



UK Research and Innovation



Research England

### Due Diligence Questionnaire

The institution will keep this information on record for the purposes of risk management and compliance. It may be shared with staff, professional advisors, partners, auditors, regulators and funders as required in the performance and assurance of due diligence connected with this project or other research projects where we are collaborating with you.

I/We confirm that I/we have authority to submit this form on behalf of my institution\*

I/We confirm that I/we consent to the information submitted being used for the purposes stated above\*

I/We confirm that all information entered is complete and accurate to the best of my/our knowledge and belief, having made reasonable enquiries\*

The institution may receive requests for access to this information from UK research institutions and research funders who are considering partnering with you. Please confirm if you are happy for the information to be shared for these additional purposes.

I/We confirm that the information can be shared for these additional purposes

I/We do not wish for the information to be shared for these additional purposes

If you do not provide your consent, we will direct any requesting parties to contact you directly.

The information will not be shared with third parties for any other purpose without your prior consent.

Agreed on behalf of \_\_\_\_\_ by

Signatory 1:

Signature	Name	Role	Date

Signatory 2 (if applicable):

Signature	Name	Role	Date

\*required

## SECTION A: ORGANISATION DETAILS

This section is about your organisation as a whole. Please provide information relating to your organisation's overall structures and processes.

### 1. Organisational Governance

- 1.1. Name of organisation:
- 1.2. Country where organisation is based:
- 1.3. Registration number and name of registration body (examples of relevant registration bodies are government, tax, corporation, charity, educational authority):
- 1.4. What is the legal status of the organisation? (for example: public university, private university, charity, private company, non-profit making company, government research organisation, independent research organisation) Please include the date of foundation. *Note: We may be required to ask for evidence of this at a later stage.*
- 1.5. Is your organisation affiliated to any other organisation? (i.e. is your organisation legally part of a larger organisation or a group of larger organisations / Is your organisation connected to any other organisation in an official capacity / does your organisation share any governance structures with another organisation) If yes, please give details.
- 1.6. Please describe the authorisation process within your organisation relating to research grants and the structures in which those decisions are made. (This may be an individual or a designated group such as a board/council/committee.) *You may have an organogram or other document showing how authority for matters relating to research grants is delegated at different institutional levels. If this information is available on your website then you can provide a link to the web page.*
- 1.7. Please provide the name and role/job title of the head of the Organisation (for example Chief Operating Officer / Chief Executive / Principal)
- 1.8. Please provide the name of the key contact for research-related matters and details of their role for the organisation that can provide further information if required (for example the Director of Research and/or Finance, or a designated spokesperson).

### 2. Policy, Processes and Procedures

Please describe how your organisation manages the following matters. You may have a policy for some or all of these areas, in which case please provide this. If your organisational policies and procedures do not correspond to these specific categories, please describe the processes that you follow that have the closest match or are most relevant to the areas listed.

Please include how staff are made aware of your approach and how frequently your organisation's policies, processes and/or procedures are reviewed.

2.1. Anti-fraud, corruption and bribery / whistleblowing

*Refers to reporting systems for wrongdoing in research*

2.2. Travel and subsistence

*How is travel organised – through the institution or personally? Do you have a policy containing acceptable rates and guidance for travellers?*

2.3. Conflict of interest

*Refers to anyone standing to benefit personally or anyone with close relatives or friends who stand to benefit financially from proposed research activities, for example through sub-contracts*

2.4. Safeguarding

*Refers to the protection of all research participants, particularly children under the age of 18 and vulnerable adults, from harm and details an appropriate response when harm does occur. The scope of safeguarding covers sexual exploitation, abuse and harassment and broader forms of violence, abuse and harassment of research participants, communities and research staff*

2.5. Health and Safety

*How do you minimise risk of physical injury to anyone involved in a research project*

2.6. Risk Management

*This could cover travel risk, financial risk, reputational risk etc.*

2.7. Ethics

*Linked to safeguarding – ethics refers to how you ensure appropriate care of human or animal participants in research projects*

2.8. Recruitment and Staffing Policy

*What are your processes for recruiting staff, and do these comply with local labour laws and the UK Modern Slavery Act? Please see FAQ glossary for further information on this*

2.9. Financial Procedures

*Refers to delegation of authority for signing off/approving expenditure, and responsibilities for managing research income and expenditure?*

2.10. Research misconduct

*Refers to an individual deliberately or negligently not adhering to accepted practices in any of the above categories*

2.11. Research data management and data protection

*How do you protect/manage personal and confidential data collected during a research project?*

2.12. Procurement

*What rules/processes do you have in place/must you follow for making purchases? e.g. of equipment or other materials, necessary to carry out a research project*

**3. Response to risks around misconduct, including fraud**

This section is about understanding your organisation's processes for resolving issues relating to misconduct and identifying any areas of risk that may impact the delivery of research projects in order to plan appropriate resolutions.

Where information is requested relating to the last three years, this can mean calendar years, financial years, academic years, or similar. You may provide information relating to the annual periods that your organisation normally reports on.

3.1. Please could you confirm if there have been any instances of fraud or misuse of project funds across the organisation in the last three years? And if so, can you tell us how this was dealt with?

3.2. In the last three years has the organisation been subject to:

- a) any claims or disputes by collaborators in relation to research projects
- b) been required to repay any research funds
- c) been subject to early termination of a research contract where the organisation was at fault?

If so, please give details of the issue(s) and how they were resolved.

3.3. Is the organisation currently or expecting to be involved in any legal proceedings that may impact on achieving the objectives of the project or result in reputational damage to the organisation and/or the individuals involved in the project?

3.4. Could you tell us if any of the organisation's senior staff (since they have been employed at this organisation or whilst employed at a previous organisation) have been found to be involved in, or suspected of, any of the following in the last three years:

- a) fraud
- b) financial misconduct
- c) scientific misconduct
- d) bribery or corruption

If so, how was the organisation made aware of the allegation?

If the allegation was substantiated, can you tell us how this was dealt with?

3.5. Can you provide the name of the key contact and details of their role for the organisation that can provide further information if required?

#### **4. Sub-contract management**

- 4.1. Please could you outline any due diligence that you undertake on your sub-contractors to assess their suitability to carry out the work required *Note: This may be a specific policy or otherwise, please describing your approach to recruiting and managing sub-contractors*
- 4.2. Please provide the name of the key contact and details of their role for the organisation that can provide further information, if required

#### **5. Ability to deliver: grant administration**

- 5.1. Please provide a brief outline of the three biggest research projects (by financial value to your organisation) that your organisation is currently or was recently (in the last three years) working on.
- 5.2. How is research grant administration organised within the organisation?
- 5.3. Does your organisation have a policy or strategy for researcher development? If yes, who is responsible for administering or delivering this?
- 5.4. Who has overall responsibility for the management of research grants across the organisation? This could be an individual or a designated group such as a research office.
- 5.5. How is expenditure on research grants monitored? This includes expenditure relating to staff, travel, equipment and materials purchasing, and invoices.
  - 5.5.1. How do you monitor finances for individual projects separately from the rest of the organisation? E.g. will this be a specific project number / separate bank account?
- 5.6. You will be required to adhere to funder reporting requirements for individual projects. This may include quarterly detailed transaction listings for all expenditure incurred using grant funds, scanned receipts for transactions, and evidence of staff hours worked on the project. Are you able to comply with these reporting requirements if necessary?
- 5.7. How will staff hours worked on research grants be evidenced to ensure staff have worked as stated on grant applications?
- 5.8. Can you provide the name of the key contact and details of their role for the organisation that can provide further information if required? This could be an individual or a designated office.

#### **6. Ability to deliver: finance**

- 6.1. We are required to understand the organisations financial position - do you have audited financial reports for the last three financial years?

- a) If no or your organisation has been established for less than three years, can you provide your most recent finalised financial reports?
  - b) Please provide copies of the financial reports or a link to the web page where they are published if available.
- 6.2. Does the organisation have a bank account held in the organisation's name, which can receive grant funds in GBP? (YES/NO) If no, which currency/currencies are you able to transact in?
- 6.3. Is the organisation able to pay sub-contractors who are based outside of your own country? (YES/NO)
- 6.4. Does your organisation need prior authorisation from another body or government in order to accept and/or disburse funds relating to research projects? If yes, please give details of the circumstances in which this is applicable, the process and timeline for authorisation.
- 6.5. How do you manage foreign currency exchange risks where the income is in a different currency than the expenditure?
- 6.6. Does your organisation have an internal audit function? (YES/NO)
- 6.7. Has your organisation been subjected to any internal/external audits on post award financial research management within the last three years? If not, when was the last time an internal or external audit was carried out, and by who?
- 6.8. Does your organisation hold public liability insurance that covers work relating to externally funded research projects, and to what value or limit? Please give the expiry date and details of the renewal process if applicable.
- 6.9. Do you have professional indemnity insurance that extends beyond the life of the project and to what value or limit?
- 6.10. Can you please provide the name of the key contact and details of their role for the organisation that can provide further information if required?

## 7. Country-specific information

This section is about any external regulations that your organisation must adhere to. This information is being requested to assist with project planning, for example if there are any additional administrative requirements or fees, these can be built into the project timeline. It is important to understand these requirements at the outset, if applicable, in order to work together to ensure the project can run as smoothly as possible.

- 7.1. Are there any local, regional, national requirements that may impact on the project e.g. import controls, ethics, research permit etc.? If so, please describe.

- 7.2. Are there any external fees or charges that the organisation would be subject to in order to be able to carry out externally funded research projects? e.g. fees for ethical review, withholding tax and licenses.

## **SECTION B: PROJECT DETAILS**

This section is exclusively about the research project in question. Please answer these questions with information specific to the way the project will be managed.

### **8. Project Governance**

- 8.1. Please describe the governance and project management arrangements that are specific to this project, including the names and roles of the person/people responsible for academic management and administrative management, if different. Please include how project expenditure is authorised, processed and paid, and who is responsible at each stage.
- 8.2. Please can you provide the names and roles of the following key personnel that are specific to this project, including email and phone number?
  - a) Persons responsible for financial management and reporting
  - b) Key legal contact
  - c) Project manager if applicable (or other administrative support for the project)
- 8.3. Please describe the physical infrastructure in place to deliver the project
- 8.4. Please identify any intended third parties/subcontractors contributing to this project
  - 8.4.1. Please identify which of the of the third parties/subcontractors named above are receiving funds and the amount which will be disbursed to each partner?
- 8.5. If applicable, please provide details of possible conflicts of interest from key personnel, or any of their family or people living within the same household and how this will be managed.
- 8.6. What ethical review will this project be subject to?
- 8.7. Research misconduct - have any of the key personnel been subject to an investigation into research misconduct where the allegations have been upheld?
- 8.8. Have any of the key personnel had publications retracted? (YES/NO) If yes, please give reasons
- 8.9. Do you have any other comments or is there anything else that you feel the project team should be made aware of?



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## **Due Diligence Questionnaire Guidance**

Due Diligence is the investigation, or exercise of care, that a reasonable business or person is expected to take before entering into an agreement or contract with another party. It supports good decision-making – understanding costs, benefits and risks.

This questionnaire is designed to help facilitate successful partnerships, by understanding the way that each of us work we can help support each other throughout the project. It also ensures that all parties are able to meet the funder requirements and to accept the terms and conditions of the grant. As funders require their terms and conditions to be cascaded down to all of those involved in the project, it is important that the project partners understand what is required before the project starts.

The questionnaire provides all project leads with a consistent approach for conducting Due Diligence, with the aim of reducing the administrative burden for all involved.

It is important to realise that it may not always be possible to answer every question, and that a lack of policies or processes does not mean that the project and partnership cannot go ahead, but rather allows the parties to enter into a discussion about how certain elements will be managed.

It may not be appropriate to use the full question set for each partner and you may select to use fewer questions from the set, taking account of the nature of the partner, the value and assessed risks of the planned research project.

This questionnaire has been developed as part of a project led by the Association of Research Managers and Administrators (ARMA) UK, funded by Research England and UK Research & Innovation.

### **Who should complete this form?**

This form should be completed by legal, financial, research management and/or compliance/risk management personnel within your organisation. One individual should be nominated to be the key contact person for this form (in case there are any questions) and also have the authority to sign this form upon submission in order to confirm its accuracy.

### **How should this form be completed?**

The form should be completed, in English, to the best of your knowledge and supply the relevant documentation which is requested. If you are unable to respond to specific questions or provide documents in English, please contact the UK Lead for further support and guidance.

### **What if I have any questions?**

If you have any questions about how to complete the Due Diligence Questionnaire, please contact the UK lead institution by email.

## **Section A: Organisation Details**

### **1. Organisational Governance**

We want to understand what type of organisation you are, how long you have been operating and whether you have a formal attachment to any other organisations. This includes any previous affiliations whereby a formal partner might still retain significant influence over your organisation or retain a high level of access to your organisation and its research or staff.

We are looking to understand how you are registered and with who. Relevant supporting documents may include your registration documents and any Memorandum or Articles of Association.

We are looking to understand how your organisation is structured and what the decision-making processes are.

### **2. Policy and procedures**

We are looking to understand what processes you have in place to manage areas that are important for the success of the research project and what support we can offer to ensure the project's success. URL links to policies (especially those in English) for any of the described areas would be very useful.

We are also looking to understand any regulatory requirements you may have to undertake to participate in the project.

### **3. Response to risks around misconduct, including fraud**

We are trying to understand your organisation's processes for resolving issues relating to misconduct and fraud and identifying any areas of risk that may impact the delivery of research projects in order to plan appropriate resolutions.

### **4. Sub-contract management**

Lead organisations are expected to undertake compliance checks on expenditure incurred by sub-contractors and therefore must understand what due diligence checks you undertake on your sub-contractors and how we can ensure they are operating in accordance with the funder's terms & conditions.

### **5. Ability to Deliver: grant administration**

We are trying to understand what experience your organisation has in participating in and managing externally funded collaborative research projects, including if you have no prior experience of participating in externally funded collaborative research projects.

We are looking to understand the scale and scope of research projects you have previously been involved with. Information about the funder, the total value of the project, and the value of the project you were responsible for and the number of organisations involved in the project would be useful information.

We are trying to understand how externally funded research projects are managed and administered in your organisation.

#### 6. Ability to deliver: finance

We are looking for evidence of how externally funded projects are financially managed within your organisation

We are looking for evidence to support the assessment of the financial security of your organisation and how risks can be mitigated if necessary.

We are looking for evidence that your organisation will still exist during the project to ensure its successful delivery.

We are looking to determine how we can ensure the project funds are paid to your organisation safely.

We are looking to understand what internal and external checks are undertaken within your organisation relating to financial transactions. Supporting evidence could include audit reports from internal or external auditors or financial regulators.

We are trying to establish what insurance cover you have and that it is appropriate for the project being undertaken.

#### 7. Country-specific information

We are looking for any information about requirements that must be taken into consideration when planning the successful delivery of the project. Examples could be issues like import or export controls, local ethics requirements, permits required to undertake projects, government approval to receive funds and the level of any associated fees.

### **Section B: Project Details**

#### 8. Project governance

We are looking for information for how the project will be managed on a day-to-day basis. We would like to know how project-specific risks are managed, how the finances are managed and by who.

We are looking for assurance that the project will be conducted in accordance with all regulatory requirements and that those involved are appropriate for the project being conducted.

We are looking for information about other organisations involved in the project, whether they will receive funds from the project and if so how they are being managed.

We are trying to understand what resources you have available and whether they are sufficient for the project's needs, or if there is anything we can provide to support the successful outcome of the project.

## **Glossary**

<b>Term</b>	<b>Meaning</b>
Affiliated	An official attachment of one organisation to another
Audit	An objective examination and evaluation of the financial statements of an organization to make sure that the financial records are a fair and accurate representation of the transactions they claim to represent
Audited accounts	An organisation's financial records that have been officially examined to check that they are accurate
Bribery	The act of offering someone money or something valuable in order to persuade them to do something
Conflict of interest	A conflict of interest occurs when an entity or individual becomes unreliable because of a clash between personal (or self-serving) interests and professional duties or responsibilities.
Corruption	The abuse of entrusted power for private gain
Due Diligence	A way to identify, evaluate and verify all available information on an individual or entity
Financial procedures	A guide to best practice for all staff with responsibilities for finance administration, including mandatory rules and framework for financial activities.
Fraud	Wrongful or criminal deception intended to result in financial or personal gain
Governance	The framework of rules and practices by which an organisation ensures accountability, fairness, risk management and transparency in its relationship with all stakeholders.
Health & Safety	Regulations and procedures intended to prevent accident or injury in workplaces or public environments.
Insurance	A contract, represented by a policy, in which an individual or entity receives financial protection or reimbursement against losses from an insurance company.
Internal audit	Evaluation of an organisation's internal controls, including its corporate governance and accounting processes.
Physical infrastructure	Buildings, equipment and facilities.
Procurement	The act or process of purchasing something
Project Management	The application of processes, methods, skills, knowledge and experience to achieve specific project objectives according to the project acceptance criteria
Recruitment & Staffing policy	The process of identifying, attracting, interviewing, selecting and hiring employees.
Research data management and data protection	The care and maintenance of the data that is produced during the course of research in accordance with contractual and legal obligations.
Research ethics	A set of principles governing the way any research involving interaction between the researcher and other humans or human tissue or data relating to humans, is designed, managed and conducted.

Research misconduct	The fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.
Risk management	The forecasting and evaluation of risks together with the identification of procedures to avoid or minimise their impact.
Safeguarding	Measures to protect the health, well-being and human rights of individuals, which allow people — especially children, young people and vulnerable adults — to live free from abuse, harm and neglect
Travel & subsistence	The cost of spending on business travel, meals, hotels, sundry items such as laundry and similar ad hoc expenditures. These reimbursements often have tax and related implications and vary depending on the country of the business.
UK Modern Slavery Act	<a href="https://www.gov.uk/government/collections/modern-slavery-bill">https://www.gov.uk/government/collections/modern-slavery-bill</a>
Whistleblowing	The term used when a worker passes on information concerning wrongdoing

**Useful Links:**

Trusted Research for Academia: <https://www.cpni.gov.uk/trusted-research>

Department for Business, Energy and Industrial Strategy Research & Development Roadmap:  
<https://www.gov.uk/government/publications/uk-research-and-development-roadmap>