**Due Diligence Questionnaire (Simplified)**

The completed questionnaire will be retained for the purposes of risk management and compliance.  This information 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 organisation\*

[ ] 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\*

UKRI may receive requests for access to this information from other UK research organisations 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 – (Research Organisation day to day contact)

|  |  |  |  |
| --- | --- | --- | --- |
| Signature | Name | Role | Date |
|   |   |   |   |

Signatory 2 (Vice-Chancellor or other Senior Representative)

|  |  |  |  |
| --- | --- | --- | --- |
| Signature | Name | Role | Date |
|   |   |   |   |

1. **Organisational Governance**

|  |  |
| --- | --- |
| Name of Organisation |  |
| Registered Address |  |
| Country where organisation is based |  |
| What is the legal status of the organisation? Eg Public University, Private University, Charity |  |
| Is your organisation affiliated to any other organization? Please include here if your university is governed by the state it is located in and therefore required to comply with their policies for eg Travel and subsistence etc  |  |
| Please provide the name and role/job title of the legal head of the organisation (for example Vice Chancellor / Chief Operating Officer / Chief Executive / Principal) |  |

1. **Policy, Processes and Procedures**

UKRI grant terms and conditions require Research Organisations in receipt of UKRI funding to have a number of key policies in place.

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 the policies, processes and procedures and how frequently they are reviewed by your organisation.

|  |  |  |
| --- | --- | --- |
| **Policy** | **Description** | **Please provide link to or copy of the policy or policies that cover these requirements.** |
| Anti-Fraud and bribery | Policy (or equivalent) that demonstrates organisations commitment to prevent fraud and bribery. |  |
| Whistleblowing | The process for reporting misconduct and other wrongdoing. |  |
| Travel and Subsistence | A document which sets out the rates your organisation will pay for air travel, train travel, by private car, meals, per diems and accommodation. |  |
| Safeguarding | Prevention of harm to staff and also children and vulnerable adults. This can include anti-bullying, sexual harassment, code of conduct when dealing with children and vulnerable adults etc. |  |
| Risk Management | Policy which describes how the organisation manages risk both across the organisation and for individual projects. |  |
| Research Integrity & Misconduct | Policy which sets out the requirements for good research practice, the process for reporting allegations of misconduct and how these are dealt with at the organisation. |  |
| Data and Cyber Security | Policy for managing access and security of research data and processes the organisation has in place to prevent cyber attacks.  |  |

1. **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.

Please provide information relating to the annual periods that your organisation normally reports on.

Fraud

|  |  |
| --- | --- |
| Have there been any allegations of fraud in regards to research funding in the last 3 years? | YES/NO |
| If yes, please provide details of the amount concerned and the process which was followed. Please DO NOT provide details of the person concerned. |  |

Research Misconduct

|  |  |
| --- | --- |
| Have there been any allegations of research misconduct against any member of staff at the organisation in the last 3 years? | YES/NO |
| If yes, please provide details of the issue and the process which was followed. Please DO NOT provide details of the person concerned. |  |

1. **Sub-contract management**

Are there any collaborators/sub-contractors on this project? YES/NO

If YES, Please provide a copy of the collaboration agreement you intend to use and details of any checks you have undertaken on the organisations and how you plan to manage finances/payments to the organisations.

1. **Ability to Deliver: Grant Administration & Finance**

|  |  |
| --- | --- |
| Please provide contact details for the main person or persons UKRI should contact for finance reports etc This should be a member of the finance or research administration team. |  |
| Please state what finance system your organisation uses to manage grants. |  |
| Can this system provide transaction lists of all transactions charged to the project in a given period? |  |
| UKRI requires staff not working 100% of their time on projects to evidence time spent and therefore charged to projects using eg timesheets. Please state how your organisation manages this. |  |
| Does your organization have an Internal Audit Function? If yes, please provide details of how internal audit is delivered and who it reports toin the organisation. |  |

1. **Project information**

Are there any risks UKRI should be aware of that may prevent the project from being able to deliver its objectives? If yes, please provide details.