|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **PI** |  | **Date** |  | **Reference** |  |
| **Title** |  | | | | |

| Note | Risk area | Risk (examples give as prompts, not an exhaustive list) | Actions/Comments |
| --- | --- | --- | --- |
|  | New sponsor | Ethical, financial, reputational, or Terms & Conditions not optimal/acceptable |  |
|  | HR - all applicants/named posts eligible | VRA, contract extension, DoR required; college contract required, student status issues etc. |  |
|  | PI FTE acceptable/ available? Should PI be DI or DA? | PI over-committed, more than 100% so cannot claim salary or indirect costs, unable to teach. OR not-Chest funded so needs to be DI? |  |
|  | Teaching buy out required? | Time and funds must be available and agreed by the Head of Department |  |
|  | Staff and students working more than 6 months cumulatively in a single year abroad | Guidance can be found using this link. <https://www.hr.admin.cam.ac.uk/policies-procedures/overseas-working> |  |
|  | Space | Space for project staff/equipment available |  |
|  | Buildings | Refurbishment or modification required |  |
|  | Other staff not on grant | Admin or IT required to deliver project |  |
|  | All appropriate costs recovered? | Not all potential costs recovered; shortfall on direct costs or Chest share of overheads |  |
|  | VAT | VAT can be “self-charged” not eligible to the sponsor, incurred by sub-contracts, etc. and could become a cost to the Department |  |
|  | Sub-contractors; Suppliers; Collaborators; Sub-awardee | Various implications for collaborating third parties (not funders) - may need to be named at application stage; may involve Procurement; require due diligence for international collaborators (especially Global Challenges Research Fund) |  |
|  | Ethics – human subjects | Approval not received or likely (consider ethics, R&D approval and site approvals |  |
|  | Terms & Conditions and Contracts | Risk of unacceptable restrictions included in standard as well as negotiable contracts |  |
|  | Equipment | Equipment sharing, matching funds or business case required, are there sponsor restrictions on use or charging for use of equipment? |  |
|  | Cross Department/Faculty collaborations | Agree resource/overhead and budget split in advance to avoid delays at award stage |  |
|  | Tenders | Potential for unacceptable terms |  |

**NOTE:**

This form was developed to assist Departments in undertaking risk assessment of grant applications prior to submission to the Research Operations Office (ROO), and can be adapted to suit specific Department use.

Submission of a grant application to the Research Operations Office is taken as confirmation that the Department is aware of and accepts any risks associated with the project, irrespective of a completed form being provided.

However, if a Department choses to use this form to accompany an application to ROO, please:

1. Complete the form, including any mitigating actions or acceptance of identified risks
2. Expand the form as required, including adding other identified and accepted risks
3. Please retain one copy for the Departmental file
4. Please send one copy of the competed form to your usual contact in the Research Operations Office with the application.
5. **ONLY** send the form and submit an application if the Department approves submission of an application with the known risks – submission of the form with identified risks does not transfer the responsibility for resolving any outstanding issues, which should be discussed and resolved or accepted before submission.

Please contact the [Research Operations Office](https://www.research-operations.admin.cam.ac.uk/about-us/contact-us) to discuss any issues or for clarity on the use of this form.

|  |  |
| --- | --- |
| **Approved by:**  *Head of Department/Faculty or Delegated Authority* |  |
| **Date:** |  |

# NOTES

## New Sponsor

For new sponsors the ROO requires a new sponsor request form to be completed and submitted to the RSA with any relevant documentation. Guidance notes accompany the form, as full and correct completion enables a quick turn-round, e.g. web URL.

Please ensure any costings undertaken prior to the full set up of the new sponsor is completed are on the appropriate costing model, maximising full economic cost recovery.

ROO liaise with Research Accounting and International Strategy Office, depending on circumstances of the sponsor, so please allow 5-10 days for a new sponsor to be fully checked.

Terms & Conditions must be understood and accepted prior to the grant application being submitted.

*New Sponsor request form and guidance available from:* <https://www.research-operations.admin.cam.ac.uk/costing-and-pricing-research-proposal/x5/requesting-new-funders-schemes>

**Note**: this form is for internal use only and **NOT** for sending to the sponsor to complete their own details.

## HR

The PI should meet the criteria for the specific sponsor call, e.g. years from PhD. If the PI's current contract should cover the full proposed period of the grant. Where the PI is due to retire during the period of the grant, the University's policy on Employer Justified Retirement Age should be followed. (<http://www.admin.cam.ac.uk/offices/hr/policy/retirement/statement.html>)  
Any college employee would require a sub contract or the sponsor contracts directly with the college. Please contact your ROO Contract Manager.

Please note any requirement for visas, work permits, and sponsor requirements for staff and students on the grant. Possible requirement to have a Studentship Agreement or Visitor Agreement – please contact Research Operations Office <http://www.admin.cam.ac.uk/offices/research/contact/default.aspx>

## PI FTE

If the percentage of PI time committed to this project will take the PI over 100% time commitment across their full portfolio of concurrent grants, the PI must not double claim salary contribution or indirect/estate/overhead costs.

**NOTE** this will affect full cost recovery and ability to meet replacement teaching costs from overheads.

## Teaching Buyout

If the amount of time the PI or Co-I is dedicating to the project will prevent them from undertaking their current teaching duties, the Head of Department MUST be made aware and approve the application.

If teaching buy-out is required from the Department's share of the overhead, the value of which, after all direct costs have been met, should be made known to the HoD at the time to inform any decisions about replacement teaching.

## Staff and Students

Staff and Students who work abroad for more than 6 months cumulatively in a single year. More information can be found here as reference for the DAs/RGAs to check for their grant applications: <https://www.hr.admin.cam.ac.uk/policies-procedures/overseas-working>. There is also a checklist.

## Space

Self-explanatory, and Department-specific but must be identified and raised with the Head of Department at application, if not necessarily resolved.

## Buildings **–** as in (5) above

## Other staff

If not eligible on grant but necessary for project, how will this be funded? Project management costs (where appropriate), especially for large, translational awards with complex reporting and governance requirements may be eligible - include where possible and justifiable.

## Cost Recovery

Check the Price / Summary screen in X5 against the University’s Income Allocation Policy to check the appropriate level of cost recovery is being achieved: <http://www.admin.cam.ac.uk/offices/research/Research/Income_Allocation.aspx>

Note that for sponsors paying on an fEC basis but funding less than 100% (e.g. Research Councils funding at 80%) the awarded value could be less than the total direct costs. This is most likely where the Researcher FTE is low and other direct costs high.

ALL direct costs must be met from the award value, or discussed in advance with the HoD to identify how there shortfall will be funded.

Note that for some Research Council schemes overseas collaborators can be justified as exceptional costs and may be funded at 100%; if not there may be a shortfall if only 80% of costs are awarded. It is highly advisable that where non-direct costs are eligible to the sponsor that cost recovery is maximised. Further guidance is available in the Industry Pricing Policy: <http://www.admin.cam.ac.uk/offices/research/Research/Industry_Pricing.aspx>

## VAT - See guidance <http://www.admin.cam.ac.uk/cam-only/offices/finance/procedures/vat>

## Third Parties

Issues linked to VAT and Contracts; naming a sub-awardee at application stage and on the award avoids the requirement to charge VAT. Please ensure sub-awardees are named on the application, and if appropriate that VAT is added to the costing. For sub-contractors who are suppliers, seek advice from Procurement Services as appropriate. <https://www.research-operations.admin.cam.ac.uk/managing-research-projects/due-diligence-new-research-relationships>

## Ethics

Guidance being developed with emphasis on timelines. Please contact Research Operations Office with any questions <http://www.admin.cam.ac.uk/offices/research/contact/default.aspx>

## Terms & Conditions

Some terms & conditions can include restrictions on the use of results in future research projects with different sponsors. For Contract related advice please contact the Research Operations Office <http://www.admin.cam.ac.uk/offices/research/contact/default.aspx>

## Equipment sharing web site: <http://www.equipment.admin.cam.ac.uk/>

## Cross institutional collaborations: (and other partners e.g. Industry): may require Contract Manager involvement.

## Tenders

Tenders can have unacceptable conditions attached, and should NOT be accepted by the PI/Department.

In many cases, submission of a tender includes a pre-acceptance of the contract terms and conditions and therefore requires sign off by a Contract Manager.

Please seek advice from ROO <http://www.admin.cam.ac.uk/offices/research/contact/default.aspx>   
or Procurement Services <http://www.admin.cam.ac.uk/offices/purchasing/guides/> as applicable.