**Annex A. Applicant Self-Assessment Form**

Dear Prospective Grantee:

This form is intended to provide Chemonics with an understanding of the strengths and areas of further growth for each grant applicant using a structured methodology, so that we can ensure that grants are well managed, acceptable standards in financial management are applied, and funds will be used for the intended purposes.

The questionnaire is structured as follows:

1. Identifying information
2. Governance & Internal Controls
3. Ability to Deliver
4. Financial Management and Stability
5. Downstream Partners

Each area has a series of questions which the applicant must answer fully. We recommend that you to engage key people within your organisation to complete relevant sections. If you misrepresent any factual information in completing this form, you may be excluded from partnering with Chemonics in the future.

When completed, please email this form, and supply the required documentation, to XCEPT-Fund@chemonics.com on or before 9 September 2024. Please cross reference all documentation submitted to the appropriate question number.

|  |  |
| --- | --- |
| **Name of Prospective Grantee** |  |
| **Title of Grant** |  |
| **Provisional Grant Budget** |  |
| **Country(ies)/Regions of Implementation** |  |
| **Contact Information for Grantee** | Name:Job title:Telephone:Email: |

### Section 1. Identifying Information

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|  | Question | Applicant Response |
| **1.1** | Full name of the organisation submitting the information |  |
| **1.2** | Registered office address (if applicable) |  |
| **1.3** | Date of registration in country of origin |  |
| **1.4** | Company registration number (if applicable) |  |
| **1.5** | Charity registration number (if applicable) |  |
| **1.6** | Registered VAT number |  |
| **1.7** | Are you a small, medium or micro enterprise (SME)[[1]](#footnote-2)?*An SME is defined as having less than 250 persons employed and an annual turnover of up to EUR 50 million, or a balance sheet total of no more than EUR 43 million.* |  [ ]  Yes [ ]  No |

### Section 2. Governance and Internal Controls

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|  | Question | Applicant Response |
| **2.1** | Please certify that your organisation is a legally registered entity in accordance with the governing law applicable to your jurisdiction. |  [ ]  Yes [ ]  No*If yes, provide evidence of registration status as an attachment.* |
| **2.2** | Does the organisation have a Board of Directors (BOD) |  [ ]  Yes [ ]  No *If yes, provide names of company directors below and indicate which (if any) of these directors is the organisation’s safeguarding officer.[[2]](#footnote-3)* |
| **2.3** | Please list the key personnel for this activity and provide your organisational chart as an attachment | Key personnel:*Provide your organisational chart as an attachment* |
| **2.5** | Does your organisation have a senior management / operational team[[3]](#footnote-4), and do they meet regularly? |  [ ]  Yes [ ]  No*If yes, provide the names and titles for members of the senior management team*  |
| **2.4** | Please confirm that the BOD members/senior management and activity key personnel have no conflicts of interest[[4]](#footnote-5) related to the proposed grant activity |  [ ]  Yes [ ]  No |
| **2.6** | Please indicate if your organisation has the policies and procedures listed below. If yes, please attach each policy. If the policy does not include information on dissemination and training, please describe below how each policy is disseminated amongst staff and whether staff receive training on the policy. **Prior to signing a grant with Chemonics, your organisation must provide proof of policies and procedures for the topics noted with an asterisk (\*).**Policies/procedures might be separate policy documents or included within other organisational policy/procedures documents (e.g. whistleblowing procedure might be included in the Code of Conduct policy document).For guidance related specifically to the Code of Conduct and/or Safeguarding, please see [Chemonics’ Supplier Code of Conduct](#CodeofConduct). |
|  | 1. **Policy Manual/Code of Conduct\***
 |  [ ]  Yes [ ]  No *If yes, provide the policy as an attachment* Training provided to staff on policy? [ ]  Yes [ ]  No |
|  | 1. **Anti-fraud, bribery and anti-corruption\***
 |  [ ]  Yes [ ]  No *If yes, provide the policy as an attachment* Training provided to staff on policy? [ ]  Yes [ ]  No |
|  | 1. **Safeguarding\***
 |  [ ]  Yes [ ]  No *If yes, provide the policy as an attachment* Training provided to staff on policy? [ ]  Yes [ ]  No |
|  | 1. **Whistleblowing\***
 |  [ ]  Yes [ ]  No *If yes, provide the policy as an attachment* Training provided to staff on policy? [ ]  Yes [ ]  No |
|  | 1. **Anti-Terrorism Financing\***
 |  [ ]  Yes [ ]  No *If yes, provide the policy as an attachment* Training provided to staff on policy? [ ]  Yes [ ]  No |
|  | 1. **Duty of Care[[5]](#footnote-6)\***
 |  [ ]  Yes [ ]  No *If yes, provide the policy as an attachment* Training provided to staff on policy? [ ]  Yes [ ]  No |
|  | 1. **Partner Due Diligence \* (mandatory if the grantee will manage sub-tier partners)**
 | [ ]  Yes [ ]  No *If yes, provide the policy as an attachment* Training provided to staff on policy?  [ ]  Yes [ ]  No |
|  | 1. Bullying and Harassment
 |  [ ]  Yes [ ]  No *If yes, provide the policy as an attachment* Training provided to staff on policy?  [ ]  Yes [ ]  No |
|  | 1. Environmental/Social Impacts
 |  [ ]  Yes [ ]  No *If yes, provide the policy as an attachment* Training provided to staff on policy?  [ ]  Yes [ ]  No |
|  | 1. Data Protection policy
 |  [ ]  Yes [ ]  No *If yes, provide the policy as an attachment* Training provided to staff on policy?  [ ]  Yes [ ]  No |
|  | 1. Cyber Security Policy/certifications
 |  [ ]  Yes [ ]  No *If yes, provide the policy as an attachment* Training provided to staff on policy?  [ ]  Yes [ ]  No |
|  | 1. Risk Management
 |  [ ]  Yes [ ]  No *If yes, provide the policy as an attachment* Training provided to staff on policy?  [ ]  Yes [ ]  No |
|  | 1. Travel and Subsistence
 |  [ ]  Yes [ ]  No *If yes, provide the policy as an attachment* Training provided to staff on policy?  [ ]  Yes [ ]  No |
|  | 1. Other (as relevant to the activity funded. E.g. Security policy for highly insecure contexts, Health and Safety policy, etc.): Please list relevant policies and indicate if training is provided to staff
 |  [ ]  Yes [ ]  No *If yes, provide the policy as an attachment* Training provided to staff on policy?  [ ]  Yes [ ]  No |
| **2.7** | **If your organisation does not have a Duty of Care policy (see Question 2.5(f)), please describe your organisation’s approach to duty of care, as it relates to employees, contractors, subcontractors, subgrantees, beneficiaries, or any other category of recipient, including the provision of suitable security arrangements for national and international staff. The above categories are meant to be illustrative; your organisation may have approaches to duty of care that extend beyond these categories. In your statement, please provide:*** A description that demonstrates your understanding of the safety and security risk management implications related to your scope of work and provide an appropriate plan to manage these risks.
* An explanation of the training provided or to be provided to your staff on risk management and security before the commencement of work and the mechanisms your organisation has in place to monitor risk on a live/ongoing basis
* A description of the access your staff has to safety equipment, if required, and the systems you have to manage emergencies/incidents.
 |  |
| **2.8** | Is the organisation registered to IATI or required to publish on IATI?Publication of data to the International Aid Transparency Initiative (IATI) Registry[[6]](#footnote-7) is a requirement for Compliance Level 1 grantees. *Compliance Level 1 organisations are those with an individual agreement value with Chemonics of £1 million or more, or two or more contracts/grants with FCDO with a combined value of £5 million or more*  |  [ ]  Yes [ ]  No *If yes, provide below your registration number.*  |
| **2.9** | Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains") of the [Modern Slavery Act 2015](http://www.legislation.gov.uk/ukpga/2015/30/contents/enacted) ("the Act")?*A “commercial organisation” is a body corporate (wherever incorporated) which carries on a business, or part of a business, in any part of the United Kingdom, or a partnership (wherever formed) which carries on a business, or part of a business, in any part of the United Kingdom and has a turnover equal to or above £36 million.* |  [ ]  Yes [ ]  No  |
| **2.10** | If you have answered yes to Question 2.9, are you compliant with the preparation of an [annual slavery and human trafficking statement](https://www.gov.uk/guidance/publish-an-annual-modern-slavery-statement) as contained within Section 54 of the Act 2015?  |  [ ]  Yes [ ]  No [ ]  Not Applicable *If yes, provide below the relevant URL of your website including the statement or, if you don’t have a website, provide a copy of the statement as an attachment. If no, provide an explanation.* |

### Section 3. Ability to deliver

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| **Past Performance** |
| **3.1** | **Contact details for references**Using the space below, please provide contact details (including full name, title, relationship to you, email, and phone number) for three references we can contact for each Primary Investigator (PI) listed in the Application Form. |
| **3.2** | **Relevant experience and contract examples**Using the table below, please provide details of up to three agreements, in any combination from either the public or private sector; voluntary, charity or social enterprise (VCSE) that are relevant to our requirement. VCSEs may include samples of grant-funded work. Agreements for supplies or services should have been performed during the past three years. The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided below. In selecting the examples please select previous contracts and/or grants secured and (partly or fully) delivered that best demonstrate the experience and capability of your proposed core team, organisation, and consortium (if such is formed)/subcontractors, in achieving the following:1. Securing and implementing similar activities;
2. Implementing activities in the same country/region or similar contexts
3. Working effectively with other implementing partners on an agreement (either as a prime, subcontractor, or sub-awardee)

Under “description of agreement,” please describe the services in no more than 500 words for each example. **If you cannot provide at least one example, in no more than 500 words please provide an explanation under Contract/Grant 1, e.g. your organisation is a start-up or you have provided services in the past but not under a contract. Also provide details of the technical and professional capabilities the team brings to the newly formed organisation.** |

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| --- |
| **Contract/Grant 1: NAME** |
| **Name of customer/donor organisation**  |  |
| **Point of contact in the organisation**  | NamePosition in the organisationEmail address |
| **Agreement start date**  |  |
| **Agreement completion date**  |  |
| **Agreement value**  |  |
| **Description of agreement**  |  |

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| **Contract/Grant 2: NAME** |
| **Name of customer/donor organisation**  |  |
| **Point of contact in the organisation**  | NamePosition in the organisationEmail address |
| **Agreement start date**  |  |
| **Agreement completion date**  |  |
| **Agreement value**  |  |
| **Description of agreement**  |  |

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| **Contract/Grant 3: NAME** |
| **Name of customer/donor organisation**  |  |
| **Point of contact in the organisation**  | NamePosition in the organisationEmail address |
| **Agreement start date**  |  |
| **Agreement completion date**  |  |
| **Agreement value**  |  |
| **Description of agreement**  |  |

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|  | Question | Applicant Response |
| **3.3** | Does the organisation follow formal policies and procedures for personnel recruitment and management?  |  [ ]  Yes [ ]  No*If yes, provide the organisation’s human resources manual or equivalent as an attachment.* |
| **3.4** | Does your organisation have a salary scale? |  [ ]  Yes [ ]  No*If yes, provide the salary scale as an attachment. If no, explain below how your organisation determines initial salaries for new staff.* |
| **3.5** | Partners are required to effect and maintain insurances (where appropriate) in relation to the performance of their obligations under the potential grant.Please certify that your organisation currently maintains all insurances required by the governing law applicable to your jurisdiction. For partners performing any work in the U.K., this includes the U.K. Employer’s Liability insurance per the Employers' Liability (Compulsory Insurance) Regulations 1998. |  [ ]  Yes [ ]  No |
| **3.6** | For Chemonics to assess whether you maintain the insurances required by the governing law applicable to your jurisdiction and appropriate to the anticipated scope of work for this prospective grant, please list the insurances your organisation currently maintains. |  |
| **3.7** | The partner certifies to effect and maintain the insurances required by the governing law applicable to their jurisdiction and appropriate to the anticipated scope of work for this prospective grant, as mutually agreed between Chemonics and the partner. |  [ ]  Yes [ ]  No  |
| **3.8** | **All personnel (including employees, second tier sub-contractors or agents) engaged under a potential grant will come under the Duty of Care of the Grantee. The Grantee is responsible for the safety and well-being of their Personnel and any Third Parties affected by their activities, including appropriate security arrangements.****Chemonics reserves the right to clarify any aspect of this evidence or to request additional evidence/information where we deem appropriate.****Please confirm that you (as the potential grantee) fully acknowledge the risks of working in the country of implementation for this grant, and you accept the risks associated with working in the operating environment of the country of implementation.** |  [ ]  Yes [ ]  No  |
| **3.9** | **Please confirm that you have read, understand and agree to comply with expectations set out in Chemonics’ Supplier Code of Conduct and Safeguarding Guidance**  |  [ ]  Yes [ ]  No |

### Section 4. Financial Management and Stability

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|  | Question | Applicant Response |
| **4.1** | **Please indicate which of the following you can provide to demonstrate your economic/financial standing. For any item where you respond “Yes,” provide a copy of the document as an attachment:**  |
|  | 1. Copy of your audited accounts for the last, complete three years.
 |  [ ]  Yes [ ]  No*If yes, provide a copy as an attachment.*  |
|  | 1. A statement of the turnover, profit and loss account/ income statement, balance sheet/statement of financial position and statement of cash flow for the most recent year of trading for this organisation.
 |  [ ]  Yes [ ]  No*If yes, provide a copy as an attachment.*   |
|  | 1. A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position.
 |  [ ]  Yes [ ]  No *If yes, provide a copy as an attachment.*   |
|  | 1. Alternative means of demonstrating financial status if any of the above is not available (e.g. forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status).
 |  [ ]  Yes [ ]  No *If yes, provide a copy as an attachment.*   |
| **4.2** | **Please note which of the following applies for your organisation:** |
|  | 1. Organisation follows formal financial policies/procedures for authorising, processing, and recording transactions
 |  [ ]  Yes [ ]  No  |
|  | 1. Organisation uses an accounting software
 |  [ ]  Yes [ ]  No*If yes, provide below the name of the accounting software.*  |
|  | 1. Organisation maintains up to date recording of transactions supported by backup documentation
 |  [ ]  Yes [ ]  No  |
|  | 1. Organisation maintains a complete and accessible filing system of financial records and safeguards these against loss, tampering or destruction
 |  [ ]  Yes [ ]  No  |
|  | 1. Organisation has undergone an external financial audit within the past three years
 |  [ ]  Yes [ ]  No *If yes, please provide the audit report(s) as an attachment.* |
|  | 1. Organisation has undergone external audit from a donor they have received funding from within the past three years
 |  [ ]  Yes [ ]  No *If yes, please provide the audit report(s) as an attachment.* |
|  | 1. Organisation monitors expenditures against activity budgets
 |  [ ]  Yes [ ]  No  |
|  | 1. Organisation performs regular bank reconciliations
 |  [ ]  Yes [ ]  No  |
| **4.3** | Is there a procurement policy for the acquisition of goods and services? Is this policy adhered to for all acquisitions, or are there exceptions? | [ ]  Yes [ ]  No*If yes, provide a copy of the policy or an overview* *as an attachment.* |
| **4.4** | The functions of ordering, receiving, accounting for, and paying for different goods or services are not concentrated in any one individual. |  [ ]  Yes [ ]  No |
| **4.5** | Does the organisation use asset registers for each project and how often are the register updated? Are all assets identified, tagged and on the register for each respective project? |  [ ]  Yes [ ]  No |
| **4.6** | Safeguards over cash and other assets are in place to protect, preserve, or prevent their misuse. |  [ ]  Yes [ ]  No |
| **4.7** | Does the organisation have a financial management procedures manual which clearly set out accounting, reporting, internal control, and administrative tasks? |  [ ]  Yes [ ]  No*If yes, explain below whether staff receive training in the use of and adherence to this manual.* |
| **4.8** | Does the organisation prepare an annual organisational budget and resource plan? |  [ ]  Yes [ ]  No*If yes, briefly describe below these processes within the organisation.* |
| **4.9** | Which currencies can your organisation accept payments in? Does your organisation have a preferred currency for receiving funds? |  |
| **4.10** | Grantees are strongly encouraged to open a separate non-commingled, interest-bearing bank account for the purpose of receiving funds specific to this anticipated grant agreement. Will your organisation be able to open a new bank account for this grant? |  [ ]  Yes [ ]  No |
| **4.11** | How does the organisation manage foreign currency fluctuations and exchange rate risk? When incurring an expense in one currency and invoicing in another, what is the entity’s policy for converting expenses? |  |
| **4.12** | Is the organisation able to separately identify, monitor, and report on funds from different sources (e.g. donors)? |  [ ]  Yes [ ]  No*If yes, explain below how the organisation will ensure funds specific to this grant can be identified accurately.* |
| **4.13** | Does the entity share common costs (e.g. overhead) across its projects? How are these monitored to ensure accuracy and avoid duplication? |  |
| **4.14** | How long are accounting documents retained for after the completion of a project and are these stored securely?*Under FCDO funded project, partners are required to maintain records for 7 years after the end of the project* |  |

### Section 5: Downstream Partners

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|  | Question | Applicant Response |
| **5.1** | Does the organisation conduct due diligence and/or capacity assessment for selecting implementing partners/sub-grantees?  | [ ]  Yes [ ]  No *If yes, please list the main areas of due diligence and capacity assessment (e.g. internal controls, financial management, previous experience, staffing structure, etc.)* |
| **5.2** | Does the organisation have formal processes in place to manage and monitor partner performance and financial expenditure? |  [ ]  Yes [ ]  No *If yes, please describe partnership management and monitoring processes and procedures. If available please do share Partnership Management Manual* |
| **5.3** | Does the organisation have appropriate funding agreements with partners that can be used to hold partners to account? Do these include sanctions for non-delivery? |  [ ]  Yes [ ]  No *If yes, please share a copy of the funding agreement templates* |
| **5.4** | Is there a robust policy and process in place for reporting suspected fraud, bribery or corruption? How is this policy communicated to downstream partners? |  [ ]  Yes [ ]  No*If yes, please provide details of policies and practises and how these are communicated to partners* |
| **5.5** | Does the organisation offer capacity building to downstream partners? |  [ ]  Yes [ ]  No*If yes, please briefly describe the type of capacity building and support provided to sub-partners* |

### Partner Certification

[ ]  I declare that to the best of my knowledge the answers submitted and information contained in this document are correct and accurate.

[ ]  I declare that, upon request and without delay I will provide the certificates or documentary evidence referred to in this document.

[ ]  I understand that the information will be used to assess my organisation’s suitability to implement a grant agreement with Chemonics

[ ]  I understand that Chemonics may reject this submission in its entirety if there is a failure to answer all the relevant questions fully, or if false/misleading information or content is provided in any section.

CERTIFIED BY:

|  |  |
| --- | --- |
| Signature: |  |
| Name: | {Authorised representative of grantee} | Date |
| Title: | {Title} |

## Chemonics’ Supplier Code of Conduct

At Chemonics, integrity and honesty are the foundations of our work. We take great pride in our high-quality development impact and choose to work with business suppliers who share our commitment to honest and responsible business practices. Chemonics’ Supplier Code of Conduct sets out our company’s ethical expectations of our suppliers, subcontractors, grantees, vendors, and other authorised representatives (hereafter referred to collectively as “suppliers”) who conduct business with or on behalf of Chemonics. Suppliers must always conduct their business interactions and activities in accordance with the below principles; if your company has a more expansive code of conduct, you should follow both codes.

Suppliers are expected to comply with all the laws and treaties of the countries in which they operate.

Chemonics expects suppliers to abide by the ethical behaviour and business practices in accordance with values below:

### Treat Others with Respect and Dignity

Suppliers are expected to maintain an open and positive workforce that treats one another with utmost understanding, dignity, and respect and that is free of verbal and physical violence, harassment, sexual exploitation or abuse. Suppliers and their personnel are strictly prohibited from engaging in any form of trafficking in persons (TIP) at any time, defined as the recruitment, transfer, or harbour of any person by means of threat, use of force, or coercion for the purpose of exploitation or procuring commercial sex acts. Suppliers must also strictly follow local and international laws and standards related to child welfare and protection and explicitly prohibit their employees and consultants from engaging in child abuse, exploitation, or neglect. Suppliers are expected to support the principles established under the United Nations Universal Declaration of Human Rights by ensuring basic human rights of individuals and groups with whom we interact are protected, and particularly with regards to vulnerable people, both adults and children.

***Supplier requirements:*** All suppliers must show proof of an anti-bullying, anti-sexual harassment, exploitation, and abuse policy, regardless of whether or not they work with children or vulnerable adults.

If the supplier works with children (persons under the age of 18) or vulnerable adults, the supplier must show proof of a comprehensive **safeguarding policy**, including the anti-bullying, anti-sexual harassment, exploitation and abuse policies, and anti-trafficking in persons policy**. The supplier should conduct training and awareness for current employees on an annual basis.** Further information on what a comprehensive safeguarding policy must include can be found in Annex 1.

Suppliers must also show proof of their processes for staff to report, including anonymously, and raise concerns related to suspected misconduct, illegal acts, or abuse. Such process should include a related policy for anti-retaliation and include processes if the individual raising concerns is one who normally manages internal complaints. Suppliers should detail in their policies which body/department/internal authority is charged with overseeing safeguarding concerns and how concerns and allegations are tracked and managed. In addition, suppliers must abide by contractual requirements for immediately reporting any alleged or suspected safeguarding violations to Chemonics.

### Be a Good Business Supplier

Suppliers are expected to deal honestly and transparently and represent their services and qualifications accurately and without exaggeration. Suppliers are expected to fulfil contractual obligations and other business commitments in good faith.

***Supplier requirements:*** Suppliers must demonstrate how they provide their code to all staff and conduct training on an annual basis for their staff on ethical expectations, risks and acceptable/unacceptable conduct, particularly as they relate to the supplier’s areas of work.

### Keep Complete and Truthful Records

Suppliers are expected to comply with International Aid Transparency Act (IATA) requirements to ensure transparency in how funds are spent. Suppliers are expected to record transactions, work time, and expenses truthfully and accurately and ensure all documents, including any work products or deliverables, submitted to Chemonics are never altered, exaggerated, or contain falsified information. Suppliers are expected to pay their delivery suppliers within 30 days of a valid invoice or according to any agreed upon contract terms. Suppliers must implement due diligence processes to provide assurance that UK Government funding is not used in any way that contravenes the provisions of the Terrorism Act 2000, and any subsequent regulations pursuant to this Act.

***Supplier requirements:*** Suppliers should be able to show proof of prompt payment policies (as detailed above) to their downstream suppliers.

### Handle Assets Properly

Suppliers must use equipment provided by Chemonics or a Client properly and responsibly; Chemonics or Client assets should never be used for illegal activity, gambling, pornography, or outside business interests. Supplier shall be responsible for all loss or damage to equipment other than that cause by fair wear and tear. The supplier shall notify Chemonics immediately the when the Supplier becomes aware of any loss or damage to equipment. Suppliers must use information provided through Chemonics systems for Chemonics business purposes only, protect all proprietary and sensitive information, and follow) the laws governing the use of intellectual property, including software licenses, patents, copyrights, and trademarks, in their country(ies) of registration and operation. Suppliers must maintain high levels of data security in accordance with the Data Protection Act 1998 and any subsequent regulations pursuant to this Act, or new Act and with the General Data Protection Regulation (Directive 95/46/EC).

***Supplier requirements:*** Suppliers shall track FCDO-funded inventory and assets through an inventory tracker and keep an up to date inventory of their equipment, its condition and location and make such inventory available to Chemonics upon request. Suppliers should provide a copy of their information security/data privacy policy and how that policy is communicated to all their employees.

### Maintain Objectivity in Decision-Making

Suppliers are expected to maintain professional objectivity by avoiding financial, business, and personal conflicts that might appear to compromise their ability to render fair, impartial judgments on behalf of our Clients. Suppliers must disclose all potential conflicts of interest as soon as they are known and freely and promptly work with Chemonics to resolve conflicts in a mutually satisfactory way. Conflicts of interest are defined as a family, personal, or financial interest, or an ownership interest in another entity, that would conflict with Chemonics or client business interests. Suppliers are prohibited from giving preferential treatment related to friends, family, (defined as a spouse, parent, brother, sister, child, grandparent, parent-in-law, sister-in-law, or brother-in-law). or business suppliers in recruitment, procurement, grant award and/or subcontracting decisions.

***Supplier requirements:*** Suppliers must demonstrate proof of process and policy for staff to disclose all potential conflicts of interest, such as in their recruitment and hiring process and procurement of goods or services. Suppliers must then disclose all potential conflicts of interest to Chemonics as soon as they are known and must submit proof of their policy for how they manage actual and potential conflicts of interest on an annual basis.

### Refrain from Unnecessary Business Favours

Suppliers should not accept or offer business courtesies of any value if they could be perceived as influencing business decisions or affecting objectivity. Suppliers must abide by FCDO, and other clients’ restrictions on gifts, services, entertainment, or other benefits to U.K. and other government employees.

***Supplier requirements:*** Suppliers must be able to show proof of an anti-bribery and anti-fraud policy, including management of gifts, and a policy of zero tolerance for tax evasion.

### Uphold the Integrity of Procurement Process.

Suppliers are prohibited from obtaining government source selection information or contactor proposal information that is not publicly available. Source selection information includes competitive range determinations, rankings of proposals or competitors, and reports or evaluations of government source selection panels. Suppliers are expected to keep supplier pricing confidential and not provide special treatment to any vendor.

***Supplier requirements****:* Suppliers must demonstrate that, if requested, they have the appropriate policies in place to ensure sound and ethical procurement of goods and services, which meet the requirements described above, including promoting fair competition. Suppliers should conduct routine internal reviews of their financial and procurement records. Suppliers must be able to demonstrate their process for informing staff of FCDO’s reporting concerns mailbox and proof of sharing the information downstream (including to staff and vendors). As requested, suppliers must be able to demonstrate how their funds move to third party or other vendors who receive funding as part of the supplier’s work with Chemonics.

### Promote Fair Competition

Suppliers are expected to rigorously observe the laws and regulations in their country(ies) of registration and operation that prohibit competition-inhibiting practices and only use legitimate and legal practices in conducting business. Suppliers are expected to arrive at prices submitted to Chemonics independently, without disclosing these prices to any other organisation that is submitting a proposal. Suppliers should never enter into price-fixing agreements or understandings with competitors engage in other collusive bidding practices.

***Supplier requirements****:* As mentioned under “Uphold the Integrity of Procurement Process,” suppliers should include policies surrounding price-fixing and fair competition in their procurement policies.

### Exercise Integrity in Hiring.

Suppliers are expected to competitively recruit staff person in all job titles based on equal opportunity and free from discrimination with regards to race, colour, religion, age, national origin, disability, or sex. Suppliers are prohibited from requesting money in exchange for a job. Suppliers must provide a safe and secure work environment and take meaningful steps to protect employees, visitors, clients, property, funds, and other assets. Suppliers shall not enter into employment discussions with any current or former U.K. government employee without a written ethics opinion issued by the government establishing the permissibility of their proposed work with supplier and any restrictions on their work.

***Supplier requirements****:* Suppliers must have an internal staff recruitment, management, and retention policy. This policy should address how the supplier handles conflict of interest mitigation and reporting in their hiring practices and their practices for on-going monitoring of potential or existing personal, business or professional conflicts of interest. Suppliers’ policies must address their processes for employing former FCDO or Crown employees in compliance with HMG approval requirements and must address a policy of anti-discrimination when hiring and employing. Recruitment policies must also address care for safeguarding requirements, which are including in further detail in Annex 1.

### Follow UK Bribery Act and Local Laws and Agreements on Corruption.

Suppliers are prohibited from paying or offering bribes or anything of value to government officials to influence business decision making. Unofficial facilitating payments of any kind to individual government employees, either directly or via third parties such as customs brokers and visa facilitators, are also prohibited. Suppliers are expected to promote anticorruption principles and never offer, provide, solicit, or accept anything of value to improperly obtain or reward favourable treatment on a government contract or subcontract. Suppliers must be committed to high environmental standards and comply with all applicable domestic and international environmental laws, work to reduce the environmental impact of their operations, and safeguard natural resources.

***Supplier requirements****:* As mentioned above, suppliers must be able to show proof of an anti-bribery and fraud policy, including management of gifts, and adherence to UK and in-country tax requirements that includes a policy of zero tolerance for tax evasion. Suppliers’ anti-bribery policies must clearly state that unofficial facilitating payments for which no receipt is issued are strictly prohibited. Suppliers should vet government service providers such as visa and licensing consultants.

Suppliers are required to immediately report concerns, allegations and/or observations of any misconduct such as sexual harassment, sexual exploitation and/or abuse, bribery, corruption, undisclosed conflicts of interest, theft or embezzlement, and fraud to Chemonics Office of Business Conduct.

Chemonics and UK laws strictly prohibit retaliation in any form for honest and appropriate reporting of suspected misconduct.

### Contact Information

If you have any questions regarding this Supplier Code of Conduct or would like to report a concern, please contact Chemonics’ Office of Business Conduct via one of the following methods:

Email: businessconduct@chemonics.com

Online: [www.chemonics.com/reporting](http://www.chemonics.com/reporting)

Phone/Skype: 888.955.6881

WhatsApp: 202.355.8974

Report directly to FCDO’s Counter Fraud Section through one of the following methods:

Email: reportingconcerns@fcdo.gov.uk

Phone: +44 1355 843747

# Annex 1

## Comprehensive Safeguarding Policy

All suppliers, subcontractors, grantees, vendors, and other authorised representatives (hereafter referred to collectively as “suppliers”) are encouraged to have a comprehensive safeguarding policy. All suppliers who receive funding through a UK-funded programme MUST follow the below guidance to develop a comprehensive safeguarding policy. This policy is required for any supplier that receives funding from a UK-funded programme AND that works itself with children and/or vulnerable adults or any supplier whose downstream partners work with children or vulnerable adults. Criteria and guidance for each subset of a comprehensive safeguarding policy is given below as a guide to ensure they have addressed FCDO’s, and Chemonics’ concerns in their policies.

At a minimum, it is expected that the supplier’s safeguarding policy include the following components:

***Commitment to safeguarding.***Suppliers should be able to demonstrate, in a company-issued statement, their commitment to safeguarding. Suppliers should include messaging on how they track safeguarding issues, including past and current concerns.

If the supplier has a corporate safeguarding officer or point of contact, they should note that clearly in their policy and how the officer reports to senior leadership and/or a board of directors should be detailed, such as how often the information is reported. A clear process for how staff and beneficiaries can submit concerns or allegations and then how the supplier investigates such claims should be included. Suppliers should detail how they provide safeguarding training to current and new hire staff, including how they track completion of such training in their organisation.

***Child protection and vulnerable adult protection policy***. Suppliers must prohibit employees and their own downstream partners from engaging in or furthering acts of sexual exploitation, abuse, or engaging in sexual activities with any beneficiary or anyone under the age of consent. The supplier is expected to expressly prohibit any trafficking in persons in any form. It is expected that suppliers commit to the safety and security of their employees and beneficiaries and actively promote safe environments in which they conduct business.

In addition, the supplier must promote and employ child-safe screening procedures in their recruitment process for new hires, especially for any candidate whose work involves direct contact with children. Policies should include a commitment to strictly follow international laws related to child welfare and protection and a commitment to reducing the risk of child abuse, exploitation, or neglect in carrying out projects and activities. Lastly, suppliers must commit to reporting any and all allegations and potential violations of child abuse, exploitation, or neglect to Chemonics and the suppliers’ proper channels for safeguarding oversight.

***Anti-slavery policy (modern day slavery policy)****.* Suppliers are expected to expressly prohibit any staff member, contractor, or vendor from engage in any form of trafficking in persons, procure commercial sex acts, destroy, conceal, confiscate, or otherwise deny an individual access to their identity or immigration documents, use misleading or fraudulent practices during the recruitment of employees or offering of employment under the project, including charging recruitment fees. The supplier must commit to terminating any relationship that is found to have committed a violation of this policy.

***Recruitment policy****.* As mentioned above under “Exercise Integrity in Hiring,” Suppliers must be able to demonstrate written policies regarding their practices for fair recruitment, hiring, and retention of staff. Policies must align with local labour law, at minimum. Suppliers should be able to demonstrate practices surrounding hiring candidates with safeguarding responsibilities, such as specific questions in the interview and reference check process tailored to safeguarding. Suppliers’ policies should include mandatory references and should note if criminal background checks are required and/or if probationary periods of employment are company policy.

Ethical behaviour policy, including:

***Anti-sexual harassment, exploitation, and abuse policy****.* The Supplier is expected to expressly prohibit unwelcome sexual advances, requests for sexual favours, and all other verbal or physical conduct by any individual toward any other individual, where submission to such conduct becomes a term or condition of employment or the basis for any employment decision, or where the conduct creates an intimidating, hostile, or offensive working environment. The supplier should make clear no promotions or change in status of job will be made on the basis of provision or denial to sexual advances.

Sexual harassment may include sexually oriented kidding, teasing, or jokes; repeated offensive sexual flirtations, advances, or propositions; obscene or sexually oriented language or gestures; display or circulation of obscene or sexually oriented images; and offensive physical contact such as grabbing, patting, pinching, or brushing against another’s body. Any hostile conduct based on gender or gender identity is also forbidden by this policy, regardless of whether the individual engaging in the harassment and the individual being harassed are of the same or different genders or gender identities. This policy forbids harassment based on gender or gender identity regardless of whether it rises to the level of unlawful conduct.

Employees who are called upon to give information in connection with a workplace investigation into allegations of sexual harassment, exploitation or abuse must comply. Failure or refusal to cooperate with a workplace investigation, including refusal to provide information or the knowing provision of maliciously false information to a workplace investigator, may be grounds for corrective action up to and including termination of employment.

Suppliers should indicate how staff and beneficiaries can report any concerns or allegations of sexual harassment, abuse, or exploitation and should indicate measures the supplier has taken so that staff do not necessarily have to report through their direct supervisor. Suppliers should also indicate their anti-retaliation policy.

***Anti-discrimination and harassment policy****.* Suppliers should be committed to providing their employees with a work environment that is free of unlawful discrimination, including harassment on the basis of any legally protected status. Suppliers should make clear that they will not tolerate any form of discrimination or harassment.

Prohibited conduct includes, but is not limited to, any verbal or physical conduct that may reasonably be perceived as denigrating or showing hostility toward an individual because of race, colour, religion, gender or gender identity, national origin, age, sexual orientation, veteran’s status, disability, or other status protected by law. This includes, but is not limited to, epithets, slurs, negative stereotyping, or intimidation based on an individual’s protected status. This also includes circulating or posting material that denigrates or shows hostility toward an individual because of his or her protected status or denigrates or shows hostility toward a protected class of individuals.

Suppliers should indicate the avenues and methods by which employees can report concerns or allegations.

***Anti-violence/prevention of workplace violence policy****.* Suppliers should make clear that they do not tolerate violence in the workplace, which includes intimidation, threats, harassment, physical attack, property damage, or acts of violence committed against employees, clients, or vendors on company property or in the course of conducting company business. This list is not exhaustive, and suppliers may want to make explicit their policies for a weapons-free workplace and can indicate that employees may not carry any weapons in the workplace, subject to immediate termination. Suppliers should expect that all employees commit to upholding a violence-free workplace but should include the methods by which employees can report any acts of violence, internally and externally, such as to the police. Suppliers should also indicate the parties responsible for investigating workplace violence.

***Anti-retaliation.*** The supplier should demonstrate a policy of zero tolerance for anti-retaliation against anyone who reports concerns to the organisation, FCDO, or Chemonics in good faith. Suppliers should note if anyone who exercises retaliation against an individual for reporting suspected harassment or discrimination or for participating in an investigation of a claim of harassment or discrimination is subject to disciplinary or corrective action up to and including termination. A process for staff and/or beneficiaries to report retaliation should be included in the supplier’s policy.

1. See EU definition of SME: <https://ec.europa.eu/growth/smes/business-friendly-environment/smedefinition_en>. [↑](#footnote-ref-2)
2. A Designated Safeguarding Officer or Lead is the person who has responsibility for ensuring a company’s safeguarding policy is adhered to. [↑](#footnote-ref-3)
3. An organisation’s senior management team should include staff who support the CEO/president with day-to-day management and oversight of an organisation’s performance and finances. Examples of senior management team members may include the Chief Financial Officer, Chief Operating Officer, and Senior Vice President. [↑](#footnote-ref-4)
4. A conflict of interest exists when an organisation or an individual has competing interests (family, friendships, financial, or social factors), which might impair its or their ability to make objective, unbiased decisions in the work-place. [↑](#footnote-ref-5)
5. If your organisation currently does not have a Duty of Care policy, you will be required to develop and receive organisational approval for a Duty of Care policy within 30 days following execution of a grant agreement with Chemonics. [↑](#footnote-ref-6)
6. The Aid Transparency Challenge launched by the Secretary of State, states that FCDO will require organisations receiving funding to comply with the International Aid Transparency Initiative (IATI) standards of transparency for their disbursement of UK aid and to require this of downstream partners. Any lead supplier contract awarded will require the contracting organisation, and immediate grantees to publish information, with the goal being full traceability of funding from FCDO throughout the whole supply chain. [↑](#footnote-ref-7)