

## International Prime Contracting – Due Diligence Questionnaire – Opportunity

Forming part of the larger Responsible Business Conduct (RBC) Framework of CCC, and in keeping with the CCC Code of Conduct and Business Ethics (Code), this questionnaire is used to assist CCC in completing its due diligence process with respect to the managerial, technical and financial capacity of its exporters as well as demonstrating CCC's commitment to doing business with exporters that adhere to responsible business conduct practices.

The completion of this document is required when a pursuit or project has been identified and your company is seeking CCC support. Where additional details are required, please attach the same.

CCC shall maintain all confidential and proprietary information provided by the exporter in confidence, and CCC shall not, without the prior written consent of the exporter, disclose confidential or proprietary information to any person, other than to its representatives who have a legitimate "need to know" for the purposes of the project.

In compliance with CCC's [Transparency and Accountability Policy](#), CCC will require the exporter's agreement and consent to disclose the following information for every export sales transaction signed by CCC:

- Exporter name
- Destination of goods or services
- General description of the goods or services
- Project value and currency

<p>In the event that Export Development Canada (EDC) support is also being sought by the Disclosing Party, CCC can expedite the review process by sharing relevant company and project information with our counterparts at EDC.</p> <p><i>Please acknowledge your consent to share the information collected in this document with Export Development Canada ('EDC') for the purposes of expediting the Due Diligence processes, should the involvement of EDC become necessary.</i></p> <p>_____</p> <p><i>Signature</i></p> <p>_____</p> <p><i>Date</i></p>	<p><input type="checkbox"/> <b>Yes</b>      <input type="checkbox"/> <b>No</b></p>
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## Due Diligence – Opportunity:

<p>If the “International Primer Contracting (IPC) Due Diligence Questionnaire (DDQ) – Corporate” was completed at a prior date to the completion of this document, please confirm that all information provided in the IPC DDQ Corporate remains valid.</p> <p><b>If no, please attach</b> any updated information.</p>	<input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No/Attached</b>
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## **Project Information**

Company’s Full Legal Name:	
Project Name:	
Buyer Name:	
Buyer Country:	
Project description and estimated duration:	
Sector:	<input type="checkbox"/> Construction & Infrastructure <input type="checkbox"/> ICT & Clean Technology <input type="checkbox"/> Agriculture <input type="checkbox"/> Aerospace <input type="checkbox"/> Defence <input type="checkbox"/> Other _____
Project Value & Currency:	

<b>On a separate attachment, please provide the following information, if known:</b>	Attached
<ul style="list-style-type: none"> <li>• A summary of how the pursuit became known to your company</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• Contact name(s) for the buyer</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• Name (s) of key personnel that will have contact with the buyer</li> </ul>	<input type="checkbox"/>

## **Section B1 - Technical and Managerial Qualifications**

<b>On a separate attachment, please provide response to each of the following questions:</b>	Attached
B1.1 Please provide a brief description of up to five successfully completed projects abroad of a similar or larger scope (product/service) & scale (size of contract/term duration) to the project in question.	<input type="checkbox"/>
B1.2 Is the project deliverable in question a ‘new’ or previously ‘untested’ product/service and please explain why?	<input type="checkbox"/>
B1.3 Please explain whether your company needs to invest in a new equipment/infrastructure to deliver the proposed project. In addition, please outline any new capabilities (staffing/expertise) this project may require.	<input type="checkbox"/>

B1.4 Will your company be subcontracting a portion of the export contract? Please specify and provide names/addresses of key subcontractors. If yes, please answer questions B1.5 to B1.8.	<input type="checkbox"/>
B1.5 What percentage and services will the subcontractor(s) perform?	<input type="checkbox"/>
B1.6 Were any of the subcontractors recommended by the buyer?	<input type="checkbox"/>
B1.7 Has your company conducted due diligence on the subcontractor(s)? Does the subcontractor have anti-corruption policies in place or has the subcontractor agreed to abide by your company's policies?	<input type="checkbox"/>
B1.8 Will the subcontractor(s) have direct communication with the buyer?	<input type="checkbox"/>
B1.9 Please provide your percentage estimate of the project's Canadian content.	<input type="checkbox"/>
B1.10 Please comment on the following:	<input type="checkbox"/>
a. Your company's overall technical expertise (relevant to the demands of undertaking this project).	<input type="checkbox"/>
b. The role that IT plays in the development and delivery of your product/service (with respect to the project in question).	<input type="checkbox"/>
c. Quality assurances and warranty period offered by your subcontractors relevant to the project in questions (e.g. initial and final acceptance testing with the buyer, as well as the term and nature of any warranties proposed).	<input type="checkbox"/>
d. Any potential impediments to successfully completing the project in question.	<input type="checkbox"/>
B1.11 Within the last three years, has your company failed to perform contractual commitments on a project of similar nature and scope as the project proposed herein? If applicable, please describe the circumstances that led to failed performance and the remediation measures put in place to prevent re-occurrence.	<input type="checkbox"/>
B1.12 Please provide at least two references that most closely reflect work on similar projects within the past 3 years.	<input type="checkbox"/>

## **Section B2 - Supply Chain Risk Management – Integrity and Human Rights**

B2.1 Please provide a description and percentage of the raw materials and/or products that will be used in this project that are: a) Manufactured or produced in Canada. b) Manufactured or produced abroad (please provide a list of the countries sourced from).	
B2.2 Has the company identified all its first-tier suppliers?  If yes, please provide the names and primary country of operation of those suppliers.	<b>Yes</b> <input type="checkbox"/> <b>No</b> <input type="checkbox"/>  <input type="checkbox"/> <b>Attached</b>
B2.3 Does your company have policies and processes to screen, assess and monitor the integrity and human rights risks associated with its supply chain (such as third-party fraud, bribery and corruption, breaches of ethical standards, including forced labour and other related human rights issues)?  If yes, please attach a copy of any policies and/or description of the due diligence process, indicating the steps, if any, that the company has taken to manage and reduce those risks.	<b>Yes</b> <input type="checkbox"/> <b>No</b> <input type="checkbox"/>  <input type="checkbox"/> <b>Attached</b>
B2.4 Has your company identified any integrity and/or human rights risks associated with its supply chain in relation to this specific project? If yes, please provide details.	<b>Yes</b> <input type="checkbox"/> <b>No</b> <input type="checkbox"/>

### **Section B3 – Agents, Representatives and Business Partners**

<p>B3.1 If your company hires agents, representatives and/or third party intermediaries, does your company conduct risk-based due diligence before entering into any agreement with an agent, representative and/or third party intermediary?</p> <p><b>If yes, please attach</b> a sample of the risk-based due diligence and/or procedures followed by your company to assess agents.</p>	<p><input type="checkbox"/> <b>Yes/Attached</b></p> <p><input type="checkbox"/> <b>No</b>    <input type="checkbox"/> <b>N/A</b></p>
<p>B3.2 Has your company, by itself or in any other business relationship, engaged or does it intend to engage services that would be associated with an agent, representative and/or third party intermediary for this project?</p> <p><b>If yes, please attach</b> the following:</p> <ul style="list-style-type: none"> <li>a) Copy of the contract between your company and the agent.</li> <li>b) Copy of the risk-based due diligence performed on the agent (if any).</li> <li>c) Response to the attached Third-Party Intermediary Due Diligence Questionnaire (Annex A) if the answers are not already provided in the agent agreement and/or due diligence performed by your company.</li> </ul>	<p><input type="checkbox"/> <b>Yes/Attached</b></p> <p><input type="checkbox"/> <b>No</b></p>
<p>B3.3 Will there be locally engaged hires?</p> <p><b>If yes, please attached</b> the process for engagement.</p>	<p><input type="checkbox"/> <b>Yes/Attached</b></p> <p><input type="checkbox"/> <b>No</b></p>

### **Section B4 – Foreign Public Officials**

<p>B4.1 Have any gifts or benefits, including project related trips been given to any public officials of the buyer?</p> <p><b>If yes, please attach</b> the details and confirmation of compliance with local and Canadian laws.</p>	<p><input type="checkbox"/> <b>No</b></p> <p><input type="checkbox"/> <b>Yes and Attached</b></p>
<p>B4.2 Provide the names of principal officials or other contacts on the Buyer side who have engaged with the Supplier.</p>	<p><input type="checkbox"/> <b>Attached</b></p> <p><input type="checkbox"/> <b>N/A</b></p>
<p>B4.3 Is there a bonus or incentive scheme in place for the Supplier's senior officers, manager or employees that relates to the project?</p> <p><b>If yes, please attach</b> details.</p>	<p><input type="checkbox"/> <b>No</b></p> <p><input type="checkbox"/> <b>Yes and Attached</b></p>
<p>B4.4 Were any third party intermediaries required or recommended by the Buyer?</p> <p><b>If yes, please attach</b> details.</p>	<p><input type="checkbox"/> <b>No</b></p> <p><input type="checkbox"/> <b>Yes and Attached</b></p>
<p>B4.5 Please provide the substantive qualifications of any third party intermediaries that will have contact with foreign public officials.</p>	<p><input type="checkbox"/> <b>N/A</b></p> <p><input type="checkbox"/> <b>Attached</b></p>

## **Section B5 - Certificate of Compliance**

This certificate is furnished with the intent that it may be relied upon as a basis for CCC to enter into a binding agreement with a buyer.

I am a senior officer of the company and I hereby certify in such capacity that, to the best of my knowledge, but after reasonable enquiry, that the information contained in response to this questionnaire is true and correct in all material respects.

As part of CCC's commitment to transparency and accountability, I agree and consent to CCC disclosing the following information for every export sales transaction signed by CCC that involves the company:

- Supplier's name
- Destination of goods or services
- General description of the goods or service
- Project value and currency

I have reviewed the Public Services and Procurement Canada (PSPC) [Integrity Declaration Form](#) and the [Ineligibility and Suspension Policy](#), and confirm that our company would not be declared ineligible or suspended from being awarded a federal contract or real property agreement.

I have reviewed and understand that CCC expects that Canadian companies will cooperate in good faith with proceedings before any [National Contact Point \(NCP\)](#) for the [OECD Guidelines for Multinational Enterprises](#) which involve a request for review that names the Company.

I have reviewed and understand that CCC expects that Canadian companies operating outside of Canada will cooperate in good faith with proceedings before the [Canadian Ombudsperson for Responsible Enterprise \(CORE\)](#) involving a complaint that names the Company.

We understand that CCC expects that Canadian companies will take every step possible to ensure that their supply chains conform to Canadian law with respect to the prohibition on the import of forced labour.

Except for those events disclosed in section A7.1 of the IPC DDQ Corporate, neither the company nor an affiliate, by itself or in a partnership, or anyone acting on our behalf, is / has been engaged or will engage in any illegal activity under any law including the *Criminal Code of Canada* and the *Corruption of Foreign Public Officials Act* or similar legislation in a foreign country.

Except for those events disclosed in section A7.1 of the IPC DDQ Corporate, neither the company, by itself or in partnership, or anyone acting on our behalf are being investigated for, been charged with, or have been found guilty in any court, or subject to equivalent administrative measures by a public body for unethical business practices.

Furthermore, on behalf of the company I acknowledge and understand that:

CCC will suspend all dealings with the company if at any time there is credible evidence that an offence under the *Corruption of Foreign Public Officials Act* or similar legislation in a foreign country was or will be committed; and/or

CCC will inform law enforcement authorities promptly if there is credible evidence at any time that an offence was carried out or is in the process of being committed.

Signed, this \_\_\_\_day of \_\_\_\_\_, \_\_\_\_\_, in \_\_\_\_\_, Canada.

\_\_\_\_\_  
(Signature, Name and Title of Senior Officer of Supplier)

**Privacy Statement:** The personal information collected is to be used to determine eligibility for entering into agreements with CCC. An incomplete form may result in the ineligibility of your company to enter into contracts with

CCC. Any personal information will be maintained in the Personal Information Bank of the CCC, and it will be protected, used and disclosed in accordance with the *Privacy Act*. Under this *Act*, you have the right to access your personal information and request changes to incorrect information.


## Annex A

### Third-Party Intermediary Due Diligence Questionnaire

**Project and buyer name:**

**Term of the agent contract:**

1. Full legal name and address of the intermediary.
2. Previous names of the intermediary company, if any.
3. List of owners and directors of the third-party representative.
4. Names of legal representative(s) and/or principal contacts of the intermediary, as well as employees of the agent that will be involved in the project.
5. Has your company previously worked with this intermediary or with its legal representative? If yes, please explain.
6. How did your company get introduced to the agent?
7. Is the agent the exclusive representative of your company in the country of delivery of the services?
8. How did the pursuit become known to the agent? Was the pursuit communicated to the agent by a government official?
9. Does the agent participate in negotiations with the buyer?
10. Does the agent attend meetings with the buyer without the presence of your company?
11. Does the agent provide your company with regular reports on its activities in relation to this project?
12. Please provide a detailed description of the services that the agent will provide in favor of your company during the negotiations/pursuit and delivery of the project.
13. How will this third-party intermediary be compensated? Please indicate amount or percentage that will be paid to the agent.
14. Will the company reimburse the agent for its expenses?
15. Does the agent have a reputation for bribery? Has the agent been investigated for corruption, bribery or fraud in any jurisdiction?
16. Does the agent have written anti-corruption policies?
17. Does the agent provide anti-bribery training to their employees?
18. Has the agent agreed to abide by the exporter's anti-corruption policies?
19. Did your company provide the agent with a copy of its anti-corruption policies? If yes, please provide CCC with a copy of the acknowledgement of receipt and commitment to comply signed by the agent.
20. Has the agent sought a commission that is excessive, paid in cash or is otherwise irregular?

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21. Has the agent requested payment to an offshore account outside the country where it does business or is based, or requested that payments be made to another third party, to a special account or "off the books"?
  22. If the agent is a corporation, is it owned in part by a government official or their relatives or has other close ties to a government, government agency or government official?
  23. Was there a pre-existing relationship between the agent and the buyer?
  24. Did a government official suggest hiring this third-party intermediary?