

Attachment A: Forms that may be required prior to contracting selected teams

Due Diligence Questionnaire

This Due Diligence Questionnaire is required to assist Oxford Policy Management Ltd when considering your capability to perform any subsequent contract.

- You are required to complete all sections and answer all questions in English as accurately as possible.
- OPM will not reimburse any costs incurred by bidders in connection with the preparation and submission of their responses.
- Failure to provide the required information or any of the supporting documentation may result in rejection.
- A copy of your completed Due Diligence Questionnaire, together with all supporting documentation, will form part of any resulting contract with OPM.

ORGANISATION DETAILS

Organisation Contact

Organisation Name:	
Registered address of Organisation:	
Trading address of Organisation:	
Telephone No:	
Website:	
Full Names and titles of all Directors (including middle name if any): <i>(e.g. MD, Chairman, Organisation Secretary)</i>	

Details of Oxford Policy Management's main point of contact

Name:	
Position:	
Telephone No:	
Email address:	

Registration in country of domicile.

Copies of Registration Certificates enclosed?	YES <input type="checkbox"/> /NO <input type="checkbox"/> If your answer is No, explain reasons why and provide details of date of formation, Organisation registration number and country of registration.
Local Tax Registration Certificate enclosed?	YES <input type="checkbox"/> /NO <input type="checkbox"/> If your answer is No, explain reasons why and provide details of Tax Registration numbers.

Organisation's total number of full time employees.

Total number of permanent (full time) employees:

FINANCIAL STANDING

Please provide the following financial information as an attachment to your completed Supplier Due Diligence Questionnaire:

- a) Copies of your Organisation's audited accounts for the last three financial years or,
- b) If your Organisation's accounts for the last three financial years are unaudited because there is no legal or regulatory requirement for your Organisation's accounts to be audited, please provide copies of your accounts signed by two of your directors for the last three financial years.

If you have not or cannot provide any of the above please give an explanatory statement:

LITIGATION AND INVESTIGATIONS

Is there in your home country or elsewhere currently any pending or threatened material litigation or other proceedings connected with your Organisation, its directors, officers or 10% shareholders?

Yes /No

If you have answered "Yes" to question 3.1 please give an explanatory statement:

ETHICAL HISTORY

In the last ten years has your Organisation or have any directors, officers, 10%+ shareholders or owners of your Organisation, or any of its associated companies:

- 4.1a) ever been bankrupt, insolvent, and unable to pay his or its debts, sought protection from his or its creditors, been wound-up or compulsorily dissolved by any court or tribunal or been involved in any proceedings?
 Yes No
- 4.1b) ever been convicted of a criminal offence in any country related to fraud, theft, bribery, corruption, money laundering, human rights violations (including anything related to the abuse of children), anti-competitive or other unlawful or unethical behaviour?
 Yes No
- 4.1c) entered into any deferred prosecution agreement, settlement, resolution agreement or similar arrangement with any law enforcement, prosecutorial or regulatory agency or body relating to investigations or allegations of fraud, theft, bribery, corruption, money laundering, human rights violations, anti-competitive or other unlawful or unethical, behaviour?
 Yes No

- 4.1d) ever failed to pay taxes that were due?
 Yes No
- 4.1e) ever been listed by any country or organisation as being involved in terrorist or money-laundering activities?
 Yes No
- 4.1f) ever received or been the subject of allegations or press/media reports of misconduct including fraud, theft, bribery, corruption, money laundering, human rights violations, anti-competitive behaviour (including) bid-rigging, cartels, collusion or coercion), damage to the environment, health or safety of employees or employment or abuse of children?
 Yes No
- 4.1g) ever voluntarily disclosed to any regulatory and/or law enforcement agency any activity that may constitute bribery, money-laundering, fraud, or another criminal offence involving fraud, corruption or unethical behaviour?
 Yes No
- 4.1h) ever had cancelled or revoked or failed to hold any licence or membership of an organisation required by law?
 Yes No
- 7.3.4.2** Are any directors, officers or 10%+ shareholders of your Organisation, or any of its associated companies an employee or official in any state owned entity or public international organisation?
 Yes No
- 7.3.4.3** Is your Organisation or any director, officer or 10%+ shareholder of your Organisation, or any of its associated companies, currently sanctioned by, barred or suspended from doing business with any government, national or public international organisation including any multilateral development bank?
 Yes No

If you have answered “Yes” to any of questions 4.1 to 4.3 please give an explanatory statement:

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<p>7.3.4.4 Do your directors and employees refuse to</p> <ul style="list-style-type: none"> • <i>authorise</i> • <i>consent to</i> • <i>Ignore</i> <p>any unlawful or corrupt behaviours, whether bribery, extortion, fraud, deception, collusion, bid-rigging, cartels, abuse of power, embezzlement, money laundering or similar activity?</p>	<p>Yes <input type="checkbox"/>/No <input type="checkbox"/></p> <p>If you state No, please explain your reasons in full</p>
<p>All bidders should be aware that it is a mandatory requirement that the successful bidder adopts and complies with OPM Anti-Bribery Policy.</p>	

DECLARATION

I certify that, to the best of my knowledge, information and belief, after having made due and careful enquiries, that the above declaration and all information that has been supplied with this questionnaire is correct, complete and not misleading. I understand that false or misleading information could result in the Organisation’s exclusion from any procurement exercise undertaken by Crown Agents. I understand that Crown Agents may carry out independent validation checks to verify the information contained in this questionnaire.

Name of Organisation			
Full Name of signatory		Title /Position	
Signature		Date	