



**UK Research
and Innovation**

UKRI Funding Assurance Control Environment Assessment

Research Organisation:	
Assignment Start Date:	
Signed on behalf of the Research Organisation:	
Print name:	
Position:	
Date:	

The purpose of this document is to request an initial set of information upon which to base the testing required to provide assurance on the grants selected for this funding assurance assignment.

The document contains a series of questions and requests for evidence that provide the basis for the assurance work. It is important to ensure that this is as accurate as possible at the time of provision to ensure an efficient and effective assurance review.

The document asks for an assessment of compliance against each question; either ‘yes’, ‘no’ or ‘partial’.

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Section 1: The Control Environment

	Question	Response	Evidence & Contact List
1)	Governance of UKRI Funds Does your organisation have clear policies for financial governance of the grant funding that it receives? <i>Please provide a list of the policy and process documents that you will share with us to provide the evidence on which we will test.</i> <i>Please provide any related policy documents and contact name.</i>	Yes / No Partial	
2)	Assurance on Internal Controls for UKRI Funds Do you have robust processes in place to assure the control environment in which UKRI terms and conditions are met? If 'No' or 'Partial', please identify where you do not meet UKRI terms and conditions. <i>Please provide your latest internal or external audit reports, with particular focus on the following areas:</i> <ul style="list-style-type: none"> • Research Grant Administration • Procurement • Due Diligence • Travel and Subsistence • The system/methodology used for calculating research charge out rates. 	Yes / No Partial	
3)	Staff Awareness of UKRI Terms and Conditions Are processes supporting compliance with UKRI terms and conditions effectively communicated to relevant staff members across your organisation? <i>Please provide evidence of policy and process that ensures staff and students are equipped to comply with UKRI funded grants terms and conditions.</i>	Yes / No Partial	

4)	Fraud Detection and Investigation Have there been any formal cases of fraud or suspected fraud reported, involving Research Funding bodies in the last five years from the date of your response? <i>If yes, please provide details separately including how these were investigated; when and to whom they were reported and details of any financial loss.</i>	Yes / No Partial	
5)	Conflicts of Interest Have you had any declared conflicts of Interest on any UKRI funded grants? If so, please tell us how these have been managed <i>If conflicts of interest have been declared please provide relevant policy and process evidence.</i>	Yes / No Partial	
6)	Systems for Management of UKRI Funds Which financial accounting system do you use for financial management of UKRI awards? If you use separate systems for pre-/post-award grant management then please also specify those here. Please confirm if there have been any recent system changes, or if changes are currently being introduced.		

Section 2a: Pre-Award Processes and Management

	Question	Response	Evidence & Contact List
7)	Pre-Award: Eligibility Do you have systems in place to check eligibility for UKRI funding schemes prior to applications being submitted? <i>Please provide evidence of policy and process that ensures eligibility checks are undertaken prior to UKRI applications being submitted.</i>	Yes / No Partial	
8)	Pre-Award: Costing Does your organisation provide support with costing to applicants applying for UKRI funded grants? <i>Please provide evidence of policy and process that support costing for UKRI applications.</i>	Yes / No Partial	
9)	Pre-Award: Subsidiaries and Individuals Does your organisation cost individuals from its subsidiaries or other organisations in your corporate group to proposals? If so, how do you ensure their eligibility, and how do you treat calculation of any Overheads/FEC Costs (Estates/ Indirect etc.) associated with their inclusion in the proposal?	Yes / No Partial	
10)	Pre-Award: Due Diligence Do you begin performing due diligence on your potential collaborators, partners and subcontractors pre-award? If your due diligence processes only begin Post-Award, how do you justify this? <i>Please provide a copy of any relevant policies/process notes for due diligence, regardless of when you begin the due diligence processes.</i>	Yes / No Partial	

	Question	Response	Evidence & Contact List
11)	Pre-Award: Trusted Research & Innovation Principles Do you ensure that the design of the grant and proposal are in alignment with UKRI's Trusted Research & Innovation Principles ? <i>Please provide any relevant policies and process documents and summarise how you ensure this.</i>	Yes / No Partial	

Section 2b: Post-Award Grant Management

	Question	Response	Evidence & Contact List
12)	Post-Award: Travel & Subsistence Charges Do travel & subsistence costs charged to UKRI grants meet both UKRIs and your own eligibility requirements? <i>Please provide a copy of your travel & expenses policy and relevant process documentation.</i>	Yes / No Partial	
13)	Post-Award: Timesheets for Directly Incurred/Exceptions Staff. Do you maintain timesheets where required (i.e. for staff time charged as Directly Incurred and Exceptions budget headings) and calculate personnel costs in line with UKRI T&Cs? <i>Please provide any relevant policy and process documents that relate to the operation of timesheet systems, validation and authorisation of timesheet data and the method for calculating the cost charged to UKRI grants.</i>	Yes / No Partial	
14)	Post-Award: Contractual Arrangements Are there any sub-contractors, partners or collaborators that you would not use a formal collaboration agreement for? If so, what alternative document would establish the terms of the agreement? <i>Please provide any relevant policy and process documents that describe how your organisation manages payments to sub-contractors/collaborators.</i>	Yes / No Partial	
15)	Post-Award: Partner Expenditure Do you have controls in place to monitor expenditure incurred by your collaborating partners on UKRI grants for which you are the lead organisation? Is expenditure claimed fully supported by receipts? <i>Please provide any relevant policy and process documents that explain how you ensure that partner expenditure is monitored, reviewed and charged to grants in line with UKRI T&Cs.</i>	Yes / No Partial	

	Question	Response	Evidence & Contact List
16)	Post-Award: Equipment Are equipment purchases worth more than £138k (£115k VAT exclusive) registered on the " Equipment.data " national database?	Yes / No Partial	
17)	Post-Award: Official Development Assistance (ODA) Where relevant, do you ensure that grants continue to be ODA compliant? Please summarise how this is achieved. <i>Please provide any relevant policy and process documents that explain how you ensure projects remain ODA compliant.</i>	Yes / No Partial	
18)	Post Award: Ineligible Expenditure Identified on Live Grants Does your organisation have robust processes in place to review expenditure charged to grants during their lifetime and remove ineligible expenditure? Please provide any relevant policy or process documentation that explain the checks undertaken on live grants.	Yes / No Partial	
19)	Post-Award: Stipends and Fees Do you ensure that charges to UKRI grants for student stipends and fees are made in accordance with UKRI terms and conditions? <i>Please provide any relevant policy and process documents that explain how charges are reviewed during the life of the grant, and how you adjust charges in line with changes in student circumstances such as moving to part-time, suspension, termination etc.</i>	Yes / No Partial	
20)	Post-Award: Studentships Are UKRI studentship records updated in UKRI's systems within one month of changes being formally agreed? <i>Please confirm who is responsible for updating the studentship details on UKRI's systems provide and policy or process documents that explain how these changes are managed at your organisation.</i>	Yes / No Partial	

	Question	Response	Evidence & Contact List
21)	Post-Award: Final Expenditure Statements (FES) Do you have effective controls which ensure ineligible expenditure is identified and removed prior to submission of the Final Expenditure Statement (FES) / final financial reporting for your UKRI grants? <i>Please provide any relevant policy or process documentation that explain the checks undertaken prior to submission of the FES / final financial report.</i>	Yes / No Partial	

Section 3: Overheads TRAC/FEC

	Question	Response	Evidence & Contact List	
22)	Methodology Please state which of the following methodologies you are using to calculate your research charge-out rates (indirect, estates, technicians, facilities). <ul style="list-style-type: none"> • TRAC – calculation of own rates in compliance with TRAC requirements. • Organisational own methodology for calculating research charge-out rates per FTE. • Using dispensation rates. 			
23)	Active Research Charge-Out Rates Do you re-calculate research charge-out rates on an annual basis? Please provide the research charge-out rates being applied to UKRI grant applications and indicate when the rates applied from <i>Please provide a copy of the most recent Annual TRAC Return or FEC Questionnaire</i>	Yes / No Partial	<i>Indirect rate (per FTE)</i> <i>Laboratory Estates Rate (per FTE)</i> <i>Non-Laboratory rate (per FTE)</i> <i>Infrastructure Technician rate (per FTE)</i> <i>* Other (please specify)</i> <i>Date that rates were adopted</i> <i>*Please add more lines to report other research rates.</i>	£(TBC) £(TBC) £(TBC) £(TBC) £(TBC)
24)	Research Charge-Out Rates: Management			

	<p>Please provide details of who within your organisation (name, role and function) is/ are responsible for:</p> <ul style="list-style-type: none"> • Maintaining the costing system and calculating the research charge-out rates (indirect, estates, technicians and facilities)? • Updating the research charge-out rates (indirect, estates, technicians and facilities) in the costing tool? 		
25)	<p>Research Charge-Out Rates: Governance</p> <p>Do you have formal governance processes established to oversee the calculation of Research Charge-Out rates?</p> <p>Please provide details of who within your organisation (name, role and function) is/ are responsible for approving / signing off the research charge-out rates?</p> <p><i>Please provide a copy of the paper presented to the accountable officer/ committee that approved the charge-out rates quoted at question 23, and a copy of the notes/ minutes from the meeting to evidence approval.</i></p>	<p>Yes / No</p> <p>Partial</p>	

Annex 1 - Policies

Please complete the table below and provide copies of the relevant documentation or externally accessible links for the documents listed.

Document	Date of publication/ last review	How is this policy disseminated to staff? Please indicate if any special provision is made for new employees (including post-graduate students) and also how staff awareness is maintained.	External link (where applicable)
Any relevant policies/procedural documentation relating to Grant Administration			
Bullying and Harassment policy			
Equality, Diversity and Inclusion policy			
Risk Management policy/strategy			
Policy covering Anti-Fraud, Corruption and Bribery			
Conflicts/Declaration of Interest policy			
Whistleblowing policy			
Procurement policy/relevant procedural documentation			
Travel and Subsistence policy			
Financial Regulations			
Safeguarding Policy			

Modern Slavery Statement

Only applicable if your research organisation has a turnover of greater than £36m

Please provide a link to the Statement on your organisational website.