# **Higher Education Provider (HEP) Approved Non-Fee capped Due Diligence Form**

Complete this form to apply for Standard eligibility, and your organisation is a HEP registered as "Approved (fee cap)" on the Office for Students (OfS) register.

If successful, your organisation will be able to apply for any funding opportunity they meet the criteria for.

## **Resubmissions**

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| If this application is a resubmission, please indicate how it differs substantially to the application previously made, including how it addresses previous areas where change was required.If this isn’t a resubmission, please write ‘N/A’. |
| Response: |

## **Section 1: The Organisation and its Legal Status**

Applicants should complete the following sections.

|  |
| --- |
| 1. Name of Organisation
 |
| 1. Registered address
 |
| 1. Mailing address (if different from above)
 |
| 1. 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. Head of Organisation
 |
| 1. Name of Contact (if different from above)
 |
| 7.1. Telephone number7.2. E-Mail address |
| 8. What is the legal status of your organisation in the UK?  For example: "UK owned and not for profit".**Please provide evidence of your legal status in the UK.**   |
| 9. What is your relationship to UKRI, does it fund your Organisation? **If yes, please provide evidence.** |

## **Section 2: Capability and Capacity to Deliver**

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| 1. Describe the main objectives of your organisation’s research strategy and its relevance to the remit and priorities of UKRI.
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| Response: |
| 1. Please provide evidence that your Organisation has generated at least £0.5 million research income over 3 years or invested the equivalent amount in Research and Innovation.
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| Response: |

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| **Wider Impact of Research** |
| 1. Please provide details concerning what your organisation has done (and plans to do) to maximise the wider impact and value of its research to the benefit of the UK (and wider) economy and society.

New research institutes should include details of their public engagement strategy if they have not yet built up a track record. |  |

## **Section 3: Financial Viability**

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1. Please provide the following information for the last 3 financial years:

**Please attach copies of last 3 years’ audited accounts.****Please attach a breakdown of all sources of research funding from the previous three years, including details of the funding sources and amounts.** |

|  |  |  |  |
| --- | --- | --- | --- |
| Financial Year | Total income £000’s | Total Research income£000’s | % Research income vs Total Income |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| Total |  |  |  |

 |
| 2. Does your organisation have a governing board that is separate from its executive management?**Please provide a link to (or provide) details of the current membership of the board.** |  |
| 3. Are you subject to independent internal audit?If so, who are your internal auditors?**Please provide a copy of your most recent audit report relating to any relevant areas.** |  |
| 4. How regularly does audit review research grants administration? Does this include scrutiny of expenditure of individual research grants to ensure compliance with funder terms and conditions? |  |

## **Section 4: Governance and Control**

|  |  |
| --- | --- |
| 1. Which staff in your organisation are involved in managing research grants?

**Please provide an organogram of your grants management team/department, or, describe how grants are managed in your organisation and by which individuals or groups of individuals.** |  |
| 1. Please provide copies of (or links to) the following policies:
* Anti-Fraud, corruption and bribery
* Bullying and Harassment
* Carbon Management (Net Zero) and Environmental Sustainability
* Compliance with Health and Safety legislation, codes of practice and industry guidance
* Conflicts of Interest
* Data Management (including cyber security)
* Equality and Diversity
* Ethics
* Health and Safety
* Preventing Harm (Safeguarding) – See our [Preventing harm (safeguarding) in research and innovation policy](https://www.ukri.org/publications/preventing-harm-safeguarding-in-research-and-innovation-policy/) web page
* Research Integrity – See our [UKRI Research Integrity](https://www.ukri.org/our-work/supporting-healthy-research-and-innovation-culture/research-integrity/) web page
* Risk management (both across the organisation and for individual projects)
* Travel and Subsistence

*Where no policy exists at present, please detail what steps will be put in place to ensure a policy is in operation before any grant becomes active.* |  |
| 1. Please confirm the process for updating these policies and communicating them to staff.
 |  |
| 1. Where your turnover is more than £36m per annum, please provide a link to your statement on Modern Slavery in compliance with the UK Modern Slavery Act 2015.
 |  |
| 1. Have there been any formal investigations of research misconduct or fraud involving research funding bodies in the last three years?

If yes, please state how many and whether these were upheld. |  |
| 1. What checks are undertaken on expenditure charged to projects to ensure expenditure is eligible and complies with grant terms and conditions?
 |  |
| 1. What kind of financial reports are available? To whom and how often are they issued?
 |  |
| 1. UKRI Grant Terms and Conditions include rules regarding what funds can be moved between different FEC fund headings. Do your systems prevent unauthorised virement and hence expenditure?
 |  |
| 1. How do you keep track of how many staff hours are worked on research grants?

**Please provide a copy of a timesheet template if used for this purpose.** |  |
| 1. Please provide details of how pay scales/salaries are determined.

**If there is a published list of pay scales, please provide a copy or a link to where this information can be found.** |  |
| 1. Please confirm if you intend to use the default rate for Estates and Indirect Costs or if you intend to use your own rates?

*Please note, that the Default rate can only be used if your research income is less than £3m per annum.* **Please complete and provide the** **questionnaire** **found on our** [Self-assessment for project funding under full economic costs – UKRI](https://www.ukri.org/publications/self-assessment-for-project-funding-under-full-economic-costs/) **web page*.*** |  |

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| **Management of sub-contractors** |
| 1. Do you sub-contract to third parties? Are these third parties ever based overseas?

*Please note sub-contracting is defined as funding from the award going to any organisation or person (not directly employed by the lead organisation). This includes organisations you are collaborating with.* |  |
| 1. Under the UKRI terms and conditions, research organisations are required to undertake due diligence on third parties that funding is being sub-contracted to in a risk-based way. Please can you detail what due diligence checks your organisation carries out on sub-contractors domiciled in the UK and when sub-contractors are domiciled overseas.

**Please provide a copy of any due diligence policy or questionnaire used by your organisation for this purpose.** |  |
| 1. How is your relationship with any sub-contracting organisations governed?

**Please provide a copy of a collaborative agreement or memorandum of association used for this purpose.** |  |
| 1. How do you monitor the progress sub-contractors are making on the project and that their expenditure is in line with project objectives?
 |  |

## **Details of Main Funding Service Contact**

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| Please complete the following boxes with details of a main Funding Service contact who should be an administrator at your organisation and will be responsible for keeping us informed of any changes to your organisation as well as being the main point of contact for the Funding Service. Please read our [How research offices use the UKRI Funding Service – UKRI](https://www.ukri.org/apply-for-funding/develop-your-application/how-research-offices-use-the-ukri-funding-service/) guidance.**Note- the main Funding Service contact must not be a grant applicant.**  |
| Name   |    |
| Post   |    |
| Contact E-mail\*   |    |
| Telephone   |    |
| Postal address   |    |

\* This must be an individual email address, not a group or mailbox address.

All information provided to UKRI will be maintained as outlined in the [UKRI Funding Service terms of use.](https://www.ukri.org/who-we-are/terms-of-use/ukri-funding-service-terms-of-use/)

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| **Form completed by**: | Please email the completed form and attachments to the Funding Opportunities team: fundingopportunities@ukri.org |
| Position:Date: |

## **Checklist of Attachments**

|  |  |
| --- | --- |
| **Attachment** | **Included** |
| Evidence of legal status of organisation |  |
| Organogram of your grants management team/department |  |
| Risk management policy |  |
| Anti-Fraud, corruption and bribery policy |  |
| Bullying and harassment policy |  |
| Carbon Management (Net Zero) and Environmental Sustainability  |  |
| Compliance with Health and Safety legislation, codes of practice and industry guidance |  |
| Conflicts of Interest policy |  |
| Data Management policy (including cyber security) |  |
| Equality and Diversity policy |  |
| Ethics policy |  |
| Health and Safety policy |  |
| Preventing Harm (Safeguarding) policy |  |
| Research Integrity policy |  |
| Travel and Subsistence policy |  |
| Statement on Modern Slavery *(where required)* |  |
| Most recent audit report for your organisation |  |
| Latest audit report on management of grants (if not the same as above) |  |
| Last 3 year’s audited accounts |  |
| Breakdown of research funding from last 3 years |  |
| Timesheet |  |
| Published pay scales (unless link provided above) |  |
| Due diligence form/policy |  |
| Collaborative agreement/memorandum of agreement |  |