

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 or answer **YES** or **UNSURE** to any of the questions below, please contact your local Trusted Research expert for support and clarification.

Ability to Deliver	
<i>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:</i>	
Have you worked with the partner(s) previously?	YES <input type="checkbox"/> NO <input type="checkbox"/>
Do you have any concerns that the partner(s) will not be able to deliver what has been agreed?	YES <input type="checkbox"/> NO <input type="checkbox"/>
Reputational Risk	
<i>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'.</i>	
<i>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:</i>	
<i>E.g. entity name + (fraud, human rights, falsification of academic research, bribe*, corrupt*)</i>	
<i>It is advisable to use more than one internet search engine e.g. Google/Bing/DuckDuckGo and check results over a few pages.</i>	
Are there any reputational concerns about the prospective partner?	YES <input type="checkbox"/> NO <input type="checkbox"/>
Are there any concerns about the country the activity, or partner is based, in?	YES <input type="checkbox"/> NO <input type="checkbox"/>
If you have answered YES to any of the above questions, please contact your local trusted research expert for support.	
Compliance Risk	
<i>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.</i>	
Is the partner based overseas?	YES <input type="checkbox"/> NO <input type="checkbox"/>
Does any activity in your project:	
➤ Fall under the scope of the 17 sensitive sectors of the National Security and Investment Act?	YES <input type="checkbox"/> NO <input type="checkbox"/> UNSURE <input type="checkbox"/>
➤ Feature items on the Consolidated List ?	YES <input type="checkbox"/> NO <input type="checkbox"/> UNSURE <input type="checkbox"/>
➤ Involve any visiting researchers to the UK requiring ATAS ?	YES <input type="checkbox"/> NO <input type="checkbox"/> UNSURE <input type="checkbox"/>
Is the Partner:	
➤ Based in a country that is under UK military embargo or subject to sanctions , including financial sanctions ?	YES <input type="checkbox"/> NO <input type="checkbox"/>
➤ Majority owned in a country on the above lists, even if it is located in the UK?	YES <input type="checkbox"/> NO <input type="checkbox"/> UNSURE <input type="checkbox"/>
➤ Acting at the direction of a foreign power ?	YES <input type="checkbox"/> NO <input type="checkbox"/> UNSURE <input type="checkbox"/>
➤ Under the supervision of, or reportable to, a state military?	YES <input type="checkbox"/> NO <input type="checkbox"/> UNSURE <input type="checkbox"/>
➤ The ultimate beneficiary of any items/knowledge generated?	YES <input type="checkbox"/> NO <input type="checkbox"/> UNSURE <input type="checkbox"/>

Will the project:

- Make use of cloud storage or information stored on servers located/accessible overseas?
- Transfer personal data, as defined by the [ICO](#), overseas?
- Require any overseas travel? Refer to [FCDO travel advice](#)

YES ☐ **NO** ☐ **UNSURE** ☐**YES** ☐ **NO** ☐ **UNSURE** ☐**YES** ☐ **NO** ☐ **UNSURE** ☐**Date:****Notes:** *Please use this section to keep any notes or links relevant to your due diligence process:*