

Positive People and Hopeful Families are funded by the European Social Fund and the National Lottery Community Fund

Pluss is part of the Pluss Group

**Due Diligence Checklist**

Specialist Intervention Provider –

Providers under £500k Turnover (or)
under 50 Employees

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| **Version Control** |
| **Document** | Intervention Specialist Supply Chain Partner Due Diligence |
| **Owner** | Stuart Canning |
| **Version** | V2 |
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| **Update Log****SC Issued for review by stakeholders** | **07/01/19** |
| **All Comments received and signed off** |  |

**Introduction**

Please find below a minimum requirements questionnaire for Pluss’s Due Diligence (DD) process. This will assist us to commence implementation and delivery without undue delay, whilst also ensuring that the minimum requirements for DD have been met. This DD process is specific to Specialist Training providers and Procurement “Spot” purchases only. Specialist Training providers are those which will deliver services for certain qualifications or counting towards certain qualifications but do not require the subcontractor to provide a service which takes a participant of Pluss from the beginning of their journey under our Prime contract, to the end of that journey.

**Process**

The prospective subcontractor is required to complete this form to the best of their ability. Pluss will be available to support you throughout the process with any queries or points of clarification you may have via our nominated representative. Once complete, please sign and submit your application along with all required policies / documentation attached. Pluss will review and commit to responding to you within 5 working days of receipt of all documentation to advise of any queries or confirm that you have passed DD and can move onto the contracting phased with Pluss.

Should you not be successful in passing the DD, then Pluss will provide you with a written explanation of the reasons why and what steps must be taken to pass Pluss DD going forward.

Once you have completed DD, we will issue you with a contract for services which you will have the opportunity to review. Once you have reviewed the contract and you are satisfied with the content therein, this should be returned to your nominated Pluss representative.

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| **Partner name, registered address, company registration number, name of key contact, key contact email address, key contact phone number**  | **Contract applied for** |
| <insert > | <insert name of lead contract Partner is applying to work under> |

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| 1. **Health & Safety**
 |  |
| **Requirement** | **Yes** | **No** | **Comments** | **(For Pluss use only)****Signed off by** |
| 1. Do you have current Employer and Public liability insurance and driving instructor insurance if relevant?
 |  |  | *Please provide policy numbers, insurers, level of cover and expiry dates* | Commercial |
| 1. Have you had, or are aware of any pending, health and safety reportable accidents, fines or enforcements in the last 3 years?
 |  |  | *Please give details (RIDDOR, HSE fee for intervention etc)* | Business Development if answer = noGRA if detail of any issue identified |
| 1. **Information Security**
 |  |
| **Requirement** | **Yes** | **No** | **Comments** |  |
| 1. Do you have an Information Security/Data Protection policy that is regularly reviewed and has been updated in line with GDPR?
 |  |  | *If no, please see attached data processing agreement for requirements under current legislation. If yes, please give details of last review date and next planned review date* | GRA |
| 1. **Environmental Sustainability**
 |  |
| **Requirement** | **Yes** | **No** | **Comments** |  |
| 1. Have you had, or are aware of any pending, environmental reportable breaches, fines or enforcements in the last 3 years?
 |  |  | *please give details (Environment Agency, local authority etc)* | Business Development if answer = noGRA if detail of any issue identified |
| 1. **Finance & Legal**
 |  |
| **Requirement** | **Yes** | **No** | **Comments** |  |
| 1. Has your organisation or any of its directors/partners, proprietors or senior managers ever been convicted of any offences related to fraud?
 |  |  | *If Yes, please provide details* | Business Development if answer = NoIf answer = yes, then Commercial |
| 1. Has your organisation or any of its directors/partners, proprietors or senior managers ever been found guilty of grave professional misconduct?
 |  |  | *If Yes, please provide details* | Business Development if answer = NoIf answer = yes, then Commercial |
| 1. Is your organisation 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 or where its business activities are suspended for any reason?
 |  |  | *If so, please provide details* | Business Development if answer = NoIf answer = yes, then Finance |
| 1. Do you currently have any outstanding Country Court Judgement cases outstanding against your organisation or have you been subject to any such judgements in the last 3 years?
 |  |  | *If so, please provide details* | Business Development if answer = NoIf answer = yes, then Finance |
| 1. Please identify any potential conflict of interest you or any of your Directors may have in working with Pluss/Pluss Pluss
 |  |  |  | Commercial |
| 1. Please provide details of any contract termination occurrences in the last three years.
 |  |  |  | Commercial |
| 1. **Human Resources**
 |  |
| **Requirement** | **Yes** | **No** | **Comments** |  |
| 1. Do you check all your employees for their right to work in the UK?
 |  |  | *Please confirm that all staff are checked, and a brief description of the process involved* | HR |
| 1. Do you ensure that all your employees have the right qualifications for their roles?
 |  |  | *Please confirm that you ensure that all staff are suitably qualified for their roles and give brief details on how this is ensured. If you have already discussed any specific delivery requirements with Pluss, then any information on staff you are proposing to use would be useful at this stage* | HR |
| 1. **Assurance**
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| **Requirement** | **Yes** | **No** | **Comments** | **(For Pluss use only)****Signed off by** |
| 1. Please provide a copy of your organisations:
 |
| 1. Prevent Policy
 |  |  | *Note: If you do not have a prevent policy you agree to work to the Pluss Prevent policy* |  Group Prevent Lead |
| 1. Health and Safety Policy
 |  |  | Note: (if you have fewer than 5 employees this does not need to be written down and doesn’t need to be provided to Pluss Pluss, by ticking “yes you are certifying this is in place and provide a copy”.) | GRA |
| 1. Safeguarding Policy
 |  |  | Note: (if you have fewer than 5 employees this does not need to be written down and doesn’t need to be provided to Pluss, by ticking “yes you are certifying this is in place and provide a copy”.) |  Group Safeguarding Lead |
| 1. Data Protection/ Information Security Policy
 |  |  | Note; if you do not have a Data Protection. Information Security Policy the please confirm you will adhere to the Information Sharing Agreement submitted at the BBO tender of the Specialist Framework.Confirm Adherence and signature of the Information Sharing Agreement: Yes/No  | GRA |
| 1. Please confirm you have the following policies available upon request;
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| 1. Complaints Policy and Procedure (including details of any outstanding complaints from stakeholders)
 |  |  |  | Site Visit |
| 1. Bullying and Harassment Policy
 |  |  |  | Site Visit |
| As a Partner, in submitting this document, you are confirming all policies provided are current and will be updated and submitted at appropriate timescales during your contracted period with Pluss. In Addition, any legislative polices not included in this form will be adhered to by your organisation.  |
| **H. Operational Delivery** |
| **Requirement** | **Yes** | **No** | **Comments** | **(For Pluss use only)****Signed off by** |
| 1. Please provide details of any contract termination occurrences in the last three years.
 |  |  |  | Commercial |
| 1. Please provide details of any contract breach occurrences in the last three years.
 |  |  |  | Commercial |

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| **I. Any other Information** |
| *Please include any other information which may be relevant or beneficial to the Due Diligence Process in this box**E.g. do you hold any ISO accreditations, Merlin, IIP etc.* |

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| **J. Declaration** |
| **I confirm on behalf of my organisation that I am authorised to agree this declaration and to my knowledge all the answers detailed in each completed section of this application form are true and accurate**. **Name:****Job Title:****Date:** |