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| ***Detailed guidance for each section is available on Pages 3-8***   1. **Project Overview**  |  |  | | --- | --- | | 1. Third Party Name |  | | 1. Registered Address |  | | 1. Website |  | | 1. Third Party Academic Lead - include name, email address and personal bio/website |  | | 1. Research Partner or Professional Fees? |  | | 1. Funder name / Imperial Project Title / P Number |  | | 1. Imperial Principal Investigator |  | | 1. Imperial Head of Department |  | | 1. Imperial Departmental Key Contact |  | | 1. Value of Third Party Budget and Payment Currency |  | | 1. Proposed Start and End Date of Collaboration Agreement |  | |  1. **Financial Probity**   ***(Provide copies or weblinks to financial accounts and policies)***   |  |  | | --- | --- | | i) Can the Third Party provide copies of audited financial reports for their last three financial years? If yes, provide copies/weblinks **and** complete table below. If no, justify why you wish to proceed. |  | | |  |  |  |  | | --- | --- | --- | --- | | Provide the following financial information: | Most recent year | Previous year | Third year | | Year ended (enter DD/MM/YYYY) |  |  |  | | Total Annual Turnover (specify currency) |  |  |  | | Total Research Income (specify currency) |  |  |  | | | | ii) What financial accounting system is used and how are individual transactions approved? |  | | iii) How does the Third Party manage budgets and expenditure, and what receipts and other evidence do they retain? |  | | iv) If the Third Party has none of the above, explain how you will manage the financial risks associated with the project? |  |  1. **Third Party Relationship and Ability to Deliver:**  |  |  | | --- | --- | | i) How was the relationship established and when did it start? |  | | ii) Do any members of the Third Party organisation have any financial or non-financial conflicts of interest (actual, perceived or potential) which could affect the planned research? If so, provide further details. |  | | iii) Has the Third Party previously worked with Imperial or other UK research institutions? If so, provide more information about the relationship(s). |  | | iv) Explain why the Third Party is the most suitable for this project and their ability to deliver the objectives of the project. |  | | v) Explain how you will work with the Third Party to manage this project, e.g. types of meeting and frequency, Advisory Board, Steering Committee, project management plan etc. |  | | vi) Explain what the Third Party has put in place to support successful project delivery and ensure health and safety risks are assessed and mitigated, e.g. local ethical approval, permits, animal licenses, other regulatory approvals etc. |  |      1. **Organisational Policies and Procedures**  |  |  | | --- | --- | | Indicate whether the Third Party has all or some of the policies in the following areas. If these do not match exactly to the categories below, describe the policies that are equivalent or most relevant. Refer to the guidance notes below for detailed information about what is required in each area.  ***Provide copies or weblinks to all policies in English.*** | | | i) Ethical Standards and Behaviours | Yes  provide copy or weblink:  No  justify why you wish to proceed with the relationship: | | ii) Financial Policies and Audits  *(include purchasing and procurement; expenses; management of audits)* | Yes  provide copy or weblink:  No  justify why you wish to proceed with the relationship: | | iii) Anti-fraud, Bribery, Corruption and Public Interest Disclosure (Whistle blowing) | Yes  provide copy or weblink:  No  justify why you wish to proceed with the relationship: | | iv) Conflicts of Interest | Yes  provide copy or weblink:  No  justify why you wish to proceed with the relationship: | | v) Research Misconduct | Yes  provide copy or weblink:  No  justify why you wish to proceed with the relationship: | | vi) Safeguarding for Research Projects | Yes  provide copy or weblink:  No ☐ justify why you wish to proceed with the relationship: | | vii) Recruitment and Staffing (including Modern Slavery) and Equality and Non-Discrimination | Yes  provide copy or weblink:  No  justify why you wish to proceed with the relationship: | | viii) Research Data Management and Data Protection | Yes  provide copy or weblink:  No  justify why you wish to proceed with the relationship: |  1. **Political, Economic and Geographical Risks:**  |  |  | | --- | --- | | 1. Where will the research take place? Specify Country, Region and City. |  | | 1. Is the host country, region or Third Party organisation subject to Sanctions and Embargoes? If yes, justify why you wish to proceed with the relationship. | Yes  No  If ‘yes’, provide justification: | | 1. Describe the political and economic stability of the host country. |  | | iv) Describe any health and safety risks or concerns related to the geographical environment where the research will take place and explain how these will be mitigated. |  |  1. **Additional Information:**  |  |  | | --- | --- | | i) Will any part of the research be further subcontracted to another entity by the Third Party organisation? If so, provide the name of each subcontractor contributing to the project and the amount to be paid to each organisation. |  | | ii) If additional subcontracting is involved (as per 6(i) above), explain what due diligence checks have been conducted by the Third Party on each organisation. |  | | iii) Describe any health and safety risks or concerns related to the research activity and explain how these will be mitigated. |  | | iv) Describe the arrangements for the safeguarding of children, vulnerable adults, research subjects, patients, local communities, project staff and collaborators. |  |  1. **Head of Department Decision:**   ***HoD should sign off the questionnaire before it is submitted to the Research Office (RO) for assessment***   |  |  | | --- | --- | | Is the Third Party relationship approved? | Approved  Provisionally approved pending RO assessment  Not approved | | Explain why the relationship is approved or rejected:  *The decision should be based on a risk assessment of the information provided in the questionnaire. Considerations include (but are not limited to) the value of the Third Party’s budget; any specific risks raised; and whether any proposed mitigating actions are deemed sufficient.*  **HoD Name, Signature and Date:** | | |

When working with Third Parties (UK and overseas), it is important that a rigorous risk assessment is undertaken. Many of the Imperial’s main funders require lead institutions to carry out appropriate due diligence checks on Third Parties who undertake activities funded by a research grant or contract. To support this, the Research Office has developed the [Research Third Parties Framework for Managing Due Diligence](https://www.imperial.ac.uk/research-and-innovation/research-office/preparing-and-costing-a-proposal/identifying-partners/due-diligence/)**.** The Framework applies to all externally funded research activities and describes the minimum due diligence checks required for Third Parties, setting out the responsibilities for verifying the suitability of Third Party relationships.

In the first instance, the Principal Investigator (PI), supported by their Department, should complete a separate **‌Research Third Parties: Relationship Review Questionnaire** for each Third Party associated with the project. The questionnaire considers a broad spectrum of financial, reputational, ethical and geo-political risks involved in research relationships. It supports the early identification of any risks that may impact Imperial's reputation, financial position, academic standards and research integrity.

The questionnaire should be completed as soon as the relationship is established and before a project is awarded. This will allow mitigating actions to be taken, such as making appropriate changes to the research sub-agreement and/or the Department’s project management plan. The completed questionnaire should be sent to [rs.compliance@imperial.ac.uk](mailto:rs.compliance@imperial.ac.uk) for independent assessment by the Research Office. A summary of the risks identified and any recommended actions to mitigate these during the lifetime of the research project will be provided to the PI, Department, Faculty Research Services and Faculty Contracts.

International research collaboration has huge benefits but there are also some potential risks. [Trusted Research](https://www.imperial.ac.uk/research-and-innovation/research-office/research-governance-and-integrity/research-integrity/trusted-research---protecting-your-work/) guidance and advice will help researchers make informed decisions. A comprehensive [Overseas Research Toolkit](https://www.imperial.ac.uk/research-and-innovation/research-office/preparing-and-costing-a-proposal/identifying-partners/toolkit/)is also available to guide PIs and Departments working with overseas partners at both Pre-Award and Post-Award stages. It provides best practice advice, guidance and further recommendations for developing and managing international relationships.

**Completing the Questionnaire**

Complete each section fully to allow the Head of Department to consider any potential risk(s) prior to approving or rejecting the proposed relationship. Guidance for each section of the questionnaire is detailed below.

1. **Project Overview**

This section asks about the Third Party organisation you plan to work with and the research project itself.

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| i) Third Party Name | Full legal name of the proposed Third Party organisation. |
| ii) Registered Address | Full legal address of the proposed Third Party. If a Third Party has multiple addresses, select the legal address that will appear on the sub-agreement. |
| iii) Website | Third party’s web address. |
| iv) Third Party Academic Lead – include name, email and personal bio/website | Name, email and personal website of Academic Lead (co-I) based in the Third Party organisation. |
| v) Research Partner or Professional Fees? | Specify whether the Third Party organisation is a research partner or if they will receive professional fees for providing specific services. Refer to the Research Partner and Professional Fees Guidance on the [Research Office Website.](https://www.imperial.ac.uk/research-and-innovation/research-office/preparing-and-costing-a-proposal/identifying-partners/) |
| vi) Funder / Imperial Project Title / P Number | Name of the funder, proposed title for the overall research project and Imperial’s internal reference number, i.e. P number. |
| vii) Imperial Principal Investigator | Name of the Imperial academic leading the project. |
| viii) Imperial Head of Department | Name of the Imperial Head of Department. |
| ix) Imperial Departmental Key Contact | Name of the Imperial administrative contact who is responsible for supporting the PI with administrative aspects related to the Third Party relationship. |
| x) Value of Third Party Budget and Payment Currency | Confirm the total amount that the Third Party organisation will receive from Imperial and state the currency they expect to be paid in.  Note: The level of financial risk will be partially determined by the amount to be transferred. The currency will inform how the account will be set up. |
| xi) Proposed Start and End Date of Collaboration Agreement | Confirm the start and end date of the collaboration agreement between Imperial and the Third Party. |

1. **Financial Probity**

This section asks for information about the Third Party’s financial management practices and focuses on areas that may be subject to future audit scrutiny. To answer these questions, liaise directly with the Third Party organisation to establish the level of financial governance in place. Ensure you understand what mechanisms exist to manage funds distributed by Imperial. Contracting with a Third Party who cannot supply any or all of this information will increase Imperial’s exposure to financial risk, which may be deemed unacceptable.

The financial stability of a Third Party organisation is indicated by evidence such as:

* Operating in a country that can receive funding from foreign sources.
* Holding a bank account in its legal name that can be reconciled to a finance management system.
* Being able to identify individual transactions, retain supporting evidence of income and expenditure, and reconcile its bank account.
* Having procedures to manage and control expenditure, e.g. expenses, per diem, review of receipts.
* Having policies to manage subcontractors and ensure the flow-down of funder terms and conditions.
* Being subject to an institutional-level financial audit on an annual basis.

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| **i) Can the Third Party provide copies of audited financial reports for their last three financial years? If yes, provide copies/weblinks and complete table below. If no, justify why you wish to proceed.** |
| Assess whether the Third Party organisation has a formal accounting mechanism in place and can demonstrate its financial probity. The level of risk will increase if copies of recent financial reports cannot be provided.   |  |  |  |  | | --- | --- | --- | --- | | Provide the following financial information: | Most recent year | Previous year | Third year | | Year ended (enter DD/MM/YYYY) |  |  |  | | Total Annual Turnover (specify currency) |  |  |  | | Total Research Income (specify currency) |  |  |  | |
| **ii) What financial accounting system is used and how are individual transactions checked?** |
| Request specific information about the systems and procedures used by the Third Party to charge and approve project expenditure. The level of risk will increase if they cannot explain how payments for goods and services are managed and approved. If this is the case, carefully consider whether the Third Party can provide other suitable assurances on how funds will be legitimately spent. |
| **iii) How does the Third Party manage budgets and expenditure, and what receipts and other evidence do they retain?** |
| Consider whether the Third Party organisation can meet the funder requirements. For example: (a) what controls are in place to monitor and control expenditure?; (b) do they have processes to ensure evidence of spend is retained for a specified period of time? The level of risk will increase if the Third Party is unable to explain how they manage expenditure and they cannot maintain an auditable evidence trail for all costs charged to a project. If this is the case, carefully consider whether the Third Party can provide other suitable assurances. |
| **iv) If the Third Party has none of the above, explain how you will manage the financial risks associated with the project?** |
| In some cases, the Third Party organisation may be unable to provide any information to verify its financial legitimacy. If questions 2(i)-(iii) above cannot be answered satisfactorily and the PI still wishes to proceed with the relationship, then clearly explain why. For example, is this the only organisation who can undertake the work? If so, any alternative assurances would need to address the following: (a) how does the Department intend to mitigate the risk of financial fraud or impropriety? (b) what checks will be put in place to ensure funds are spent appropriately?; (c) how will evidence of expenditure be obtained, verified and retained? |

1. **Third Party Relationship and Ability to Deliver**

This section examines the nature and purpose of the proposed relationship. It considers factors such as why the Third Party organisation is suitable for the project; how and when the original relationship was established; and how project governance will be managed during the lifetime of the relationship.

Third Party organisations should have suitable governance and control mechanisms in place which provide assurance that they can deliver the project’s objectives. This is indicated by evidence such as:

* A track record of working with other universities and research organisations, delivering research activities and managing external research funding.
* A governing board with responsibility for overseeing project performance, decision making and risk management.
* Suitable processes for the collection, management, analysis and dissemination of data.
* Measures put in place to identify and manage conflicts of interest.

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| **i) How was the relationship established and when did it start?** |
| Explain how and when you first came into contact with individuals at the Third Party organisation, including how and why you decided to work together. Explain whether a prior relationship exists or whether the proposed relationship is entirely new. A new relationship is considered “higher risk” to Imperial. |
| **ii) Do any members of the Third Party organisation have any financial or non-financial conflicts of interest (actual, perceived or potential) which could affect the planned research? If so, provide further details.** |
| A conflict of interest occurs when an individual’s personal interests or relationships compromise the ability to carry out their professional responsibilities. Imperial’s [Conflict of Interest policy](https://www.imperial.ac.uk/media/imperial-college/administration-and-support-services/secretariat/public/about-the-secretariat/what-we-do/conflict-of-interests/Updated-Conflict-of-Interest-Policy.pdf) should be reviewed before answering this question. The level of risk will increase if there are conflicts of interest which have an adverse impact on project delivery, budgets, scientific integrity or Imperial’s reputation. |
| **iii) Has the Third Party previously worked with Imperial or other UK research institutions? If so, provide more information about the relationship(s).** |
| List any other Imperial departments, UK universities and research organisations that the Third Party organisation has previously worked with. In some cases, it may be necessary to approach another organisation to understand the nature of their prior relationship with the Third Party. The level of risk will be informed by how experienced and knowledgeable the Third Party is about the governance, obligations and reporting requirements associated with the management of external research funding. |
| **iv) Explain why the Third Party is the most suitable for this project and their ability to deliver the objectives of the project.** |
| Outline why the proposed Third Party is the most suitable to undertake the work. Consider the project objectives; where the research is taking place; what other options are available; and whether alternative Third Parties were considered. |
| **v) Explain how you will work with the Third Party to manage this project, e.g. types of meeting and frequency, Advisory Board, Steering Committee, project management plan etc.** |
| Consider how the proposed relationship and financial and scientific oversight will be managed during the lifetime of the project. Appropriate mechanisms should be put in place as part of the project management plan to ensure work is completed on time and to a satisfactory standard. For example, a dedicated Project Manager, Advisory Board or Steering Committee will play an important role in directing the research, developing the Third Party relationship and managing any issues or risks which may arise. |
| **vi) Explain what the Third Party has put in place to support successful project delivery and ensure health and safety risks are assessed and mitigated, e.g. local ethical approval, permits, animal licenses, other regulatory approvals etc.** |
| Explain what the Third Party has put in place to support and monitor delivery of this research project, and ensure its successful completion. This may include local processes relating to ethical review, risk assessment and mitigation, regulatory approvals, and health and safety. |

1. **Organisational Policies and Procedures**

Organisational policies and procedures should be carefully considered to understand how a Third Party organisation is: (a) governed and managed; (b) complies with legislation and regulatory requirements; (c) sets standards of good ethical behaviour; and (d) conducts research with integrity. The areas below are informed by Imperial’s [Relationship Review policy](https://www.imperial.ac.uk/research-and-innovation/about-imperial-research/research-integrity/ethics/) and are fundamental to assessing any proposed relationship. **It is important to obtain copies of policies or weblinks in English** so they can be checked against UK standards. If the policies provided do not match exactly to the categories below, describe the policies that are equivalent or most relevant. If the Third Party does not have a specific policy or policies, carefully consider whether the Third Party can provide other suitable assurances before proceeding with the relationship. It will also be recommended that an additional clause is added to the sub-agreement which will require the Third Party to comply with relevant Imperial policies for the duration of the project.

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| 1. **Ethical Standards and Behaviours** |
| The ethical aspects of the research will be considered separately as part of the research ethics application process. Imperial has policies on [ethics](https://www.imperial.ac.uk/research-and-innovation/about-imperial-research/research-integrity/ethics/) and [research integrity](https://www.imperial.ac.uk/research-and-innovation/about-imperial-research/research-integrity/) which outline the expected UK standards of research conduct. Determine whether the Third Party has policies in place which govern the conduct of the research and protect the right to publish and use results. It is also important to consider how these standards will be verified while the project is in progress. |
| 1. **Financial Policies and Audits**   ***(include purchasing and procurement; expenses; management of audits)*** |
| Imperial has [Purchasing and Procurement](https://www.imperial.ac.uk/finance/purchasing) and [Expenses](https://www.imperial.ac.uk/staff-travel-and-expenses/claims-and-post-trip-activities/expenses/) policies, and an [Audit and Risk Committee](https://www.imperial.ac.uk/admin-services/secretariat/university-governance-and-key-documents/governance-structure/council/councilcommittees/audit-and-risk-committee/). Determine whether the Third Party has appropriate policies which govern financial procedures and if they are subject to institutional-level financial audits. If this is not the case, consider what other assurances can be provided by the Third Party and whether these are sufficient or not. |
| 1. **Anti-fraud, Bribery, Corruption and Public Interest Disclosure (Whistle blowing)** |
| Imperial has [fraud, bribery and corruption](https://www.imperial.ac.uk/media/imperial-college/administration-and-support-services/secretariat/public/college-governance/charters-statutes-ordinances-regulations/charters-and-statutes/Regulations-13-December-2023.pdf) policies in place. There may also be accusations of fraud, bribery and corruption in the public domain which are associated with the Third Party or specific employees. A country may also be ranked highly in the [Corruption Perceptions Index](https://www.transparency.org/en/cpi/2020/index/nzl). Imperial’s policy on [Public Interest Disclosure](https://www.imperial.ac.uk/research-and-innovation/about-imperial-research/research-integrity/public-interest-disclosures/) (also known as “whistle blowing”) enables individuals to raise concerns at high level or disclose information which they, in good faith, believe to show malpractice or impropriety. Determine whether the Third Party has policies in place to safeguard the proper use of the finances and resources, and upholds the highest standards of openness, probity and accountability. |
| 1. **Conflict of Interest** |
| Imperial’s [Conflict of Interest](https://www.imperial.ac.uk/media/imperial-college/administration-and-support-services/secretariat/public/about-the-secretariat/what-we-do/conflict-of-interests/Updated-Conflict-of-Interest-Policy.pdf) policy requires individuals to conduct themselves with integrity, impartiality and honesty at all times, and to maintain high standards of propriety and professionalism. An interest can be financial (anything of monetary value) or non-financial (a benefit or advantage). Determine whether the Third Party has a policy which sets out the expected standards of behaviour and conduct, and has a process for disclosure and management of conflicts of interest. |
| 1. **Research Misconduct** |
| Imperial takes allegations of [research misconduct](https://www.imperial.ac.uk/research-and-innovation/about-imperial-research/research-integrity/misconduct/) very seriously and has a process in place for investigating allegations. An important consideration is whether the Third Party has ever suppressed or falsified academic research since this will affect the legitimacy of the research. Determine whether the Third Party has a policy which upholds the highest standards of research integrity and has a process for managing allegations of research misconduct. |
| 1. **Safeguarding for Research Projects** |
| [Safeguarding](https://www.imperial.ac.uk/human-resources/compliance-and-immigration/safeguarding/safeguarding-for-research-projects/) refers to the action taken to promote the welfare of children under the age of 18 and vulnerable adults, and protect them from harm. Within research projects this may include staff, students, collaborators and anyone in the UK or overseas who is directly affected by the research activities, e.g. research subjects, patients etc. Imperial has policies and procedures to support researchers in the identification, disclosure and mitigation of Safeguarding concerns. Determine whether the Third Party sets expectations regarding safeguarding and welfare, and has a process for disclosure and management of safeguarding concerns. |
| 1. **Recruitment and Staffing (including Modern Slavery) and Equality and Non-Discrimination** |
| [Recruitment and staffing](https://www.imperial.ac.uk/human-resources/procedures/) related policies and procedures support the recruitment of staff and provide guidance on a range of employment issues in line with labour legislation and best practice principles. [Modern Slavery](https://www.imperial.ac.uk/finance/purchasing/related-policy-statements/modern-slavery/) legislation in the UK covers offences such as slavery, servitude, forced or compulsory labour, and human trafficking. [Equality, diversity and inclusion](https://www.imperial.ac.uk/equality/) is about ensuring fair treatment and offering the same rights and opportunities to all, and aims to eliminate unlawful discrimination, harassment and victimisation. Determine whether the Third Party has staff recruitment practices in place and sets expectations about how employees and associated staff in the supply chain will be treated in line with local labour laws. It is also important to consider whether staff related legislation that applies to the Third Party is equivalent to UK requirements. If not, then it is important to consider the consequences and impact on the research and Imperial’s reputation. |
| 1. **Research Data Management and Data Protection** |
| [Research data management](https://www.imperial.ac.uk/research-and-innovation/support-for-staff/scholarly-communication/research-data-management/) refers to how data generated or obtained for research is managed and maintained. [Data protection](https://www.imperial.ac.uk/admin-services/secretariat/policies-and-guidance/) refers to how personal data is collected, stored securely and processed in line with applicable data protection legislation. Determine whether a Third Party has policies in place to govern the management of research data and protection of personal data during the lifetime of the research project. It is also important to consider whether data related legislation that applies to the Third Party is equivalent to UK requirements. If not, then it is important to consider the consequences and impact on the research and Imperial’s reputation. |

1. **Political, Economic and Geographical Risks**

This section focuses on the risks arising from the location of the Third Party. Consider the wider political and economic position of the host country, as well as the safety of Imperial employees and local workers employed by the project. More information is available on the [Managing Risk](http://www.imperial.ac.uk/research-and-innovation/support-for-staff/research-office/preparing-and-costing-a-proposal/identifying-partners/due-diligence/managing-risk/) and [Offsite Working](http://www.imperial.ac.uk/safety/safety-by-topic/off-site-working/) webpages.

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| **i) Where will the research take place? Specify Country, Region and City.** |
| Provide details of the country, region and specific city where the research work will take place and the location of the Third Party if this differs from the location of the fieldwork site. When planning a project which involves research activities outside the UK, there is a duty of care to Imperial’s employees and a requirement to respect local customs, laws and behavioural expectations. A comprehensive [Overseas Research Toolkit](https://www.imperial.ac.uk/research-and-innovation/research-office/preparing-and-costing-a-proposal/identifying-partners/toolkit/)provides guidance and advice to PIs and Departments on working with overseas partners. |
| **ii) Is the host country, region, Third Party organisation subject to Sanctions and Embargoes? If yes, justify why you wish to proceed with the relationship.** |
| Consider whether the Third Party or collaborating country is subject to any restriction, sanction or embargo.  **NOTE: If a country is subject to sanctions or embargoes, it may not be possible to transfer funds to them.** Refer to Imperial’s [Anti-Money Laundering Resource Centre](https://www.imperial.ac.uk/finance/financial-services/controls--compliance/anti-money-laundering-resource-centre/) which includes information about UK and US Sanctions Lists. There may also be local restrictions which apply to particular cities or regions within a single country. Travel to some countries may also be restricted so refer to Imperial’s [Travel Insurance](https://www.imperial.ac.uk/staff-travel-and-expenses/planning-a-trip/country-guidance/) webpages.  Those involving entities in sensitive countries will receive additional due diligence and verification under Imperial’s [Relationship Review Policy](https://www.imperial.ac.uk/research-and-innovation/about-imperial-research/research-integrity/ethics/). Sensitive countries listed in ***Appendix A*** of the **Relationship Review Policy** require the ‘due diligence proforma’ in ***Appendix B*** of the Policy to be completed and submitted to the Head of Department or equivalent, and is subject to further consideration by Imperial’s Scrutiny Committee.  If a Third Party organisation, individual or collaborating country is subject to a sanction or embargo, careful consideration should be given as to whether it is appropriate or possible to undertake work with them or in the host country. If this is the case, justify why you wish to proceed and explain what measures can be put in place to mitigate the risks. |
| **iii) Describe the political and economic stability of the host country.** |
| Understanding the political and economic climate of the host country is essential when considering and managing associated risks. Refer to the [UK Government Foreign Travel Advice](https://www.gov.uk/foreign-travel-advice) for country-specific guidance. Carefully consider the implications of travelling to a particular country and be aware of any external factors that could potentially jeopardise the project. |
| **iv) Describe any health and safety risks or concerns related to the geographical environment where the research will take place and explain how these will be mitigated.** |
| Imperial takes its duty of care responsibilities seriously. Outline any health and safety concerns here. Examples include: mountainous terrain, extremes of heat or cold, remote locations, or other environments that present a physical challenge to the safety of researchers and local workers. It is a requirement to undertake a risk assessment and develop an emergency response plan before starting any off-site work. Refer to Imperial’s [Off-site working](https://www.imperial.ac.uk/safety/safety-by-topic/off-site-working/) webpage for more information. |

1. **Additional Information**

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| **i) Will any part of the research be further subcontracted to another entity by the Third Party organisation? If so, provide the name of each subcontractor contributing to the project and the amount to be paid to each organisation.** |
| Ensure that further subcontracting is permitted by the funder’s terms and conditions. Understanding the delivery chain and flow of funds from the original funder to downstream third parties is an important part of risk management. The Foreign, Commonwealth and Development Office (FCDO) [delivery chain risk mapping](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1000005/Delivery-Chain-Mapping-external-partners2.odt) guidance can be used as a useful tool in conducting due diligence and project monitoring. |
| **ii) If additional subcontracting is involved (as per 6(i) above), explain what due diligence checks have been conducted by the Third Party on each organisation.** |
| If the proposed Third Party intends to further sub-contract or commission any part of their work to another in-country entity, then the Third Party is expected to conduct its own appropriate due diligence checks on that entity. However, it is still Imperial’s responsibility as the lead organisation to maintain a comprehensive view of all third parties who are receiving funds, and to understand and manage the risks and interdependencies, e.g. the potential for fraud, bribery and corruption; funding of terrorism or illegal activities etc. |
| **iii) Describe any safety risks or concerns related to the research activity and explain how they will be mitigated.** |
| It is recognised that some projects are designed to take place in high-risk environments because the objective is to benefit a particular area or region, e.g. working in fragile or conflict affected areas. Decisions about risk must be balanced with the benefits of the proposed research. If these circumstances apply, explain how the higher risks of working in such an environment will be mitigated. |
| **iv) Describe the arrangements for the safeguarding of children, vulnerable adults, research subjects, patients, local communities, project staff and collaborators** |
| The PI and project team should consider safeguarding implications as part of project delivery and risk assessment planning. They must ensure that any concerns are managed throughout the lifetime of the project and reported to the relevant Imperial College safeguarding officer. More information can be found on Imperial’s [Safeguarding for Research Projects](https://www.imperial.ac.uk/human-resources/compliance-and-immigration/safeguarding/safeguarding-for-research-projects/) webpage. |

1. **Head of Department Decision**

The Head of Department (HoD) should indicate whether the relationship is accepted or rejected based on a risk assessment of the information provided in the questionnaire and also explain why this decision has been reached. Considerations should include (but are not limited to) the value of the Third Party’s budget; any specific risks raised; and whether any proposed mitigating actions are deemed sufficient. The Head of Department may wish to consult others to support their risk assessment, e.g. Safety team.

The Head of Department also has the option to *provisionally approve* the relationship pending receipt of the Research Office’s independent due diligence assessment.

***The questionnaire should be signed off by the HoD before it is submitted to the Research Office for assessment.***

1. **Independent Review and Assessment**

A copy of the completed and signed questionnaire should be sent to [rs.compliance@imperial.ac.uk](mailto:rs.compliance@imperial.ac.uk) for independent review and assessment by the Research Office. An overall risk score and recommended actions to mitigate any identified risks will then be shared with the PI, Department, Faculty Research Services and Faculty Contracts.

1. **Escalation**

If a Third Party is considered very high-risk, the matter will be escalated to the Director of the Research Office, Faculty Operating Officer and Faculty Dean. If the issue(s) cannot be resolved, the matter will be referred to the Vice-Provost (Research and Enterprise) for a decision.