

Example templates for the various funding amounts and organisations can be found below:

- Any organisation receiving funding of up to £10k
- Charity or Other organisation receiving funding of between £10 and £50k
- Commercial (business) organisation receiving funding of between £10 and £50k
- Public Body organisation receiving funding of between £10 and £50k

Organisation type: Any(<£10k)

ORGANISATION DETAILS

This section is about your organisation as a whole. If your application is successful, you will be asked to provide information relating to your organisation’s overall structures and processes.

Organisational Governance

1.1 Name of Organisation	
1.2 Registered Address	
1.3 Country where Organisation is based.	
1.4 Registration Number and name of Registration Body <i>(examples of the relevant registration bodies are government, tax, corporation, charity, educational authority).</i>	
1.5 What is the legal status of the organisation? <i>(for example: public university, private university, charity, private company, non-profit making company, government research organisation, independent research organisation)</i> <i>Please include the date of foundation. Note: We may be required to ask for evidence of this at a later stage.</i>	
1.6 Is your organisation affiliated to any other organisation? <i>(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 have affiliations to military, security agencies or police / does your organisation share any governance structures with another organisation) If yes, please give details.</i>	
1.7 Please provide the name and role/job title of the legal head of the organisation <i>(for example Vice Chancellor / Chief Operating Officer / Chief Executive / Principal)</i>	
1.8 Please describe the governance within your organisation relating to research and the structures in which decisions regarding research are made <i>(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 is delegated at different institutional levels. If this information is available on your website then you can provide a link to the web page.</i>	
1.9 Please provide the name of the key contact for research and details of their role within your organisation. <i>This should be a contact that can provide further information on due diligence-related matters if required (for example the Director of Research and/or Finance, or a designated spokesperson).</i>	

Country-specific Information

This section is about any external regulations that your organisation must adhere to. If your application is successful, this information will be 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, or national requirements that may impact on the project; e.g. import controls, ethics, research permit, etc...?

If Yes, 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.



Organisation type: Charity/other £10k-£50k

ORGANISATION DETAILS

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Policy, Processes and Procedures



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Documents Enclosed:	Documents or links. If none available, please give reasons.	
<p>2.1 Anti-Fraud, corruption and bribery / whistleblowing Refers to reporting systems for wrongdoing in research</p>		
<p>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?</p>		
<p>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. Conflicts of interest also refers to the acquisition of knowledge and research by competitors for example, where multiple researchers/research groups are working in the same field of research, or those with military/security sponsorship or links who are working on a civilian project with dual uses.</p>		
<p>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, bullying, psychological abuse, physical violence, and other broader forms of violence, abuse and harassment of research participants, communities and research staff.</p>		
<p>2.5 Health and Safety How do you minimise risk of physical injury to anyone involved in a research project?</p>		
<p>2.6 Risk Management Refers to the process of identification, mitigation and management of risk which could include travel risk, financial risk and reputational risk etc. both in relation to the project and across the organisation as a whole.</p>		
<p>2.7 Ethics Linked to safeguarding – ethics refers to how you ensure appropriate care of human or animal participants in research projects.</p>		
<p>2.8 Recruitment and Staffing Policy What are your processes for recruiting staff, and do these comply with local labour laws? UK Universities are committed to and comply with the UK Modern Slavery Act 2015, a legislation which fights modern slavery, servitude and forced or compulsory labour and human trafficking and makes provision for the protection of victims. Can you provide information about similar legislations and regulations which apply to your country and can you confirm that your organisation and subcontractors comply with that legislation?</p>		
<p>2.9 Financial Procedures</p>		



<p><i>Refers to delegation of authority for signing off/approving expenditure, and responsibilities for managing research income and expenditure?</i></p>		
<p>2.10 Research Misconduct <i>Refers to an individual deliberately or negligently not adhering to accepted practices in any of the above categories.</i></p>		
<p>2.11 Data Protection <i>UK Research Organisations are governed by the General Data Protection Regulations (GDPR) and the Data Protection Act 2018 which sets out the rules an organisation must follow when processing personal data.</i> <i>Can you provide information about similar legislations and regulations which apply to your country and can you confirm that your organisation and subcontractors comply with that legislation?</i></p>		
<p>2.12 Research Data Management <i>Refers to how research data is recorded, stored and archived securely at your organisation and how research data is shared to contribute to the impact of the research.</i></p>		
<p>2.13 Procurement <i>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?</i></p>		

Response to Risks around Misconduct, including Fraud

<p>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. Please provide information relating to the annual periods that your organisation normally reports on.</p>		
<p>Documents Enclosed / Response:</p>		
<p>3.1 Please could you confirm if there have been any instances of fraud/attempted fraud or misuse of project funds across the organisation in the last three years? And if so, can you tell us the value and how this was dealt with?</p>		
<p>3.2 In the last three years, has the organisation been subject to:</p>		
<p>a) Any claims or disputes by collaborators in relation to research projects?</p>		
<p>b) Been required to re-pay any research funds?</p>		
<p>c) Been subject to early termination of a research contract where the organisation was at fault?</p>		
<p>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?</p>		
<p>3.4 Could you tell us if any staff who hold positions of significant authority for the organisation (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:</p>		
<p>a) Fraud</p>		
<p>b) Financial Misconduct</p>		



c) Scientific Misconduct		
d) Bribery or corruption		
e) Safeguarding misconduct		
3.5 Can you provide the name of the key contact and details of their role in your organisation that can provide further information if you answered 'yes' to any of the questions above?		

Ability to Deliver: Grant Administration

5.1 Please provide a brief outline of the three biggest externally funded research, innovation and/or teaching projects (by financial value to your organisation) that your organisation is currently or was recently (in the last three years) working on.				
Funder	Project Name	Funding Value	Start Date	End Date
Please provide brief notes on the following:				
5.2 Does your organisation have a team(s) that provide administrative support service to research projects? What services do they provide? E.g. finance monitoring, contract management etc.				
5.3 Does your organisation provide training and support in the form of researcher development? If yes, please summarise the type of training and support provided.				
5.4 Who has overall responsibility for the management of externally funded projects across the organisation? This could be an individual or a designated group such as a research office.				
5.5 How is expenditure on externally funded projects 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 providing 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 does your organisation record and evidence the number of hours worked by staff on externally funded projects e.g. timesheets?				
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<p>7.1 Are there any local, regional, or national requirements that may impact on the project; e.g. import controls, ethics, research permit, etc...?</p> <p><i>If Yes, please describe.</i></p>	
<p>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?</p> <p><i>E.g. fees for ethical review, withholding tax and licenses.</i></p>	



Organisation type: Commercial £10k-£50k

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Documents Enclosed:		
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2.2 Travel and Subsistence <i>How is travel organised – through the institution or personally? Do you have a policy containing acceptable rates and guidance for travellers?</i>		
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2.9 Financial Procedures		



<p><i>Refers to delegation of authority for signing off/approving expenditure, and responsibilities for managing research income and expenditure?</i></p>		
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2. Response to Risks around Misconduct, including Fraud

<p>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. Please provide information relating to the annual periods that your organisation normally reports on.</p>		
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<p>f) Fraud</p>		
<p>g) Financial Misconduct</p>		
<p>h) Scientific Misconduct</p>		



i) Bribery or corruption		
j) Safeguarding misconduct		
3.5 Can you provide the name of the key contact and details of their role in your organisation that can provide further information if you answered 'yes' to any of the questions above?		

4. Sub-contract Management

Please provide brief notes and policies on the following:	
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. <i>Note: This may be a specific policy or otherwise, please describe your approach to recruiting and managing sub-contractors.</i>	
4.2 Please provide the name and details of the person(s) responsible for the selection and management of subcontractors, who can provide further information, if required.	
4.3 <i>UK Universities are committed to and comply with the UK Counter-Terrorism (Sanctions) (EU Exit) Regulations 2019 that further the prevention of terrorism in the UK or elsewhere and protect UK national security interests. It is through this regime that the UK implements its international obligations under UN Security Council Resolution 1373.</i> Can you provide information about similar legislations and regulations which apply to your country and can you confirm that your organisation and subcontractors comply with that legislation?	

5. Ability to Deliver: Grant Administration

5.1 Please provide a brief outline of the three biggest externally funded research, innovation and/or teaching projects (by financial value to your organisation) that your organisation is currently or was recently (in the last three years) working on.				
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<p>5.8 If different to Question 1.9, please 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.</p>		

6. Income

<p>6.1 We are required to understand your organisation’s financial position:</p>			
<p>6.1.1 Are you able to provide copies of audited financial reports for the last three financial years? Please provide electronic copies or a link to the web page where they are published.</p>			
Year (Last 3 Years)	Total Income	Total Research Income	Percentage of Research vs Total Income
Totals			
<p>6.1.2 If no, or your organisation has been established for less than three years, can you provide your most recent finalised financial reports?</p>			
<p>6.2 Does the organisation have a bank account held in the organisation’s name, which can receive grant funds in GBP? <i>If No, which currency/currencies are you able to transact in?</i></p>			
<p>6.3 Is the organisation able to pay sub-contractors who are based outside of your own country?</p>			
<p>6.4 Does your organisation need prior authorisation from another body or government in order to accept and/or disburse funds relating to research, innovation or teaching projects? <i>If Yes, please give details of the circumstances in which this is applicable, the process and timeline for authorisation.</i></p>			
<p>6.5 How does your organisation manage foreign currency exchange risks where the income is in a different currency than the expenditure?</p>			
<p>6.6 Does your organisation have an internal audit function?</p>			
<p>6.7 Has your organisation been subjected to any internal/external audits on post award financial research management within the last three years? <i>If No, when was the last time an internal or external audit was carried out, and by who?</i></p>			
<p>6.8 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. <i>If No, is this cover provided in another way?</i></p>			



<p>6.9 Does your organisation have professional indemnity insurance that extends beyond the life of the project and to what value or limit?</p>		
<p>6.10 If different to Questions 1.9 and 5.8, 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?</p>		

7. Country-specific Information

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Organisation type: Public body £10k-£50k

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<p>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. Please provide information relating to the annual periods that your organisation normally reports on.</p>		
Documents Enclosed / Response:		
<p>3.1 Please could you confirm if there have been any instances of fraud/attempted fraud or misuse of project funds across the organisation in the last three years? And if so, can you tell us the value and how this was dealt with?</p>		
<p>3.2 In the last three years, has the organisation been subject to:</p>		
<p>g) Any claims or disputes by collaborators in relation to research projects?</p>		
<p>h) Been required to re-pay any research funds?</p>		
<p>i) Been subject to early termination of a research contract where the organisation was at fault?</p>		
<p>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?</p>		
<p>3.4 Could you tell us if any staff who hold positions of significant authority for the organisation (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:</p>		
<p>k) Fraud</p>		
<p>l) Financial Misconduct</p>		



m) Scientific Misconduct		
n) Bribery or corruption		
o) Safeguarding misconduct		
3.5 Can you provide the name of the key contact and details of their role in your organisation that can provide further information if you answered 'yes' to any of the questions above?		

Country-specific Information

<p>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.</p>		
<p>Please provide brief notes and policies on the following:</p>		
<p>7.1 Are there any local, regional, or national requirements that may impact on the project; e.g. import controls, ethics, research permit, etc...?</p> <p><i>If Yes, please describe.</i></p>		
<p>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?</p> <p><i>E.g. fees for ethical review, withholding tax and licenses.</i></p>		