**University of St Andrews**

**Due diligence pre-award form**

**Purpose of form**

This document (which draws on guidance from the main UK funder, UK Research and Innovation[[1]](#footnote-2)) relates to the pre-award stage described in the University of St Andrews’ policy and procedure ‘Due diligence on overseas research partners’, which applies to all research activity wherein the University will transfer research grant funding, irrespective of the source of that funding, to an overseas partner organisation (OPO) that will then control the spending of those funds.

As per the University policy, we seek to undertake as speedy and minimally burdensome a process as is possible. To do this, we:

* ask for this initial check, to avoid the need to take unforeseen action at award stage; and
* do so by asking the St Andrews Principal Investigator to provide information we would reasonably expect them to know at the time of composing an application, to aim to avoid excessively and unnecessarily burdening the OPO with requests for information.

**Guidance for filling out this form**

* This form needs to be completed by the University of St Andrews Principal Investigator for **each OPO for each project** that is in the scope of the policy.
* **Do NOT complete this form for any OPO in a host country that is listed as having a score of 70 or greater on the most recent Corruption Perception Index.**[[2]](#footnote-3)
* Please complete as much of this form as you can on your own and minimise requests to the OPO: the form is designed to be completed without such requests being necessary.
* Complete the form **fully**, following the **guidance**, and disclosing on the form all relevant information **in your knowledge at the time of completing this form**. The aim of gathering this information is to make your project with the OPO as simple and problem-free as possible, by drawing on as much information as possible. Disclosing information that may reflect negatively on the OPO will not automatically result in a rejection of the request to transfer control of funds to the OPO or a delay in the due diligence process; it will be used to make an informed decision about how to proceed. However, non-disclosure of such information could cause significant problems at a later point in the partnership with the OPO should a problem arise.

PIs should bear in mind that:

* This is only the initial pre-award check, not the entirety of the process. The contents of this completed form will be reviewed to determine which, if any, post-award due diligence checks on the OPO will be required.
* Your project may be audited at a later date. Please keep a copy of your completed form for your project records.

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| **Section 1. Project** | |
| * 1. **Research project title** |  |
| * 1. **Funder** |  |
| * 1. **Anticipated funding announcement date** |  |
| * 1. **Anticipated project start date**   ***i.e. date by which you want to have transferred funds to the OPO*** |  |
| **Section 2. University of St Andrews (USTAN) Principal Investigator (PI)** | |
| * 1. **USTAN PI name** |  |
| * 1. **USTAN PI School / Department** |  |
| **Section 3a. Overseas partner organisation (OPO): organisational** | |
| * 1. **Name and address of the OPO** |  |
| * 1. **Legal form of OPO**   ***e.g. NGO, charitable research institute, Government agency, business, etc.*** |  |
| * 1. **Parent/subsidiary affiliations**   ***e.g. research centre is part of a hospital, company is part of group of companies*** |  |
| * 1. **Link to OPO web presence** |  |
| * 1. **Approx. number of years the OPO has been in existence**   ***State in months if less than 1 year*** |  |
| * 1. **Brief description of the OPO’s role in the project**   ***e.g. the tasks/services/activities they are providing/undertaking, indicating whether the OPO will act as a collaborator and/or service provider[[3]](#footnote-4)*** |  |
| * 1. **Existing interactions with the OPO**   ***Give an indication of any existing interactions at these 3 levels, indicating the length and ‘closeness’ of the interaction and providing URLs to examples of existing/previous collaborations, where possible*** | **Between the USTAN PI and the OPO** |
| **Between USTAN and the OPO** |
| **Between the OPO and other Universities worldwide** |
| * 1. **Are you aware of any (or any relative of any) employee, representative, prospective student, matriculated student, or alumnus/a of the University of St Andrews, having a conflict of interest in the OPO?**   ***Please use*** [***this definition of conflict of interest***](http://www.businessdictionary.com/definition/conflict-of-interest.html) | **Click to select**  If YES, provide details: |
| **Section 3b. Overseas partner organisation: reputational** | |
| * 1. **Is there any online evidence that the OPO has been engaged/involved in, or is alleged to have been engaged/involved in, any improper or questionable conduct?**   ***for example, abuse, bribery, fraud, tax evasion, corporate manslaughter, armed conflict, involvement with the arms trade, corruption, discrimination, exploitation, extremism, research misconduct, health and safety breaches, human rights violations or slavery[[4]](#footnote-5)***  **Click to select**  If YES, provide details: | |
| * 1. **In your opinion, might a relationship with this OPO: i) raise potentially damaging interest from the media; ii) raise interest from campaign/pressure groups; and/or iii) raise other reputational complications for the University?**   **Click to select**  If YES, provide details: | |
| **Section 3c. OPO: financial** | |
| * 1. **Value of funds to be passed into the control of the OPO**   ***Please provide values in GBP. Use the values in your project’s FAS costing if you have this at the point of completing this form, otherwise provide best estimates*** | **Overall value** |
| **Total for salaries** |
| **Total for equipment and consumables, e.g. computers, lab supplies** |
| **Total for travel-related services and subsistence, e.g. accommodation, transport and translation** |
| **Total for sub-contractors** |
| **Total for other spend, indicating the type(s) of spend** |

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| **USTAN PI: Declaration and signature** | | | |
| * I have completed this form fully, performing all checks as directed by the guidance, and I have disclosed on this form all relevant information that is in my knowledge at the time of completing it. * I am aware that this form does not replace any other research finance/integrity/ethics/governance requirements, which (if applicable) I will undertake. * I have stored the final completed copy of this form as part of my research project paperwork. | | | ***(single click to check box)*** |
| **USTAN PI signature** |  | **Date** | Click or tap to enter a date. |

**Send a copy of this completed form to** [**your School/Department’s FAS contact**](https://www.st-andrews.ac.uk/finance/financialadviceandsupportteams/)

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| **FOR OFFICE USE ONLY (FAS contact): Check of existing master list for entry on previous due diligence** | | |
| **Has any previous due diligence been undertaken on the OPO?** | **Click to select** | |
| **Have any issues previously been encountered with this OPO?** |  | |
| *If yes, complete the next section, otherwise leave empty* | | |
| **Date of previous due diligence** | Click or tap to enter a date. | |
| **Total value of funds awarded to OPO this financial year to date** |  | |
| **Total value of funds awarded to OPO over the lifetime** |  | |
| **Levels of risk identified pre-award** | **Financial** | **Non-financial** |
| **Click to select** | ***Were any post award checks required?***  **Click to select** |
| **Levels of risk identified post-award** | **Financial** | **Non-financial** |
| **Click to select** | **Click to select** |
| **Outcome**  ***If was escalated post-award and any mitigating actions were required, please briefly summarise*** |  | |

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| **FOR OFFICE USE ONLY (FAS reviewer): Review (financial)** | |
| **Are there any financial sanctions or embargoes in place?**  ***(Please perform a quick Google search and check*** [***these UK Government lists***](https://www.gov.uk/government/publications/financial-sanctions-consolidated-list-of-targets)***[[5]](#footnote-6))*** | **On the OPO** |
| **On the country (in which the OPO is based)** |
| **What is the** [**Corruption Perception Index**](https://www.transparency.org/cpi2018) **score of the country in which the OPO is based?** |  |
| **Are there readily available published Financial Statements for the OPO?**  **If so:**  **What is the audit opinion?**  **Are the Auditors internationally recognised?**  **What is the general financial health of the OPO**  ***(ratio analysis to be completed)*** |  |
| **Conclusion of review** | |
| **Reviewer name** |  |
| **Reviewer job title** |  |
| **Comments on review** |  |
| **Decision: what is the risk level associated with this OPO in this project?**  ***If medium or high risk, please indicate which questions, if any, should be excluded from the questionnaire*** | **Click to select** |
| **Reviewer signature** |  |
| **Review date** | Click or tap to enter a date. |
| **FOR OFFICE USE ONLY (RIS reviewer): Review (non-financial)** | |
| **Regarding the country in which the OPO is based, what kind of national provisions are in place for the three issues mentioned?**  ***Note whether there is any reason to have any concerns about national provision in these areas, given the nature of the project and the role of OPO*** | **Modern slavery**  <https://www.ilo.org/dyn/normlex/en/f?p=1000:1:::NO> |
| **Employment protection** <https://www.ilo.org/dyn/eplex/termmain.home?p_lang=en> |
| **Health and Safety**  <https://www.ilo.org/dyn/legosh/en/f?p=LEGPOL:1000> |
| **Double check the answer to Q3.9**  ***Run a sample of searches, explaining the rationale for picking that sample, and present the results***  **Does it appear that the searches were undertaken and reported fully?** | **Click to select** |
| **Conclusion of review** | |
| **Reviewer name** |  |
| **Reviewer job title** |  |
| **Comments on review** |  |
| **Decision: what non-financial questions will need to be asked at the post award stage?**  ***Provide the exact wording of all questions that will be required, indicating ‘NONE’ if applicable*** |  |
| **Reviewer signature** |  |
| **Review date** | Click or tap to enter a date. |

1. <https://www.ukri.org/files/funding/due-diligence-guidance-for-ukros-pdf/> [↑](#footnote-ref-2)
2. <https://www.transparency.org/research/cpi/overview> (select the most recent year, and select the host country on the map) [↑](#footnote-ref-3)
3. When the OPO provides intellectual input, to the degree that they would be co-authors on any arising publications (or equivalent), they are acting as a *collaborator*. When the OPO is undertaking any other form of activity, they are acting as a *service provider*. [↑](#footnote-ref-4)
4. Carry out Google searches on the OPO, using the terms given as examples, using quotation marks around the partner name to search for that exact wording, meaning “[partner name]” term, e.g. *“University of Wherever” fraud*. [↑](#footnote-ref-5)
5. To check an organisation against these lists, simply open the list and perform a “Ctrl + F” search on the page, using the name of the partner as the search term. If no results are returned, we can be confident that the organisation is not on the list. [↑](#footnote-ref-6)