



Appendix B – Met Office International Due Diligence Questionnaire

This form is for the use of international organisations looking to work with the Met Office. All applicants should fully complete the form, and submit additional attachments, in English.

Please complete the form as comprehensively as possible. You will be contacted by a member of Met Office staff for clarification if necessary.

This form is made up of the following sections, all of which should be completed:

- Summary
- Questionnaire
- Document checklist
- Declaration

Summary

Organisation name	
Description of organisation	
Postal address	
Head of Organisation	
Name and contact details of main contact person	

Questionnaire

Section 1: Governance and internal control

Ref	Areas to be assessed	Document required	Response and comments
Governance			
1.1	What is the legal status of your organisation?	Copy of registration/incorporation certificate	

1.2	Is your organisation legally required to publish your annual reports?	If yes please provide details of where these are published?	
1.3	Does your organisation have in place a fully functioning non-executive Board, separate from executive management?	Organogram for the organisation to include names of board members	
Policies and procedures			
1.4	Please confirm whether or not your organisation has the following policies: i. Anti-fraud, corruption & bribery ii. Anti-slavery/modern slavery iii. Whistleblowing (this may be a complaint or concern policy) iv. Travel & subsistence v. Conflict of interest	Copy of existing policies	
1.5	What is the process for reviewing each of these policies and how often are they reviewed?		
1.6	How are staff made aware of each of these policies?		
1.7	Does your organisation have a risk management process, and do you maintain a risk register? If yes, please describe who is responsible for updating the risk register and frequency of review.	Risk management policy Risk register	
1.8	Does your organisation have in place a Code of Conduct for staff and volunteers that sets out clear expectations of behaviours -- inside and outside the workplace - and what will happen in the event of non-compliance or breach of these standards?	copy of Code of Conduct	
Safeguarding & Ethics			
1.9	Does your organisation have a safeguarding policy?	Copies of relevant safeguarding policies	
1.10	Does the policy include a statement of your commitment to safeguarding, including a zero-		

	tolerance statement on bullying, harassment and sexual exploitation and abuse?		
1.11	Is the Safeguarding policy and Code of Conduct shared with downstream partners?		
1.12	How are any policies disseminated among staff? Do staff receive training where relevant to their role?		
1.13	Does your organisation have a designated safeguarding officer at board level who is responsible and accountable for safeguarding standards and reporting across the organisation and also includes downstream partners approach to safeguarding		
1.14	<p>Does your organisation (and all subcontractors) have documented labour standards, and operate in line with the UK Modern Slavery Act?</p> <p>In particular how does your organisation ensure that your employees and those in your supply chains are not subject to exploitation through:</p> <ul style="list-style-type: none"> - Slavery, servitude, and forced or compulsory labour - Sexual exploitation - Organ donorship - Force, threats or deception 	Copies of relevant policies	
1.15	Please describe how ethical standards of research are maintained within the organisation	Copies or relevant ethics and scientific misconduct policies	
Risk			
1.16	Does your organisation have risk registers for all programmes that feed into an overall organisational risk framework?		
1.17	Has there been any reported cases of fraud in the past five years?	Please provide details of what	

	If so, please confirm if this was internal or external fraud and please advise how was it managed and how was the incident resolved?	changes have been made as a result?	
1.18	Are there any current, pending or threatened arbitration proceedings (whether as a claimant or defendant), or any prosecution or inquiry pending by a government or official body?		
1.19	Has your organisation got any professional indemnity or public liability claims pending?		
Human Resources			
1.20	Does your recruitment policy include a criminal background check on candidates? In particular, specifically where the programme would involve working with children or vulnerable adults?		
1.21	Does your recruitment process consider and evidence the level of safeguarding risk in a job role? Do you have different levels of recruitment and security checks commensurate with safeguarding requirements of the role?		
1.22	Does your organisation have clear investigation and disciplinary procedures to use when allegations and complaints are made and does the organisation have clear processes in place for when a disclosure is made?		

Section 2: Ability to deliver

Ref	Areas to be assessed	Document required	Response and comments
Delivery and impact			
2.1	Please provide a brief outline of the 3 biggest projects you are currently or were recently working on in the capacity of lead or co-lead.		

2.2	Please provide evidence of where you have maximized the wider impact and value of research for the benefit of local economies and/or societies.		
Administration			
2.3	Describe the structure of the finance team who will be supporting this project.		
2.4	How is project expenditure authorised, processed and paid, and who is responsible at each stage?		
2.5	How will staff hours worked on this project be tracked to ensure staff have worked as stated on these applications?		

Section 3: Financial Stability

Ref	Areas to be assessed	Document required	Response and comments
Financial viability			
3.1	Please provide the following information about your total international development funding income along with supporting accounts for the past 3 years		
3.2	How would any deficit (loss of funds) within the organisation be managed?		
Financial Management			
3.3	Does your organisation have a financial management procedures manual which clearly sets out accounting, reporting, internal control, and administrative tasks?	Copy of the latest financial manual	
3.4	Does your organisation have a bank account with a reputable bank, held in the organisation's name, which can receive funds in GBP? If not, what currency can you receive funding in?	Bank Statement or Bank 'Letter of Good Standing' for this account confirming account holder and account details	

3.5	Does your government require you to hold a license or comply with certain regulations in order to receive funding from international sources? If yes, please confirm whether you hold such a license, a summary of what this entitles you to do, and the period the license is valid for.		
Strength of audit			
3.6	Are your organisation's annual financial statements audited by an external auditor? Who are your external auditors, and who do they report to?		
3.7	Does your organisation have an internal audit service (either internally or using external contractors)? If so, please identify the provider and the approximate number of days per year. How regularly does audit review grant management?	Provide confirmation of last audit date and summary of recommendations and actions that were taken	

Section 4: Sub-contract management

Ref	Areas to be assessed	Document required	Response and comments
Due Diligence			
4.1	Please identify your intended sub-contractors and how much funding will be disbursed to each partner.		
4.2	What is your relationship to these organisations, and what is your process for selecting sub-contractors?		
4.3	Do you undertake due diligence on your sub-contractors to assess their ability and suitability to undertake the work required?	Provide details of the due diligence	

		checks that you undertake	
4.4	Do you share your risk management policy where it relates to safeguarding risks with your downstream partners i.e. are downstream partners advised on escalation procedures around safeguarding issues?		
4.5	Do your downstream partners have in place procedures to ensure safeguarding issues are escalated to the Board?		
Management frameworks/contract			
4.6	How is the relationship with sub-contractors managed, for instance do you put in place a contract or memorandum of understanding?	Copy of agreements or sample documents if agreements have not yet been completed	
Monitoring management			
4.7	What financial reporting arrangements have been agreed with sub-contractors to ensure your organisation has sufficient control of expenditure?		
4.8	What arrangements do you have in place to monitor the progress sub-contractors are making on the project?	Examples of any monitoring documents or financial reports	
4.9	What means do you have of ensuring compliance with any more general requirements (e.g. environmental, ethical etc) that will be required for this project?		

Document checklist

Please complete this table to indicate whether you have included the documentation required as part of this assessment. If you are not able to supply certain documents (for instance a policy not in existence in your organisation) please indicate why this is the case.

Document		Enclosed		Comments
		Y	N	
Evidence of legal status	1.1			
Organogram	1.3			
Anti-fraud, corruption & bribery policy	1.4			
Whistleblowing policy	1.4			
Conflict of interest policy	1.4			
Risk management policy	1.7			
Risk register	1.7			
Safeguarding policy	1.9			
Policies relevant to Modern Day Slavery	1.14			
Ethics/ scientific misconduct policies	1.15			
Fraud investigation Summary	1.17			
Latest audit info	3.7			
Financial manual	3.3			
Bank Statement or Bank 'Letter of Good Standing'	3.4			
Licence to receive international funding (if relevant)				
Due diligence process for sub-contractors	4.3			
Examples of sub-contractor monitoring documents	4.6			

Declaration

The information you have provided will be shared with other research organisations and funders, if for any reason you cannot comply with this, please give further details below. The information provided in this questionnaire should be a true representation of your organisation. If false information has been provided there is a chance this will affect your funding going forwards.

To confirm the above please sign below:



Supported by:



Signed	
Date	
Position	