

# Due Diligence Preliminary Partner Statement

## 1 Instructions

Tenderers/prospective grantees/sub-contractors must complete the Due Diligence Preliminary Statement as part of the Request for Tender (RFT)/Request for Proposal (RFP). This provides DT Global with an initial partner risk profile but is not part of the tender/proposal evaluation scoring.

The **preferred tenderer/grantee** will be required to complete a Due Diligence Assessment **before** a contract/grant agreement is signed. This must be supported by evidence that DT Global can verify.

The [Due Diligence Assessment](#) template should be included in the tender/proposal package for information only. It is used to form a risk assessment of the successful partner and, where necessary, to build additional safeguards into the activity agreement and implementation.

## 2 Details

Name of organisation			
Registration #		Country of registration	

## 3 Due Diligence Baseline Criteria: Preliminary Partner Statement

Due Diligence Criteria and Questions	Proposed Partner Response	
	Yes/No	List of evidence that may be checked if notified as preferred partner; or a brief statement if required
<b>1. Entity Details</b>		
The proposed partner confirms it is a legal entity.	Choose an item.	e.g. registration certificate and number; legal entity structure; board minutes; bank details.
<b>2. Past Performance</b>		
The proposed partner can demonstrate relevant past performance with good performance outcomes.	Choose an item.	e.g. list of previous relevant projects; annual reports; client performance assessment reports. It is expected the supplier will include comprehensive information in their proposal, so only brief information is required here.
<b>3. Fraud Control/Anti-Corruption</b>		
The proposed partner confirms it has measures in place to deal with the risk of fraud, bribery and corruption.	Choose an item.	e.g. fraud/ant-corruption policies, procedures and tools; financial policies; induction and training programs; conflict of interest policies and/or registers.

Due Diligence Criteria and Questions	Proposed Partner Response	
	Yes/No	List of evidence that may be checked if notified as preferred partner; or a brief statement if required
The proposed partner confirms it is willing to adhere to DT Global's fraud and anti-bribery policies.	Choose an item.	Note these can be made available upon request.
sThe proposed partner confirms it is not currently, nor has been over the last two years, the subject of a fraud or corruption related investigation by external parties (external parties may include national authorities including police, multilateral organisations and other donors or implementing partners).	Choose an item.	If the subject of a recent such investigation, include a brief statement on details.
<b>4. Sanctions List/Counter-Terrorism</b>		
The proposed partner confirms it (or any subsidiary or parent entity), nor any of its personnel, are not included on any national or international sanctions list (including but not limited to <a href="#">UKPTO</a> ; <a href="#">World Bank List</a> ; <a href="#">ADB Sanctions List</a> ; <a href="#">Australian National Security website</a> ; <a href="#">DFAT's consolidated list</a> ; <a href="#">UK's Proscribed Terrorist Organisations</a> ).	Choose an item.	If Yes to any, include a brief statement on details.
<b>5. Integrity Systems</b>		
The proposed partner confirms it has integrity systems in place to recruit/procure staff and suppliers that are qualified and of good character. This includes undertaking due diligence of its suppliers/contractors.	Choose an item.	e.g. recruitment and procurement policies and procedures; conflict of interest policies, criminal record checks.
The proposed partner confirms it has processes in place to ensure staff and any proposed partners are appropriately trained and performance managed.	Choose an item.	e.g. Code of Conduct; training programs; performance management policies and procedures; grievance procedure; whistle-blower policy.
<b>6. Child Protection</b>		
The proposed partner confirms it has policies and procedures in place to deal with the risk of child exploitation and abuse.	Choose an item.	e.g. child protection policy and procedures; Code of Conduct; child protection risk assessments.
The proposed partner confirms it is willing to adhere to DT Global's Child Protection Policy and Procedures.	Choose an item.	Note these can be made available upon request.
<b>7. Safeguarding, including Preventing Sexual Exploitation, Abuse and Harassment</b>		
The proposed partner confirms it has policies and procedures in place to deal with the risk of sexual exploitation, abuse and harassment.	Choose an item.	e.g. preventing sexual exploitation, abuse and harassment policy and procedures; Code of Conduct; sexual exploitation risk assessments.
The proposed partner confirms it is willing to adhere to DT Global's Preventing Sexual Exploitation, Abuse and Harassment Policy and Procedures.	Choose an item.	Note these can be made available upon request.
<b>8. Security Arrangements</b>		
The proposed partner confirms it has policies and procedures in place to manage security risks associated with its operations and will be responsible for the security arrangements of staff and suppliers/sub grantees within its control.	Choose an item.	e.g. security plan or procedures; subscriptions to travel/security provider/alerts.
The proposed partner confirms it is willing to adhere to DT Global's security policies, procedures and directions relevant to the activity.	Choose an item.	Note these can be made available upon request.

Due Diligence Criteria and Questions	Proposed Partner Response	
	Yes/No	List of evidence that may be checked if notified as preferred partner; or a brief statement if required
<b>9. Work Health and Safety</b>		
The proposed partner confirms it has policies and procedures in place to manage the health and safety risks associated with its operations and will be responsible for the health and safety of its staff and suppliers/sub grantees within its control.	Choose an item.	e.g. health and safety policies and procedures; relevant risk assessments; health and safety plans; workers compensation insurance policy; travel/medical insurance policies.
The proposed partner confirms it complies with the health and safety laws in the jurisdiction it is working in, and will comply with all relevant health and safety laws in the jurisdiction of this activity.	Choose an item.	e.g. Legal register; workers compensation policy.
The proposed partner confirms it is willing to adhere to DT Global's health and safety policies and procedures and will provide all reasonable assistance in any health and safety review or investigation.	Choose an item.	Note these can be made available upon request.
The proposed partner confirms it will take out all relevant insurances to cover its obligations if it is the preferred partner.	Choose an item.	e.g. certificates of currency for professional indemnity, public liability, workers compensation insurance, travel/medical insurance.

## 4 Declaration

I \_\_\_\_\_ **[print name]** \_\_\_\_\_ **[print position title]** declare the following:

I am duly authorised to provide this information on behalf of \_\_\_\_\_ **[print organisation name]** and the information provided is true and correct.

<b>Name and Position</b>	<b>Signature</b>	<b>Date</b>