



Due Diligence Management Software

G-Cloud 15 Service Definition Document

www.infonetica.net
enquiries@infonetica.net
+44 (0) 208 334 6900

Contents

Introduction	2
Summary of Functionalities	2
Due Diligence	2
Workflow	3
Project Types	3
Collaboration	3
Automation	3
Communication	4
Documentation	4
Forms	4
Review Process	4
Admin Process	5
Dashboard	5
Reporting	5
Audit	5
Alerts & Reminders	6
Interfaces	6
System	6
Data Protection	6
Support	6
Training	6
Helpdesk	7
Data Migration	7
Infrastructure	7
Service	7
Integration	7
Security	7
Updates	8

Introduction

At Infonetica, we empower the world's leading researchers with an ecosystem of software products that make their lives easier, so they can focus on delivering the groundbreaking research of tomorrow.

Supporting over 2 million research projects across 14 countries, Infonetica's products support the end-to-end lifecycle of a research project including: research grant and funding applications (Pre-Award), research governance, research ethics review, data protection impact assessments, export controls management, research project due diligence, research contracts management, clinical trial management and compliance training for researchers.

Infonetica's "Due Diligence" module is a dedicated cloud-based solution for managing High Level Due Diligence prior to Executive Board approval for a project, and Detailed Due Diligence during the engagement and contracting phase prior to the research commencement.

"Due Diligence" enables research organisations to:

- Protect your intellectual property, people and research itself
- Avoid financial and reputational risks
- Incorporate risk management frameworks
- Guide researchers with due diligence process
- Alert research office of any risks as early as at pre-award stage
- Centralize due diligence process and reduce data entry for researchers

Summary of Functionalities

Due Diligence

For Researchers

- Initiate due diligence processes at Pre-Award, Post-Award stages
- Automatically transfer project details from Pre-award or Award records
- Access list of partners managed by Research Office
- Identify trusted partners easily using key information collated by the Research Office and colleagues
- Reduce risks through internal reviews and advice
- Carry out high level and detailed due diligence checks

For Research Office

- Manage all collaborations happening in the organisation
- Guide researchers to carry out due diligence effectively
- Review the due diligence applications and provide institutional approval
- Redirect the high risk applications for multi-stage approvals
- Automatically classify the applications as high risk and low risk
- Get an overview of all applications through Dashboard

- Manage a list of partner organisations and key information
- Guide researchers by sharing access to partner organisations information
- Invite researchers to add information and experiences

For Research Organization

- Provide support to researchers and help them stay compliant
- Enable Trusted Research by centralizing due diligence processes
- Have an overview of all research projects and 3rd party organisations
- Reduce burden on researchers by streamlining due diligence into other workflows
- Reduce data entry for researchers through integrated suite of products

Workflow

- Create complex workflows with very little training and no programming knowledge
- Create multiple workflows within the same environment
- Create and configure interactive forms and workflows
- Update workflow and forms at any time
- Use logical branching to simplify research proposal completion

Project Types

Due Diligence is required when there are two or more parties planned to be, and / or contracted to be involved in a research project. It is of particularly importance and significant for compliance where Export Controls are required for the research (i.e. that the research involved technology or products which are subject to export controls or sanctions due to their military or dual-use significance)

Collaboration

- Set access levels for collaborators
- Researchers can collaborate on due diligence activities
- Supervisors can comment or review reports and data before submission
- Legal, compliance teams can input on contract terms

Automation

- Automated classification of applications into high risk and low risk based on the partner and the questionnaire filled by the PI
- Automated routing to different faculties/departments and committees for action or approval
- Automated notifications and emails when key milestones are met

- Automated alerts when deadlines are approaching or missed
- Automated version control with storage of previous application versions
- Automated collation of reviewer comments into template letters

Communication

- Standard communication templates
- Automated communication
- Editable letter and email templates
- Correspondence feature to allow applicants and reviewers to communicate within the system

Documentation

- Central repository of all applications and associated documents including:
 - Application versions
 - Amendment forms
- Version control

Forms

- Configurable forms with a range of question types
- Filter questions and dependencies
- Dynamic forms
- Completeness checker
- Help, FAQ and user guide functionality

Review Process

- Reviewers can be assigned to (or removed from) committees and applications
- Rule-based automatic application assignment to reviewers or committees can be configured
- Reviewers can be assigned based on workload
- Multiple reviewers could simultaneously work on the same documentation
- Reviewers can quickly and easily track changes between submissions
- Documentation can be annotated by reviewers
- Reviewer annotation can be set as only visible to other reviewers
- Virtual review meetings can be held
- Documentation/findings/data can be escalated to a higher-level reviewer

- Reviewer comments can be moderated

Admin Process

- Due Diligence reports can be reviewed
- Content and/or reports can be validated/invalidated
- Comments can be added
- Changes can be requested and reviewed
- Reviewers can be assigned
- Conflicts of interest can be registered
- Applications can be assigned to meetings
- Application types can be changed
- Applications may be re-routed to different committees/reviewers/faculties (escalate/de-escalate)
- Comments can be registered “closed”
- Comments may be moderated prior to feeding back to Applicant
- Decisions can be registered
- Forms and workflows can be created and configured
- The system can be personalised with custom role-related desktop views

Dashboard

- Dashboards for applicants, research administrators and reviewers
- Timeline tracker
- Reporting dashboards with data and trends on KPIs
- Personalised content, showing only applications the user is involved with

Reporting

- Reporting on any data within the system
- Output in several formats such as pdf, html, csv, word as well as via API
- Set and share standard reports
- Schedule recurring reports

Audit

- Audit trail of all activity on applications, including:
 - Applicant changes
 - Reviewer activity
 - Timestamp

- Identity of user
- Emails sent
- Alerts sent
- API calls made
- Documents accessed by users
- Reports run
- Page visits by user, time and date visited

Alerts & Reminders

- Automatic alerts and reminders
- Timeline recording
- Alerts for reports
- Alerts for overdue reviews
- Alerts for overdue resubmissions

Interfaces

- Integration with other existing systems such as HR, finance and grants systems
- Consume and output information from/to other software through APIs

System

- Choice of an open or closed system
- Web-based, accessible from any device with a browser
- Supports single sign-on

Data Protection

- GDPR compliant

Support

Training

- Training for administrators
- Train-the-trainer sessions
- Introduction training to reporting

- Provision of training environment

Helpdesk

- Support via email, telephone and Jira online ticketing system
- 9 am – 5 pm Monday to Friday excluding bank holidays
- Defined escalation and response routes
- Appointed point of contact

Data Migration

- Facility for easy data migration of research database from other systems

Infrastructure

Service

- Hosting in the cloud to comply with data protection and sovereignty
- Redundancy and overprovisioning for a reliable and uninterrupted service
- SLA (Service Level Agreement) with 99.9% uptime
- 24x7 monitoring and alerting

Integration

- Transactional and batch REST APIs
- Bulk import service for efficient data migrations
- Single Sign-On: ADFS, Azure AD and Native SAML2 iDPs such as Shibboleth

Security

- ISO 27001 certification
- Cyber Essentials Plus accreditation
- Regular independent penetration tests and audits
- Data encryption at rest and in transit

Updates

- Regular updates driven by feedback from the Infonetica global customer community
- Optional release preview environment
- Empowered product engineering team approach going beyond agile