

Annex 1: University of Bristol's due diligence questionnaire – FOR INFORMATION ONLY

Please complete if the application is successful – FOR INFORMATION ONLY

SECTION 1 – ORGANISATION & PROJECT DETAILS

Legal Name of Organisation	
Registered Address	
Legal Status <i>(please attach supporting documentation)</i>	
Registration / Company No.	
Website	
Head of Organisation	
Named Contact <i>(if different from above)</i>	
Telephone	
Email Address	

1) Project Details:	
(i) UoB Academic Lead	
(ii) School / Department	
(iii) Project Title	
(iv) Funder	
(v) Proposed Start Date	
(vi) Application Status <i>(pending, awarded, etc)</i>	

SECTION 2 – ORGANISATIONAL GOVERNANCE

<p>2) Governance structure – briefly describe any structures that are in place for reviewing and maintaining oversight of all policies related to activity within your organisation</p>	
<p> </p>	
<p>3) Ethical Approval – if ethical approval is required for the proposed work, please describe the regulatory framework that is in place for your organisation</p> <p style="text-align: right;"><input type="checkbox"/> Not Applicable</p>	
<p> </p>	
<p>4) Please provide a brief description of how your organisation addresses the following areas of risk & responsibility: <i>(where your organisation has established an appropriate policy or procedure, please provide copies of supporting documentation or provide a web link)</i></p>	
<p>(i) Anti-Bribery & Corruption</p>	<p> </p>
<p>(ii) Health & Safety</p>	<p> </p>
<p>(iii) Safeguarding of Children & Vulnerable Adults</p>	<p> </p>
<p>(iv) Travel & Subsistence</p>	<p> </p>

5) Please describe below how risk is managed within your organisation, whether through a risk register or similar tool.	
6) Has your organisation been involved with any formal cases of fraud or suspected fraud within the last five years? <i>(If "Yes", please provide details of how it was managed and how it was resolved)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
7) Is your organisation involved with any current, pending or threatened litigation or arbitration proceedings (whether as a claimant or a defendant), any prosecution or inquiry pending by a government or official body? <i>(If "Yes", please provide details below)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
8) Have there been any formal investigations of research misconduct within your organisation in the last three years? <i>(If "Yes", please provide details below)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
9) Does your organisation currently have insurance policies in place to cover liability of employer, buildings, etc? <i>(Please provide details below)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No

SECTION 3 – FINANCE & ADMINISTRATION

<p>10) Please provide details of how your organisation is funded, e.g. through grant income or government funding:</p> <p style="text-align: right;"><input type="checkbox"/> Not Applicable</p>	
<p>11) Has your organisation recently published an audited statement of its annual income and expenditure? <i>(Please either attach a copy of the statement, or a provide a web link below)</i></p> <p style="text-align: right;"><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p>12) Please explain how your organisation manages the following areas of financial responsibility: <i>(Where your organisation has established an appropriate policy or procedure, please provide copies of supporting documentation or provide a web link)</i></p>	
(i) Procurement	
(ii) Recording expenditure & income	
(iii) Cash handling	
(iv) Archiving of supporting documentation	
<p>13) Does your organisation have a financial management procedures manual which clearly sets out accounting, reporting, internal control, and administrative tasks? <i>(Please provide a copy of the latest financial manual)</i></p> <p style="text-align: right;"><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p>14) How are key tasks segregated (e.g. financial approvals), for the purpose of preventing fraudulent activity?</p>	

15) Internal / External Audit:	
(i)	Which service provider is currently used by your organisation for audit purposes?
(ii)	Please summarise key findings from your most recent internal or external grant audit report (or similar), including the date that this was carried out:
<input type="checkbox"/> Not Applicable	
16) How does your organisation keep track of staff time charged to projects? <i>(Please provide a copy of a timesheet template if used)</i>	
17) How are staff salaries / pay scales determined? <i>(Please provide a copy of your organisation's most recent pay scales if available)</i>	

SECTION 4 – THIRD PARTIES

18) Does your organisation intend to provide part of the awarded funding to a third party for the purpose of carrying out any part of the proposed work?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<i>(If no third parties are to be engaged, please proceed to Section 5)</i>	
19) Can your organisation confirm its ability to manage funding that is subcontracted to any third parties, in line with the terms and conditions of the main funder?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<i>(Please provide further information below)</i>	

20) Is any conflict of interest anticipated between your organisation and the proposed third parties? <i>(Please provide further information below)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
21) Has your organisation undertaken the appropriate due diligence on the proposed third parties, in line with the terms and conditions of the main funder? <i>(Please provide further information below)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No

SECTION 5 – ESSENTIAL DOCUMENT CHECKLIST

Please provide copies of the following:

Evidence of legal status	<input type="checkbox"/>
Ethics / regulatory approval policy (if applicable)	<input type="checkbox"/>
Anti-bribery & corruption policy (if applicable)	<input type="checkbox"/>
Health & safety policy (if applicable)	<input type="checkbox"/>
Safeguarding policy (if applicable)	<input type="checkbox"/>
Travel & subsistence SOPs	<input type="checkbox"/>
Insurance certificates	<input type="checkbox"/>
Organogram	<input type="checkbox"/>
Internal / External audit report (if applicable)	<input type="checkbox"/>
Financial accounts	<input type="checkbox"/>
Banking information	<input type="checkbox"/>

SECTION 6 – DECLARATION & APPROVAL

Partner Declaration:

I confirm that the information provided here is true and accurate to the best of my knowledge. I declare that any documents provided are genuine, and that any statements made within this form are truthful. I further understand that University of Bristol may make reasonable efforts to verify the information provided within this form as part of their extended due diligence process.

I understand that any draft agreement for the proposed work under the scope of the project detailed in Section 1 of this form will only be issued by University of Bristol following satisfaction of its due diligence requirements.

I further understand that any expenses related to the proposed work that are incurred before any agreement is fully executed are done so at this organisation's own risk, unless specifically agreed in writing by University of Bristol.

Signature <i>(Authorised Official only)</i>	
Name	
Title	
Date (DD/MM/YY)	
<i>For UoB use only</i> University of Bristol Approval	
Signature <i>(Authorised Official only)</i>	
Name	
Position	
Department/Faculty/School	
Date (DD/MM/YY)	

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