

ANNEXURE III

PROCESS FOR RESEARCH REPUTATIONAL RISK ASSESSMENT OF SPONSORS/SUB-AWARDEES

GRANT SPONSORS/SUB-AWARDEES/COLLABORATORS

PRE-APPROVED IN AKU SYSTEM

- AKU has previously received/given a grant to a sponsor/funding agency/collaborator.
- Sponsor/funding agency/collaborator mentioned on pre-approved list for a reputation check [List Attached](#)
- The list is to be updated periodically.

NEW/NOT DEFINED IN AKU SYSTEM

- The sponsor/funding agency is not listed as a collaborator with AKU.
- The PI/department will lead the due diligence on the reputation checks of the sponsor/funding agency.

Standard Operating Procedures for Due-Diligence

- **Scope and Objectives:**

To establish a systematic and comprehensive framework for conducting due diligence for new sponsors, collaborators, or granting agencies in compliance with comply with [extramural grants policy](#)

- **Roles and Responsibilities:**

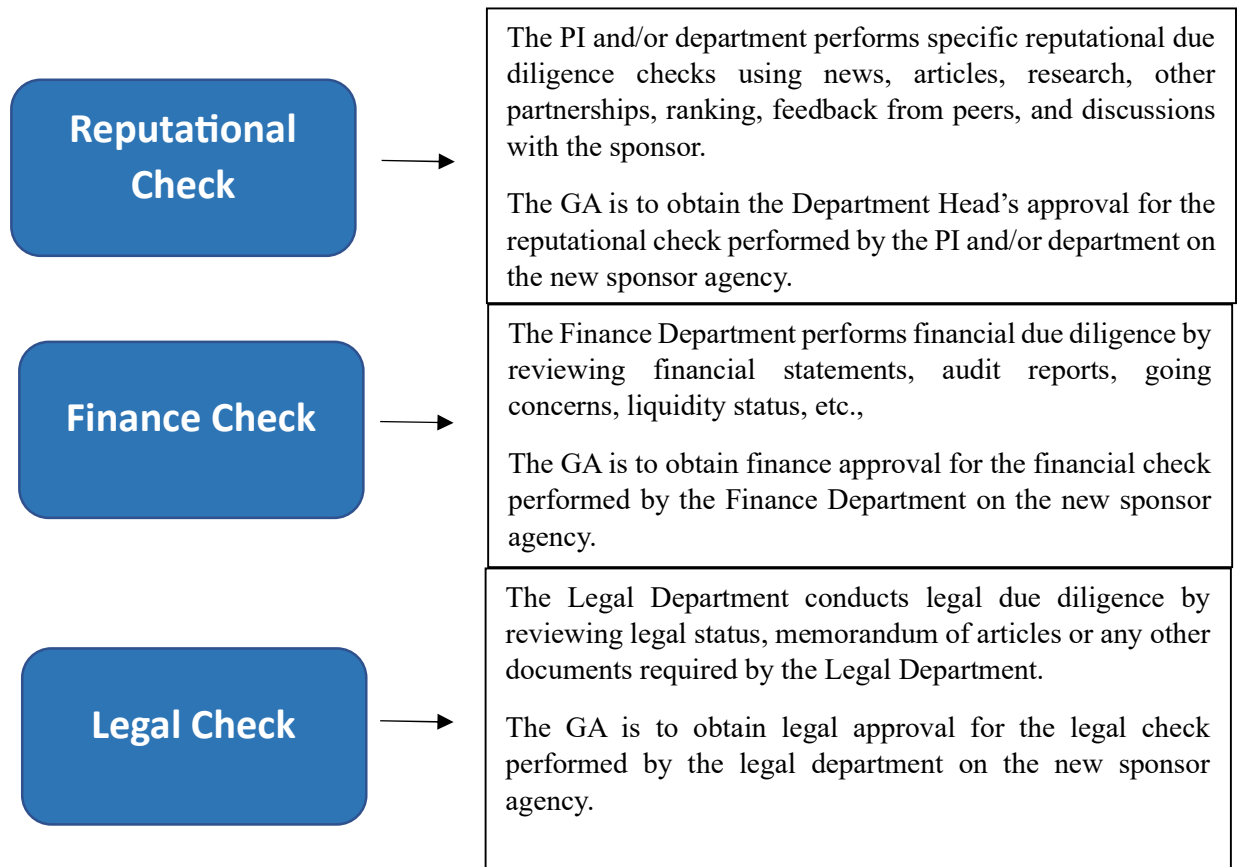
- a) Principal Investigators (PIs)/Grants Administrators (GAs) are to follow the steps involved in the SOPs for the due diligence of new sponsors.
- b) Clear delineation of roles for PI/Department, Finance, Legal, and Research Office (RO).

- **Due-Diligence Process:**

New sponsors must undergo a thorough due diligence check (financial, legal, and reputational) before being added to the Pure Award Management Module (AMM). Sufficient supporting documentation for the conducted due diligence checks, ensuring the availability of a trail for subsequent reference and verification should be provided.

If there is a new sub-awardee, the PI/GA should adhere to the [Procurement of Service Policy](#).

Key Guidelines:



Notes:

1. New sponsors may include but are not limited to government organizations, local and international universities, registered NGOs, well-established corporate organizations, etc.
2. Legal and Finance approvals must be attached as an email or mentioned in the History and Comments section in the Pure AMM, and new sponsors should be added manually by the GA. The RO will review the checklist at the time of validation.
3. If at any point the sponsor's due diligence process flags the sponsor as high risk, the RO will not proceed with the approvals. In all cases the RO approval is final.