

9 July 2024

Dear [REDACTED]

Freedom of Information request: FOI2024/00522

Thank you for your Freedom of Information request received on the 11 June in which you requested the following:

Your request:

I am interested in obtaining the following information regarding the legal compliance of Monitoring Officers and Assessors.

Each of the below specifics requires information year-on-year since 2022, which can be provided in Excel or Word format.

- 1. How many Monitoring Officers do you have registered?*
- 2. How many Assessors do you have registered?*
- 3. What percentage of your Assessors are also Monitoring Officers?*
- 4. What percentage of your Assessors also have a role in the KTN?*
- 5. What percentage of your Assessors also have roles within another firm or independently are grant bid writers?*
- 6. How many Monitoring Officers are registered with the FCA and on hold a government Anti-Money Laundering registration status?*
- 7. How many Assessors are qualified under either A1, D32/D33 or TAQA awards?*

Our response

I can confirm that UK Research and Innovation (UKRI) holds some information relevant to your request. Please see the information below.

In the table below we have provided figures in response to questions 1 and 2. This data represents information held at the present time. The information has been provided as year on year, where possible and provided as one figure; it is not possible to determine year on year what the movement between dual role individuals was retrospectively.

Questions 1 – 2:	Count of 2022	Count of 2023	Count of 2024
Active - Monitoring Officers	124	187	173
Active - Assessor	1,449	1,798	1,505
Both - Assessor & MSP's	N/A	N/A	31
Both - Assessor & KTN	N/A	N/A	33

Questions 3 – 7:	Answers
3. What percentage of your Assessors are also Monitoring Officers?	2.1%
4. What percentage of your Assessors also have a role in the KTN?	2.2%*
5. What percentage of your Assessors also have roles within another firm or independently are grant bid writers?	Information Not held
6. How many Monitoring Officers are registered with the FCA and on hold a government Anti-Money Laundering registration status?	Information Not held
7. How many Assessors are qualified under either A1, D32/D33 or TAQA awards?	Information Not held

* Most KTN assessors work on Knowledge Transfer Programmes (KTP) who are employed via KTN

When entering relationship with a Monitoring Service provider (MSP), they must comply with our terms and conditions, which outlines Prohibited Acts such as Anti Bribery 2010 where compliance with the legislation must be adhered to. I have included an extract of our T&C for our MSP for your reference below:

24 ANTI-BRIBERY AND PROHIBITED ACTS

24.1 In entering into the Contract, the Monitoring Service Provider warrants to the Authority that it, its Key Personnel, employees, agents or sub-contractors have not committed any Prohibited Act, and in performing its obligations under this Contract the Monitoring Service Provider shall not, and shall procure that its Key Personnel, employees, agents or sub-contractors shall not commit any Prohibited Act. The Monitoring Service Provider shall notify the Authority immediately on becoming aware of, or suspecting, any failure to comply with any provision of this paragraph 24.1 in writing.

24.2 Any failure to comply with any provision of this paragraph 24.1 shall entitle the Authority to terminate this Contract forthwith by giving notice to the Monitoring Service Provider at no cost, liability or penalty to the Authority and without prejudice to any other rights or remedies that may have accrued to the Authority's benefit under or in connection with the Contract.

For questions 5, 6, and 7 we don't not capture this information and therefore, this information is not held.

If you have any queries regarding our response or you are unhappy with the outcome of your request and wish to seek an internal review of the decision, please contact within the next 40 working days:

Head of Information Governance

Email: foi@ukri.org

Please quote the reference number above in any future communications.

If you are still not content with the outcome of the internal review, you may apply to refer the matter to the Information Commissioner for a decision. Generally, the ICO cannot make a decision unless you have exhausted the review procedure provided by UKRI. The Information Commissioner can be contacted at: www.ico.org.uk.

If you wish to raise a complaint regarding the service you have received or the conduct of any UKRI staff in relation to your request, please see [UKRI's complaints policy](#)¹.

Yours sincerely,


Information Governance
Information Rights Team
UK Research and Innovation
foi@ukri.org | dataprotection@ukri.org

¹ <https://www.ukri.org/who-we-are/contact-us/make-a-complaint/#skipnav-target>