Partner Due Diligence Questionnaire (Level 1)

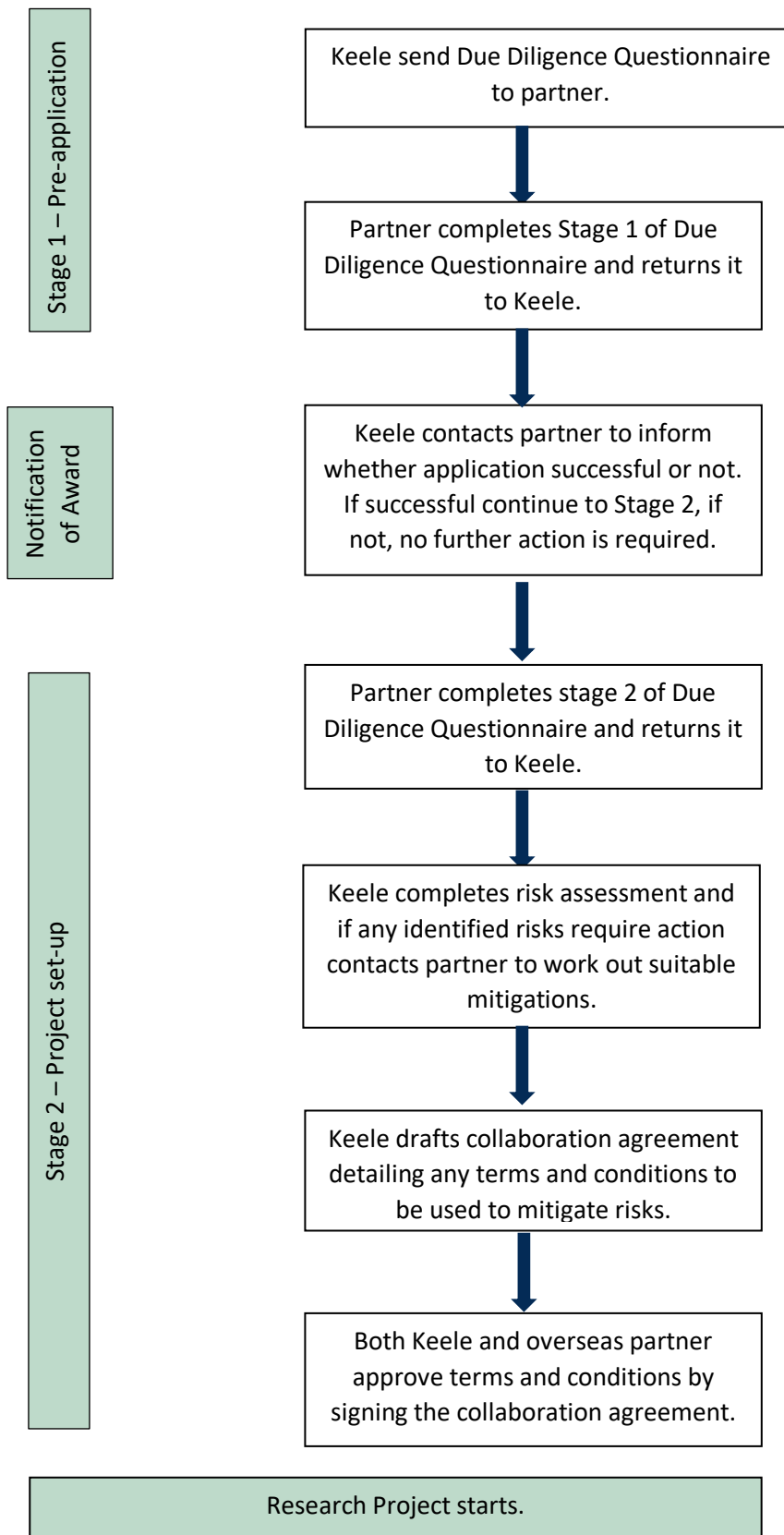**Introduction**

Keele University is passionate about global research and has many overseas partners. UK Research and Innovation requires UK research organisations who are working with overseas partners to have policies and processes in place for a risk-based due diligence process. UK organisations are asked to evidence the due diligence process as part of the funding assurance process and as part of the awarding process for calls such as the Global Challenges Research Fund (GCRF).

The due diligence process is about identifying risks to the delivery of the research project and finding ways to mitigate those risks – it is rarely about whether Keele should work with a partner or not.

This Due Diligence questionnaire is designed to collect the required information for Keele University to conduct its due diligence process in accordance with UKRI and other funders terms and conditions. The process has several stages, which do not need to be completed all at the same time, see Figure 1 for an overview of the process.

If you have any queries please contact research.global@keele.ac.uk and a member of the Research and Innovation Support team will be able to help.

Stage 1 – Pre-application

Keele send Due Diligence Questionnaire to partner.

Partner completes Stage 1 of Due Diligence Questionnaire and returns it to Keele.

Notification of Award

Keele contacts partner to inform whether application successful or not. If successful continue to Stage 2, if not, no further action is required.

Stage 2 – Project set-up

Partner completes stage 2 of Due Diligence Questionnaire and returns it to Keele.

Keele completes risk assessment and if any identified risks require action contacts partner to work out suitable mitigations.

Keele drafts collaboration agreement detailing any terms and conditions to be used to mitigate risks.

Both Keele and overseas partner approve terms and conditions by signing the collaboration agreement.

Research Project starts.

Figure 1 – Due Diligence Process

Stage 1 – to be completed by partner before funding application is submitted

Keele University 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.

Keele University 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 purposes.

☐   I confirm that the information can be shared for these purposes

☐   I do not wish for the information to be shared for these 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.

1 - **Organisational governance** - this section is about your organisation as a whole. Please provide information relating to your organisation's overall structures and processes.		
1.1	Partner Organisation (legal entity) name:	
1.2	Country where organization 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).	
1.9	Please list all the organisations your organisation will need to subcontract with for the delivery of the project?	
	Please look at the questions in Stage 2 as some funders only give 4 weeks turn around for the completion of Stage 2. If you have any queries about what is required for the second stage please contact research.global@keele.ac.uk and we can answer any questions you may have so that you are prepared if the project goes ahead.	
	Can your organisation reply to all questions in stage 2, if required?	

Once you have answered the questions for stage 1 please e-mail this questionnaire to research.global@keele.ac.uk. We will reply with an email acknowledging receipt of your response and any further information that may be useful.

Stage 2 – To be completed by partner organization only if application is successful

SECTION A – ORGANISATION DETAILS

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

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 – this is only relevant if your organisation is sub-contracting as part of the research project		
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 – 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?	
6.7	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.	
6.8	Do you have professional indemnity insurance that extends beyond the life of the project and to what value or limit?	
6.9	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	Name: Role: E-mail: Phone number:
	b) Key legal contact	Name: Role: E-mail: Phone number:
	c) Project manager if applicable (or other administrative support for the project)	Name: Role: E-mail: Phone number:
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?	
6.7	Research misconduct - have any of the key personnel been subject to an investigation into research misconduct where the allegations have been upheld?	
6.8	Have any of the key personnel had publications retracted?	☐ Yes ☐ No
6.9	Do you have any other comments or is there anything else that you feel the project team should be made aware of?	

Document Checklist

Please complete this table to indicate whether you have included the documentation required as part of this assessment.

If you are not able to supply certain documents (for instance a policy not in existence in your organisation) please indicate why this is the case.

Document	Enclosed		Comments
	Y	N	
Evidence of legal status	☐	☐	
Organogram	☐	☐	
Anti-fraud, corruption & bribery policy	☐	☐	
Travel & subsistence policy	☐	☐	
Conflict of interest policy	☐	☐	
Safeguarding policy	☐	☐	
Health and Safety Policy	☐	☐	
Risk Management Policy	☐	☐	
Ethics Policy	☐	☐	
Recruitment and Selection Policy	☐	☐	
Financial Procedures	☐	☐	
Research Misconduct Policy	☐	☐	
Data Management/Data Protection Policy	☐	☐	
Procurement Policy	☐	☐	
Copy of collaboration agreement/MOU used when collaborating/sub-contracting	☐	☐	
Last 3 years audited accounts	☐	☐	
Latest audit management letter	☐	☐	
Researcher Development Policy	☐	☐	
Bank 'Letter of Good Standing'	☐	☐	
License to receive international funding (if relevant)	☐	☐	
Most recent internal audit report	☐	☐	
Internal audit report on grant management	☐	☐	

Declaration

All research grants are subject to the funder Terms and Conditions.

If for any reason you cannot adhere to any of the conditions, please state which ones and the reason why below:

The information provided in this questionnaire should be a true representation of your organisation. If false information has been provided there is a chance this will affect your funding going forwards.

To confirm the above please sign below.

Signed   …………………………………………………………………..

Date   …………………………………………………………………..

Position   …………………………………………………………………..