**Relationship Review DUE DILIGENCE PROFORMA (Appendix A)**

**PART 1** – Organisation review

**DETAILS OF INDIVIDUAL MAKING THE NOTIFICATION** *(to be completed by the individual making the notification)***:**

*To be completed only where the organisation does not appear in the* [*Ethics Code Due Diligence*](file:///I:\RS%20Operations\Ethics%20Code%20Due%20Diligence) *shared folder*

*Mitigating factors to consider:*

* *Previous activity with the organisation. Have these given rise to any issues?*
* *Other activity in the UK university sector. Are working with many other universities?*

|  |  |
| --- | --- |
| Organisation name (and website, address, contact details) |  |
| Initial Project title (if known) |  |
| Initial Principal investigator(s) |  |
| Name of reviewer |  |
| Signature and Date |  |
| Background comments | |

|  |  |
| --- | --- |
|  | Outcome  Please summarise any issues and provide relevant URLs or |
| Issues identified from the Initial Organisation Check. *Please see Table 1*  For example:   * The identity of the organisation * The organisational structure and where possible directors and potential links to other companies or individuals * Where the organisation is based/registered |  |
| Does the company have a ‘poor public image’ resulting from company practices, such as poor environmental conduct, health and safety record, human rights record, which may be detrimental to the College’s reputation? Has the internet search for recent evidence of illegal activities or ‘bad press’ raised any concerns? *Please see Table 2* |  |
| Is the organisation linked to any politically sensitive groups or persons? |  |

**Evaluation**

|  |
| --- |
| No concerns were raised – ***Low Risk***  Ethical concerns identified – Consider alongside the Project and complete Part 2 – ***High Risk*** |

**DUE DILIGENCE PROFORMA –**

**PART 2** – Project level review

**DETAILS OF INDIVIDUAL MAKING THE NOTIFICATION** *(to be completed by the individual making the notification, being one of the following: HoD, Chief Reviewer)***:**

|  |  |
| --- | --- |
| Organisation name (and website, address, contact details) |  |
| Project title (if known) |  |
| Principal investigator(s) |  |
| Name of reviewer |  |
| Signature and Date |  |
| Background and comments |  |

**Reputational Risks?**

e.g. The research activity involves a subject matter which could be seen as politically sensitive such as:

* gambling
* tobacco
* alcoholic beverages
* weapons manufacturing or biological warfare research

Have you identified any identified potential Conflicts of Interest?

Does the relationship have the potential to compromise the College’s status as an independent institution?

Where research is being conducted outside the [EEA](http://en.wikipedia.org/wiki/European_Economic_Area), North America, Australia, New Zealand, and Japan does this present any additional risks?

Does the relationship present any other concerns or issues?

**Evaluation**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Have issues been identified? | Yes | No |  | |
| Organisation (Due diligence form Part 1) |  |  |
| Project (Due diligence form Part 2) |  |  |
| *If answer is yes for either the project or the organisation consultation is required* | | |
| Ethical concerns identified; Consult with academic department (HoD). | |  |  |
| Outcome: | | |
| Ethical concerns cannot be resolved with department; Escalate | |  |
| Outcome: | | |

**Relationship Review DUE DILIGENCE PROFORMA (Appendix B)**

**NOTIFICATION OF MATTER FOR ETHICAL CONSIDERATION TO THE DIRECTOR OF THE RESEARCH OFFICE AND THE FACULTY OPERATING OFFICER/DEAN**

**UNDER THE IMPERIAL COLLEGE RELATIONSHIP REVIEW POLICY**

**DETAILS OF INDIVIDUAL MAKING THE NOTIFICATION** *(to be completed by the individual making the notification, being one of the following: HoD, Research Services Manager, Contracts Manager)***:**

**Name:** ………………………………………………………………………………….

**Position:** ……………………………………………………………………………….

**Organisation/Party** (who issue is being raised for): …………………………………………...

**DETAILS OF THE ETHICAL ISSUE** *(to be completed by the individual making the notification).*

**Type of relationship** *(i.e. research funder, multi-party collaboration etc)* **[xx]**

**Reason for notification** *(i.e ethical concern arising in the course of due diligence or otherwise)* **[xx]**

**Detail of the ethical issue and your recommendation as to how the matter should proceed: [xx]**

**Brief history of the matter** *(including whether the proposed relationship arises from a solicitation from (or a contact within) Imperial College or from an independent approach):* **[xx]**

**Details of any non-standard or potentially onerous conditions proposed in connection with the proposed relationship: [xx]**

**Details of the due diligence that has been carried out and the results of that due diligence: [*Attach Due Diligence Proforma part 1 and 2*]**

**Status of the relationship and timescales:** *(including details of the current status of negotiations/previous contact between the College and relevant individual or organisation/ when it is intended that the relationship will be entered into):* **[xx]**

**Further comments and reference to additional documentation provided** *(include all further details that you would like to draw to the attention of the decision maker and refer to all supplementary documents included for review)* **[xx]***.*

**DETAILS OF FURTHER INFORMATION REQUIRED BY DECISION MAKER**

**Further information required:** *(if none, please specify)* **[xx]**

**CONFIRMATION OF DECISION AND GUIDANCE** *(to be completed by the Director of the Research Office)*

**Do you approve the proposed relationship?** Yes/No

**Details of any conditions attached to an approval: [xx]**

**Any further comments [xx]**

**CONFIRMATION OF DECISION AND GUIDANCE** *(to be completed by the Dean/FOO)*

**Do you approve the proposed relationship?** Yes/No

**Details of any conditions attached to an approval: [xx]**

**Any further comments [xx]**