**PFRU**

# Due Diligence Questionnaire (Project Stage)

This Due Diligence Questionnaire (DDQ) is a self-declaration, made by you (the prospective or current Subcontractor), that you do not meet any of the grounds for exclusion[[1]](#footnote-2). If there are grounds for exclusion, there is an opportunity to explain the background and any measures you have taken or will take to rectify the exclusion.

A completed declaration of Part 1 and Part 2 provides a formal statement that the organisation making the declaration has not breached any of the exclusion grounds. Part 3 includes due diligence criteria required to assess minimum partner capacity, in line with Chemonics’ and FCDO requirements. We require all partners to meet the requirements set forth below and to provide a fully completed form. Please fill out the form honestly; Chemonics will work in good faith with partners to plan for remediation of requirements not fully met, where possible.

If you materially misrepresent any factual information on the Due Diligence Questionnaire, and so induce Chemonics to enter into a subcontract, you may be excluded from the procurement procedure and from partnering with Chemonics in the future. If a subcontract has been executed, the subcontract may be terminated for default.

**Part 1: Subcontractor Information**

| Section 1.1 | **Prospective Subcontractor information** | |
| --- | --- | --- |
|  | Question | Response |
| 1.1(a) | Full name of the Prospective Subcontractor submitting the information |  |
| 1.1(b) – (i) | Registered office address (if applicable) |  |
| 1.1(b) – (ii) | Registered website address (if applicable) |  |
| 1.1(c) | Trading status   1. public limited company 2. limited company 3. limited liability partnership 4. other partnership 5. sole trader 6. third sector 7. other (please specify your trading status) |  |
| 1.1(d) | Date of registration in country of origin |  |
| 1.1(e) | Company registration number (if applicable) |  |
| 1.1(f) | Charity registration number (if applicable) |  |
| 1.1(g) | Head office SAM Unique Entity Identifier (UEI) number (if applicable) |  |
| 1.1(h) | Registered VAT number |  |
| 1.1(i) - (i) | If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established? | Yes ☐  No ☐  Not applicable ☐ |
| 1.1(i) - (ii) | If you responded yes to 1.1(i) - (i), please provide the relevant details, including the registration number(s). |  |
| 1.1(j) - (i) | Is it a legal requirement in the state where you are established for you to possess a particular authorisation, or be a member of a particular organisation in order to provide the services specified in this procurement? | Yes ☐  No ☐ |
| 1.1(j) - (ii) | If you responded yes to 1.1(j) - (i), please provide additional details of what is required and confirmation that you have complied with this. |  |
| 1.1(k) | Trading name(s) that will be used if successful in this procurement |  |
| 1.1(l) | Relevant classifications (state whether you fall within one of these, and if so which one)   1. Voluntary Community Social Enterprise (VCSE) 2. Sheltered Workshop 3. Public service mutual |  |
| 1.1(m) | Please indicate your organisation’s compliance level:  Compliance Level 1 (CL1) partners with an individual contract value of £1m or above, or two or more contracts/grants with the FCDO with a combined value of £5m or above.  Compliance Level 2 (CL2) partners with an individual contract value below £1m, or two or more contracts /grants with FCDO with a value of less than £5m.  Compliance Level 3 (CL3) partners with an individual contract value, or component of a contract/grant, with a value below the EU contracting threshold (£122,976) | CL 1  CL 2  CL 3 |
| 1.1(n) | Are you a Small, Medium or Micro Enterprise (SME)[[2]](#footnote-3)? | Yes ☐  No ☐ |
| 1.1(o) | Details of Persons of Significant Control (PSC), where appropriate:[[3]](#footnote-4)  - Name;  - Date of birth;  - Nationality;  - Country, state or part of the UK where the PSC usually lives;  - Service address;  - The date he or she became a PSC in relation to the company (for existing companies the 6 April 2016 should be used);  - Which conditions for being a PSC are met;  - Over 25% up to (and including) 50%,  - More than 50% and less than 75%,  - 75% or more.[[4]](#footnote-5)  (Please enter N/A if not applicable) |  |
| 1.1(p) | Details of immediate parent company:    - Full name of the immediate parent company  - Registered office address (if applicable)  - Registration number (if applicable)  - Head office SAM Unique Entity Identifier (UEI) number (if applicable)  - Head office VAT number (if applicable)  (Please enter N/A if not applicable) |  |
| 1.1(q) | Details of ultimate parent company:  - Full name of the ultimate parent company  - Registered office address (if applicable)  - Registration number (if applicable)  - Head office SAM Unique Entity Identifier (UEI) number (if applicable)  - Head office VAT number (if applicable)  (Please enter N/A if not applicable) |  |

| **Section 1.2** | **Contact details** | |
| --- | --- | --- |
| Question number | Question | Response |
| 1.2(a) | Contact name |  |
| 1.2(b) | Name of organisation |  |
| 1.2(c) | Role in organisation |  |
| 1.2(d) | Phone number |  |
| 1.2(e) | E-mail address |  |
| 1.2(f) | Postal address |  |

**Part 2: Exclusion Grounds**

Please answer the following questions in full. Note that every organisation that is being relied on to meet the selection must complete and submit the Part 1 and Part 2 self-declaration.

| **Section 2** | **Grounds for mandatory exclusion** | |
| --- | --- | --- |
| Question number | Question | Response |
| 2.1(a) | **Regulations 57(1) and (2)**  The detailed grounds for mandatory exclusion of an organisation are set out on this [webpage](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf), which should be referred to before completing these questions.  Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed on the [webpage](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf). | |
|  | Participation in a criminal organisation | Yes ☐  No ☐  If Yes, please provide details at 2.1(b) |
|  | Corruption | Yes ☐  No ☐  If Yes, please provide details at 2.1(b) |
|  | Fraud | Yes ☐  No ☐  If Yes, please provide details at 2.1(b) |
|  | Terrorist offences or offences linked to terrorist activities | Yes ☐  No ☐  If Yes, please provide details at 2.1(b) |
|  | Money laundering or terrorist financing | Yes ☐  No ☐  If Yes, please provide details at 2.1(b) |
|  | Child labour and other forms of trafficking in human beings | Yes ☐  No ☐  If Yes, please provide details at 2.1(b) |
| 2.1(b) | If you have answered yes to question 2.1(a), please provide further details.  Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction.  Identity of who has been convicted.  If the relevant documentation is available electronically, please provide the web address, issuing authority, precise reference of the documents. |  |
| 2.2 | If you have answered Yes to any of the points above, have measures been taken to demonstrate the reliability of the organisation, despite the existence of a relevant ground for exclusion? (Self- Cleaning) | Yes ☐  No ☐  Not applicable ☐ |
| 2.3(a) | **Regulation 57(3)**  Has it been established, for your organisation by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions? | Yes ☐  No ☐ |
| 2.3(b) | If you have answered yes to question 2.3(a), please provide further details. Please also confirm you have paid or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines. |  |

| **Section 3** | **Grounds for discretionary exclusion** | |
| --- | --- | --- |
| Question number | Question | Response |
| 3.1 | **Regulation 57 (8)**  The detailed grounds for discretionary exclusion of an organisation are set out on this [webpage](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf), which should be referred to before completing these questions.  Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. | |
| 3.1(a) | Breach of environmental obligations? | Yes ☐  No ☐  If yes, please provide details at 3.2 |
| 3.1 (b) | Breach of social obligations? | Yes ☐  No ☐  If yes, please provide details at 3.2 |
| 3.1 (c) | Breach of labour law obligations? | Yes ☐  No ☐  If yes, please provide details at 3.2 |
| 3.1(d) | Bankrupt or is 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, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State? | Yes ☐  No ☐  If yes, please provide details at 3.2 |
| 3.1(e) | Guilty of grave professional misconduct? | Yes ☐  No ☐  If yes, please provide details at 3.2 |
| 3.1(f) | Entered into agreements with other economic operators aimed at distorting competition? | Yes ☐  No ☐  If yes, please provide details at 3.2 |
| 3.1(g) | Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure? | Yes ☐  No ☐  If yes, please provide details at 3.2 |
| 3.1(h) | Been involved in the preparation of the procurement procedure? | Yes ☐  No ☐  If yes, please provide details at 3.2 |
| 3.1(i) | Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions? | Yes ☐  No ☐  If yes, please provide details at 3.2 |
| 3.1(j) | Please answer the following statements |  |
| 3.1(j) - (i) | The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria. | Yes ☐  No ☐  If Yes please provide details at 3.2 |
| 3.1(j) - (ii) | The organisation has withheld such information. | Yes ☐  No ☐  If Yes please provide details at 3.2 |
| 3.1(j) - (iii) | The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015. | Yes ☐  No ☐  If Yes please provide details at 3.2 |
| 3.1(j)-(iv) | The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provide misleading information that may have a material influence on decisions concerning exclusion, selection or award. | Yes ☐  No ☐  If Yes please provide details at 3.2 |
| 3.2 | If you have answered Yes to any of the above, explain what measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning) |  |

**Part 3: Selection Questions**

Compliance Tier Level**: [1, 2, or 3]** Please see Part 1, section 1.1(m) for guidance on compliance levels.

| **Section 4** | **Economic and Financial Standing** | |
| --- | --- | --- |
| Question number | Question | Response |
| 4.1 | Please indicate which of the following you have provided to demonstrate your economic and financial standing: | |
| (a) Copy of your audited accounts for the last, complete two years. |  |
| (b) 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. |  |
| (c) A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position. |  |
| (d) 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). | If this option is selected, describe below the documentation being provided: |

|  |  |
| --- | --- |
| **Section 5** | **Technical and Professional Ability** |
| **5.1** | **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 the potential subcontract. 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)/partners, in achieving the following:   1. Securing and implementing similar programmes; 2. Implementing programmes in the same country/region or similar contexts 3. Working effectively with other implementing partners on an agreement (either as a prime or subcontractor)   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 has provided services in the past but not under a contract. Additionally, provide details of the technical and professional capabilities the team brings to the newly formed organization. |

|  |  |
| --- | --- |
| **Contract/Grant 1: NAME** | |
| **Name of customer/donor organisation** |  |
| **Point of contact in the organisation** | Name  Position in the organisation  Email address |
| **Agreement start date** |  |
| **Agreement completion date** |  |
| **Estimated agreement value** |  |
| **Description of agreement** |  |
| **Contract/Grant 2: NAME** | |
| **Name of customer/donor organisation** |  |
| **Point of contact in the organisation** | Name  Position in the organisation  Email address |
| **Agreement start date** |  |
| **Agreement completion date** |  |
| **Estimated agreement value** |  |
| **Description of agreement** |  |
| **Contract/Grant 3: NAME** | |
| **Name of customer/donor organisation** |  |
| **Point of contact in the organisation** | Name  Position in the organisation  Email address |
| **Agreement start date** |  |
| **Agreement completion date** |  |
| **Estimated agreement value** |  |
| **Description of agreement** |  |

| **Section 6** | **Modern Slavery Act 2015: Requirements under Modern Slavery Act 2015 and UN Global Compact Requirements** | |
| --- | --- | --- |
| Question number | Question | Response |
| **6.1** | 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 any business or partnership that*   * *Are a body corporate or a partnership wherever* * *incorporated;* * *Supplies good or services,* * *Carries out business in any part of the United Kingdom, and is not necessarily located in the United Kingdom, and* * *Has an annual turnover of at £36 million pounds or more* | Yes  No |
| **6.2** | If you have answered ‘yes’ to Question 6.1, 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 in section 54 of the Act? Answering no may result in a potential partner being excluded from participating further in the procurement process. | Not applicable  Yes – Please provide below the relevant URL of your website including the statement or, if you don’t have a website, a copy of the statement  No – Please provide below an explanation |
| **6.3** | Is your organisation a signatory to the UN Global Compact?  Compliance Level 1 Supply Partners, as defined in Section 1.1 of this document, are required to be a signatory to the UN Global Compact. | Yes (Signatory)  No (Participant)  No (neither signatory nor participant) |
| **6.4** | If you have answered ‘no’ to Question 6.3 will your organisation become a signatory to the UN Global Compact if required by the Subcontract? | Not applicable (answered ’yes’ to 6.3)  Yes  No |
| **6.5** | If 1) nominating a member of the Foreign, Commonwealth and Development Office (FCDO) staff who is in service, or on leave of absence, or 2) any existing staff members or nominated staff have been employed by FCDO or the Crown in the preceding two years, can you provide proof of compliance with the HMG approval requirements under the Business Appointment Rules? This includes providing to Chemonics Group UK Ltd. a letter from their Crown Service employer granting permission for them to undertake the services. | Not applicable  Yes  No |

| **Section 7** | **Insurance** | | | |
| --- | --- | --- | --- | --- |
| Question number | Question | | | **Response** |
| Partners are required to effect and maintain insurances (where appropriate) in relation to the performance of their obligations under the potential subcontract appropriate to the services being provided. | | | | |
| **7.1** | 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. Answering no may result in a potential partner being excluded from participating further in the procurement process. | | | Yes  No |
| **7.2** | Please provide details of all insurance policies that you have in place including but not limited to Employer’s liability, Public Liability Insurance, Professional Indemnity Insurance and Product Liability Insurance. | | | |
| Insurer | Type of Policy | Financial limit of liability | Expiry Date of policy |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| **7.3** | The partner certifies to effect and maintain the insurances required by the governing law applicable to their jurisdiction and appropriate to the services they will be providing under the prospective subcontract, as mutually agreed between Chemonics and the partner. | | | Yes  No |

| **Section 8** | **Organisational Policies and Procedures** | |
| --- | --- | --- |
| Question number | Question | Response |
| **8.1** | FCDO’s Supply Partner Code of Conduct sets out ethical expectations of delivery partners, vendors, and other authorised representatives (hereafter referred to collectively as “suppliers”) who conduct business with or on behalf of FCDO. Suppliers must always conduct their business interactions and activities in accordance with the principles set out in the FCDO Supply Partner Code of Conduct. They are also expected to comply with all the laws and treaties of the countries in which they operate. Any subcontract awarded for this procurement will require the potential partner to accept and maintain full compliance with the FCDO’s Supply Partner Code of Conduct. Please read [FCDO’s Supply Partner Code of Conduct.](https://view.officeapps.live.com/op/view.aspx?src=https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1043334/Supply-Partner-Code-of-Conduct1.docx.odt&wdOrigin=BROWSELINK.) By selecting “yes,” you are certifying that you understand our expectations of suppliers and will comply with the FCDO Supply Partner Code of Conduct in the performance of the prospective subcontract. Code of Conduct in the performance of the prospective subcontract. | Yes  No |
| **8.2** | Please indicate if your organisation has the policies and procedures listed below. If so, please attach each policy. Note that partners are required to have policies and procedures for the topics noted with an asterisk. Please see the [Supply Partner Compliance section of the Procurement at FCDO website](https://www.gov.uk/government/organisations/foreign-commonwealth-development-office/about/procurement) for guidance. | |
| * Policy Manual/ Code of Conduct\* | Yes  No |
| * Due diligence, fraud and anti-corruption\* | Yes  No |
| * Safeguarding\* | Yes  No |
| * Whistleblowing\* | Yes  No |
| * Terrorism and Security\* | Yes  No |
| * Bullying and Harassment | Yes  No |
| * Environmental/Social Impacts | Yes  No |
| * Net Zero Carbon reporting | ☐ Yes ☐ No |
| * Data Protection policy | Yes  No |
| * Risk Management | Yes  No |
| * Conflict of Interest Policy | Yes  No |
| **8.3** | If your organisation does not have policies and procedures for each of the listed topics noted with an asterisk above, please certify by selecting ‘Yes’ to the right that prior to subcontract award your organisation will provide:   * The policies and procedures for the topics noted with an asterisk. * Provide a summary of how your organization approaches and incorporates each topic into the work that the organization undertakes. | Not applicable  Yes  No |

| **Section 9** | **Duty of Care** | |
| --- | --- | --- |
| Question number | Question | Response |
| **9.1** | All personnel (including employees, second tier sub-contractors or agents) engaged under a potential subcontract will come under the Duty of Care of the partner. The partner 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 partner) fully acknowledge the risks of working in [name country], and you accept the risks associated with working in the operating environment of [name country]. | Yes  No |
| **9.2** | Please describe below or provide as an attachment 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. | |
|  | |

| **Section 10** | **International Aid Transparency Initiative** | |
| --- | --- | --- |
| Question Number | Question | Response |
| **10.1** | 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 *Compliance Level 1 Supply Partners*. If your organisation is classified as a *Compliance Level 1 Supply Partner*, please confirm that you agree to comply with the IATI standards of transparency. | Not applicable  Yes  No |

|  |  |  |
| --- | --- | --- |
| **Section 11** | **FCDO Terms and Conditions** | |
| Question Number | Question | Response |
| **11.1** | Any subcontract awarded for this procurement will require the potential partner to accept and maintain full compliance with the FCDO’s Standard Terms and Conditions. Please confirm your acceptance by selecting **‘**Yes’. | ☐ Yes ☐ No |

**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.

In the event that this information is provided as part of a procurement, I understand that the information will be used in the selection process to assess my organisation’s suitability to be invited to participate further in this procurement.

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.

☐ My organisation confirms that we are putting forth personnel in good faith and with the understanding that all key personnel will be available to provide the required services for the duration of the subcontract, or as so indicated in our proposal.

**CERTIFIED BY:**

|  |  |  |
| --- | --- | --- |
| Signature: | **[Person signing this declaration should be authorised to sign contractual agreements on behalf of their organisation]** | |
| Name: | {Corporate officer or authorized representative} | Date |
| Title: | {Title - corporate officer must be an individual at a level no lower than MD or CFO} | |

1. For the list of exclusion please see <https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf> [↑](#footnote-ref-2)
2. See EU definition of SME <https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en> [↑](#footnote-ref-3)
3. UK companies, Societates European (SEs) and limited liability partnerships (LLPs) will be required to identify and record the people who own or control their company. Companies, SEs and LLPs will need to keep a PSC register, and must file the PSC information with the central public register at Companies House. [See PSC guidance](https://www.gov.uk/government/publications/guidance-to-the-people-with-significant-control-requirements-for-companies-and-limited-liability-partnerships). [↑](#footnote-ref-4)
4. Central Government contracting authorities shall use this information to have the PSC information for the preferred Subcontractor checked before award. [↑](#footnote-ref-5)