Due diligence and referee checklist

Template

# When to use this template

**Use this template to assist with due diligence and referee checks.**

Use of this template is optional – remember to check your agency’s policies and procedures to see if your agency has a standard template available that you are required to use.

**Notes:**

1. Use the checklist on pages 2 and 3 when evaluating offers. Completing the checklist helps to ensure appropriate due diligence is undertaken for the procurement activity.
2. This is a template only and should be modified depending on the nature of the procurement activity – for example: not all sections may be relevant or additional checks may be required.
3. Use the referee check questions on pages 3-5 to assist you in checking the references provided by the supplier in their offer. Tailor this to the evaluation criteria, noting additional or alternative questions may be needed to cover all key areas and evaluation criteria.
4. Conduct the due diligence check and the referee check on the preferred supplier for a procurement prior to awarding a contract.
5. All items in grey are to be updated as appropriate.

# Due diligence checklist

ITO NO - [Insert reference number and short title] – [Supplier Name]

|  |  |  |
| --- | --- | --- |
| 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 19 of the QPP)?** | [Y/N] | [Insert comment] |
| **Is the supplier the subject of a sanction under the Ethical Supplier Mandate (refer Clause 28 of the QPP)?** | [Y/N] | [Insert comment] |
| **Has the supplier agreed to observe the Queensland Government Supplier Code of Conduct (refer Clause 20 of the QPP)?** | [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] |
| **Was an independent certification provider engaged to support the supplier verification process (refer to the** [**Consider social procurement**](https://www.forgov.qld.gov.au/finance-and-procurement/procurement/procurement-resources/consider-social-procurement) **page for more information)?** | [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] |
| **Will the goods be sourced/manufactured in Queensland? If so, 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

STRICTLY CONFIDENTIAL – Referee check for [Supplier Name]

Dear [insert salutation]

**Privacy and your personal information:** The State of Queensland through the [insert agency 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 and/or 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 the supplier’s 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 the supplier’s 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 additional questions and/or remove]

|  |
| --- |
| Comments: |

### Other comments

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

|  |
| --- |
| Comments: |

##### *Due diligence and referee checklist template*

|  |  |  |
| --- | --- | --- |
| **Version** | **Date** | **Comments** |
| V1 | 19 Dec 2018 | Template created and published |
| V2 | 25 Mar 2019 | Formatting updates |
| V3 | 16 Aug 2019 | Minor update to template |
| V4 | 9 Jan 2020 | Checklist updated, formatting updates, updated to new DEPW corporate branding |
| V5 | 26 Sep 2024 | Updated to DEC branding, formatting updates, added ‘Version control table’, ‘Copyright’ and ‘Administration’ sections |

**The State of Queensland (Department of Energy and Climate) 2024**

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##### Contact us

Queensland Government Procurement, Department of Energy and Climate is committed to continuous improvement. If you have any suggestions about how we can improve this template, or if you have any questions, contact us at [betterprocurement@epw.qld.gov.au](mailto:betterprocurement@epw.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.

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##### Administration

Version 5 of the template replaces all previous versions of the ‘*Due diligence and referee checklist’* and takes effect immediately.