Due diligence and referee checklist

Template

(Insert procurement activity and reference number)

|  |
| --- |
| **When to use this template**  This template can be used for the procurement of all goods and services, and to assist with the undertaking of due diligence and referee checks.  **Please delete this text box and remove any user notes before use.**  Use of this template is optional – remember to check your agency’s policies and procedures to check whether your agency has a standard template available that you are required to use.  **For more information on the *Buy Queensland* approach to procurement please visit** [www.qld.gov.au/buyqueensland](http://www.qld.gov.au/buyqueensland).  Get involved! This document is part of the Procurement Resource Centre. We would love to hear what you think, so please email your feedback to [betterprocurement@hpw.qld.gov.au](mailto:betterprocurement@hpw.qld.gov.au).  **Disclaimer**  This document is intended as a guide only for the internal use and benefit of government agencies. It may not be relied on by any other party. It should be read in conjunction with the Queensland Procurement Policy, your agency’s procurement policies and procedures, and any other relevant documents.  The Department of Housing and Public Works disclaims all liability that may arise from the use of this document. This document should not be used as a substitute for obtaining appropriate probity and legal advice as may be required. In preparing this document, reasonable efforts have been made to use accurate and current information. It should be noted that information may have changed since the publication of this document. Where errors or inaccuracies are brought to attention a reasonable effort will be made to correct them. |

# Due diligence checklist

[User note: completing the following table helps to ensure appropriate due diligence is undertaken for the procurement activity. Depending on the nature of the procurement activity, not all sections may be relevant, or other additional checks may be needed. It is best practice to conduct a due diligence check on the preferred supplier for a procurement prior to awarding a contract.]

|  |  |  |
| --- | --- | --- |
| Compliance with tender and policy requirements | Y/N | Comments |
| Were all documents submitted, including any relevant attachments? | (Y/N) | (Insert comment) |
| Was the offer submitted by the closing date and time? | (Y/N) | (Insert comment) |
| Was the offer signed by an authorised officer on behalf of the supplier? | (Y/N) | (Insert comment) |
| Were any contract departures noted? | (Y/N) | (Insert comment) |
| Were any supplier conflicts of interest noted? | (Y/N) | (Insert comment) |
| Was all pricing information submitted in the format required? (Note, was GST included or excluded? Was delivery included or excluded?) | (Y/N) | (Insert comment) |
| Has the supplier verified that they are compliant with the Ethical Supplier Threshold (refer clause 2.3 of the Queensland Procurement Policy)? | (Y/N) | (Insert comment) |
| Is the supplier the subject of a sanction under the Ethical Supplier Mandate (refer clause 2.2 of the Queensland Procurement Policy)? | (Y/N) | (Insert comment) |
| Has the supplier agreed to observe the Queensland Government Supplier Code of Conduct? | (Y/N) | (Insert comment) |
| Company information | Y/N | Comments |
| Did the supplier ABN/ACN match the information available on the Australian Government’s [Australian Business Register](https://abr.business.gov.au/)? | (Y/N) | (Insert comment) |
| Financial information | Y/N | Comments |
| Did the supplier provide supporting documentation regarding any financial information asked for in the tender? | (Y/N) | (Insert comment) |
| If requested, were any issues noted in the following documents:   * income statements * balance sheets * cash flows? | (Y/N) | (Insert comment) |
| Were all requested insurance certificates provided and current? | (Y/N) | (Insert comment) |
| **Legal and related matters** | **Y/N** | **Comments** |
| Are there any relevant patents, copyrights, licenses, and trademarks relevant to the procurement project? If so, does the supplier own these? | (Y/N) | (Insert comment) |
| Is there a history of workplace health and safety issues? | (Y/N) | (Insert comment) |
| Is there a history of regulatory problems? | (Y/N) | (Insert comment) |
| **Supply chain matters** | **Y/N** | **Comments** |
| Will the goods be sourced/manufactured in Australia? If not, where will they be sourced/manufactured? | (Y/N) | (Insert comment) |
| Is transportation/freight applicable to the goods? If yes, how will they be transported; and are there any risks or issues applicable? | (Y/N) | (Insert comment) |
| Are subcontractors nominated in the offer? If yes, do they comply with the project requirements? | (Y/N) | (Insert comment) |

# Sourcing referee check

[User note: the below can be used as the basis of a referee check conducted on a prospective supplier. The questions provided are a guide only and should be amended or added to as required, ensuring they cover all key areas and evaluation criteria. It is best practice to conduct the referee check on the preferred supplier for a procurement prior to awarding a contract.]

**Privacy and your personal information:** The State of Queensland through (insert business unit and department name)is collecting the below information as part of the evaluation process for (insert procurement activity). We will only use your information for this purpose. It will otherwise not be used or disclosed unless authorised or required by law. Any personal information provided will be handled in accordance with the *Information Privacy Act 2009*.

**Privacy statement read and acknowledged?**  **Yes**

|  |  |
| --- | --- |
| **Referee’s name** | (Insert) |
| **Referee’s position title** | (Insert) |
| **Referee’s business name** | (Insert) |
| **Nature and length of engagement with the supplier subject to the check** | (Insert) |
| **Contact phone** | (Insert) |
| **Contact email** | (Insert) |
| **Date of referee check** | (Insert) |

**Question 1**

**Experience** – describe your organisation’s experience with the supplier and your overall level of satisfaction with the goods/services that they provided to you.

Very satisfied

Satisfied

Unsatisfied

Very unsatisfied

|  |
| --- |
| Comments: |

**Question 2**

**Capability** – were you satisfied with the capability of the key personnel assigned to the procurement?

Very satisfied

Satisfied

Unsatisfied

Very unsatisfied

|  |
| --- |
| Comments: |

**Question 3**

**Time management** – how would you describe their ability to deliver on time and overcome delays from any unanticipated events or external sources.

Very good

Good

Satisfactory

Poor

|  |
| --- |
| Comments: |

**Question 4**

**Standard of work** – overall, how was their standard of work compared to the specifications and any key performance indicators (KPIs)? Please also comment if any remedial work was required, or there were any performance issues.

Very good

Good

Satisfactory

Poor

|  |
| --- |
| Comments: |

**Question 5**

**Workplace health and safety** – how would you describe the supplier’s compliance with workplace health and safety requirements, along with their ability to supervise/manage subcontractors to ensure the same (if applicable)?

Very good

Good

Satisfactory

Poor

|  |
| --- |
| Comments: |

**Question 6**

**Responsiveness** – how would you describe the supplier’s ability to respond to any requests, such as the provision of ad hoc information or the provision of requested/required reporting?

Very good

Good

Satisfactory

Poor

|  |
| --- |
| Comments: |

**Question 7**

(Insert any additional questions required.)

|  |
| --- |
| Comments: |

Are there any additional comments you wish to provide that may assist us in this process?

|  |
| --- |
| Comments: |