

**Due Diligence Checklist**

End to End Provider

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| **Document Version Control** | |
| **Document** | End to End Supply Chain Partner Due Diligence |
| **Owner** | Stuart Canning |
| **Version** | V6 |
| **Date of Sign Off** | 27/08/2021 |
| **Date of next review** | 27/08/2022 |

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| **Update Log**  **SC Issued for review by stakeholders** |  |
| **Update Log**  **SC Issued for review by stakeholders** | **13/07/18** |
| **Reviews received and incorporated from AF, PD, NB** | **10/08/18** |
| **Typos identified and additional HR requirement added** | **13/08/18** |
| **Jo Garner conducted review with key stakeholders and submitted changes for approval** | **23/10/19** |
| **Change made by Stuart Canning (removal of ROTO as a requirement)** | **27/08/2021** |
| **SC approved changes** | **27/08/2021** |

**Introduction**

Please find below a minimum requirements questionnaire for Seetec’s 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.

**Process**

The prospective subcontractor is required to complete this form to the best of their ability. Once complete, please sign and return along with any required policies / documentation attached.

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

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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): |  |

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| 1. **Health & Safety** | | | |  |
| **Requirement** | **Yes** | **No** | **Comments** | **(For Seetec 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 |
| 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 |
| 1. Do you hold Cyber Essentials Plus Certificate, if so please attach a copy |  |  | *<attach copy if held>* | GRA |
| 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 |
| 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 |
| 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 |
| 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 |
| 1. Do you currently have any outstanding Country 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 |
| 1. Please identify any potential conflict of interest you or any of your Director’s may have in working with Seetec |  |  |  | Commercial |
| 1. **Assurance** | | | | |
| **Requirement** | **Yes** | **No** | **Comments** | **(For Seetec use only)**  **Signed off by** |
| 1. Please provide a copy of your organisation’s: | | | | |
| 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. Quality Policy / Strategy |  |  |  | Excellence  *Attached Yes / No* |
| 1. Internal Quality Assurance (IQA) Policy |  |  |  | Excellence  *Attached Yes / No* |
| 1. Data Protection/ Information Security Policy |  |  |  | GRA  *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) |  |  |  |  |
| 1. Environmental / Sustainability Policy |  |  |  |  |
| 1. **Operational Delivery** | | | | |
| **Requirement** | **Yes** | **No** | **Comments** | **(For Seetec 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 |

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| 1. **Any other Information** |
| *Please include any other information which may be relevant or beneficial to the Due Diligence Process in this box*  *E.g. do you hold any additional accreditations not referenced above e.g. Merlin, IIP etc.*  *Are you able to provide references from any other Prime Providers?* |

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| **H. 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:** |