****

**Multiply Programme**

**Due Diligence Questionnaire and Declaration Form**

**Organisation Name:**

For compliance and value for money purposes, NTCA undertakes a rigorous due diligence process that is reasonable and proportionate to the value of funding awarded. Funding can only be provided to financially sound and compliant organisations. NTCA reserves the right to reject an application in its entirety if there is a failure to answer all the relevant questions fully, or if false/misleading information or content is provided in any section of this questionnaire.

The following information is required:

|  |  |
| --- | --- |
| **Lead Organisation Name (Full organisational name):**  |  |
| **Registration Number:** |  |

| **Financial Statements / Accounts**  | **Yes / No (double click on boxes and select checked)** |
| --- | --- |
| Are you able to provide 3 Years full filled accounts to include Profit & Loss, Balance Sheet and Notes to the accounts, if requested? | Yes **[ ]** No **[ ]**  |
| If trading for less than 3 years, full filled accounts to include Profit & Loss, Balance Sheet and Notes to the accounts for years trading years together with monthly management accounts for the current accounting period.  | Yes **[ ]** No **[ ]**  |
| For new start-ups, full business plan including 3 years cash flow and assumptions. | Yes **[ ]** No **[ ]**  |

| **Business Criteria** | **Yes / No** |
| --- | --- |
| Have any of your directors/partners ever been disqualified from being a company director under the Company Directors Disqualification Act (1986) or ever been the proprietor, partner or director of a business that has been subject to an investigation (completed, current of pending) undertaken under the Companies, Financial Services or Banking Acts? | Yes **[ ]** No **[ ]**  |
| Have any of your directors/partners ever been declared bankrupt or been subjected to an arrangement with creditors or ever been the proprietor, partner of director of a business subject to any formal insolvency procedure such as receivership, liquidation, or administration, or subject to any arrangement with its creditors? | Yes **[ ]** No **[ ]**  |
| Have any of your directors/partners ever been the proprietor, partner or director of a business that has been requested to repay a grant under any government scheme? | Yes **[ ]** No **[ ]**  |
| Please self-certify whether you already have, or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated below: Employer’s (Compulsory) Liability Insurance = **£ 5 Million**Public Liability Insurance = **£ 5 Million**Professional Indemnity Insurance = **£ 1 Million**\*It is a legal requirement that all companies hold Employer’s (Compulsory) Liability Insurance of £5 million as a minimum. Please note this requirement is not applicable to Sole Traders. | Yes **[ ]** No **[ ]**  |
| Please confirm that you have a Business Continuity Plan? | Yes **[ ]** No **[ ]**  |
| Are there any pending or known legal proceedings against the organisation? | Yes **[ ]** No **[ ]**  |
| Is your business a subsidiary of another organisation (parent) or does your company own part of another business, or does your company own another business? Does your company have direct or indirect control of the majority of voting rights and/or the ability to exercise a dominant influence over another, or vice versa? If yes to any of these questions, please provide details below including company names and registration numbers: | Yes **[ ]** No **[ ]**  |

|  |
| --- |
| **Modern Slavery Act 2015:** **Requirements under Modern Slavery Act 2015** |
| 1. Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")? | Yes **[ ]** No **[ ]**  |
| If you have answered yes to question 1 are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015?If you have answered Yes please provide relevant url: If you have answered No please provide an explanation:  | Yes **[ ]** No **[ ]**  |

|  |
| --- |
| **Compliance with Equality Legislation** |
| Please self-certify whether the bidding organisation comply with its legal obligations under the Equality Act 2010?NOTE TO ORGANISATION:It is the responsibility of the bidding organisation to keep up to date with relevant legislation and ensure it has a current understanding. | Yes **[ ]** No **[ ]**  |
| In the last three years, has any finding of unlawful discrimination been made against your organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or in comparable proceedings in any jurisdiction other than the UK)? | Yes **[ ]** No **[ ]**  |
| In the last three years, has your organisation had a complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors (or a comparable body in any jurisdiction other than the UK), on grounds of alleged unlawful discrimination?  | Yes **[ ]** No **[ ]**  |
| If you have answered “yes” to questions in this section, please provide, as a separate Appendix, a summary of the nature of the investigation and an explanation of the outcome of the investigation to date.If the investigation upheld the complaint against your organisation, please use the separate Appendix you have completed to explain what action (if any) you have taken to prevent unlawful discrimination from reoccurring.You may be excluded if you are unable to demonstrate to the Authority’s satisfaction that appropriate remedial action has been taken to prevent similar unlawful discrimination reoccurring.  |
| If you use sub-contractors, do you have processes in place to check whether any of the above circumstances apply to these other organisations?**Please note**: This question will be evaluated on a Pass or Fail basis. If you answer ‘No’ to this question the Contracting Authority reserves the right to disqualify the organisation from the process at this point in the evaluation.  | Yes **[ ]** No **[ ]**  |

|  |
| --- |
| **Health and Safety**  |
| Please self-certify that your organisation has a Health and Safety Policy that complies with current legislative requirements.**Please note**: This question will be evaluated on a Pass or Fail basis. If you answer ‘No’ to this question the Authority reserves the right to disqualify the organisation from the process at this point in the evaluation.  | Yes **[ ]** No **[ ]**  |
| Bidding organisations must: * Ensure that its entire workforce and subcontractors will comply with all relevant health and safety legislation as well as any requirements or instructions from the Authority.
* Have appointed a competent person with overall responsibility for health and safety that is duly authorised in the organisation.
* Have processes in place for the identification of training needs and delivery of training to its workforce appropriate to the work for which it is bidding.
* Have processes in place for the development of risk evaluations and method statements relevant to the nature of the work for which it is bidding that will identify, manage and mitigate associated risks and hazards.
* *(If it is an organisation with five or more employees)* have in place a written health and safety policy as required by Section 2(3) of the Health and Safety at Work etc Act 1974 and issue any codes of safe working practices to your workforce. This policy must provide details of the competent person or persons that have been appointed on behalf of the organisation to undertake the measures needed to comply with the requirements and prohibitions of the Management of Health and Safety at Work Regulations 1999.

The Authority may verify your compliance with the above requirements at any stage of the procurement process or during the life of the contract, by means of policy checking, validation of accreditations, site audits or any other method it deems appropriate.I confirm that the bidding organisation understands and agrees to the undertakings as described above.  | Yes **[ ]** No **[ ]**  |
| For further information on employers’ health and safety obligations, please visit the Health and Safety Executive website at: <http://www.hse.gov.uk/simple-health-safety/index.htm> |  |
| Has Your organisation or any of its Directors or Executive Officers been in receipt of enforcement/remedial orders in relation to the Health and Safety Executive (or equivalent body) in the last 3 years? If your answer to this question was “Yes”, please provide details in a separate Appendix of any enforcement / remedial orders served and give details of any remedial action or changes to procedures You have made as a result. The Authority will exclude bidder(s) that have been in receipt of enforcement / remedial action orders unless the bidder(s) can demonstrate to the Authority’s satisfaction that appropriate remedial action has been taken to prevent future occurrences or breaches.  | Yes **[ ]** No **[ ]**  |
| If you use sub-contractors, do you have processes in place to check whether any of the above circumstances apply to these other organisations?**Please note**: This question will be evaluated on a Pass or Fail basis. If you answer ‘No’ to this question the Contracting Authority reserves the right to disqualify the organisation from the process at this point in the evaluation.  | Yes **[ ]** No **[ ]**  |

|  |
| --- |
| **Safeguarding Policies and Procedures** |
| This question will be evaluated on the basis of Pass or Fail. The Bidding Organisation confirms that they have written policies and procedures in relation to safeguarding adults.In order to PASS this question you must have your own policies and procedures in relation to safeguarding adults. The Authority reserve the right to inspect these policies and procedures on contract award.  **Please note**: This question will be evaluated on a Pass or Fail basis. If you answer ‘No’ to this question the Authority reserves the right to disqualify the organisation from the process at this point in the evaluation.    | Yes **[ ]** No **[ ]**  |
| Do you provide training for staff regarding safeguarding issues? In order to PASS this question you must be able to evidence that staff have Safeguarding training as part of their induction and on-going training requirements. The Authority reserve the right to inspect this evidence on Grant award.**Please note**: This question will be evaluated on a Pass or Fail basis. If you answer ‘No’ to this question the Authority reserves the right to disqualify the organisation from the process at this point in the evaluation.  | Yes **[ ]** No **[ ]**  **(double click on boxes and select checked)** |
| Have all staff had appropriate DBS and check of the barring list prior to commencement of employment? An appropriate risk evaluation needs to be on file for any worker who has convictions noted on their DBS. Tick Yes or No**If NO,** please provide a written statement justifying the reasons for this. | Yes **[ ]** No **[ ]**  |

|  |
| --- |
| **Information Governance, Confidentiality Policies and Data Protection**  |
| The Bidding Organisation confirms that they have written policies and procedures around information governance including confidentiality policies and data protection. **If YES**, The Authority reserve the right to inspect these policies and procedures on contract award **If NO,** please provide a written statement justifying the reasons for this. | Yes **[ ]** No **[ ]**  |

|  |  |
| --- | --- |
| **Criteria for being awarded a Grant Funding Agreement** | **Response** |
| I/We confirm that the organisation delivering on this proposal will have a valid UK Provider Reference Number (UKPRN) by delivery commencement.If you already have a UKPRN number please provide here……………………………*(Please note a UKPRN must be obtained if successful in this application)* | [ ] Yes[ ]  No |

**Contact details and declaration**

I declare that to the best of my knowledge the answers submitted, and information contained in this document are correct and accurate.

I declare that, upon request and without delay I will provide the certificates or documentary evidence referred to in this document.

I understand that the information will be used in the selection process to evaluate my organisation’s suitability to be invited to participate further in this Grant application.

I understand that NTCA may reject this submission in its entirety if there is a failure to answer all the relevant questions fully, or if false/misleading information or content is provided in any section.

I am aware of the consequences of serious misrepresentation.

|  |
| --- |
| Contact details and declaration |
| Question | Response |
| Contact name |  |
| Name of organisation |  |
| Role in organisation |  |
| Phone number |  |
| E-mail address  |  |
| Postal address |  |
| Signature (electronic is acceptable) |  |
| Date |  |