



UNIVERSITY OF  
LINCOLN

### POLICY FRONT COVER SHEET

<b>Name of Policy:</b>	Due Diligence Policy (International Research)
<b>Scope of Policy:</b>	This policy statement sets out the University of Lincoln's due diligence and risk management framework for working with overseas partners on research projects
<b>Author:</b>	DVC (Research and Enterprise) [Owner] Research Governance Manager [Author]
<b>Applicable to:</b>	All staff and students working with overseas partners
<b>Consultation Process:</b>	Due Diligence Working Group, consisting of representatives from academic and professional services departments
<b>Approval Body:</b>	Academic Board via Research Committee
<b>Date of Approval:</b>	1 April 2020
<b>Date of Implementation</b> (if different from date of approval):	As above
<b>Review Date:</b>	1 April 2023
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## Due Diligence Policy (International Research)

The University of Lincoln's *Due Diligence Policy (International Research)* sets out the University of Lincoln's due diligence (DD) and risk management framework for working with overseas partners on research projects.

The University of Lincoln (UoL) seeks to:

- Ensure that an appropriate and proportionate approach is taken to due diligence for research projects, primarily those which involve an overseas element.

This policy is separate from, but related to, the University's Research ethics policy, Code of Practice for Research and any other research related policy and is applicable to all staff and students working with overseas partners.

### 1 Background

UKRI require Research Organisations that are involved in collaborating with overseas organisations to have policies and processes in place regarding due diligence and to carry out the process using a risk based approach. We will be asked to evidence this as part of the UKRI funding assurance process and as part of the awarding process for calls such as GCRF.

This policy aligns with, and utilises the UKRI due diligence guidelines.

### 2 Responsibilities

The University of Lincoln has a duty to undertake due diligence checks of overseas organisations working on research projects commensurate with any risk identified.

This policy is applicable to all overseas organisations who will be receiving research money directly from the University of Lincoln, or through a subcontract(s) from an international organisation that are to be directly funded by the University of Lincoln or unfunded research where there may be reputational and/or ethical risks.

The UoL Due Diligence Risk Assessment must be conducted for all overseas organisations that will be in receipt of research funding initiated from the University of Lincoln.

Organisations include (but not limited to): universities; other research institutions; government bodies and Non-Government Organisations (NGOs).

Note: It is not possible for the University of Lincoln to contract directly with an individual person.

Note: Financial Due Diligence is not required for projects where no funding is to be transferred to the partner, but reputational and ethical checks will still be needed.

Due Diligence checks shall cover aspects of governance and control; ability to deliver project and financial stability.

Due Diligence checks shall be undertaken in accordance with the Due Diligence Risk Assessment\* and shall be commensurate with any risk identified.

\*At pre-award stage (where the funding outcome is not known), light touch pre-award checks will be undertaken to ensure applications are submitted within deadlines. Further in depth checks will take place post award for successful applications in accordance with UKRI due diligence guidelines.

**Due Diligence must be completed in accordance with the risk assessment outcomes, prior to the start of the grant/transfer of any funds.**