Supplier Due Diligence Questionnaire

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| **Document Version Control** |
| **Document** | Supply Chain Partner Due Diligence |
| **Owner** | Seetec Pluss Ltd |
| **Version** | V1 (Jan 2021) |

**Introduction**

Please find below a minimum requirements questionnaire for SEETEC PLUSS Due Diligence (DD) process. This will assist us to commence implementation and delivery without undue delay, whilst also ensuring that the minimum requirements for DD have been met. This DD process is specific to those who provide services on a subcontract basis to or on PLUSS’ behalf under a Prime Contract.

**Process**

The prospective subcontractor is required to complete this form to the best of their ability. SEETEC PLUSS will be available to support you throughout the process with any queries or points of clarification you may have via our nominated representative. Once complete, please sign and submit your application along with all required policies / documentation attached. SEETEC PLUSS will review and commit to responding to you within 5 working days of receipt of all documentation to advise of any queries or confirm that you have passed DD and can move onto the contracting phased with SEETEC PLUSS.

Should you not be successful in passing the DD, then SEETEC PLUSS will provide you with a written explanation of the reasons why and what steps must be taken to pass SEETEC PLUSS’s DD going forward.

Once completed, please return as instructed via the nominated SEETEC PLUSS representative.

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| **Partner name, registered address, company registration number, name of key contact, key contact email address, key contact phone number**  | **Contract applied for** |
| Company Name:Registered Address:Registration Number:Key contract (e-mail address and phone number): | <insert name of lead contract Partner is applying to work under> |

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| 1. **Health & Safety**
 |  |
| **Requirement** | **Yes** | **No** | **Comments** | **(For SEETEC PLUSS use only)****Signed off by** |
| 1. Do you have current Employer and Public liability insurance in place?
 |  |  | *Please provide policy numbers, insurers, level of cover and expiry dates* | Commercial |
| 1. Have you had, or are aware of any pending, health and safety reportable accidents, fines or enforcements in the last 3 years?
 |  |  | *Please give details (RIDDOR, HSE fee for intervention etc)* | Business Development if answer = noGRA if detail of any issue identified |
| 1. Has your organisation achieved, or are you working towards, OHSAS 18001 certification?
 |  |  | *<Insert comments>* | GRA |
| 1. **Information Security**
 |  |
| **Requirement** | **Yes** | **No** | **Comments** |  |
| 1. Do you have an Information Security/Data Protection policy that is regularly reviewed and has been updated in line with GDPR?
 |  |  | *please give details of last review date and next planned review date* | GRA |
| 1. Have you registered your organisation under Data Protection Legislation?
 |  |  | *Please give details i.e. ICO registration number and date of registration* | Business development. If answer= no, then cannot be permitted to work with |
| 1. Do you have a nominated Data Protection Officer?
 |  |  | *Please provide their name, role and contact details.* | GRA |
| 1. Have you had, or are aware of any pending, data protection reportable breaches, fines or enforcements in the last 3 years?
 |  |  | *please give details (ICO/DPA etc)* | Business Development if answer = noGRA if detail of any issue identified |
| 1. Do you hold Cyber Essentials Plus Certificate, if so please attach a copy
 |  |  | *<attach copy if held>* | GRA: If required under bid commissioner requirements then cannot be progressed if answer = no. |
| 1. Has your organisation achieved, or are you working towards, ISO 27001 certification?
 |  |  | *<Insert comments if working towards or copy of certification alongside submission>* | GRA |
| 1. **Environmental Sustainability**
 |  |
| **Requirement** | **Yes** | **No** | **Comments** |  |
| 1. Have you had, or are aware of any pending, environmental reportable breaches, fines or enforcements in the last 3 years?
 |  |  | *please give details (Environment Agency, local authority etc)* | Business Development if answer = noGRA if detail of any issue identified |
| 1. **Quality Management/Excellence**
 |  |
| **Requirement** | **Yes** | **No** | **Comments** |  |
| 1. Have you been Ofsted inspected, and if so, what was the date you were inspected, what was the overall grade given and the grades for individual aspects within your report?
 |  |  | *Please provide grades for Overall Effectiveness, Leadership and Management; Quality of Teaching, Learning and Assessment; Personal Development Behaviour and Welfare; Outcomes for Learners and individual areas of delivery i.e. Apprenticeship, Traineeship etc. Please provide a full copy or a link to the inspection report* | Excellence |
| 1. Has your organisation achieved Matrix standard accreditation? If so, please provide a copy of your certificate. If not, please provide a statement of commitment of working towards Matrix accreditation.
 |  |  | *If yes, please provide a copy of your Matrix certificate**<please note that if you no and do not provide a statement of commitment, we will request further information from you prior to acceptance onto our Supply Chain>* | Excellence |
| 1. **Business Continuity**
 |  |
| **Requirement** | **Yes** | **No** | **Comments** |  |
| 1. Do you have in place Business Continuity Plans that are regularly reviewed, tested and updated?
 |  |  | *Please provide details* | GRA |
| 1. **Finance & Legal**
 |  |
| **Requirement** | **Yes** | **No** | **Comments** |  |
| 1. Has your organisation or any of its directors/partners, proprietors or senior managers ever been convicted of any offences related to fraud?
 |  |  | *If so, please provide details* | Business Development if answer = NoIf answer = yes, then Commercial |
| 1. Has your organisation or any of its directors/partners, proprietors or senior managers ever been found guilty of grave professional misconduct?
 |  |  | *If so, please provide details* | Business Development if answer = NoIf answer = yes, then Commercial |
| 1. Is your organisation the subject of insolvency or winding-up proceedings, where the organisation’s assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors or where its business activities are suspended for any reason?
 |  |  | *This of course creates risk to delivery and therefore we would need strong assurances of continuity of provision if this were the case* | Business Development if answer = NoIf answer = yes, then Finance |
| 1. Do you currently have any outstanding County Court Judgement cases outstanding against your organisation or have you been subject to any such judgements in the last 3 years?
 |  |  | *If so, please provide details* | Business Development if answer = NoIf answer = yes, then Finance |
| 1. Has your organisation been in receipt of any ESFA notices of concerns, or are there any pending?
 |  |  | *If so, please provide details along with actions taken to rectify such* | Business Development if answer = NoIf answer = yes, then Commercial |
| 1. Please provide your UK Provider Reference Number (UKPRN) if applicable to your service provision.
 |  |  | *UKPRN number:* | Business Development if answer is provided. Check this information on the ESFA directory as well as looking at what subcontracting previously completed on the annual ESFA subcontracting reportIf no positive answer, then refer to Commercial  |
| 1. Apprenticeships only: Please provide confirmation of your status as a Provider on the Register of Apprenticeship Training Providers (RoATP)
 |  |  | *If applicable, confirm whether you are a Main provider, an Employer Provider or a Supporting Provider under the Register.* | Business Development if answer is provided.If no positive answer, then refer to Commercial |
| 1. Please identify any potential conflict of interest you or any of your Directors may have in working with SEETEC PLUSS
 |  |  |  | Commercial |
| 1. Please provide details of any contract termination occurrences in the last three years.
 |  |  |  | Commercial |
| 1. Please provide copies of any funding agency commissioner (e.g. DWP, MOJ, ESFA etc.) audits for the last three years
 |  |  |  | Finance |
| 1. Complete and return Appendix A Financial Due Diligence
 |  |  | <note: SEETEC PLUSS will also perform a separate Credit Safe request. Should the Supply Chain Organisation be classed as a “red” risk then the organisation will fail the due diligence test.> | Finance |
| 1. **Human Resources**
 |  |
| **Requirement** | **Yes** | **No** | **Comments** |  |
| 1. Do you check all your employees for their right to work in the UK?
 |  |  | *Please confirm that all staff are checked, and a brief description of the process involved* | HR |
| 1. Please confirm that copies of CVs and qualification certificates of staff involved in the delivery of services are available upon request.
 |  |  | *Yes / No – If no – please give an explanation why* | Required if we conduct a site visitIf no – need to consider whether we progress |
| 1. Please provide an anonymised copy of your organisations DBS Central Register containing details of all staff involved in the proposed delivery of services (including those in administration, support and learner-facing roles)
 |  |  | *Please provide evidence e.g. a schedule of staff roles (not names) setting out when the DBS checks were completed, level of check and the results of those checks* | HR Quality question |
| 1. Please provide evidence of staff training linked to Safeguarding, Prevent and Equality & Diversity
 |  |  |  | Site Visit |
| 1. Please confirm that copies of CVs and qualification certificates of staff involved in the delivery of services are available upon request and that those qualifications are the right ones for their roles.
 |  |  |  | Required for Site visit |
| 1. Please confirm you have HR policies in place to support employees for all legislative requirements in line with the ACAS code of practice
 |  |  |  | Required for Site Visit |
| 1. Confirm that for your organisation all delivery staff working wholly or partly on the project will be paid at least at the Living Wage level or the London Living Wage level where applicable.
 |  |  |  | This may be required under Bid terms and if so, yes = pass, no = fail. |
| 1. **Assurance**
 |
| **Requirement** | **Yes** | **No** | **Comments** | **(For SEETEC PLUSS use only)****Signed off by** |
| 1. Please provide a copy of your organisation’s:
 |
| 1. Prevent Policy
 |  |  |  |  Group Prevent Lead*Attached Yes / No* |
| 1. Health and Safety Policy
 |  |  | *Note: (if you have fewer than 5 employees this does not need to be written down)* | GRA*Attached Yes / No* |
| 1. Prevent Risk Assessment
 |  |  |  | Group Prevent Lead*Attached Yes / No* |
| 1. Safeguarding Policy
 |  |  |  |  Group Safeguarding Lead*Attached Yes / No* |
| 1. Whistle Blowing Policy
 |  |  |  | HR*Attached Yes / No* |
| 1. Quality Policy / Strategy
 |  |  |  | Excellence*Attached Yes / No* |
| 1. Internal Quality Assurance (IQA) Policy
 |  |  |  | Excellence*Attached Yes / No* |
| 1. Functional Skills Policy / Strategy
 |  |  |  | Excellence*Attached Yes / No* |
| 1. Data Protection/ Information Security Policy
 |  |  |  | GRA*Attached Yes / No* |
| 1. Most recent Quality Improvement Plan (QIP)
 |  |  |  | Excellence*Attached Yes / No* |
| 1. Latest Self-Assessment Report (SAR) if not inspected in the last 12 months
 |  |  |  | Excellence*Attached Yes / No* |
| 1. Awarding Organisation Centre approval certificates for delivery of proposed programmes (learning aims), if applicable
 |  |  | If not applicable, please state here: | Excellence*Attached Yes / No* |
| 1. Evidence of Direct Claim Status (DCS) for delivery of proposed qualifications
 |  |  | If not applicable, please state here: | Excellence*Attached Yes / No* |
| 1. Last three External Quality Assurer /SV report(s) relevant to proposed delivery
 |  |  | If not applicable, please state here: | Excellence*Attached Yes / No* |
| 1. Equality and Diversity Policy
 |  |  |  | HR*Attached Yes / No* |
| 1. Anti-Fraud Policy
 |  |  |  | Commercial*Attached Yes / No* |
| 1. Modern Slavery Policy
 |  |  |  | HR*Attached Yes / No* |
| 1. **Please confirm you have the following policies available upon request;**
 |
| 1. Complaints Policy and Procedure (including details of any outstanding complaints from stakeholders)
 |  |  |  | Site Visit |
| 1. Bullying and Harassment Policy
 |  |  |  | Site Visit |
| 1. Learner Enrolment and Withdrawal Policy
 |  |  |  | Site Visit |
| 1. Environmental / Sustainability Policy
 |  |  |  | Site Visit |
| 1. Learner Appeals Procedure
 |  |  |  | Site Visit |
| 1. Assessment Malpractice Policy
 |  |  |  | Site Visit |
| 1. Grievance Policy
 |  |  |  | Site Visit |
| 1. Performance Management Policy
 |  |  |  | Site Visit |
| 1. **Operational Delivery**
 |
| **Requirement** | **Yes** | **No** | **Comments** | **(For SEETEC PLUSS use only)****Signed off by** |
| 1. Please identify any potential conflict of interests you or any of your Directors may have in working with our Organisation
 |  |  |  | Commercial |
| 1. Please provide details of any contract breach occurrences in the last three years.
 |  |  |  | Commercial |
| 1. Please provide historical performance data for similar service provisions including financial value, delivery volume and KPI/targets/success rate details and any instances of under-delivery of service.
 |  |  | *If possible, please provide detail of performance against contractual targets for 3 similar contract over the last 3 years* | Appropriate Supply Chain Lead |
| 1. SEETEC PLUSS is committed to “Ban the Box” (scheme aimed at persuading employers to remove from their hiring applications the check box that asks if applicants have a criminal record. Please confirm if this is something that your organisation is committed to or would consider in the future
 |  |  | *If committed, please indicate “yes”. If considering for the future, please provide details. Note: your response will not determine whether Seetec Pluss considers your Due Diligence application to pass or fail but is for information purposes only.* | For information purposes only – Business Development |

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| 1. **Any other Information**
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| *Please include any other information which may be relevant or beneficial to the Due Diligence Process in this box**Eg. do you hold any additional accreditations not referenced above eg. Merlin, IIP etc.**Are you able to provide references from any other Prime Providers?* |
| 1. **Declaration**
 |
| **I confirm on behalf of my organisation that I am authorised to agree to this declaration and to my knowledge all the answers detailed in each completed section of this application form along with the documents appended are true and accurate.** **Name:****Job Title:****Date:** |