

NESCA Trusted Research Checklist

This checklist is to be used by **applicants to and recipients of NESCA awards** as a means of conducting due diligence at the application stage and the ongoing monitoring of their project. [Trusted Research](#) forms an integral part of the NESCA funding and awardees are responsible for conducting their own due diligence as part of their project. If you wish to discuss any concerns about a proposed activity, please contact your local Trusted Research expert for support.

Project / Worktribe reference

Project Title

Ability to Deliver

Considering your industry partner (s) for the application/awarded project, an assessment of whether the proposed activity is achievable for the size and experience of the partner should be undertaken as follows:

Have you worked with the partner(s) previously? **YES** ☐ **NO** ☐

Do you have any concerns that the partner(s) will not be able to deliver what has been agreed? **YES** ☐ **NO** ☐

Reputational Risk

Consider if a partnership or activity is likely to attract any challenge to the awardees or their respective University's reputation. This could include working with a partner in a country where there are human rights concerns, a partner whose values are not aligned with those of the University, or are engaged in any activities that could be considered 'controversial'.

An internet search for recent evidence of 'negative media' should be carried out, using the organisations or individual's name and appropriate terms as appropriate to the activity:

E.g. entity name + (fraud, human rights, falsification of academic research, bribe, corrupt*)*

It is advisable to use more than one internet search engine e.g. Google/Bing/DuckDuckGo and check results over a few pages.

Are there any reputational concerns about the prospective partner? **YES** ☐ **NO** ☐

Are there any concerns about the country the activity, or partner is based, in? **YES** ☐ **NO** ☐

If you have identified any concerns or answered **YES** to any of the above questions, please contact your local Trusted Research expert for support.

Compliance Risk

Using the links within each question, consider if the proposed activity may be subject to any regulatory compliance legislation and/or in scope of current University policy (s). N.B the University will not support work with any individuals or organisations subject to UK Sanctions. Sharing personal data outside the UK lawfully requires further risk assessment. Please contact your University Data Protection Officer if applicable.

Is the partner based overseas? **YES** ☐ **NO** ☐

Does any activity in your project:

- Fall under the scope of the 17 sensitive sectors of the [National Security and Investment Act?](#) **YES** ☐ **NO** ☐ **UNSURE** ☐
- Feature items on the [Consolidated List?](#) **YES** ☐ **NO** ☐ **UNSURE** ☐
- Involve any visiting researchers to the UK requiring [ATAS?](#) **YES** ☐ **NO** ☐ **UNSURE** ☐

Is the Partner:

- Based in a country that is under UK [military embargo](#) or subject to [sanctions](#), including [financial sanctions](#)? **YES** ☐ **NO** ☐

- Majority owned in a country on the above lists, even if it is located in the UK? YES ☐ NO ☐ UNSURE ☐
- Acting at the [direction](#) of a [foreign power](#)? YES ☐ NO ☐ UNSURE ☐
- Under the supervision of, or reportable to, a state military? YES ☐ NO ☐ UNSURE ☐
- The ultimate beneficiary of any items/knowledge generated? YES ☐ NO ☐ UNSURE ☐

Will the project:

- Make use of cloud storage or information stored on servers located/accessible overseas? YES ☐ NO ☐ UNSURE ☐
- Transfer personal data, as defined by the [ICO](#), overseas? YES ☐ NO ☐ UNSURE ☐
- Require any overseas travel? Refer to [FCDO travel advice](#) YES ☐ NO ☐ UNSURE ☐

Date:

Notes: *Please use this section to keep any notes or links relevant to your due diligence process:*