are there sanctions in place between the U.S. and the host country? | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Health & Safety | <ul style="list-style-type: none"> ○ Will an ASU student travel to a foreign country outside of an ASU-approved study abroad program? ○ Will an ASU employee travel to a destination with a Department of State Travel Alert or Warning? ○ Will an ASU employee travel to a destination with a CDC Travel Health Notice of Warning Level 3? ○ Will an ASU employee live in or travel to a destination with OFAC sanctions? ○ Will security services be needed/used? ○ Will anyone travel with ASU equipment that includes sensitive data? | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Foreign Participants | <ul style="list-style-type: none"> ○ Will there be an exchange program? ○ Will there be foreign participants? ○ Will the project include work with minors? ○ Are there visa and/or work permit concerns? ○ Are there any language barrier concerns? | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Permanent Establishment | <ul style="list-style-type: none"> ○ Are there plans for an ASU employee to work in the host country for six (6) months or more per year? ○ Are there plans to hire host or third-country nationals as project personnel? ○ Are there plans to register as a local entity/open an office in the host country? | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |

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|-------------|---|--------------------------|--------------------------|
| | <ul style="list-style-type: none"> ○ Are there plans to open a bank account in the host country? ○ Will the project generate local income? ○ Will be ASU be required to pay foreign taxes, like Value Added Tax (VAT)? ○ Are there plans to purchase/lease real estate or movable capital equipment, such as a vehicle? | <input type="checkbox"/> | <input type="checkbox"/> |
| Contractual | <ul style="list-style-type: none"> ○ Will the contract preclude ASU from entering into other agreements in the country for the same or different types of programs? ○ Will ASU have to give up rights to intellectual property created solely or jointly by ASU? ○ Are there any concerns with the procurement guidelines of the country? | <input type="checkbox"/> | <input type="checkbox"/> |
| Other | <ul style="list-style-type: none"> ○ Is this a USAID project? ○ Is the project located in a country that is a cash-based economy? ○ Are there any major risks not captured above? If so, please contact Global Ops. | <input type="checkbox"/> | <input type="checkbox"/> |