

Due Diligence &

Safeguarding Questionnaire

**Please note the following points before completing the questionnaire;**

* Please complete this questionnaire honestly. Answering ‘no’ to a question does not automatically disqualify your organization from working with the programme. In each section you are invited to explain the answer you give. This explanation is important and will be given careful consideration during the assessment process.
* Providing false information on this questionnaire can result in the termination of any contract issued.
* There are **3 main sections to complete; background information, due diligence and Safeguarding**. All sections and sub-sections must be completed. If a question is not applicable to your organisation mark it N/A.
* All details provided in the questionnaire will be kept securely and managed in line with Loughborough University’s Data Protection Policy. Details of the policy can be found at <https://www.lboro.ac.uk/admin/ar/policy/dpact/ludpp/>
* Please sign the declaration at the end of the form. Forms returned without a signature will not be processed.
* Please include any supporting documents requested, making clear in the file name the name of the organisation/respondent and the question number it refers to.
* Please complete the questionnaire electronically. To check a box, place the cursor over the required box and double click the left mouse button. A pop-up window will open, under default value, select ‘checked’. Click ok to close the pop-up window.

**Section A: Background information**

| **Question** | **Response** |
| --- | --- |
| 1. Full name of organisation |  |
| 2. Address of Registered Office (including postcode) |  |
| 3 Is your organisation a legally registered entity? | Yes [ ]  No [ ] *If yes - Please provide a copy of the registration document* *If no – Please explain why*  |
| 4 Company Registration Number |  |
| 5 Description of organisation (e.g. what the organisation does)  |  |
| 6 Head of organisation (name and title) |  |
| 7 Name and contact details of main contact person for this Award  |  |
| 8 If the organisation is a subsidiary of another body, will that parent firm guarantee the awardee’s contract performance as its subsidiary? | Yes [ ]  No [ ]  N/A [ ] *If Yes – Please provide details of the parent firm including company registration number.* |
| 9 Length of time in operation |  |
| 10 Status of organisation | A Public Limited company [ ] A Limited Company [ ] A Company Limited by Guarantee [ ]  A Partnership [ ]  A Sole Trader [ ] A Charity [ ] A Franchise [ ] A Small/Medium Sized Enterprise or SME [ ]  Other *(e.g.: a Special Purpose Vehicle, Joint Venture Company etc.*) Please specify ………………………………… |
| 11 To the best of your knowledge, does any director or senior officer of your organisation have any personal or financial connection with any member of Loughborough University staff? | Yes [ ]  No [ ] *If yes, please provide details of the individuals concerned and the nature of their relationship.*  |

**Section B: Due Diligence**

**1: Governance structure**

|  |  |
| --- | --- |
| **Question** | **Response** |
| 1.1 Does your organisation have a written constitution, overall strategy, mission statement and/or vision statement? | Yes [ ]  No [ ] *If no – Please explain why*  |
| 1.2. Does your organisation have an organogram which clearly defines responsibilities and reporting relationships? | Yes [ ]  No [ ] *If no – Please explain why*  |
| 1.3. Please explain any processes in place to manage environmental sustainability and waste management |  |
| 1.4. Please explain any processes in place to manage health and safety |  |

**Section 2: Economic and financial standing**

Where possible, the University will carry out an independent financial check on all Awardees using an appropriate software package.

| **Question** | **Response** |
| --- | --- |
| 2.1. Does your organisation have the willingness to invest its resources towards implementation of the planned activities?  | Yes [ ]  No [ ] *If no – Please explain why*  |
| 2.2. Does your organisation have a designated bank account that will accept euros, pound sterling and/or US dollars? | Euro [ ]  US dollar [ ]  Pound sterling [ ] *If no – Please explain why*  |
| 2.3. Are the accounts audited (internal/external) at least once per year? | Yes [ ]  No [ ] *If no – Please explain why*  |
| 2.4. Please explain your organisations accounting system and how it allows for proper recording of financial transactions e.g. general ledger accounts, cash book/s, fixed assets register, accruals, pre-payments etc  |  |
| 2.5. Are supporting documents (invoices, receipts) obtained for all costs incurred?  | Yes [ ]  No [ ] *If no – Please explain why*  |
| 2.6. Please indicate which of the following you would be willing to provide to evidence your organisation having the required financial strength by ticking the appropriate box. | A copy of your audited accounts for the most recent two years [ ]  A statement of your turnover, profit & loss account and cash flow for the most recent year of trading [ ]   A statement of your cash flow forecast for the current year and a bank letter outlining the current cash and credit position [ ]  Alternative means of demonstrating financial status if trading for less than a year [ ]   |
| 2.7. Please explain how you ensure reliability and integrity in your financial controls, systems and processes. Include details of any manuals you have and staff training done.  |  |
| 2.8. It is a requirement of this contract that the awardee holds the insurance indicated. Please confirm whether you already have or can commit to obtain, prior to the commencement of the contract, the insurance cover indicated.  | Compulsory for organisations with one employee or more:Employer’s Liability Insurance [ ]  Yes [ ]  NoPreferred: Public Liability Insurance [ ]  Yes [ ]  NoPreferred: Professional Indemnity Insurance [ ]  Yes [ ]  No*Please provide a copy of your insurance certificates**If you do not hold any of these insurances (or an equivalent) please explain why* |
| 2.9. Have you, either as a supplier, an awardee or as an organisation in the supply chain, been involved in the provision of any contract in the last 3 years for goods and services, where the contract has been terminated or payment has been withheld because your performance was not satisfactory? | Yes [ ]  No [ ] *If yes - please explain*  |
| 2.10. Have you as a supplier or an awardee withdrawn from a contract prematurely during the last three years? | Yes [ ]  No [ ] *If yes - please explain* |
| 2.11. Have you as a supplier or an awardee had to pay financial penalties or had payment deducted from monies arising from failure to perform in accordance with contractual obligations during the last three years? | Yes [ ]  No [ ] *If yes - please explain* |

**Section 3: Professional and technical capacity**

| **Question** | **Response** |
| --- | --- |
| 3.1 Please provide details of up to 3 current or completed contracts that are similar in nature to the work you will be doing under the MECS programme Loughborough University, as the lead of MECS may speak to the client listed to confirm the accuracy of the information provided. The University reserves the right to contact any or all these organisations for a reference.*If you cannot provide these details, please explain why*  | Contract 1Customer organisation:Contact name, tel. no., & e-mail:Contract start date:Contract completion date:Contract value:Brief description of contract (max 150 words):Contract 2Customer organisation:Contact name, tel. no., & e-mail:Contract start date:Contract completion date:Contract value:Brief description of contract (max 150 words):Contract 3Customer organisation:Contact name, tel. no., & e-mail:Contract start date:Contract completion date:Contract value:Brief description of contract (max 150 words): |
| 3.2 How many staff does your organisation intend to deploy in order to carry out the services for this award?Please include any staff from sub-contractors or other consortia members.  |  |
| 3.3 Please provide the names of up to 3 people who will be responsible for managing the delivery of services under this award.  | Person 1Name and TitlePosition in organisationLength of service with the organisationPerson 2Name and TitlePosition in organisationLength of service with the organisationPerson 3Name and TitlePosition in organisationLength of service with the organisation |
| 3.4 Please provide details of the educational and professional qualifications of the individuals listed in question 3.3.  | Person 1Highest educational qualification obtained: InstitutionCountryDateProfessional qualifications:InstitutionCountryDate/sPerson 2Highest educational qualification obtained: InstitutionCountryDateProfessional qualifications:InstitutionCountryDate/sPerson 3Highest educational qualification obtained: InstitutionCountryDateProfessional qualifications:InstitutionCountryDate/s |
| 3.5 Please explain what quality assurance, monitoring and control processes you have in place to ensure the work will be delivered to the standard required |  |

**Section 4: Equality**

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| --- | --- |
| **Question** | **Response** |
| 4.1 Is it your policy as an employer to comply with your statutory obligations to staff and applicants for employment under national equality legislation?  | [ ]  Yes [ ]  No |
| 4.2 Does your organisation have a formal equality policy? | *If yes, please attach a copy of your equality policy and answer question 5.3 below**If no - please explain why*[ ]  Yes [ ]  No |
| 4.3 Does the policy address the following?1. Recruitment, selection, training, promotion, discipline and dismissal
2. Discrimination, harassment, and victimisation (and it is made clear that these are disciplinary offences within the organisation)
3. Modern slavery (defined as slavery, servitude, forced or compulsory labour and human trafficking)
4. Identification of the senior position with responsibility for the policy and its effective implementation
5. How the policy is communicated to staff
6. It covers both employees and service users
 | [ ]  Yes [ ]  No[ ]  Yes [ ]  No[ ]  Yes [ ]  No[ ]  Yes [ ]  No[ ]  Yes [ ]  No[ ]  Yes [ ]  No*If no to any item - please explain why* |
| 4.4 Is the policy effectively implemented in your organisation’s recruitment practices?  | [ ]  Yes [ ]  No |
| 4.5 Does your organisation monitor the profile of its staff according to protected characteristics? | [ ]  Yes [ ]  No*If no – please explain why**Please provide a copy of your recruitment policy* |
| 4.6 Does your organisation provide equality training for managers and any staff responsible for recruitment and selection? | [ ]  Yes [ ]  No *If no - please explain why* |

**Section 5: Procurement and asset management**

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| --- | --- |
| **Question** | **Response** |
| 5.1 Does your organisation have a procurement manual that includes clear policies and procedures? | [ ]  Yes [ ]  No*If no – please explain why* |
| 5.2 Does your organisation solicit competitive bids for all major procurements? Please explain how the bids are documented | [ ]  Yes [ ]  No*If no - please explain why* |
| 5.3 Does your organisation have threshold amounts for obtaining multiple bids or quotes? | [ ]  Yes [ ]  No*If no - please explain why* |
| 5.4 Is an assets register maintained and how often is it updated? When was the last physical inventory of assets performed? | [ ]  Yes [ ]  No*If no - please explain why* |
| 5.5 Please explain how you safeguard project assets  |  |

**Section 6:** **Compliance with relevant legislation, regulation, rules, policies and procedures**

|  |  |
| --- | --- |
| **Question** | **Response** |
| 6.1 Do you confirm compliance with all national legislation, regulation, rules, policies and procedures?   | [ ]  Yes [ ]  No*If no - please explain why* |
| 6.2 Please explain the measures, processes and systems you have in place to ensure you comply and remain updated with all national legislation, regulation, rules, policies and procedures |  |
| 6.3 Does your organisation have a policy on anti-corruption and anti-bribery?Do all staff get trained on it?Is the policy enforced?  | [ ]  Yes [ ]  No*If no - please explain why*[ ]  Yes [ ]  No*If no - please explain why*[ ]  Yes [ ]  No*If no - please explain why* |
| 6.4 Is your organisation liked to any political activity?  | [ ]  Yes [ ]  No*If yes, please explain the nature of this activity* |

**Section 7:** **Data management**

|  |  |
| --- | --- |
| **Question** | **Response** |
| 7.1 Does your organisation have a policy on good data management? Are all staff trained on this policy? | [ ]  Yes [ ]  No*If no - please explain why*[ ]  Yes [ ]  No*If no - please explain why* |
| 7.2 Please explain the processes and systems used to handle, process and keep data held by your organisation secure. Please explain specifically how you maintain the confidentiality and integrity of personal and/or sensitive data.  |  |
| 7.3 Does your organisation provide, transfer or sell data to third parties for any reason?  | [ ]  Yes [ ]  No*If yes, please provide further explanation*  |

**Section C: Safeguarding**

**Principles of Safeguarding**

**The safeguarding principles that underpin our due diligence process are as follows;**

* Everyone has the responsibility for safeguarding
* Do no harm
* Organisations have a safeguarding duty of care to any people we work with, staff and volunteers, including where downstream partners are part of delivery. This includes people who are not directly involved in the programme but who may be vulnerable to abuse as a result of the activities of the programme.
* Act with integrity, be transparent and accountable
* All activity is done in the best interests of any person involved
* A child is defined as someone under the age of 18 regardless of the age or majority/consent in country.
* All people shall be treated equally, irrespective of race, gender, religion/or not, sexual orientation or disability

**Section 1: Safeguarding processes and procedures**

| **Question** | **Response** |
| --- | --- |
| 1.1 Do you have a safeguarding policy in place?   | Yes [ ]  No [ ] *If yes: does it include a statement of your commitment to safeguarding, including a zero-tolerance statement on bullying, harassment and sexual exploitation and abuse?*Yes [ ]  No [ ] *Please provide a copy of the policy and answer questions 1.2 & 1.3**If no;* Are safeguarding issues addressed in a different organisational document e.g. an HR manual?Yes [ ]  No [ ] *If yes: does it include a statement of your commitment to safeguarding, including a zero-tolerance statement on bullying, harassment and sexual exploitation and abuse?*Yes [ ]  No [ ] *If yes, please provide a copy of the relevant document and answer questions 1.5 & 1.6***If no -** **please explain in detail how you ensure;**1. a comprehensive, safe environment for all people the organisation engages with and
2. a zero-tolerance approach on bullying, harassment, sexual exploitation and abuse
 |
| 1.2 Please provide details of your organisation’s safeguarding procedures. This should include details of:* how you keep records of safeguarding issues
* What your investigation and disciplinary procedures are when allegations, complaints or a disclosure are made
* the referral mechanism to be followed when reporting safeguarding cases to the relevant authorities
 |  |
| 1.3 Are staff provided training on your safeguarding policy?  | Yes [ ]  No [ ]  *If no – Please explain why* *If yes – please explain the type of training done (e.g. in person, online, one-off, ongoing etc).*  |
| 1.4 Do you have a designated safeguarding officer or focal point?  | Yes [ ]  No [ ]   |
| 1.5 Are you going to be working with children or vulnerable adults through your activities under this award/contract? If yes - do you have a child protection policy and /or a vulnerable adult’s policy?  | Children (below 18 years of age) Yes [ ]  No [ ]  Vulnerable adults Yes [ ]  No [ ]  Child protection policy Yes [ ]  No [ ]  Vulnerable adult policy Yes [ ]  No [ ]  *If no – Please explain why*  |
| 1.6 If you are going to be working with vulnerable people in order to deliver this award/contract have all the staff involved been cleared/vetted through a nationally recognised process? (e.g. a police check). | [ ]  Yes [ ]  No*Please explain the process followed*  |

**Section 2: Whistle blowing (also called complaint or concerns procedure)**

|  |  |
| --- | --- |
| **Question** | **Response** |
| 2.1 Do you have a whistleblowing policy in place?  | Yes [ ]  No [ ] *If yes – please provide a copy* *If no – please explain;** how you ensure that whistle blowers are protected within your organisation and
* what the processes are for dealing with concerns raise by staff and what the timelines are
 |
| 2.2 Are staff provided training on your whistleblowing policy?  | Yes [ ]  No [ ]  *If no – Please explain why* *If yes – please explain the type of training done (e.g. in person, online, one-off, ongoing etc).*  |

**Section 3: Recruitment and selection**

| **Question** | **Response** |
| --- | --- |
| 3.1 Does your recruitment process consider the level of safeguarding risk in a job role? | Yes [ ]  No [ ] *If no – Please explain why*  |
| 3.2 Does your recruitment policy include a criminal background check on candidates? | Yes – all candidates [ ]  Yes – some candidates depending on role [ ]  *(please provide further details)*No – no candidates [ ]  - *please explain why*  |
| 3.3 If the role to be recruited is for a person who will work directly with vulnerable groups does the interview include specific questions on people’s attitudes and values in relation to the protection of children and/or vulnerable adults?  | Yes [ ]  No [ ] *If no – Please explain why*  |
| 3.4 Do you make use of probationary periods of employment to ensure suitability once in post? | Yes [ ]  No [ ] *If no – Please explain why*  |

**Section 4: Risk management**

| **Question** | **Response** |
| --- | --- |
| 4.1 Do you have a risk management policy or framework capturing risk appetite and risk categories that includes safeguarding risks?  | Yes [ ]  No [ ] *If no – Please explain why*  |
| 4.2 Does each activity/project/programme have a risk resister that feeds into an overall organisational risk framework? | Yes [ ]  No [ ] *If no – Please explain why*  |
| 4.3 Is there regular senior oversight of your risk register? | Yes [ ]  No [ ] *If no – Please explain why*  |
| 4.4 Do you share your risk management policy or framework with your downstream partners, especially for issues around safeguarding? | Yes [ ]  No [ ] *If no – Please explain why*  |

**Section 5: Code of conduct**

| **Question** | **Response** |
| --- | --- |
| 5.1 Does your organisation have a clear code of conduct for staff (paid or voluntary) that sets out clear expectations of behaviours, inside and outside the workplace? | Yes [ ]  No [ ] *If yes, please attach a copy* *If no – Please explain why*  |
| 5.2 Does the code of conduct include what will happen in the event of a breach of the code?  | Yes [ ]  No [ ] *If no – Please explain why*  |
| 5.3 Does the code of conduct prioritise the wellbeing of and care of all people, including all the people you work/interact with? | Yes [ ]  No [ ] *If no – Please explain why*  |
| 5.4 Are all staff (paid or voluntary) provided with training on the code of conduct as part of their induction to their role? | Yes [ ]  No [ ] *If no – Please explain why*  |
| 5.5 Are your policies and practices for the management of downstream partners/sub-contractors and affiliates aligned to the code of conduct?  | Yes [ ]  No [ ] *If no – Please explain why*  |

**Section 6: Governance and accountability**

| **Question** | **Response** |
| --- | --- |
| 6.1 Does your organisation regularly review the management of safeguarding issues?  | Yes [ ]  No [ ] *If no – Please explain why*  |
| 6.2 Does your organisation have a designated person responsible for safeguarding who is responsible and accountable for safeguarding standards and reporting across the organisation?  | Yes [ ]  No [ ] *If no – Please explain why*  |
| 6.3 If, through your activities under this award/contract, you are working with or delivering services directly to people, is their feedback on your approach/process/service actively sought?  | Yes [ ]  No [ ] *If yes - please describe how feedback is sought and actioned* *If no – Please explain why*  |
| 6.4 Are there opportunities for the people your organisation is working with to participate in the governance structures of your organisation? (e.g. can a representative sit on a committee that reports to the board of directors)  | Yes [ ]  No [ ] *If no – Please explain why*  |

Please provide the name and contact details of the individual who can answer queries about this questionnaire.

**Name:**

**Position in organisation:**

**Contact details:**

After completion of the questionnaire, please sign the declaration below (delete as appropriate)

I/We declare that the information given is accurate to the best of my/our knowledge.

I/We understand that false information could result in the termination of any existing or future contract.

Signed:

Name

Position:

For and on behalf of:

**Date:**