

Policy on Due Diligence for Research

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Table of Contents

1.	<i>Introduction</i>	3
2.	<i>Purpose</i>	4
3.	<i>Scope</i>	4
4.	<i>Policy Statement</i>	4
5.	<i>Roles and Responsibilities</i>	6
6.	<i>Associated Policies and Procedures</i>	6
7.	<i>Appendices</i>	6
7.1	<i>Appendix 1: Pre-award Flowchart</i>	7
7.2	<i>Appendix 2: Post-award Flowchart</i>	8
7.3	<i>Appendix 3: Due Diligence Checklist</i>	9
7.4	<i>Appendix 4: Due Diligence Questionnaire</i>	13

1. Introduction

- 1.1. Teesside University aspires to grow its research capability, is seeking to maximise capture of research income from an increasing range of sources and is collaborating more extensively with new funders and partners, particularly on an international stage. It aims to increase interdisciplinary collaborations that play to regional, national and international priorities.
- 1.2. Many universities across the sector are now developing due diligence procedures. These checks enable an institution to review independently, understand and evaluate the risks of any legal, ethical, financial, reputational or political considerations before entering into a contractual relationship with a new funder or partner, in the UK or internationally. An informed and independent decision can then be made about whether to proceed, with full prior consideration and mitigation of any risks.
- 1.3. It is good practice for due diligence to be carried out as part of systems already in place prior to submission of a research application. However, it is recognised that time constraints in meeting fixed, tight external deadlines can make this challenging. Therefore, a preliminary check should be undertaken at the application stage and a fuller, final review should be conducted prior to signature of a contract with a funder and/or partner and before funds are accepted or a collaboration starts. Where risks are identified through the process, appropriate escalation is required so that the benefits and risks are evaluated and a final decision on whether to proceed is made by senior staff in the university.
- 1.4. The UK government has been promoting and funding increased levels of international research through the Global Challenges Research Fund (GCRF). These funds include a proportion of the Research England Quality-Related (QR) grant (allocated for GCRF activities), as well as specific funding streams which institutions can apply to through UK Research and Innovation (UKRI) and a range of other funders (including the British Academy and Royal Society). UKRI expects institutions to perform due diligence checks on partners who will be in receipt of its funds to ensure that they have the capacity and systems to contribute to projects and to manage the funds effectively in line with their terms and conditions. Institutional approaches to due diligence are being audited at both project and institutional levels by UKRI through one-off project audits and the broader Funding Assurance Programme.
- 1.5. In addition, research activities funded through GCRF must be compliant with the Government's Official Development Assistance (ODA) requirements. Similarly, checks must be performed to ensure that partners are located in countries on the OECD Development Assistance Committee (DAC) list. New requirements on safeguarding have also been introduced by a range of funders of international research and these considerations should be included as part of the due diligence process.
- 1.6. This policy sets out the proposed steps to be taken and decision makers for Teesside University.

2. Purpose

- 2.1. This Policy on Due Diligence for Research sets out Teesside University's approach to due diligence and outlines when it should be undertaken, by whom and what tools should be used to gather the necessary information. It also outlines how recommendations should be made and the escalation processes which are in place to ensure that any risks are considered and decisions made by appropriate members of the University.

3. Scope

- 3.1. The policy in this document applies to academic staff, researchers, postgraduate research students and professional staff who support research activity.
- 3.2. The due diligence checks outlined in this policy should be undertaken for research activity which involves new funders and/or new partners in UK and international settings.
- 3.3. Where Teesside is the lead partner on a project due diligence should be completed for the full consortium, taking into account the specific requirements of the project. Checks are not normally necessary for well-established UK-based partners and public-sector funders with whom the University may already have a relationship (including UK universities and large funders), but checks should be performed for other new funders or partners (which may include small UK-based charities or community organisations).
- 3.4. Where Teesside is a partner in a consortium led by another institution, the responsibility for due diligence would normally sit with the lead organisation. It is important, however, for the University to be content that working with the lead institution and other members of the consortium does not present any reputational risks.
- 3.5. Checks should be completed at the pre-award stage to provide an early indication of any potential risks and a preliminary assessment of whether these are acceptable or can be mitigated to reasonable levels. However, due to the need to meet fixed external deadlines, it is not always possible to complete the full process at the application stage. Detailed due diligence and sign off must be completed prior to signature of a contract, acceptance of funds from a funder or partner and prior to work commencing on a research project.

4. Policy Statement

- 4.1. Teesside University will conduct appropriate and proportionate project-specific due diligence checks on research activity to ensure that information is gathered on new partners and/or funders prior to research work commencing.
- 4.2. As more international research collaboration is being promoted by research funders, requirements and expectations on due diligence are developing. Many research funders now expect institutions to conduct due diligence checks to identify, assess and mitigate risk. Teesside University will continue to feed into these developments and will ensure that its own procedures are compliant with funders' terms and conditions at all times.

- 4.3. The University will work with others across the sector to remain up-to-date with good practice in conducting due diligence. Where it is possible to share information with other institutions, the university will do so, with a view to alleviating the burden for partners of providing the same data to multiple parties.
- 4.4. Light touch due diligence checks will be conducted as part of the usual pre-award process for research applications. A flowchart outlining the pre-award process, and including basic due diligence checks, is attached as Appendix 1. The final check(s) and sign-off will take place at the award stage and must be completed before contracts are signed, funds are accepted or work commences on a research project. The post-award flowchart is attached as Appendix 2.
- 4.5. Due diligence checks will be completed initially by Research & Innovation Services (RIS), using the checklist in Appendix 3. The checklist will draw on a range of sources to verify information on the proposed partner(s) and/or funder and to assess the level of general and project-specific risk to the University, if any. Schools and Principal Investigators will be expected to work with colleagues in RIS to complete the checklist and to provide project-specific information on the nature of any risks.
- 4.6. In parallel, new partners or funders will be asked to complete the Due Diligence questionnaire (see Appendix 4) to provide relevant information to inform the checks undertaken on behalf of the University. In the case of research projects which fall under the Global Challenges Research Fund (GCRF), additional checks will be conducted to ensure that Official Development Assistance and country eligibility requirements are met.
- 4.7. Once all of the checks have been completed, the level of risk will be assessed and any mitigations explored. Where the level of risk is low or negligible, no further review will be required and the project will proceed as planned.
- 4.8. Where significant risks have been identified, the due diligence reports will be escalated to the relevant School's Associate Dean (R&I) and Research Funding Manager, who will review the completed checklist and questionnaire and seek to reach a consensus on whether the risks can be mitigated to a satisfactory level, thereby allowing the project to proceed. Depending on the nature of the risks identified, further advice may be sought from professional colleagues (e.g. Finance & Commercial Development (FCD) or Legal & Governance Services (LGS)).
- 4.9. There may however, be rare circumstances when the risks of proceeding are deemed very high and a decision may need to be referred to the University Executive Team, who will take advice from the PVC R&I and the Director of RIS. In such cases, the decision may be taken to mitigate the risk and proceed with the project or to withdraw from a consortium or project to protect the reputation or the interests of Teesside University.

In all cases, once the due diligence process has been completed and decisions reached, the outcome should be recorded on the checklist and stored with all other project-related documentation.

5. Roles and Responsibilities

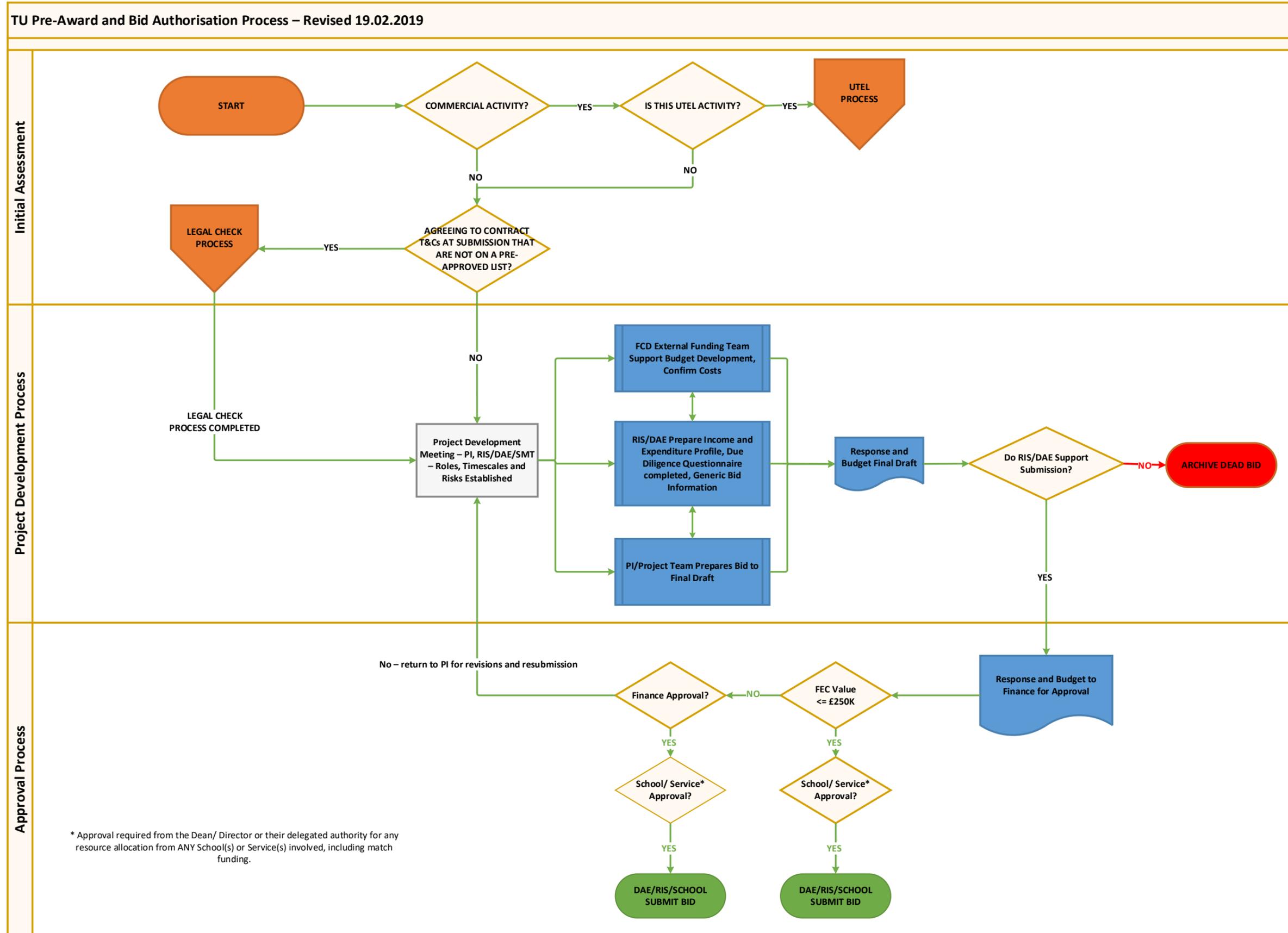
- 5.1. The policy will be overseen by the PVC (Research & Innovation). Deans, Directors and Associate Deans (Research & Innovation) are responsible for disseminating information about this policy to all Principal Investigators and university staff. Staff in RIS will work with Principal Investigators and Schools to gather the necessary information to enable any project-specific risks to be identified, assessed and mitigated wherever possible.
- 5.2. Due diligence data (comprising the completed checklist and questionnaire(s)) will be reviewed initially by staff in RIS. Where risks are identified through this process, the due diligence reports will be escalated to the relevant School's Associate Dean (R&I) and Research Funding Manager, who will review the completed checklist and questionnaire to explore whether adequate mitigation can be put in place to reduce the risk to an acceptable level. If necessary, additional advice should be sought from other departments, such as FCD and LGS.
- 5.3. Where the risks identified are of a serious nature or cannot be mitigated adequately, the reports will be escalated to the PVC R&I and RIS Director for further consideration. In extreme cases, where there is likely to be serious reputational or financial risk to Teesside University, the University Executive Team may be asked to review the information and decide whether the project may proceed.

6. Associated Policies and Procedures

- 6.1. Due diligence checks should be completed in parallel with compliance with other relevant research-related policies and procedures including Research Ethics & Governance and Risk Assessment. Current policies on Safeguarding, Equality & Inclusion (including Bullying & Harassment) and Health & Safety should be followed.
- 6.2. In addition, checks undertaken by the Finance department prior to setting up a new supplier will also be completed in line with normal University practice and the Financial Regulations should be followed.
- 6.3. In the case of travel to high-risk areas, appropriate insurance and duty of care considerations for both University researchers, participants and local communities should be taken into account.

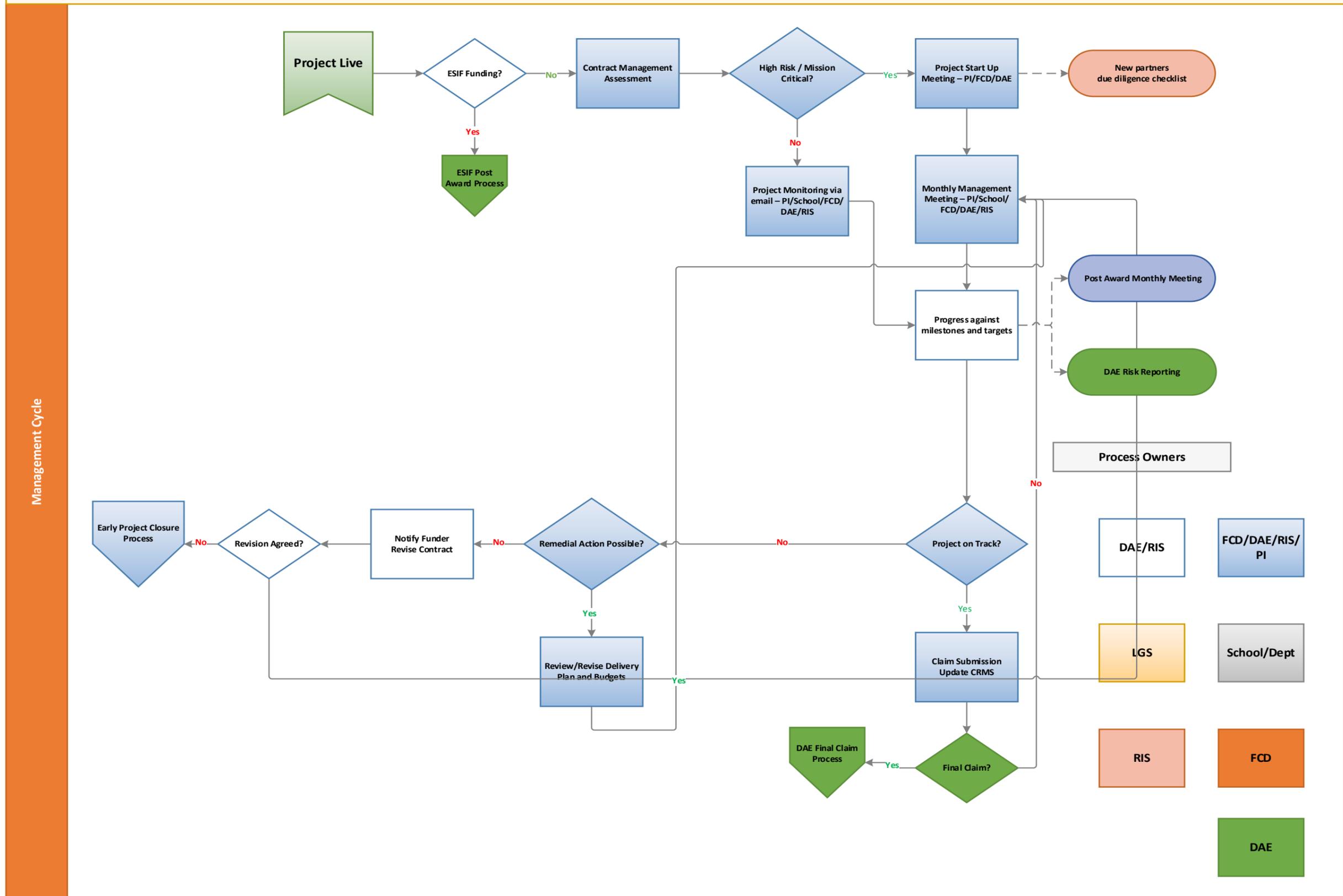
7. Appendices

7.1 Appendix 1: Pre-award Flowchart



7.2 Appendix 2: Post-award Flowchart

Post Award – Phase 2a – Project Management Cycle



7.3 Appendix 3: Due Diligence Checklist

SUMMARY REVIEW OF DUE DILIGENCE CHECKS CONDUCTED ON BEHALF OF TESSIDE UNIVERSITY	
Project Title	
Funder and scheme to which proposal is made, including deadline	
Lead Investigator Department/School	
New/international funder/partners on whom due diligence is being performed (Complete separate sheets of following pages for each new funder/partner)	
Due diligence review completed by (Name, job title and email)	
Summary of findings, highlighting key factors and risks identified	
Provisional recommendation and date	
Due diligence report reviewed by (RFM/AD R&I (or Dean of School)/RIS Director/PVC R&I) where risks are identified which necessitate escalation	
Summary of risks and recommendation following further review	
Decision to proceed/not proceed taken by (name(s), job title(s), date)	

This checklist should be used to review the information collected about proposed new/international funders or partners prior to work commencing on a project or funds being accepted or disbursed by the University. A light touch review should be completed at the application stage, with the full checks undertaken once an award is made and before work commences on a project.

It is good practice for due diligence to be performed on an organisation the first time the University proposes to work with them and then for a light-touch review to be conducted every three years. Project specific due diligence should be considered for each project.

The checklist should be completed independently, drawing on sources indicated as well as information provided by the external party through the Due Diligence questionnaire.

Once complete, the checklist should be reviewed, risks considered and a provisional recommendation made in line with the University's Due Diligence policy. Where risks have been identified by the first reviewer, the checklist should be escalated for further consideration and appropriate decision making, with the recommendations of the second reviewer(s) noted and the eventual decision to proceed or not recorded for audit purposes

DUE DILIGENCE CHECKLIST

This checklist should be completed for each partner organisation involved in a project, drawing on a range of sources. Any issues in relation to the proposed partner and the project as a whole should be identified and highlighted

GENERAL <i>(required for pre award)</i>	
<p>Has the University partnered with this organisation previously? If so, in what context and what was the outcome? What due diligence was performed before this work was conducted? Are there any particular requirements of the new project which need to be explored? If no prior relationship with this organisation, or no due diligence was completed at the time, the checklist should be completed.</p>	
FINANCIAL CONSIDERATIONS	
<p>Organisational status (e.g. UK company Ltd/PLC, registered charity, registered company overseas) List sources and date checked</p>	
<p>Financial status (provided by completed due diligence questionnaire and independently verified where possible) List sources and date checked Checks on new suppliers conducted by the Finance team should also be completed in the usual way</p>	
<p>Governance (provided by questionnaire and independently verified where possible) List sources and date checked</p>	
REPUTATIONAL CONSIDERATIONS <i>(required at high level for pre award)</i>	
<p><i>Legal</i> (Has the organisation been the subject of or taken out any lawsuits?) List sources and date checked</p>	
<p><i>Media</i> (Has the organisation had any favourable/unfavourable media coverage?) List sources and dates checked</p>	
<p><i>Political</i> (Are there any political reasons why it may be problematic for the University to partner with this organisation? Are there any human rights concerns? Has the organisation been blacklisted?)</p>	

List sources and dates checked	
<p><i>Ethical</i> (Does the organisation have appropriate good research conduct, ethical and safeguarding policies in place? Are there any reasons why working with this organisation might cause the University embarrassment?) List sources and dates checked</p>	
<p><i>Conflict of interest</i> (Are there any conflicts of interest between this organisation and the University or members of the University?) List sources and dates checked</p>	
PROJECT DELIVERY	
<p><i>Scientific</i> Are there any concerns about the partner's ability to deliver their scientific contribution to the project? (Review of the completed due diligence questionnaire)</p>	
<p><i>Management/Financial</i> Are there any concerns about the partner's ability to manage the project (finance and administration) effectively and in line with funder requirements? (Review of the completed due diligence questionnaire)</p>	
<p>Any other project-specific considerations, e.g. ethical, cultural, safeguarding or safety implications, travel to high-risk areas or particularly sensitive topic of research (Review of the completed due diligence questionnaire and consideration of the proposed programme of work)</p>	
For GCRF projects only (required for pre award)	
Does the project description demonstrate that the proposed project meets the definition of ODA compliance?	
<p>Does the partner have appropriate policies in place for safeguarding and bribery and corruption? For example, what measures/policies are in place to protection vulnerable participants or communities, assure safety of researchers working in high risk areas and provide training for researchers before they work with vulnerable groups?</p>	

Resources

A range of different sources can be drawn on when conducting due diligence checks. They will not be relevant for all organisations. When completing the checklist, include details of the sources used.

Lexis Nexis Diligence (available through Library <http://libguides.tees.ac.uk/az.php?a=l>)

Lexis Nexis PSL (for legal professionals) – available through Legal & Governance Services

CreditSafe UK

Westlaw (<https://legalsolutions.thomsonreuters.co.uk/en/products-services/westlaw-uk.html>) - Westlaw can be used on a case-by-case basis if preliminary checks indicate that further investigation is required.

Google

Financial Times (<https://www.ft.com/>)

Who's Who (<https://www.ukwhoswho.com/>)

Guidestar (<http://www.guidestar.org> for US non-profit organisations)

Zawya.com (<https://www.zawya.com/mena/en/> for MENA region)

192.com (<https://www.192.com/>)

Companies House for companies registered in the UK

(<https://www.gov.uk/government/organisations/companies-house>)

Charity Commission for charities registered in the UK

(<https://www.gov.uk/government/organisations/charity-commission>)

British Council (<https://www.britishcouncil.org/>)

Amnesty International (<https://www.amnesty.org.uk/#>)

Forbes Rich List (<https://www.forbes.com/sites/forbesinternational/#627e3f935ff2>)

Businessweek (<https://www.bloomberg.com/businessweek>)

Corruption Perception Index by country (<https://www.transparency.org/>)

Country and Sector risk assessments (<http://coface.com/>)

Scopus (<https://www.scopus.com/home.uri>)

Web of Science (<https://wok.mimas.ac.uk/>)

Retractionwatch (<https://retractionwatch.com/>)

Annual reports and finance statements (from the organisation's website, or provided by the organisation through the due diligence questionnaire)

Review of ODA compliance

Is the partner organisation in one of the countries on the OECD Development Assistance Committee, often referred to as DAC, list <https://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/DAC-List-of-ODA-Recipients-for-reporting-2020-flows.pdf>

In addition, the activity must also be compliant with the Official Development Assistance (ODA) definition: **“Government aid that promotes and targets the economic development and welfare of developing countries”**. (<http://www.oecd.org/dac/stats/What-is-ODA.pdf>)

GCRF funding will often reference the UN's Sustainable Development Goals (SDGs) and consideration should be given to the extent that the work fits one or more of the SDGs.

(<https://sustainabledevelopment.un.org/?menu=1300>)

For Collaborator/Partner to Complete:

QUESTION 1: Project Details

Who is the lead investigator at your organisation?	Full name: Email Address:
Are any other investigators from your organisation involved in this project	NO YES (please provide details) Full name: Email Address:
Contact details for your lead administrative support (where available)	Full name: Email Address: Telephone Number (including country code):

QUESTION 2: ORGANISATION DETAILS

QUESTION 2: ORGANISATION DETAILS	
Name of Organisation	
Postal Address	
Director of Organisation contact details	Full name: Email Address: Telephone Number (including country code):

Please only complete the specific sections below as requested by the Teesside University Research Funding Officer.

QUESTION 3: GOVERNANCE AND CONTROL

Legal Status of Organisation
3.1 What is the legal status of your organisation? How is it registered and with whom? Please provide registration documents, plus any Memorandum of Articles of Association.
3.2 Does your organisation have a governing board that is separate from its executive management? If yes, please provide an organogram of the organisation.

Policies and Procedures		
3.3 Please confirm that you have policies and procedures in place for the following, providing copies of documents, in English, or links to a website where the information is located.		
Policy	Yes/No	Web Link
i. Anti-fraud, corruption and bribery		
ii. Whistleblowing		
iii. Equality and Diversity		
iv. Travel & Subsistence		
v. Conflict of Interest		
vi. Research Integrity		
vii. Ethics		
viii. Safeguarding		
ix. Risk Management		
3.4 What is the process for reviewing your policies (as detailed above and below) and how often are they reviewed?		
3.5 How are these policies communicated to staff and how is staff awareness maintained?		
3.6 Do you maintain a risk register? If yes, please provide further information including who holds responsibility for the maintenance of the register and the frequency of review.		
Safeguarding and Ethics		
3.7 Do you have a formal child and vulnerable adults safeguarding policy? If so, please provide a copy.		
3.8 Does your Organisation (and all subcontractors) have documented labour standards, and operate in line with The UK Modern Slavery Act 2015 (http://www.legislation.gov.uk/ukpga/2015/30/contents/enacted)? In particular how does your organisation ensure that your employees and those in your supply chains are not subject to exploitation through: <ul style="list-style-type: none"> - 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 		
3.9 Please outline the arrangements you have in place for ensuring that funded research is planned and conducted in accordance with high ethical standards .		
Instances of Risk		

<p>3.10a Has your organisation been involved in any cases of fraud, corruption, collusion or bribery or suspected fraud, corruption, collusion or bribery involving research funding bodies in the last five years? If so, please provide details including how these were investigated; to whom they were reported and whether there was any financial loss.</p>
<p>3.10b If your organisation has been involved in any such cases, please provide evidence of how your organisation dealt with the case (alleged case) and how your organisation manages (or has improved the management of) its activities to prevent and detect this risk.</p>
<p>3.11 Are there 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?</p>
<p>3.12 Have there been any formal investigations of research misconduct involving Research Funding bodies in the last three years? If so, please give further details including academic year, the number of formal investigations completed and of those, how many were upheld.</p>
<p>3.13 Are there any conflicts of interest in relation to the proposed project (either with members of Teesside University, other partners or proposed sub-contractors)? If so, what policies are in place to protect the project and the parties involved?</p>

QUESTION 4: DELIVERY
<p>Science Delivery</p>
<p>4.1 Please outline your research capacity, by providing information on the number of active researchers in your organisation and data on the number of peer-reviewed publications produced in the last two years.</p>
<p>4.2 Please provide a brief outline of the three largest projects you are currently, or have recently been working on in the capacity of lead, or co-lead organisation. Please include the name of the funder, value of the overall project and your share of the budget.</p>
<p>Grant Management & Administration</p>
<p>4.3 How is grant management and administration organised and who has overall responsibility for the management of research grants?</p>
<p>4.4 Describe the structure of the finance team who will be supporting this project</p>
<p>4.5 Please outline your authorisation process for approving expenditure on research grants.</p>
<p>4.6 How is expenditure on research grants monitored?</p>

4.7 Please confirm that your organisation is able to provide quarterly transaction listings and scanned receipts to show all the expenditure incurred using the research grant funding.

4.8 What procedures are in place to prevent ineligible costs being charged to research grants? How are project accounts monitored?

4.9 How will staff hours worked on research grants be tracked to ensure staff have worked as stated on grant applications? Please provide a template of your timesheet

4.10 Please provide details of how pay scales/salaries are determined. If there is a published list of pay scales, please provide a copy or a link to where this information can be found.

Insurance

4.11 Please confirm that you have, and provide evidence of insurance and/or in country equivalent cover which:

A: Meets your legal liabilities at law for injury/harm/damage to third party persons or property
 B: Meets your contractual and/or legal liabilities for any error or omissions delivered in your professional capacity which could have a negative financial or reputational impact on Teesside University.

QUESTION 5: FINANCIAL STABILITY

Financial Viability

5.1 Please provide the following information about your total research income along with a copy of the last three financial years' audited accounts and your latest Audit Findings Report in English.

Year (Last 3 years)	Total Income	Total Research Income	Percentage of Research vs Total Income
Total			

5.2 How would any deficit within your organisation be managed?

Financial Management

5.3 What financial accounting system is used by the organisation?

5.4 Does your organisation have a bank account with a bank which can receive funds in GBP £, US \$ or Euros (depending on the source of funding)? Please provide details of your bank.

5.5 Does your government require you to hold a license or comply with certain regulations in order to receive funding from international sources?

If yes, please confirm that you hold the required license and summary of what the license enables you to do.
Audit Process
5.6 Are your organisation's annual financial statements audited by an external auditor? Who are your external auditors and who do they report to?
5.7 Do you have an internal audit service (either internally or using external contractors)? If so, how is your service provided? Please identify the provider if the service is external, and the approximate number of days per year. Please provide a copy of your most recent audit report in English.
5.8 How regularly does your audit service review research grant management?

QUESTION 6: SUB CONTRACT MANAGEMENT
Sub Contracts, Partner Organisation, Consortium and Collaborative Agreements
6.1 Subject to the agreement of the lead partner and compliance with funder terms and conditions, are you intending to sub contract work on this project to any other organisation? If yes, please continue with the questions in section 6 below.
6.2 Please provide details of your intended sub-contractor(s) and how much funding will be disbursed to each partner
6.3 What is your relationship with these organisations and how were they identified as sub-contractors? Are there any conflicts of interest between members of your organisation and the proposed sub contractor(s)?
6.4 What due diligence have you undertaken on your sub-contractor(s) to assess their ability and suitability to undertake the work required? Please provide a copy of the due diligence you have completed.
Management frameworks/contracts
6.5 Please outline how you will manage your relationship with sub contractor(s). Please provide sample collaboration agreements and copies of the final contracts once signed.
Monitoring and Management
6.6 What financial reporting arrangements will you put in place with the sub contractor(s) to ensure your organisation has sufficient control of expenditure and to comply with the funder's financial reporting requirements?

6.7 What arrangements do you have in place to monitor the progress sub contracts are making on the project? What course of action would you propose in the event of non-performance by the sub contractor(s) or failure to meet key project milestones and deliverables? What are your obligations towards the lead partner and funder in the event of non-delivery by a sub contractor?

Enclosed Document Checklist

Please provide all available material in line with the section(s) of the questionnaire you have been asked to complete. Attach the applicable document(s) or provide the relevant website link.

*****Note that all information must be provided in English*****

In the event that you are unable to provide any of the items, please provide a justification.

Provide in line with relevant section	Document	Enclosed		Justification (if not enclosed)/Web Link
		Yes	No	
3	Evidence of Legal Status			
3	Memorandum/Articles of Association			
3	Organogram			
3	Anti-fraud, Corruption and Bribery Policy			
3	Whistleblowing Policy			
3	Travel & Subsistence Policy			
3	Conflict of Interest Policy			
3	Research Integrity/Ethics Policy			
3	Risk Register/Management Policy			
3	Safeguarding Policy			
3	Policies relevant to Modern Day Slavery			
3	Ethics/Scientific Misconduct Policies			
3	Fraud Investigation Reports			
4	Timesheet			
4	List of Published Payscale			
5	Last 3 Years Audited Accounts			
5	Latest Audit Management Letter			
5	Financial Manual			
5	Bank "Letter of Goodstanding"			
5	Licence to Receive International Funding (if relevant)			
5	Most Recent Internal Audit Report			
5	Internal Audit Report on Grant Management			
6	Due Diligence on Sub-Contractors (if relevant)			
6	MOUs/Contracts with Sub-Contractors (if relevant)			
6	Examples of Sub-Contractor Monitoring Documents (if relevant)			

QUESTION 7: Due Diligence Declaration

All research grants are subject to the funder's Terms and Conditions. If for any reason you cannot adhere to any of them, please state which ones and why below.

On behalf of my organisation I can confirm that we accept all funder Terms and Conditions with regards to Research Grants.	Yes	No
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If no, please give further details here.

QUESTION 8: Authorisation

This form should be signed by someone who has the authority to sign on behalf of the organisation, which should usually be someone who is also authorised 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:	
Name:	
Role:	
Date:	

QUESTION 9: Data Protection

Teesside University will store your responses to this questionnaire and any associated documentation until 7 years after the end of the research project. This is in line with the University's document retention policy and the requirements of most research funders.

In addition, with your permission, Teesside University may wish to share your responses to this questionnaire with other UK Universities and UK research funders to enable them to undertake the necessary due diligence processes if you are proposed as a partner for any future research projects. This would reduce the number of times your organisation is asked to complete multiple requests for this information.

I confirm that I approve Teesside University to share the responses supplied in this questionnaire with other UK Universities and UK research funders (*optional*):

Signature:	
Name:	
Role:	
Date:	



Equality and Prevent Impact Assessment (V1.2)

Proposal Title	Key aims & purpose				
Contact name & details of Policy Owner/Sponsor	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">Name: Stephanie Bales</td> <td rowspan="3" style="width: 70%;">Assessment date: 28th July 2020</td> </tr> <tr> <td>Phone: 2532</td> </tr> <tr> <td>Email: s.bales@tees.ac.uk</td> </tr> </table>	Name: Stephanie Bales	Assessment date: 28 th July 2020	Phone: 2532	Email: s.bales@tees.ac.uk
Name: Stephanie Bales	Assessment date: 28 th July 2020				
Phone: 2532					
Email: s.bales@tees.ac.uk					

To comply with the Equality Act 2010 we are required to consider the possible consequences of decisions the University makes on people from different groups. For more information about the Equality Act follow this link:
<http://www.ecu.ac.uk/wp-content/uploads/external/psed-specific-duties-for-england-sept11.pdf>

		Yes	No	Notes
1.	Is it a major policy, significantly affecting how functions are delivered?		✓	
.	a) Is it likely that this proposal will disproportionately affect people who have protected characteristics (<i>age, disability, gender reassignment, religion and belief, race, sex, sexual orientation, pregnancy and maternity and marriage and civil partnership</i>) who are employees, students, service users or other stakeholders, or the wider community?		✓	
	b) Have there been any reported issues or complaints about this policy in relation to any particular protected characteristics?		✓	
2.	Could this proposal support the university to meet the following three requirements of the Public Sector Equality Duty?			
	a) Does it support the University to... <i>eliminate discrimination, harassment, victimisation and any other conduct that is prohibited under the Equality Act 2010?</i>		✓	
	b) Does it enable the University to... <i>advance equality of opportunity between different groups of people?</i>		✓	

	c) Does it help the University to... <i>foster good relations between different groups of people?</i>	✓		It will support the development of international collaborations and partnerships.
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To comply with the Counter-Terrorism and Security Act 2015 Universities are under a legal duty to prevent people from being drawn into terrorism ("Prevent"). For further information about the duty follow this link:

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/445916/Prevent_Duty_Guidance_For_Higher_Education_England_Wales_.pdf

	Yes	No	Notes	
3.	Could this proposal contain or increase risks that people may be drawn into terrorism?		✓	
	Could the proposal have any other impact on the University's ability to comply with its duty under Prevent to have due regard to the need to prevent people from being drawn into terrorism?		✓	
	Is a separate risk assessment required?		✓	
	Is the proposal likely to contain any Safeguarding implications that could result or be impacted by the proposal?		✓	This policy should be read alongside the safeguarding policy for all research projects
	Is a separate risk assessment required?		✓	
4.	Equality Assessor Recommendations and Notes:			
5.	Please select an outcome:		✓	Notes
	a) No major change to is required:			
	b) The proposal will be adjusted (as above) and submitted for decision:			

	c) The proposal will be continued without change and monitored.	
	d) The activity will be stopped and the policy will be removed:	
	e) Further assessment is required:	
6.	Signed by Equality Assessor _____ Date: _____	