**Introduction**

This form is for the use of UCL Principal Investigators (PIs) developing overseas research funding proposals involving organisations based in low and middle-income countries (LMICs). It is adapted from the UKRI overseas due diligence (DD) questionnaire and consistent with those used by other universities.

Further information on UCL’s DD policy and process for overseas research partners, along with further guidance, is available on a [dedicated web page.](https://www.ucl.ac.uk/research/support-staff/global-research-funding/due-dilligence/ucl-due-diligence-process)

**What is this questionnaire for?**

This questionnaire is intended to enable PIs to capture, from their overseas partners, the relevant information required as part of UCL’s DD policy and process. It covers:

1. Governance and control
2. Ability to deliver
3. Financial stability
4. Sub-contract management

**When to use this questionnaire**

PIs should ensure that all potential partner organisations are aware of the need to complete this questionnaire at the earliest possible opportunity. UCL’s DD process sets out the latest points by which relevant sections should be completed and supporting documentation provided.

UCL’s DD guidance and policy should be read in full. A brief summary of the process for DD is as follows:

All overseas partners should be asked to complete UCL’s DD questionnaire, unless they have previously done so within the last 36 months and the relevant information is unchanged before any contracts are created, research begins and/or funding is transferred. PIs should work with the partner organisation(s) to complete the relevant sections of the DD questionnaire with all necessary information and obtain relevant supporting documentation.

**How to use this questionnaire**

The relevant sections should be completed and relevant supporting documentation provided in line with UCL’s DD process and in accordance with the initial risk assessment, as set out in UCL’s DD guidance.

PIs should ensure that all potential partner organisations complete, in English, the organisation details below, the relevant sections in accordance with the determination of risk, as well as the document checklist at the bottom of the form. All additional attachments should also be provided in English. Applicants should also provide the relevant approval through the appropriate authorising signature.

Where it is not possible to complete the questionnaire or provide relevant supporting documentation, a brief explanation should be noted and discussed with the HoD and Dean.

**Previous partners**

Organisations which have previously been approved as UCL partners and have provided the relevant information in the past 36 months (and it has not changed since then) do not need to complete this questionnaire in full. However, the PI/partner may be asked to complete project specific questions. Any previous partners for which this information is not available, or which was provided more than 36 months ago, will be required to update the information in accordance with the UCL process (proportionate to risk assessment and application stage).UCL Global Research PO keeps a repository on previous and current partners: k.kertova@ucl.ac.uk

**Updating previously supplied information**

UCL will save questionnaire responses and supporting documentation for a period of 36 months, after which they must be updated. UCL will store the responses to this questionnaire and any associated documentation until seven years after the end of the research project, in line with the requirements of most research funders.

**Risk assessment and approval**

Information provided in this questionnaire and any associated documentation will be used to inform a risk assessment and a recommendation for approval or otherwise of the partnership.

**Section 1: Project details – to be completed by the UCL PI**

|  |  |
| --- | --- |
| Project title |  |
| Funder(s) |  |
| Principal Investigator |  |
| Co-Investigators |  |
| Other research staff involved in the project |  |
| UCL research support contact |  |

**Section 2: Organisation details – to be completed by the UCL PI**

|  |  |
| --- | --- |
| Name of organisation |  |
| Postal address |  |
| Head of organisation |  |
| Name of lead contact (if different from above) |  |
| Telephone number of lead contact (including country code) |  |
| Email of lead contact |  |

**Section 3: Legal status – to be completed by the organisation’s lead contact**

This section confirms the legal status of the organisation.

|  |  |  |  |
| --- | --- | --- | --- |
| 3 | What is the legal status of the organisation? How is it registered and with which official body? | **Please provide:*****An English version of registration documents for the organisation or other legal documents agreeing to its formation*** ***Any Memorandum or Articles of Association or other written rules about running the organisation agreed by the representatives of the organisation.*** |  |

**Section 4: Corporate governance – to be completed by the organisation’s lead contact**

This section refers to governance structures and policies, including fraud, research misconduct, anti-slavery legislation and risk management.

|  |  |  |
| --- | --- | --- |
| **Governance structure**  | **Documentation required** | **Answer** |
| 4.1 | Please provide information on the governance structure of the organisation. | ***Please provide documentation which confirms which representatives of the organisation have the authority to approve contracts.*** |  |
| 4.2 | Does your organisation have a Governing Board that is separate from its executive management?  | ***Please provide the Governing Body current membership.*** |  |
| **Relevant policies and procedures** For questions 4.4 through 4.10, please confirm what policies and procedures are in place that cover each matter, and provide copies of the documents in English, or links to a website where the information is hosted, along with a copy of a date-stamped archive page or screenshot (if the website is not in English, please provide an abstract highlighting key areas in English). Please also indicate the most recent date of review. Where policies and procedures are not in place, please provide a short explanation. |
| 4.3 | Risk management policy / strategy |  |  |
| 4.4 | Detecting, reporting and acting upon misconduct, including research misconduct, and bullying and harassment | ***Please provide a copy of your Scientific misconduct policy and Bullying and Harassment policy.*** |  |
| 4.5 | Ensuring research integrity and appropriate ethical review of research grants |  |  |
| 4.6 | Anti-fraud, corruption and bribery |  |  |
| 4.7 | Whistleblowing  |  |  |
| 4.8 | Equality and diversity |  |  |
| 4.9 | Data management |  |  |
| 4.10 | What is the process for reviewing these policies and how often are they reviewed? |  |  |
| 4.11 | How are these policies communicated to staff and how is staff awareness maintained?  |  |  |
| **Safeguarding & Ethics** |  |
| 4.12 | Does the organisation have a formal child andvulnerable adults safeguarding policy? | ***Please provide copies of relevant safeguarding policies*** |  |
| 4.13 | Does your organisation (and all subcontractors) have documented labour standards, and operate in line with the UK Modern Slavery Act 2015?In particular how does your organisation ensure that your employees and those in your supply chains are not subject to exploitation through:- Slavery, servitude, and forced or compulsory labour- Sexual exploitation- Organ donorship- Force, threats or deception- By virtue of them being a child or other vulnerable person | ***Please provide copies of relevant policies*** |  |
| 4.14 | Describe how ethical standards of research are maintained within the organisation. | ***Please provide copies or relevant ethics and scientific misconduct policies*** |  |
| **Particular instances of risk** |
| 4.15 | Has there been any reported cases of fraud inthe past five years? If so how was it managed and how was the incident resolved? | ***Please provide any fraud investigation reports*** |  |
| 4.16 | Are there any current, pending or threatenedarbitration proceedings (whether as a claimantor defendant), or any prosecution or inquirypending by a government or official body? |  |  |

**Section 5: Financial controls and management – to be completed by the organisation’s lead contact**

This section refers to financial stability.

|  |  |  |  |
| --- | --- | --- | --- |
| 5.1  | What kind of financial reports are available? To whom and how often are they issued? | ***Please provide a copy of the latest management accounts or internal financial reporting available.*** |  |
| For questions 5.2 through 5.4, please confirm what policies and procedures are in place that cover each matter, and provide copies of the documents in English, or links to a website where the information is hosted, along with a copy of a date-stamped archive page or screenshot (if the website is not in English, please provide an abstract highlighting key areas in English). Please also indicate the most recent date of review.Where policies and procedures are not in place, please provide a short explanation. |
| 5.2 | Financial procedures |  |  |
| 5.3 | Detecting, reporting and acting upon financial fraud |  |  |
| 5.4 | Procurement process |  |  |
| 5.5 | Please provide information regarding how your organisation records research grant income and who is responsible for this.  |  |  |
| 5.6 | Please provide the following information about your total research income. **Please provide a copy of the last three financial years’ audited accounts and your latest Audit Findings Report, in English.**  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Financial year** | **Total income (£)** | **Total research income (£)**  | **Research income as %age of total income** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| **Total** |  |  |  |

 |
| 5.7 | Please list the five largest externally funded research projects / collaborations from the past three years. |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Funder** | **Project name** | **Funding value** | **Start date** | End Date |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

 |
| 5.8 | How would any deficit within the organisation be managed? |  |  |
| 5.9 | Is the organisation experiencing a period of stability or financial growth or decline? |  |  |

**Section 6: Conflict of interest – to be completed by the organisation’s lead contact**

|  |  |  |
| --- | --- | --- |
| 6.1 | Does your organisation have a conflict of interest policy? Please provide details.  |  |
| For questions 6.2 and 6.3, please indicate whether anyone listed in section 1 or 2 of this document, any of their family, anyone living in the same household as them, or anyone else with whom they have a close personal relationship, have an actual, perceived or potential interest in either: * personal remuneration or non-financial interests, of any amount, from organisation or project partners involved in the proposed research (other than their employing organisation)? This includes (but is not limited to) pay, commission, consultancies, directorships, honoraria, (past and present), equity interests, forgiveness of debt, property, royalties, and intellectual property rights, and any other remuneration
* non-financial interests, benefits or advantages, including (but not limited to) enhancement of an individual’s career, education or professional reputation; access to privileged information or facilities.
 |
| 6.2 | Personal remuneration or financial interests  |  |
| 6.3 | Non-financial interests, benefits or advantages |  |

**Section 7: Insurance – to be completed by the organisation’s lead contact**

This section confirms insurance policies in place.

|  |  |  |  |
| --- | --- | --- | --- |
| 7.1 | Please confirm if you have public liability insurance and to what value/limit |  |  |
| 7.2 | Please confirm if you have professional indemnity insurance and to what value/limit |  |  |
| 7.3 | Please provide details of other relevant insurance policies (for example, buildings) |  |  |

**Section 8: Accounting – to be completed by the organisation’s lead contact**

This section refers to accounting and receipt of funds.

|  |  |  |  |
| --- | --- | --- | --- |
| 8.1 | What financial accounting system is used by the research organisation? |  |  |
| 8.2 | Can you confirm that the organisation has a bank account in its legal name and that this can be reconciled to the accounting systems? |  |  |
| 8.3 | What is the currency of the bank account that will receive funds and what currency is your accounting system in?  |  |  |
| 8.4 | Will your bank account accept payments in Sterling? | ***Please provide a Letter of Good Standing from your bank, confirming your account details.*** |  |
| 8.5 | Please confirm whether you are able to receive / accept funds from the UK and whether you need prior authorisation from any other body or government in order to receive funds from the UK. |  |  |
| 8.6 | Please confirm whether you are able to disburse funds (for example, to other partners within or outside of your country) and whether you need prior authorisation from any other body or government in order to do so. |  |  |

**Section 9: Research grant management – to be completed by the organisation’s lead contact**

This section refers to research grant management and financial monitoring.

|  |  |  |
| --- | --- | --- |
| 9.1 | How is expenditure on research grants monitored? |  |
| 9.2 | How is grant management administration organised and who has overall responsibility for the management of research grants?  |  |
| 9.3 | Are you able to provide quarterly detailed transaction listings for all expenditure incurred using grant funds, and scanned receipts for all transactions (if required)? |  |
| 9.4 | Is information on financial spend against individual research grants available? How often can this be provided? |  |
| 9.5 | What procedures are in place to prevent ineligible costs being charged to research grants? How are they monitored? |  |
| 9.6 | What is the process for appointing staff employed on research grants and ensuring the correct employment contracts are in place? |  |
| 9.7 | How do you manage foreign exchange risks on projects where income is in a different currency to expenditure? |  |
| 9.8 | What access does your organisation have to wifi? Does your organisation have its own dedicated server? If not, where is the server and who else has access to it? |  |
| 9.9 | Are you subject to frequent outages of electricity? If yes, how frequently does this occur and what affect does it have on your systems? |  |

**Section 10: Audit – to be completed by the organisation’s lead contact**

This section refers to internal and external audit within your organisation, including of research grants.

|  |  |  |  |
| --- | --- | --- | --- |
| 10.1 | Are you subject to independent annual audit? If so, who are your external auditors? | ***Please provide a copy of your most recent external audit report.*** |  |
| 10.2 | Do you have an internal audit service (either internally or using external contractors)? If so please identify the provider, and the approximate number of days per year. | ***Please provide a copy of your most recent internal audit report.*** |  |
| 10.3 | To which body does internal audit report? |  |  |
| 10.4 | How regularly does either internal or external audit review research grants administration or externally funded research grants?  | ***If available, please provide a copy or link to the most recent report, or a summary in English, and summarise any actions that have been taken as a result.*** |  |

**Section 11: Costs – to be completed by the organisation’s lead contact**

This section refers to ensuring costs in line with funder requirements.

|  |  |  |  |
| --- | --- | --- | --- |
| 11.1 | In accordance with funder Terms and Conditions, your organisation will need to provide a valid audit trail to show that any staff charged to the grant have worked as indicated. How do you keep track of how many staff hours are worked on research grants?  | ***Please provide a copy of a timesheet if used for this purpose.*** |  |
| 11.2 | Are the costs requested in your budget based on prescribed rates set within policies and procedures? Who confirms compliance with the costs provided? |  |  |

**Section 12: Travel and subsistence – to be completed by the organisation’s lead contact**

|  |  |  |  |
| --- | --- | --- | --- |
| 12.1 | Do you have a travel and subsistence policy in place? Does the travel and subsistence policy include procedures for making payments for per diem and travel advances?  | **If so,** **please provide a copy or link to a website with this information**. |  |
| 12.2 | How do you ensure that travel and subsistence regulations are applied? |  |  |

**Section 13: Ability to deliver – to be completed by the organisation’s lead contact**

This section refers to your ability to manage and deliver agreed project activities.

|  |  |  |  |
| --- | --- | --- | --- |
| 13.1 | Can you confirm that you have sufficient capacity to deliver the agreed research project activities? Do you foresee any potential obstacles with project delivery? If so, have these been discussed with project partners and a mitigation plan put in place? |  |  |
| 13.2 | What is the structure of the research, administration and/or Finance team which will be supporting this project?. | ***Please give details of how many individuals at each level, their role and their relevant qualifications and experience.*** |  |

**Section 14: Sub-contract management – to be completed by the organisation’s lead contact**

This section refers to funds you are paying to other organisations or people to do work on your behalf.

|  |  |  |  |
| --- | --- | --- | --- |
| 14.1 | Please identify your intended sub-contractors and how much funding will be disbursed to each partner. |  |  |
| 14.2 | Do you have a policy in place to sufficiently manage sub-contractors, including provisions for ensuring their compliance with funder requirements and terms and conditions?  | ***Please provide a copy or link where this is located.******If you do not have a policy, please give details of how sub-contracts are managed and any other relevant evidence of your ability to manage sub-contracted grants.*** |  |
| 14.3 | What is your relationship to these organisations, and how were they identified as sub-contractors? |  |  |
| 14.4 | Do you undertake due diligence on your sub-contractors to assess their ability and suitability to undertake the work required? | ***Copy of due diligence on relevant partners*** |  |
| 14.5 | How will your relationship with any sub-contracting organisations be governed? For instance, do you have in place a contract or memorandum of understanding? | ***Please provide a copy of a recent sub-contract agreement in English, or explicitly state if there are none currently.*** |  |
| 14.6 | What arrangements do you have in place to monitor the progress sub-contractors are making on the project? |  |  |

**Enclosed Document Checklist**

A summary of the information you need to provide or reference as part of this application.

Please note: This can be in the form of a copy or a link to where the document is held and **MUST** be in English.

|  |  |  |
| --- | --- | --- |
| **Corresponding question** | **Document** | **Enclosed** |
| **Y** | **N** |
| 3 | Evidence of legal status |  |  |
| 3 | Memorandum or Articles of Association or similar  |  |  |
| 4.3 | Confirmation of authority to approve contracts |  |  |
| 4.4 | Risk management policy / strategy |  |  |
| 4.5 | Scientific misconduct policy  |  |  |
| 4.6 | Research integrity and ethics policy  |  |  |
| 4.7 | Anti-fraud, corruption and bribery policy |  |  |
| 4.8 | Whistleblowing policy |  |  |
| 4.9 | Equality and diversity policy |  |  |
| 4.10 | Data management policy |  |  |
| 5.1 | Latest management accounts or internal financial reporting |  |  |
| 5.2 | Financial procedures and policies |  |  |
| 5.3 | Policies and procedures for detecting, reporting and acting upon financial fraud |  |  |
| 5.6 | Last three financial years’ audited accounts |  |  |
| 5.6 | Latest Audit Findings Report |  |  |
| 6.1 | Conflicts of interest policy |  |  |
| 8.4 | Letter of Good Standing from your bank |  |  |
| 10.1 | External audit report |  |  |
| 10.2 | Internal audit report |  |  |
| 10.4 | Internal or external audit of research grants administration |  |  |
| 11.1 | Timesheet if used |  |  |
| 12.1 | Travel and subsistence policy |  |  |
| 14.2 | Sub-contract management policy |  |  |
| 14.3 | Recent sub-contract agreement |  |  |

## 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 you have provided will be shared with other research organisations and funders, if for any reason you cannot comply with this please give further details 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 …………………………………………………………………..

|  |  |  |  |
| --- | --- | --- | --- |
| **VERSION HISTORY** | For UCL USE ONLY  |  |  |
| VERSION NO. | 2.0.0 | CURRENT VERSION DATE | 22/11//2019 |
| EFFECTIVE DATE | 22/11/2019 | EXPIRATION DATE |  |
| RESPONSIBLE PERSON | UCL ODA Partnerships Officer | RESPONSIBLE DEPARTMENT | School of Life and Medical Sciences (SLMS) Research Coordination Office (RCO) |
| WRITER | UCL Global Partnerships Officer & UCL Global Research Facilitator | APPROVAL |  |
| PREVIOUS VERSION | Previous version based on 2018 UKRI questionnaire  | RATIONALE FOR CURRENT VERSION | Changes to reflect amendments made to the UKRI DD questionnaire  |