

Due Diligence

CLIMAS 2025 Regional Call

This document must be completed **only by the Lead Applicant institution** of alliances whose proposals are selected for funding.

Organization Identity

1. Organization Name
2. When was the organization founded?
3. Please provide the name of the primary contact person for research matters and details about their role within the organization. This person should be able to provide additional information related to due diligence if required (e.g., Director of Research and/or Finance, or a designated spokesperson).

Organizational Governance

1. Registration number and name of the registration authority (examples of relevant authorities include government, tax authority, commercial registry, educational authority, or nonprofit registry).
2. What is the organization's legal status? (e.g., public university, private university, charitable organization, private company, nonprofit, government research organization, independent research organization). Please attach supporting documentation.
3. Provide the name and position or title of the organization's legal representative (e.g., rector, operations director, executive director, president).
4. Does the organization require integrity, ethical behavior, and transparency from its governing bodies?
5. Has the organization been subject to legal sanctions, investigations, or compliance issues in the past five years? Please specify.
6. Does the organization have anti-corruption and anti-money laundering policies?

Country-Specific Information

1. Are there any local, regional, or national requirements that could impact the project? (e.g., import controls, ethical permits, research licenses, etc.). If so, describe them.
2. Are there external fees or charges that the organization must assume in order to carry out externally funded research projects? (e.g., ethics review fees, tax withholding, licenses, insurance costs for the project).

3. Javeriana signs contracts with its partners for research projects. These contracts are written in Spanish and governed by Colombian law. Please confirm if your organization can sign an agreement under these terms.

Implementation Capacity: Grant and Financial Management

Grant Management

1. Provide the contact details of the person(s) to whom Javeriana should direct requests for financial reports, financial information, or similar matters. This person should be part of the financial or research administration team.
2. Indicate which financial system your organization uses for grant management.
3. Does this system allow generating lists of transactions corresponding to project expenditures over a given period?
4. Javeriana requires that staff not dedicating 100% of their time to the project document hours worked and allocated, e.g., via timesheets. Describe how your organization manages this process.
5. Does your organization have an internal audit function? If yes, indicate how this audit is conducted and to whom it reports within the organization.
6. How is research grant management organized within your organization?
7. Does the organization have an administrative team dedicated to the financial management of research projects? (Yes/No. If yes, describe.)
8. How are project finances monitored separately from the rest of the organization? For example: is a specific project number assigned, or a separate bank account used?
9. Compliance with IDRC reporting requirements will be necessary for each project. Is your organization able to meet these reporting requirements if required?
10. Are there any legal or regulatory restrictions that could prevent the organization from receiving funds from abroad, particularly from Canada?

Finance

1. Does the organization have the capacity to open an exclusive account in its name for the receipt in Colombian pesos (COP) and management of all project-related funds?
Yes / No
2. Can the organization make payments to subcontractors located outside its country?
Yes / No
3. Does the organization require prior authorization from any governmental or other body to accept and/or disburse funds related to research projects? Yes / No
4. If yes, indicate under what circumstances, the process, and estimated time to obtain such authorization.

5. How does your organization manage currency exchange risk when revenue is in a different currency from expenditures?
6. Has the organization been subject to internal or external audits on financial management after receiving research funds in the past three years? Yes / No
 - If no, when was the last internal or external audit performed, and by whom?
7. Does the organization have liability insurance covering activities related to externally funded research projects? Yes / No
 - If yes, indicate coverage value/limit, expiration date, and renewal process if applicable.
8. Does the organization have professional liability insurance covering periods beyond the project duration? Yes / No
 - If yes, indicate coverage value/limit.
9. Does the organization have anti-corruption and anti-money laundering policies?
10. What percentage of the organization's annual income comes from research grants or external funding?

Project Information

- Are there risks that Javeriana should be aware of that could prevent the project from achieving its objectives? If yes, provide details.
- What type of ethical review will this project undergo?
- Research conduct: Have any key team members been subject to confirmed research misconduct investigations?
- Identify any third parties or subcontractors who will receive funds from this grant and indicate the amount transferred to each.
- Describe governance and project management mechanisms specific to this initiative, including names and roles of persons responsible for academic and administrative management (if different). Include how project expenses are authorized, processed, and paid, and who is responsible at each stage.
- Provide names and roles of the following key personnel for this project, including email and phone number:
 - Person(s) responsible for financial management and reporting
 - Primary legal contact
 - Project coordinator (if applicable) or other administrative support staff

Document Checklist

Please complete this table to indicate whether the required documentation has been included as part of this assessment. If you cannot provide certain documents (e.g., a policy that does not exist in your organization), indicate the reason.

Document	Included?	Link or copy of document/policy	Comments / Brief description
Proof of legal status	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Organizational chart	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Anti-fraud, corruption, and bribery policy	<input type="checkbox"/> Yes <input type="checkbox"/> No		Policy (or equivalent) demonstrating the organization's commitment to fraud and bribery prevention
Travel and per diem policy	<input type="checkbox"/> Yes <input type="checkbox"/> No		Document outlining rates for air travel, vehicle use, meals, per diems, and accommodation
Conflict of interest policy	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Protection / harm prevention policy	<input type="checkbox"/> Yes <input type="checkbox"/> No		Prevention of harm to staff, children, and vulnerable adults. May include harassment, sexual abuse policies, code of conduct with children or vulnerable adults, etc.
Health and safety policy	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Risk management policy	<input type="checkbox"/> Yes <input type="checkbox"/> No		Policy describing how the organization manages risks at organizational and individual project levels
Ethics policy	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Recruitment and hiring policy	<input type="checkbox"/> Yes <input type="checkbox"/> No		

Financial procedures	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Research integrity / misconduct policy	<input type="checkbox"/> Yes <input type="checkbox"/> No		Policy outlining requirements for good research practices, reporting misconduct, and how it is managed in the organization
Data and cybersecurity policy	<input type="checkbox"/> Yes <input type="checkbox"/> No		Policy for managing access and security of research data, and procedures to prevent cyberattacks
Human resources manuals	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Finance and administration manuals	<input type="checkbox"/> Yes <input type="checkbox"/> No		
List of active external donors and current contributions	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Most recent annual report	<input type="checkbox"/> Yes <input type="checkbox"/> No		