Due Diligence Questionnaire

Please note that if you answer “yes” to any of the questions in this section and are unable to confirm to the full satisfaction of National Grid ESO that adequate measures have been taken to address the issue disclosed, National Grid ESO reserves the right to disqualify your organisation and you will take no further part in the process.

|  |  |  |
| --- | --- | --- |
| **#** | **Question** | **Response** |
| 1.1(a) | Please indicate if, within the past five years you, your organisation, your group of companies or any other person who has powers of representation, decision or control in the organisation has been charged with, or is subject to any live investigation in relation to any of the offences within the summary below and as defined within the attached Definitions. | |
|  | Participation in a criminal organisation. | YES / NO  If yes please provide details at 1.1(b) |
|  | Corruption. | YES / NO  If yes please provide details at 1.1(b) |
|  | Fraud. | YES / NO  If yes please provide details at 1.1(b) |
|  | Terrorist offences or offences linked to terrorist activities | YES / NO  If yes please provide details at 1.1(b) |
|  | Money laundering or terrorist financing | YES / NO  If yes please provide details at 1.1(b) |
|  | Child labour and other forms of trafficking in human beings | YES / NO  If yes please provide details at 1.1(b) |
| 1.1(b) | If you have answered yes to question 1.1(a), please provide further details:  Details of any criminal proceeding charges or live investigations.  Date of conviction as applicable, specify which of the grounds listed the conviction was for, and the reasons for conviction  Dates of live investigations and current status of investigation outcomes |  |
| 1.2 | If you have answered Yes to any of the points above, please confirm measures taken to address any issues raised for review. |  |
| 1.3(a) | Has it been established, for your organisation by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions? | YES / NO |
| 1.3(b) | If you have answered yes to question 1.3(a), please provide further details. Please also confirm you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines. |  |

Please Note: National Grid ESO reserves the right to use its discretion to exclude a potential service provider where it can demonstrate by any appropriate means that the potential service provider is in breach of its obligations relating to the non-payment of taxes or social security contributions.

|  |  |  |
| --- | --- | --- |
| **#** | **Question** | **Response** |
| 2.1 | Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation, your group of companies or any other person who has powers of representation, decision or control in the organisation. | |
| 2.1(a) | Breach of environmental obligations? | YES / NO  If yes please provide details at 2.2 |
| 2.1 (b) | Breach of social obligations? | YES / NO  If yes please provide details at 2.2 |
| 2.1 (c) | Breach of labour law obligations? | YES / NO  If yes please provide details at 2.2 |
| 2.1(d) | Bankrupt or is 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, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State? | YES / NO  If yes please provide details at 2.2 |
| 2.1(e) | Guilty of grave professional misconduct? | YES / NO  If yes please provide details at 2.2 |
| 2.1(f) | Entered into agreements with other organisations aimed at distorting competition? | YES / NO  If yes please provide details at 2.2 |
| 2.1 (g) | Entered into agreements with a country subject to economic or financial sanctions, trade embargoes or restrictive measures imposed? | YES / NO  If yes please provide details at 2.2 |
| 2.2 | If you have answered Yes to any of the above, please explain what measures have been taken to demonstrate the reliability of the organisation. |  |