



Delivering **Canada** to the world · Solutions **canadiennes** à des besoins internationaux

International Prime Contracting – Due Diligence Questionnaire – Corporate

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.

This document is one of the initial steps in the review of Canadian exporters who intend to participate in future government-to-government transactions. For the review of specific projects, the completion of additional documents will be required. 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 working with the company.

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"/> Yes <input type="checkbox"/> No</p>
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Due Diligence – Corporate:

Section A1 – General information

Company's Full Legal Name:	
Nationality:	
Industry	<input type="checkbox"/> Agriculture <input type="checkbox"/> Defence & Security <input type="checkbox"/> Aerospace <input type="checkbox"/> Engineering <input type="checkbox"/> Clean Technology <input type="checkbox"/> Information (ICT) <input type="checkbox"/> Construction <input type="checkbox"/> Manufacturing <input type="checkbox"/> Consulting <input type="checkbox"/> Other _____
Does your company identify as diversity-led?	<input type="checkbox"/> Black or Racialized Person <input type="checkbox"/> New Canadian <input type="checkbox"/> Indigenous <input type="checkbox"/> Woman-led <input type="checkbox"/> LGBTQ2S+ <input type="checkbox"/> Youth Entrepreneur
Number of Employees:	
Address in Canada:	
Company Website Address:	
Contact Person's Full Legal Name:	
Telephone Number:	
E-mail Address:	
Company GST – HST #:	

Section A2 - Ownership

A2.1 How many years has your company been in business?	
A2.2 Attach list of any former names of your company (if applicable).	<input type="checkbox"/> Attached <input type="checkbox"/> N/A
A2.3 Is your company a subsidiary or does your company have any subsidiaries and/or affiliates?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, please provide the name of the parent, subsidiary and/or affiliate organization and the relationship to your company. Please provide an organizational chart, if available.	<input type="checkbox"/> Attached
A2.4 Is your company publicly traded?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, please provide the listing details associated with your company.	
A2.5 Private companies only: please attach a complete list of the following: a) the names of all owners (including for the parent); b) names of all individuals that own greater than a 10% share in the company (including for the parent); and c) names of all directors and senior officers. Please provide an organizational chart, if available.	<input type="checkbox"/> Attached

Section A3 – Legal



A3.1 Please attach a copy of incorporating documents.	<input type="checkbox"/> Yes	<input type="checkbox"/> N/A
If you answer <i>yes</i> to any of the following questions, please attach the details:		
A3.2 Are there any judgments, claims, or arbitration proceedings or lawsuits threatened, pending or outstanding in any jurisdiction in excess of \$500,000 against your company (or any person listed in this questionnaire) within the last 5 years? If yes, please provide details (plaintiff's name, nature and amount of the claim(s) and jurisdiction).	<input type="checkbox"/> Yes	<input type="checkbox"/> No
A3.3 Has your company (or any person or entity listed in this questionnaire) filed any lawsuits or requested arbitration with any other federal government department or agency within the last 5 years?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Section A4 – Technical and Managerial Experience

A4.1 In each section below, please check the box that most accurately reflects your current profile	
LEADERSHIP	
<i>a.</i> Senior Management has no international project management experience.	<input type="checkbox"/>
<i>b.</i> Senior Management has a limited level of international project management experience.	<input type="checkbox"/>
<i>c.</i> Senior Management has a relevant level of international project management experience in select regions.	<input type="checkbox"/>
<i>d.</i> Senior Management has a significant level of international project management experience world-wide (or in-country as it pertains to the project in question involving CCC) with a proven track record.	<input type="checkbox"/>
COMPANY	
<i>e.</i> Our company has no exporting experience.	<input type="checkbox"/>
<i>f.</i> Our company has a limited level of exporting experience. Exports do not form a substantial part of the business.	<input type="checkbox"/>
<i>g.</i> Our company has a relevant level of exporting experience in select regions. Exports are an important part of the business.	<input type="checkbox"/>
<i>h.</i> Our company has a significant level of exporting experience world-wide (or in-country as it pertains to the project in questions involving CCC) with a proven track record. Exports are a major part of the business.	<input type="checkbox"/>
<i>i.</i> Please provide a listing of countries in which Senior Management and your company have experience in successfully concluding business.	<input type="checkbox"/>

Section A5 – Financial

A5.1 What is the company's annual revenue for the last fiscal year (in CAD): \$ _____	
A5.2 What percentage of your total revenue is generated outside of Canada _____	
<ul style="list-style-type: none"> i. Less than 25% ii. 25% - 50% iii. 51% - 75% iv. More than 75% 	
A5.3 Has your company, by itself or in partnership or any of its Board of Directors or	<input type="checkbox"/> Yes <input type="checkbox"/> No



Senior Officers been subject to foreclosure, sought protection under any provision of any bankruptcy act or been placed in bankruptcy or receivership within the past 5 years?	
A5.4 Within the last 5 years, has your company (or any related companies) been in default of its lending agreements?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Section A6 – Agents, Representatives and Business Partners

A6.1 Will your company hire agents, representatives and/or third party intermediaries in projects where CCC is involved? If yes, please answer the following questions in this section.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TBD
A6.2 Does your company conduct risk-based due diligence before entering into any agreement with an agent, representative and/or third party intermediary?	<input type="checkbox"/> Yes <input type="checkbox"/> No
A6.3 Please indicate the name of the agent, representative and/or third party intermediary, if known: ** Please note that if an agent is involved, CCC will require a copy of the risk-based due diligence and a copy of the agent agreement as part of the project-specific Due Diligence process conducted by CCC.	<hr/> <hr/>

Section A7 - Integrity and Business Ethics

Within the past 5 years:	
If you answer <i>yes</i> to any of the following questions, please attach the details.	
A7.1 For the following questions (A6.1.a to A6.1.d), please indicate if your company (or any person or entity listed in this questionnaire), by itself or in partnership, or any of its related companies, principal shareholder, senior officer or senior management has ever:	
a. been debarred by any government or international organization from tendering?	<input type="checkbox"/> Yes <input type="checkbox"/> No
b. been investigated for, been charged with, or been found guilty in any court, or subject to equivalent administrative measures, for violation of the <i>Corruption of Foreign Public Officials Act</i> or any other anti-corruption/bribery laws?	<input type="checkbox"/> Yes <input type="checkbox"/> No
c. been investigated for, been charged with, or been found guilty in any court, or subject to equivalent administrative measures of violating any rules or regulations governing the purchase or sale of goods or services to or by any government?	<input type="checkbox"/> Yes <input type="checkbox"/> No
d. been investigated or found guilty of violations involving income tax fraud, securities or competition laws?	<input type="checkbox"/> Yes <input type="checkbox"/> No
A7.2 Does your company have a written policy regarding corruption or bribery? If yes, please attach a copy of the policy, and indicate whether employees are required to sign an acknowledgement committing to comply with the policy, and the frequency of the sign-off.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Attached
A7.3 Does your company, in the course of developing business relationships, provide gifts, standard hospitality, entertainment, meals or travel to foreign public officials?	<input type="checkbox"/> Yes <input type="checkbox"/> No
A7.4 Do you have controls and procedures established within your company with respect to foreign public officials being offered gifts, hospitality, entertainment, travel or other expenses? If yes, please attach details of the controls and procedures.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Attached



<p>A7.5 Does your company provide its officers and employees with anti-corruption / anti-bribery training?</p> <p>If yes, please provide a copy or description of the training, indicating whether it is provided annually. Please indicate when was the last time the training was delivered.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><input type="checkbox"/> Attached</p>
<p>A7.6 Has your company been audited for business integrity compliance by a third-party in the last 5 years?</p> <p>If yes, please provide a copy or summary of the audit results and/or recommendations made by the auditor. Please indicate whether the auditor's recommendations have been considered and/or implemented by the company.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><input type="checkbox"/> Attached</p>
<p>A7.7 I have reviewed and understand the Code for Exporters, agree with its principles and will ensure its application in our operations. We understand that we have the responsibility to disclose any concerns about a possible violation of the Code for Exporters through the disclosure mechanism outlined within.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>

Section A8 – Government of Canada’s Integrity Regime

Please consult the following links:

<http://www.tpsgc-pwgsc.gc.ca/ci-if/declaration-eng.html> and <https://www.tpsgc-pwgsc.gc.ca/ci-if/politique-policy-eng.html>

<p>A8.1 Upon review of the Public Services and Procurement Canada (PSPC) Integrity Declaration Form and the Ineligibility and Suspension Policy, could your company be declared ineligible or suspended from being awarded a federal contract or real property agreement?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
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http://www.international.gc.ca/trade-agreements-accords-commerciaux/ncp-pcn/index.aspx?lang=eng&menu_id=1&menu=R and <http://www.oecd.org/corporate/mne/1922428.pdf>

<p>A8.2 We 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.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
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<https://www.international.gc.ca/global-affairs-affaires-mondiales/news-nouvelles/2021/2021-01-12-xinjiang-declaration.aspx?lang=eng>

<p>A8.3 I have reviewed the Integrity Declaration on Doing Business with Xinjiang Entities, and I am aware of the human rights situation in Xinjiang Uyghur Autonomous Region (XUAR) and the elevated risk that this poses and I have not knowingly sourced, directly or indirectly, products or services from a supplier implicated in forced labour or other human rights violations connected to the repression of Uyghurs and other ethnic minorities in the XUAR.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
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https://core-ombuds.canada.ca/core_ombuds-ocre_ombuds/index.aspx?lang=eng

<p>A8.4 We 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.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
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Section A9 - 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.

I have reviewed and understand the [Code for Exporters](#), agree with its principles and will ensure its application in our operations. We understand that we have the responsibility to disclose any concerns about a possible violation of the Code for Exporters through the disclosure mechanism outlined within.

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 this questionnaire, 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 this questionnaire, 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.

