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# **DEPA – Due Diligence questionnaire**

We welcome your application for funding. To help us get started, please answer as many of these questions as you can. We need to collect this information to show our funders that we are spending our money wisely. It will also help us support you as well as possible. You can re-use material from other parts of your application form if you want. We only need one or two sentences for each answer.

## Project details

|  |  |
| --- | --- |
| **Project Title** | Click or tap here to enter text. |
| **Lead investigator at your organisation** | Click or tap here to enter text. |
| **Names of any other investigators or research staff involved in this project at your organisation** | Click or tap here to enter text. |
| **Lead administrative contact at your organisation:**  **Name**  **Telephone number**  **Email address** | Click or tap here to enter text. |
| **Organisations involved within your project:**  **Name**  **Telephone number**  **Email address** | Click or tap here to enter text. |

## Organisation details:

|  |  |
| --- | --- |
| **Name of Organisation** | Click or tap here to enter text. |
| **Postal Address** | Click or tap here to enter text. |
| **Head of Organisation** (Please provide the name and role/job title of the head of the Organisation (for example Chief Operating Officer / Chief Executive / Principal)) | Click or tap here to enter text. |
| **Registration number and name of registration body** (examples of relevant registration bodies are government, tax, corporation, charity, educational authority): | Click or tap here to enter text. |
| **Please describe the authorisation process within your organisation relating to Project 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). | Click or tap here to enter text. |

## Legal Status of Organisation

|  |  |  |  |
| --- | --- | --- | --- |
| **What is the** [**legal status**](https://knowhownonprofit.org/setting-up/setting-up-a-charity/legal-forms-for-non-profits-1) **of your organisation?** (for example: public university, private university, charity, private company, non-profit making company, government research organisation, independent research organisation). | Click or tap here to enter text. | | |
| **What date was your organisation founded?**  Note: We may be required to ask for evidence of this at a later stage. | Click or tap here to enter text. | | |
| **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. | Click or tap here to enter text. | | |
| Can you provide us with a copy of the document agreeing to the formation of the organisation and/or the rules about how it is run? (for example: Memorandum or Articles of Association, Rules, Partnership deed, Trust deed, or Constitution) | Click or tap here to enter text. | | |
| **3. Governance of Organisation – Part 1**  Can you provide a document which shows who at your organisation has the authority to approve/sign contracts? | | | |
| Click or tap here to enter text. | | | |
| **4. Governance of Organisation – Part 2**  **4.1** Does your organisation have policies and/or procedures in place for the following? | | | |
| 1. Detecting, reporting and acting upon scientific misconduct | | yes ☐ | no ☐ |
| 1. Ethical review of research grants | | yes ☐ | no ☐ |
| 1. Risk Management | | yes ☐ | no ☐ |
| 1. Anti-Bribery | | yes ☐ | no ☐ |
| 1. Data Protection | | yes ☐ | no ☐ |
| 1. Research data management | | yes ☐ | no ☐ |
| 1. Safeguarding children and young people | | yes ☐ | no ☐ |
| *Where ‘yes’ – please provide copies of the relevant policy/procedure*. | | | |
| **4.2** As part of the support we provide to all our funded projects, we will help you to make and maintain a confidential risk register to help you manage them. **Are there any particular risks for your project that should be on the register?** | | Click or tap here to enter text. | |
| **4.3** As part of the support we provide to all our funded projects, we will help you consider the ethical implications of your research practice and ensure that your research is conducted ethically. **Are there any ethical issues you would like to discuss now?** | | Click or tap here to enter text. | |
| **5. Costs** | | | |
| 1. Tell us about your project team’s experience in managing projects’ budgets, processing payments, preparing invoices, keeping accounts, and storing documentation securely. | | | |
| Click or tap here to enter text. | | | |
| 1. What support for this work do you have access to, within your organisation, outside the project? | | | |
| Click or tap here to enter text. | | | |
| 1. Do you need any support for financial management from us at the Network? | | | |
| Click or tap here to enter text. | | | |
| 1. How do you keep track of how many hours staff work on Project grants? (Please provide a copy of a timesheet if available) | | | |
| Click or tap here to enter text. | | | |
| 1. Are the costs requested in your budget based on agreed rates set by your organisation? | | | |
| Click or tap here to enter text. | | | |
| **6. Conflict of interest**  Does anyone listed in the ‘project details’ section above, any of their family, or anyone living in the same house as them, have an (actual, perceived or potential) interest in any of the following categories?  (Names do not have to be provided where the interest relates to a family member or person living in same house) | | | |
| **6.1** Financial gain, of any amount, from organisations involved in the research (other than their employing organisation)? This includes consultancies, directorships, honoraria (past and present) and any other remuneration. | | | |
| Click or tap here to enter text. | | | |
| **6.2** Shares or financial interests of £5,000 or more, or more than 1% of the total shares in the company, in organisations which are involved in or might benefit from the research. | | | |
| Click or tap here to enter text. | | | |
| **6.3** Support (financial or in-kind) from commercial organisations involved in the grant or which might benefit from the outcome of the research, including intellectual property whose value may be affected by the outcome of the research (except for cases which form part of the application). | | | |
| Click or tap here to enter text. | | | |
| **6.4** Unpaid involvement with any organisation named on the application or which might benefit from the research or its outcomes, for example non-executive or advisory positions, directorships and other positions of authority. | | | |
| Click or tap here to enter text. | | | |
| **6.5** Political or pressure group associations relevant to the subject of the research. | | | |
| Click or tap here to enter text. | | | |

## Document Checklist

A summary of the information you need to reference as part of this questionnaire. This can be in the form of a copy or a link to where the document is held and can be in any language (though English would be preferred if available):

Please confirm and submit what you can at this stage, this will not preclude you from receiving funding at this stage.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Section** | **Document** | **Enclosed** | | **If No, please give reason** |
| **Yes** | **No** |
|  | **Legal Status of Organisation** | ☐ | ☐ | Click or tap here to enter text. |
|  | **Governance Structure** | ☐ | ☐ | Click or tap here to enter text. |
|  | **Ethics Policy** | ☐ | ☐ | Click or tap here to enter text. |
|  | **Risk Management Policy** | ☐ | ☐ | Click or tap here to enter text. |
|  | **Anti-Bribery Policy** | ☐ | ☐ | Click or tap here to enter text. |
|  | **Data Protection Policy** | ☐ | ☐ | Click or tap here to enter text. |
|  | **Data Management Policy** | ☐ | ☐ | Click or tap here to enter text. |
|  | **Example of Timesheet** | ☐ | ☐ | Click or tap here to enter text. |

## UKRI Declaration

All research grants are subject to the Research Councils’ Terms and Conditions https://www.ukri.org/files/legacy/news/grant-fec-tcs-january-2018-v1-pdf/. If for any reason you cannot agree to any of them, please state which ones and why below.

|  |  |  |
| --- | --- | --- |
| **On behalf of the research organisation I can confirm that we accept all Research Councils' Terms and Conditions with regards to Research Grants.** | Yes ☐ | No ☐ |
| **If no, please give further details here.**  Click or tap here to enter text. | | |

## Authorisation

This form should be signed by someone who has the authority to sign contracts on behalf of the organisation. The form should not be signed by the Principal Investigator or a member of the project team.

**I confirm that the responses supplied in this questionnaire represent a true and accurate record:**

|  |  |
| --- | --- |
| **Signature:** | Click or tap here to enter text. |
| **Name:** | Click or tap here to enter text. |
| **Role:** | Click or tap here to enter text. |
| **Date:** | Click or tap here to enter text. |

The Open University will store your responses to this questionnaire (and any attached documentation) until 7 years after the end of the research project. This policy is in line with the requirements of most research funders.

The Open University may also wish to share your responses to this questionnaire with other UK Universities and research funders, to help them undertake the necessary checks if you are a partner in any future research projects. ***This is optional***. If you are happy for your responses to this questionnaire to be shared like this, please confirm below.

**I confirm that I approve The Open University to share the responses supplied in this questionnaire with other UK Universities and UK research funders. At times The Open University may be required to share information with the AHRC for reporting purposes. (*optional*):**

|  |  |
| --- | --- |
| **Signature:** | Click or tap here to enter text. |
| **Name:** | Click or tap here to enter text. |
| **Role:** | Click or tap here to enter text. |
| **Date:** | Click or tap here to enter text. |