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 complete the checklist and 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 label your attached documents as follows: Organisation Name - Type of document – Question in DD form this relates to [e.g. LU -Audited accounts-Q3.4]

**Section A: Background information**

Version 1 Updated November 2020

| **Question** | **Response** |
| --- | --- |
| 1. Full name of organisation |  |
| 2. Address of Registered Office (including postcode or zip code) |  |
| 3. Is the organisation a legally registered entity? | [ ]  Yes:***Please provide a copy of the registration document***[ ]  **No**: please explain why the organisation is not legally registered I am an individual consultant. |
| 4. Company Registration Number (or equivalent) | N/A |
| 5. Description of organisation (e.g. what the organisation does)  | N/A |
| 6. Head of organisation (name and title) | N/A |
| 7. Name and contact details of main contact person for this Award  |  |
| 8. Name and contact details of the person responsible for receiving legal notices |  |
| 9. If the organisation is a subsidiary of another body, will your parent company guarantee the awardee’s contract performance as its subsidiary? | [ ]  Yes: Please provide details of the parent firm including company registration number.[ ]  **No** [ ]  N/A |
| 10. Length of time in operation | N/A |
| 11. 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 ………Individual consultant……………… |
| 12. To the best of your knowledge, does any director or senior officer of the organisation have any personal or financial connection with any member of Loughborough University staff? | [ ]  Yes: please provide details of the individuals concerned and the nature of their relationship.[ ]   |
| 13.Does the organisation have a designated bank account that will accept euros, pound sterling and/or US dollars?  | [ ]  Euro [ ]  US dollar [ ]  Pound sterling  |

**Section B: Due Diligence**

**1: Governance structure**

|  |  |
| --- | --- |
| **Question** | **Response** |
| * 1. Please outline the organisation’s strategy, mission or vision statement
 | N/A |
| 1.2 Please explain how the organisation ensures environmental sustainability and good waste management in the organisation *(Stating that this does not apply to the organisation is not acceptable)* | N/A |
| 1.3 Please explain any processes in place to manage health and safety for the organisations staff and the people the organisation works with *(Stating that this does not apply to the organisation is not acceptable)* | N/A |

**Section 2: Economic and financial standing**

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

| **Question** | **Response** |
| --- | --- |
| 2.1 Is the organisation ready and willing to carry out the activities planned under this contract/agreement?  | [ ]  Yes[ ]  No: please explain why the organisation is not ready to carry out the activities planned.  |
| 2.2a Are the accounts audited at least once per year?  | [ ]  Yes [ ]  No: please explain why the accounts are not audited at least once per year. **N/A** |
| 2.2b Please **send a copy** of at least one of the evidence’s listed in order to demonstrate that the organisation has the financial strength required to carry out this contract.  | **Please indicate which document/s are included in the due diligence submission;** [ ]  Audited accounts for the most recent two years [ ]  Statement of turnover, profit & loss account and cash flow for the most recent year of trading  [ ]  Statement of 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 **N/A** |
| 2.3 Please explain the organisations accounting system, particularly how it allows for proper recording of financial transactions e.g. general ledger accounts, cash book/s, fixed assets register, accruals, pre-payments etc  | **N/A** |
| 2.4 Are supporting documents (e.g. invoices, receipts) obtained for all costs? | [ ]  Yes [ ]  **No**: please explain why supporting documents are not obtained. I am an individual consultant. |
| 2.5 Please explain the organisation’s financial control systems and processes (e.g. how is fraud prevented, theft of funds etc). Include details of any manuals the organisation has, and staff training done.  | N/A |
| 2.6 The organisation is required to hold insurances. Please confirm which insurance the organisation already holds or will purchase prior to the contract being issued. We understand that in different countries the name of the insurance may differ from that in the UK. Please read the description for each type of insurance and choose the one most similar to the one/s available.  | [ ]  **N/A** No insurances held: please explain why no insurances are held. **Insurances for organisations with one employee or more:****Essential:**Employer’s Liability Insurance [ ]  Yes [ ]  No [ ]  Equivalent held: ……………………………….***Please provide a copy of the insurance certificates****This covers the Employer against claims from Employees arising from injuries caused by work-related activities for which the employer is legally responsible sustained during the period of indemnity. The obligation to ensure safety of employees applies wherever they are working (world-wide)****Preferred:*** Public Liability Insurance [ ]  Yes [ ]  No [ ]  Equivalent held: ……………………………….***Please provide a copy of the insurance certificates****This covers the Employer against claims from third parties (e.g. claims from volunteers, visitors or the general public etc) arising from accidental bodily injury to them or accidental damage to their property for which the Employer is legally responsible, arising out of the business of the Employer. The cover will apply on a worldwide basis wherever the Employer's activities are being undertaken*.***Preferred:*** Professional Indemnity Insurance: [ ]  Yes [ ]  No [ ]  Equivalent held: ……………………………….***Please provide a copy of the insurance certificates****This covers the Employer against claims made against the Employer during the period of insurance arising out of the conduct of the activities of the Employer caused by any:*1. *negligent act error or omission (for property damage, injury/death claims the cover is limited to those claims arising out of the provision of a professional service such as advice or design*
2. *breach of warranty of authority or breach of trust*
3. *infringement of copyright or patent right or trademark design rights or other intellectual property rights*
4. *breach of confidential information*
5. *breach of confidence*
6. *dishonest or fraudulent act or omission on the part of the Employer*
7. *libel and slander*
8. *loss or damage to documents*
 |
| **For the following three questions, please answer if your role was as a supplier, an awardee or as an organisation in the supply chain.** |
| 2.7. Has the organisation been involved in a contract that has been terminated or payment has been withheld because performance was not satisfactory in the last three years?  | [ ]  No[ ]  Yes – as an awardee: Please explain what happened[ ]  Yes – as a supplier:Please explain what happened[ ]  Yes – as an organisation in the supply chain: Please explain what happened |
| 2.8. Has the organisation withdrawn from a contract prematurely during the last three years? | [ ]  No[ ]  Yes – as an awardee: Please explain what happened[ ]  Yes – as a supplier:Please explain what happened[ ]  Yes – as an organisation in the supply chain: Please explain what happened |
| 2.9. Has the organisation had to pay financial penalties or had payment deducted due to a failure to perform in accordance with contractual obligations in the last three years? | [ ]  No[ ]  Yes – as an awardee: Please explain what happened[ ]  Yes – as a supplier:Please explain what happened[ ]  Yes – as an organisation in the supply chain: Please explain what happened |

**Section 3: Professional and technical capacity**

| **Question** | **Response** |
| --- | --- |
| 3.1 Please provide details of **at least one** (preferably two) current or completed contracts that are similar in nature to the work the organisation will be doing under the Project Loughborough University, as the lead of the project 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 1Contract 2***Add others below if relevant***  |
| 3.2 Please provide the names of **up to 3** people who will be responsible for managing the delivery of services under this award.  | **N/A -- Individual consultant**Person 1Name and TitlePosition in organisationLength of service with the organisationHighest educational and/or professional qualification obtained: Person 2Name and TitlePosition in organisationLength of service with the organisationHighest educational and/or professional qualification obtained: Person 3Name and TitlePosition in organisationLength of service with the organisationHighest educational and/or professional qualification obtained:  |
| 3.3 Please explain what quality assurance, processes the organisation has in place to ensure the work under this contract/award will be delivered to a high standard.  | **N/A** |

**Section 4: Equality**

| **Question** | **Response** |
| --- | --- |
| 4.1 Does the organisation, as an employer, comply with all statutory obligations to staff and applicants for employment under national equality legislation?  | [ ]  Yes [ ]  NoN/A |
| **The following sections are split into two – please choose the most appropriate section for the organisation** **Section 4A – for organisations with a written equality policy or equivalent** **Section 4B – for organisations without a written equality policy or equivalent**  |
| **4A - for organisations with a written equality policy or equivalent**[ ]  Policy/equivalent document attached Title of document: ……………………….. |
| 4.2 Does the policy or equivalent document 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 document is communicated to staff
6. It covers both employees and service users
 | If yes, note the page number where this item is included in the policy/ equivalent document. If not please explain why the item is not included. [ ]  Yes: On page number ………. [ ]  No: please explain why [ ]  Yes: On page number ………. [ ]  No: please explain why[ ]  Yes: On page number ………. [ ]  No: please explain why[ ]  Yes: On page number ………. [ ]  No: please explain why[ ]  Yes: On page number ………. [ ]  No: please explain why[ ]  Yes: On page number ………. [ ]  No: please explain why |
| 4.3 How is the policy/ equivalent document implemented in your organisation’s recruitment practices? (e.g. do staff responsible for recruitment receive additional, focused or special training? - please specify content of any training provided and mode of training e.g. face to face, online etc).  |  |
| 4.4 Does the organisation work with volunteers or temporary/casual staff in any capacity (e.g. survey enumerators).  | [ ]  Yes: Please describe the equality training the organisation provides for these staff to protect themselves and the people they interact with.[ ]  No volunteers/casual staff  |
| **4B - for organisations without a written equality policy or equivalent** |
| 4.2 Please explain how the organisation ensures equality within hiring and staff management practices. All points (a- e) must be addressed.  | 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. Do these statements on equality (a-c) cover both employees and services users?

[ ]  Yes: both [ ]  Only staff: Please explain why they do not cover service users/partners/people the organisation interacts with 1. The senior staff member responsible for overseeing equality is (provide name/position)……….
 |
| 4.3 How are staff made aware of the organisation’s position on equality (Please specify content of any training provided and mode of training e.g. face to face, online etc).  |  |
| 4.4 Does the organisation work with volunteers or temporary/casual staff in any capacity (e.g. survey enumerators).  | [ ]  Yes: Please describe the equality training the organisation provides for these staff to protect themselves and the people they interact with.[ ]  No volunteers/casual staff |

**Section 5: Procurement and asset management**

| **Question** | **Response** |
| --- | --- |
| 5.1 Does the organisation have guidelines/a policy/a set of instructions for procurement that are available to all staff?  | [ ]  Yes, document attached  Title of document: ………………………..[ ]  No: Please explain how the organisation ensures procurement is completed transparently and rigorously. N/A |
| 5.2 Does the organisation solicit competitive bids for major procurements?(In the UK a major procurement is £50,000 or above)  | [ ]  N/A Yes [ ]  No: please explain why  |
| 5.3 Does the organisation have threshold amounts for obtaining multiple bids or quotes? (e.g. single source for a contract value under £10,000; 3 quotes for a contract value under £25,000 etc.)  | N/A[ ]  Yes [ ]  No: please explain why |
| 5.4 Is an assets register maintained?(An asset register records all the assets your organisation has, this could be IT equipment, software, machinery, prototypes etc etc)  | N/A[ ]  Yes: Updated every ………. weeks/months/years *(delete as appropriate)*Last physical inventory of assets was (date)………………………………….[ ]  No asset register: Please explain why Because I am an individual consultant |
| 5.5 Please explain how the organisation will protect project assets (e.g. any assets bought through the award/contract).  | N/A |

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

| **Question** | **Response** |
| --- | --- |
| 6.1 Does the organisation confirm compliance with all national legislation, regulations, rules, policies and procedures affecting the organisation and its activities?   | [ ]  **Yes** [ ]  No: please explain why it does not confirm compliance with all national legislation, regulations, rules, policies and procedures affecting the organisation and its activities.  |
| 6.2 Please explain how the organisation ensures compliance and remains updated with all national legislation, regulations, rules, policies and procedures (e.g. who is responsible for ensuring compliance, retention of legal counsel etc)  | N/A |
| 6.3 Does the organisation have a policy/statement or equivalent document on anti-corruption and anti-bribery?It should address the following; 1. Anti-corruption
2. Enforcement of the anti-corruption policy
3. Anti-bribery
4. Enforcement of the anti-bribery policy
 | [ ]  N/A Yes Title of document……………………………….[ ]  Document attached 1. Anti-corruption is referred to on page number ……
2. Enforcement of the anti-corruption policy is referred to on page number…….
3. Anti-bribery is referred to on page number……
4. Enforcement of the anti-bribery policy is referred to on page number…….

[ ]  No: please explain why there is no document on anti-corruption and bribery.  |
| 6.4 Do staff receive training on the anti-bribery and anti-corruption measures in place? ((Please specify content of any training provided and mode of training e.g. face to face, online etc).  | [ ]  N/A Yes: type of training ………………………………[ ]  No: please explain why there is no training  |
| 6.5 Is the organisation linked to any political activity?  | [ ]  N/A Yes: please explain the nature of this activity[ ]  No |

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

|  |  |
| --- | --- |
| **Question** | **Response** |
| 7.1 Does the organisation have a policy/statement/guidelines on good data management?  | [ ]  N/A Yes, document attached Title of document………………………………[ ]  No: please explain why |
| 7.2 Do staff receive training on good data management? (Please specify content of any training provided and mode of training e.g. face to face, online etc). | [ ]  N/A Yes: type of training ………………………………[ ]  No: please explain why  |
| 7.3 Please explain the systems and processes used to keep data held by the organisation secure, especially if the data is confidential and/or sensitive.  | N/A |
| 7.4 Does the organisation provide, transfer or sell data to third parties for any reason?  | N/A[ ]  No[ ]  Yes: please provide further explanation  |

**Section C: Safeguarding**

**Principles of Safeguarding**

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

* 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.
* All people shall be treated equally, irrespective of race, gender, religion/or not, sexual orientation or disability
* Everyone has the responsibility for safeguarding
* 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.

**Section 1: Safeguarding processes and procedures**

| **Question** | **Response** |
| --- | --- |
| **The following sections are split into two – please choose the most appropriate section for the organisation** **Section 1A – for organisations with a written safeguarding policy or equivalent (e.g. if safeguarding is covered in a staff handbook, manual, guidelines, code of conduct etc).** **Section 1B – for organisations without a written safeguarding policy or equivalent**  |
| **1A - for organisations with a written safeguarding policy or equivalent** **(e.g. if safeguarding is covered in a staff handbook, manual, guidelines, code of conduct etc).**[ ]  Policy/equivalent document attached Title of document: ………………………..Who is the designated safeguarding officer or focal point for safeguarding issues? Name:Position:Email: |
| 1.1 Does the policy or equivalent document address the following;  | Commitment to safeguarding: [ ]  Yes: On page number ………. [ ]  No: please explain why Zero-tolerance[ ]  Yes: On page number ………. [ ]  No: please explain why Bullying and harassment[ ]  Yes: On page number ………. [ ]  No: please explain why Sexual exploitation[ ]  Yes: On page number ………. [ ]  No: please explain why Sexual abuse [ ]  Yes: On page number ………. [ ]  No: please explain why Record keeping on safeguarding issues[ ]  Yes: On page number ………. [ ]  No: please explain why Disciplinary procedures for safeguarding incidents[ ]  Yes: On page number ………. [ ]  No: please explain why Referral mechanism [ ]  Yes: On page number ………. [ ]  No: please explain why  |
| 1.2 How is training for staff, including volunteers and temporary or casual workers, provided on the safeguarding policy or equivalent document. (Please specify content of any training provided and mode of training e.g. face to face, online etc).  |  |
| 1.3 Through the activities under this award/contract, are you going to be working with children or vulnerable adults?A child is defined as anyone below 18 years of age, regardless of national definitions. Vulnerable adults include those with disabilities (physical and learning), those in a position of weakness e.g. a female headed household, prisoners, refugees, minorities etc | **Children (below 18 years of age):**[ ]  Yes:Attach a copy of the safeguarding policy for working with children [ ]  No **Vulnerable adults:**[ ]  Yes**:** Attach a copy of the safeguarding policy for working with vulnerable adults [ ]  No If the organisation is going to be working with children, vulnerable adults or both as part of this award/contract and no policy is available the organisation is required to submit a separate statement outlining in detail how the children and/or vulnerable adults will be protected from any kind of harm (physical, mental, psychological, sexual, harassment, intimidation etc)  |
| 1.4 If the organisation is going to be working with children and/or 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). | [ ]  Not applicable [ ]  Yes – all staff vetted: Please explain the process followed [ ]  No – only some staff vetted: Please explain why only some staff are vetted [ ]  No staff vetted: Please explain why no staff are vetted  |
| 1.5 If the organisation is going to be working with children and/or vulnerable people in order to deliver this award/contract have all the staff involved received training on working with children/vulnerable adults? | [ ]  Not applicable[ ]  Yes - All staff trained: please explain the training received [ ]  No – only some staff trained: Please explain why only some staff are trained[ ]  No training given: Please explain why no staff are trained |
| **1B - for organisations without a written safeguarding policy or equivalent** |
| 1.1 Please explain how the organisation ensures staff and the people it works with are protected from harm through a commitment to the following statements. All points (a- g) must be addressed. | (a) Commitment to safeguarding(b) Commitment to **a** Zero-tolerance approach to any form of bullying, harassment or sexual exploitation (c) Commitment to a safe environment free from bullying and harassment(d) Commitment to a safe environment free from sexual harassment, exploitation or abuse(e) Referral mechanism for staff or those outside the organisation to raise concerns on safeguarding issues (f) Record keeping on safeguarding issues(g) Disciplinary procedures for safeguarding incidents |
| 1.2 How does the organisation make staff, including volunteers and temporary or casual workers, aware of the organisation’s position on safeguarding? (training completed - specify content and mode e.g. through a code of conduct etc). |   |
| 1.3 Through the activities under this award/contract, are you going to be working with children or vulnerable adults?A child is defined as anyone below 18 years of age, regardless of national definitions. Vulnerable adults include those with disabilities (physical and learning), those in a position of weakness e.g. a female headed household, prisoners, refugees, minorities etc | **Children (below 18 years of age):**[ ]  Yes:attach a copy of the safeguarding policy for working with children [ ]  No **Vulnerable adults:**[ ]  Yes: attach a copy of the safeguarding policy for working with vulnerable adults [ ]  No If the organisation is going to be working with children, vulnerable adults or both as part of this award/contract and no policy is available the organisation is required to submit a separate statement outlining in detail how the children and/or vulnerable adults will be protected from any kind of harm (physical, mental, psychological, sexual, harassment, intimidation etc)  |
| 1.4 If the organization is going to be working with children and/or 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). | [ ]  Not applicable [ ]  Yes – all staff vetted: Please explain the process followed [ ]  No – only some staff vetted: Please explain why only some staff are vetted [ ]  No staff vetted: Please explain why no staff are vetted  |
| 1.5 If the organisation is going to be working with children and/or vulnerable people in order to deliver this award/contract have all the staff involved received training on working with children/vulnerable adults? | [ ]  Not applicable[ ]  Yes - All staff trained: please explain the training received [ ]  No – only some staff trained: Please explain why only some staff are trained[ ]  No training given: Please explain why no staff are trained |

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

|  |  |
| --- | --- |
| **Question** | **Response** |
| 2.1 Does the organisation have a whistleblowing process in place?  |  [ ]  Yes: ***Please attach a copy*** Name of document……………………………………. [ ]  No: Please provide an explanation on; 1. How the organisation ensures that whistle blowers are protected within the organisation
2. What the processes are for dealing with concerns raised by staff
3. What the timelines are for these processes
 |
| 2.2 How are staff provided training on your whistleblowing/complaints procedure? (Please describe content of the training and mode of training e.g. face-to-face, online etc).  | [ ]  No whistleblowing/complaints procedure of any kind  [ ]  Yes: (Please describe content of the training and mode of training e.g. face-to-face, online etc).[ ]  No training provided but procedure exists: Please explain why |

**Section 3: Risk management**

| **Question** | **Response** |
| --- | --- |
| 3.1 Does the organisation keep a risk register? (for any risk associated with delivering core activities/services) | [ ]  Yes: List the risk categories included in the register (e.g. financial, reputational, technical, operational etc etc); [ ]  No: Please explain why there is no risk register |
| 3.2 Does the organisation’s risk register include safeguarding risks?  | [ ]  Yes [ ]  No –it does not include safeguarding risks: Please explain how the risks associated with safeguarding are monitored and tracked[ ]  No – there is no risk management process or framework |
| 3.3 Who has senior oversight of the risk register?  | Name:Position in Organisation: |
| 3.4 Are downstream partners/sub-contractors required to submit a risk register or risk assessment as part of the contracting process?  | [ ]  Yes [ ]  No: Please explain why  |

**Section 4: Code of conduct**

| **Question** | **Response** |
| --- | --- |
| 4.1 Does the organisation have a clear code of conduct for staff (paid, voluntary, temporary or casual) that sets out clear expectations of behaviours, inside and outside the workplace? | [ ]  Yes: ***Please attach a copy*** [ ]  No: Please explain why and explain how expectations on behaviour are communicated to staff.  |
| 4.2 Does the code of conduct include what will happen in the event of a breach of the code?  | [ ]  No code of conduct [ ]  Yes: on page…..[ ]  No: Please explain why it does not state what will happen in the event of a breach of the code.  |
| 4.3 Does the code of conduct prioritise the wellbeing of and care of all people, including all the people the organisation works/interacts with? | [ ]  No code of conduct [ ]  Yes: on page…..[ ]  No: Please explain why is does not prioritise the wellbeing of all people  |
| 4.4 Are all staff (paid or voluntary) provided with training on the code of conduct as part of their induction to their role? | [ ]  No code of conduct [ ]  Yes: Please describe content of the training and mode of training e.g. face-to-face, online etc.[ ]  No: Please explain why there is no training |
| 4.5 Are the organisations policies and practices for the management of downstream partners/sub-contractors and affiliates aligned to the code of conduct?  | [ ]  No code of conduct [ ]  Yes [ ]  No: Please explain why they are not aligned to management of downstream partners/sub-contractors.  |

**Section 5: Governance and accountability**

| **Question** | **Response** |
| --- | --- |
| 5.1 Is the organisation going to be working/interacting with people who are external to the organisation, it’s sub-contractors or suppliers? (e.g. through research, piloting, service provision etc)  | [ ]  Yes: Please identify the types of people the organisation will be working with; **Answer Q 5.2 & 5.3** [ ]  No – all work will be internal to the organisation, it’s sub-contractors or suppliers (**Move to declaration at end of document)**  |
| 5.2 How are the people identified under Q5.1 able to feedback on the quality of the work/services/activities completed by the organisation?  | Feedback is possible via…….If feedback is not possible please explain why ….. |
| 5.3 Are the people identified under Q5.1 able to shape the organisations planned activities/processes/approaches under this contract/award?(e.g. through the co-design of the approach to be used or via a representative committee)  | [ ]  Yes: please explain how[ ]  No: please explain why not  |

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

**Name:**

**Position in organisation: Individual Consultant**

**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 (electronic acceptable):

Name:

Position: Individual Consultant

**Date:**

***Have you attached the following documents?***

|  |  |  |
| --- | --- | --- |
| **Document** | Yes | No (please explain why) |
| Organisation registration document |  |  |
| 1 of the following;* Audited accounts for the most recent two years
* Statement of turnover, profit & loss account and cash flow for the most recent year of trading
* Statement of 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
 |  |  |
|  |  |
|  |  |
|  |  |
| Insurance certificates |  |  |
| Equality policy (or equivalent) |  |  |
| Anti-corruption and anti-bribery policy/statements |  |  |
| Data management policy (or equivalent) |  |  |
| Safeguarding policy/statement (or equivalent) |  |  |
| Working with children and/or vulnerable adults *(if required due to nature of work proposed)* |  |  |
| Whistleblowing/complaints/concerns procedure |  |  |
| Code of Conduct  |  |  |