



Due Diligence Policy

1. Introduction

Al-Mahdi Institute (AMI) is committed to ensuring that all research collaborations and partnerships are established and conducted with the utmost integrity and in compliance with all relevant legal and ethical standards. This Due Diligence Policy outlines the principles and procedures that will be followed to assess and manage the risks associated with engaging third parties in research activities.

2. Policy Statement

AMI is dedicated to:

- Conducting thorough assessments of potential third parties before entering into research collaborations.
- Identifying and mitigating risks that may impact AMI's reputation, financial stability, and research integrity.
- Ensuring compliance with all applicable laws, regulations, and funder requirements.
- Protecting the interests of AMI, its staff, and its research endeavours.

3. Due Diligence Procedures

3.1 Initiation of Due Diligence

The Principal Investigator (PI), with support from their Department, initiates the due diligence process as early as possible, preferably as soon as a potential collaboration is identified and before any award is accepted.

3.2 Research Third Parties: Relationship Review Questionnaire

The PI, with input from the third party, completes a Research Third Parties: Relationship Review Questionnaire, which assesses various risks, including financial, reputational, ethical, safeguarding, and geo-political considerations.

The completed questionnaire should be submitted to a designated department or individual for independent assessment. A summary of identified risks and recommended mitigating actions will be provided to the PI, Department, and other relevant stakeholders.

3.3 Implementation of Mitigating Actions

The PI and Department work collaboratively with relevant parties to implement recommended mitigating actions, such as modifying research sub-agreements and adjusting project management plans.

3.4 Monitoring and Review

The relationship with the third party will be monitored throughout the collaboration to ensure compliance with agreed terms and to manage any emerging risks.

4. Exceptions

Certain exceptions may apply where due diligence checks are not required, such as when the third party is eligible to receive UKRI funding, listed on recognized higher education provider lists, or is a UK Government Department, agency, or public body. Specific criteria for exceptions will be clearly defined and documented.



5. Responsibilities

- **PI and Department:** Undertake due diligence reviews, assess third parties' suitability, provide due diligence documentation, review risk assessment recommendations, confirm work activities, establish monitoring processes, and liaise for necessary amendments during the award.
- **Designated Assessment Department/Individual:** Conduct independent assessments of Research Third Parties: Relationship Review Questionnaires, recommend mitigating actions, and provide guidance and support throughout the process.

6. Implementation and Review

AMI will ensure that this policy is disseminated to all relevant parties and will provide appropriate training and resources to support its implementation. The policy will be reviewed regularly to ensure its continued relevance and effectiveness in promoting due diligence in research collaborations.

Policy approved by the Board of Trustees on: 01/01/2023

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