**PART I – to be completed at application stage**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Organisation Name:** |  | | | | | | | |
| **Website:** |  | | | | | | | |
| **Type of Organisation:**  **(please add ‘x’ to applicable)** | University | Other Research Institution | | Registered Business | | Partnership | Charity | Other (please state) |
| **Other Organisation names (if different from above):** |  | | | | | | | |
| **Country of Registration:** |  | | | | | | | |
| **Registration Number:** |  | | | | | | | |
| **VAT Registered?** | Yes | | No | | If Yes state VAT registration no: | | | |
| **Charity Number (if applicable):** |  | | | | | | | |

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Details of Main Contact** | **Details of Contract / Legal Officer** | **Details of Head of Institution** |
| **Full Name** |  |  |  |
| **Telephone Number** |  |  |  |
| **Email Address** |  |  |  |

|  |  |
| --- | --- |
|  | **Main Organisational Address** |
| **Address Line 1** |  |
| **Address Line 2** |  |
| **Address Line 3** |  |
| **Town/City** |  |
| **Postcode** |  |
| **Country** |  |

|  |  |
| --- | --- |
|  | **Office / Trading Address (if different to above)** |
| **Address Line 1** |  |
| **Address Line 2** |  |
| **Address Line 3** |  |
| **Town/City** |  |
| **Postcode** |  |
| **Country** |  |

|  |  |
| --- | --- |
| **\*\*\*University of Birmingham Use Only\*\*\*** | **Y / N** |
| Internal Checks Complete |  |

**PART II – to be completed at award stage**

This section is to only be completed and returned to the University of Birmingham in the event of a successful award.

**The University of Birmingham will not be able to complete and sign off on any contract before the completed return of both Part I and Part II this questionnaire.**

|  |
| --- |
| 1. **Legal Status of Organisation** |
| Please confirm the legal status of the organisation, how it is registered and with whom?  **Note:** Please provide an English version of a legal document agreeing to the formation of the organisation and the written rules about running the organisation agreed by the representatives of the organisation (for example, Memorandum or Articles of Association). |
| 1. **Corporate Governance of Organisation** |
| Please confirm what policies and/or procedures are in place for each of the following:  i. Detecting, reporting and acting upon scientific misconduct;  ii. Ensuring appropriate ethical review of research grants;  iii. Risk Management;  iv. Anti-Bribery;  **Note:** Please provide copies of the above documents, in English, or links to a website where the information is hosted, (if the website detail is not in English please provide an abstract highlighting key areas in English) |
| Please provide a copy of or link to the organisation’s governance structure. Please detail executive boards or committees involved with the governance of research. |
| 1. **Financial controls** |
| Please confirm what policies and/or procedures are in place for the following:  i. Detecting, reporting and acting upon financial fraud;  ii. Financial Procedures; and  iii. Procurement policy  **Note:** Pleaseprovide copies of documents, in English, or links to a website where the information is hosted, (if the website detail is not in English please provide an abstract highlighting key areas in English) |
| 1. **Income** |
| Please provide information regarding how your organisation records research grant income and who is responsible for this. |
| Please provide the following information about your research income along with a copy of the last three financial years’ accounts in English.   |  |  |  |  | | --- | --- | --- | --- | | **Year (Last 3 years)** | **Total Income** | **Total Research Income** | **Percentage of Research vs Total income** | |  |  |  |  | |  |  |  |  | |  |  |  |  | | **Total** |  |  |  |   Please indicate the currency used where not Great British Pound (£) |
| 1. **Research Grant Management** |
| How is expenditure on research grants monitored? |
| Are regular reconciliations of income against expenditure undertaken? If so, how and how often? |
| What action would be taken where income and expenditure differed greatly, either payment in advance of or in arrears of need? |
| Is information on financial spend against individual research grants available? |
| How do you prevent ineligible costs being charged to research grants? |
| What is the process for appointing staff employed on research grants and also ensuring that the correct employment contracts are in place? |
| 1. **Costs** |
| In accordance with funder Terms and Conditions, your organisation will need to provide a valid audit trail to show that any staff charged to the grant have worked as indicated. How do you keep track of how many staff hours are worked on research grants? Please provide a copy of a timesheet if used for this purpose. |
| 1. **Travel and Subsistence** |
| Do you have a travel and subsistence policy in place? If so please provide a copy or link to a website where this information is hosted. (If the website detail is not in English please provide an abstract highlighting key areas in English) |
| How do you ensure that T&S regulations are applied? |
| 1. **Accounting Systems** |
| What financial accounting system is used by the organisation? |
| Can you confirm that your accounting system can produce records for individual transactions? |
| 1. **Audit** |
| Do you have an internal audit service?If no, please identify the provider if the service is external. |
| How is your internal audit service provided? |
| How regularly do auditors review research grant administration? If available, please provide a copy or a link to the most recent report. If you cannot provide the full report in English then please provide a summary of findings. |
| Have you received a review of externally funded research grants? If yes, please summarise the findings in English. |
| 1. **Sub Contracts, Partner Organisation, Consortium and Collaborative Agreements** |
| Do you anticipate sub-contracting any work within research grants to other organisations? |
| **If answering yes to the above**, please provide evidence of your technical ability to manage any sub-contracted grants (any funding from the research grant that is being passed outside your organisation to a third party) along with written testimony from previous clients. |
| **If answering yes to the above**, Please provide an example of a recent sub-contract agreement in English. |

**13. Enclosed Document Checklist**

Please ensure you are providing copies of the below information, or alternatively please provide a link to a website where the document(s) are held. **Please note:** all documentation **MUST** be in English.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Section** | **Document** | **Enclosed** | | **If No, pls give reason** |
| **Yes** | **No** |
| 1. | Evidence of Legal Status |  |  |  |
| 2.i | Scientific Misconduct Policy |  |  |  |
| 2.ii | Ethics Policy |  |  |  |
| 2.iii | Risk Management Policy |  |  |  |
| 2.iv | Anti-Bribery Policy |  |  |  |
| 3.i | Financial Fraud Policy |  |  |  |
| 3.ii | Financial Procedures Policy |  |  |  |
| 3.iii | Procurement Policy |  |  |  |
| 4. | Last 3 years Financial Accounts |  |  |  |
| 6. | Example of Timesheet |  |  |  |
| 7. | Travel and Subsistence Policy |  |  |  |
| 9. | Grant Administration Audit Report |  |  |  |
| 10. | Sub-contracting Agreement |  |  |  |
| 10. | Written testimony from previous clients |  |  |  |

1. **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 the research organisation I can confirm that we accept the funder’s Terms and Conditions with regards to Research Grants.** | Yes | No |

|  |
| --- |
| **If no, please give further details here.** |

1. **Authorisation**

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

|  |  |
| --- | --- |
| **Signature:** |  |
| **Name:** |  |
| **Role:** |  |
| **Date:** |  |

In order to limit repeated requests for information the University of Birmingham would like to securely store your responses to this questionnaire and share them with the funder of this research project and also with other University of Birmingham faculties if you are proposed as a partner for any future research projects. Information will be retained for 12 months, after which we would ask you to resubmit information if you were proposed as a partner on any future research projects. If you have any objection to this please contact Dr Ian Lyne, Director of Research Support Services, [i.r.lyne@bham.ac.uk](mailto:i.r.lyne@bham.ac.uk) .

In addition, the University of Birmingham 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. Information will be retained for 12 months, after which you would be asked to resubmit information if you were proposed as a partner on any future research projects. This is optional. If you are happy for your responses to this questionnaire to be used in this way please confirm below.

**I confirm that I approve the University of Birmingham to share the responses supplied in this questionnaire with other UK Universities and UK research funders:**

|  |  |
| --- | --- |
| **Signature:** |  |
| **Name:** |  |
| **Role:** |  |
| **Date:** |  |

1. **Bank Details**

Payments will be made by bank transfer and all payment remittances will be sent via email, please provide your email address above. Please supply full details to facilitate this and avoid delays in payment. You **MUST** provide confirmation of the following bank details on letter headed paper:

* Account /Payee Name
* Bank Name, Sort Code and Account Number
* IBAN or Account Number for foreign payments
* Swift Code