



**Loughborough
University**

Request for Quotation (RFQ) for the service provision of:

**A review the technical needs and available resources related
to the new Gold Standard Methodology for Metered and
Measured Energy Cooking Devices and other similar standards**

Issue Date: 03/07/2023

Return Date: 02/08/2023

1. PREAMBLE

INTRODUCTION

Quotations are invited for the provision of a review on the technical needs and available resources related to the new Gold Standard Methodology for Metered and Measured Energy Cooking Devices and other similar standards.

The University's detailed requirements are defined in the Specification.

BACKGROUND

The University

Loughborough is one of the country's leading universities, with an international reputation for research that matters, excellence in teaching, strong links with industry, and unrivalled achievement in sport and its underpinning academic disciplines.

It was named a Five Star Plus institution in the International QS Stars Scheme 2020 – one of only 13 worldwide and has been named the best university in the world for sports-related subjects in the QS World University Rankings for five years running (2017-2021).

Loughborough is in the top 10 of every national league table and is the top performing institution in the East Midlands. This includes being ranked 7th in the Complete University Guide 2022 and 10th in the Guardian University Guide 2022. The University also ranked 10th in the Times and Sunday Times Good University Guide 2022 and was named University of the Year for Sport, the third time it has been awarded the prestigious title. It was ranked in the top 10 in England for research intensity in the Research Excellence Framework and, in recognition of its contribution to the sector, has been awarded seven Queen's Anniversary Prizes.

The University was named best university in the UK in the University Compare Top 100 universities 2022, as well as best accommodation in the UK and 1st for course quality. In addition to this the University was also ranked 2nd* in England (3rd in UK) for overall satisfaction in the National Student Survey 2021.

The University's main campus in the East Midlands is a 440-acre site, that offers facilities for every aspect of student life combined with plenty of open spaces, gardens and sport facilities. The site has held the Green Flag Award since 2018, making it one of the nation's best green spaces.

The University has an additional campus in London, based on the Queen Elizabeth Olympic Park, which offers postgraduate and executive-level education, as well as research and enterprise opportunities.

Modern Energy Cooking Services Programme (MECS)

1.8 billion people have access to electricity but still cook with biomass. Load shedding, weak grids, affordability of electricity, accessibility of liquid petroleum gas (LPG), tradition, perceptions, and a lack of suitable cooking appliances all act as barriers to scaling up the use of electricity or gas for cooking – clean cooking.

We already know that increasing access through renewable energy generation is becoming more affordable and opening new windows of opportunity; new business models and smart monitoring are improving the reliability of LPG distribution; appliances can be made more energy efficient but still cook favourite foods so they taste right; and cooking with electricity can reach an affordable price point whilst still maintaining reliability and sustainability in a few years.

We want to capitalise on this and new knowledge emerging from the MECS programme to break out of business-as-usual approaches and rapidly accelerate the transition from biomass to clean cooking on a global scale.

MECS is funded by UK Aid through the Foreign Commonwealth and Development Office. It is a partnership between researchers, innovators, policy makers, and ESMAP drawing on their expertise and relevant work from around the world to co-construct new knowledge with practitioners and the private sector. It is led by Loughborough University, UK.

The Requirement

MECS is seeking a consultant/s to conduct a review on the technical needs and available resources related to the new Gold Standard Methodology for Metered and Measured Energy Cooking Devices and other similar standards.

PROCUREMENT TIMETABLE

This procurement process is intended to follow the timeline below:

1 .Request for Quotation Issued	03/07/2023
2. Deadline for Quotation Responses	02/08/2023
3. Quotation Evaluation	w/c 7 th August 2023
4. Due diligence conducted on first place respondent	Completed by 31/08/3023
5. Contract Awarded	15/09/2023
6. Assignment starts no later than	01/10/2023
7. Assignment ends no later than	15/12/2023

SUBMISSION OF QUOTATION

Quotations, should be received no later than **23:59 BST on Wednesday 2nd August 2023** and should be submitted MECS (mecs@lboro.ac.uk) with the subject '**Technical Needs Review**'.

EVALUATION OF QUOTATIONS

As part of the evaluation process, the University will check your organisation's financial stability.

The University will accept the quotation which is the best value for money i.e. a balance between cost and quality. Shortlisted organisations may be invited to an interview (online) to finalise selection.

Based on the information provided by Tenderers, each submission will be evaluated based on the following combination of price and quality:

Quality:	
Appreciation and understanding of the task.	5%
Quality of proposal and methodology	50%
Skills, expertise and experience of consultant/organisation team members including evidence of similar work completed	10%
Proposed management of the activities including Gantt chart	5%
Price and costs	30%
Total	100%

Submissions should be a maximum of 12 pages with up to 3 additional CVs (no more than 2 pages each).

2. SPECIFICATION

Background to the work

In 2020, MECS appointed Climate Care (now Climate Impact Partners) to develop a new streamlined approach for calculating emission reductions for Electric Cooking and other Metered Cooking Devices. The contract has been in 2 phases.

Under phase 1, Climate Care has developed an adaptation of the existing Gold Standard methodology for certification of GHG emission reductions from modern cooking appliances-“the [Methodology for Metered and Measured Energy Cooking Devices](#)”. This phase 1 is now essentially complete with the acceptance of the new methodology by Gold Standard.

Phase 2: Climate Care has been taking a project with ATEC using the new methodology to registration with Gold Standard- this phase has proceeded well and is close to completion.

The previous Gold Standard approach comes under the “Technologies and Practices to Displace Decentralized Thermal Energy Consumption” (TPDDTEC) procedures which are used to calculate the carbon emission reductions achieved by a project. Traditionally (eg under the TPDDTEC methodology), measurements have been taken of fuel use in the baseline and again with the new stove, and the emission reductions calculated. This information is then written up in the prescribed form of the “Project Design Document” and taken through the full Gold Standard accreditation process which includes *inter alia* community consultation, monitoring and third-party review. The outcome is the issuance of Verified Emission Reductions, which can then be sold by the project to generate extra revenue.

The method for calculating emission reductions has been based on estimating the amount of fuel saved in a sample of households and then multiplying this by the stove population. The surveys (of baseline and with-project kitchens) have to be detailed. In the Kitchen Performance Test (KPT), households cook for a number of days on their baseline appliances and have all fuels weighed. They then cook for a number of days with the new stove (and any other devices they use to supplement it) and have all fuels weighed or measured. This is typically carried out in 100 households or more. The exercise must be repeated at specified frequencies but no later than every two years. It is time consuming, expensive and open to errors, particularly in data collection in challenging environments.

The aim of the new methodology is to make the process of determining emission reductions a) simpler and b) more accurate. Calculations derive from the total energy used by modern cooking appliances distributed by project participants which are electronically measured. This allows for a much more efficient process for calculating the emission reductions and is much more accurate, as it is based on actual energy used not on a statistical approximation of the same.

Phase Two Status

Climate Impact Partners is now taking a project using the new methodology to registration with Gold Standard. The Electric Cooking Program by ATEC Australia-International Pty Ltd (ATEC) is replacing the use of highly polluting non-renewable and fossil fuels used for cooking by households. This will be achieved through the distribution and installation of ATEC patented eCook induction cookstoves. These are said to be the world's first Pay-As-You-Go (PAYGO) induction stove allowing a 27 month payback facility. The Global System for Mobile (GSM) Communications and Internet of Things (IoT) functionality used allows mobile money payments from unbanked and underserved populations. The first project activities are being implemented in Bangladesh and Cambodia. As mentioned, the project will apply the new Methodology for Metered and Measured Energy Cooking Devices in the calculation of emission reductions. It will also use the SustainCert Digital MRV platform for MRV in relation to the project.

The project is being developed as a Program of Activities. This is a framework covering individual projects which are termed "Voluntary Project Activities" (VPAs). The main benefits of the PoA are that the approval process is faster since the program itself is registered in advance and processing each VPA is simpler. Moreover, the program is flexible as further VPAs (i.e. new countries) can be added at a later stage. The Program will contribute towards multiple sustainable development goals- Environment and Climate Change, Improved health, Gender equality and empowerment of women, Money and Time, Affordable and Clean Energy and Job creation.

Technology Challenges

MECS has been working closely with Gold Standard and Climate Impact Partners to implement the methodology for the first time for the ATEC POA as described earlier. In the course of this work, and in fact even prior to this in the case of Electric Pressure Cookers (EPCs), MECS and some other parties realized that a number of changes were required in order to make the new standard work effectively. MECS has been playing a key role in problem solving, coordinating responses and providing the necessary data to support the changes requested.

The sector consultation that has taken place for the above revisions, and the process of developing the ATEC POA has shown that there are many different technical and organisational approaches for meeting the requirements for measuring cooking device usage. Some technology developers plan standalone meters attached to stoves, others are building meters in, and others are proposing to represent energy use based on proxies, such as the stove power setting selected by the user. Furthermore, developers are taking different approaches to onboard data storage, and to the arrangements for data transmission, for example dedicated GSM or Bluetooth to a smartphone. Different approaches will bring different characteristics for a project, in terms of the device cost, expected accuracy of individual measurements, the likely coverage across stove users (eg as some drop offline from time to time). Gold Standard and other standards organisation who may come into this space, have processes that allow project developers to seek approval for specific aspects of their project, but making use of such processes adds complexity and delays project development. Given the fast pace of innovation in standards and methodologies, in clean cooking technology and in their related digital data systems, there is value for all participants in a better understanding of this landscape.

Scope of Work

MECS would like to assist companies in meeting the requirements of the new Gold Standard metered methodology for certifying emission reductions and the related Digital MRV reporting platform.

This review should encompass an exploration of the landscape of digital MRV requirements and available solutions:

1. The consultant should review the verification methods, data sources, and digitalised reporting requirements for the Digital MRV platform and the Gold Standard metered methodology.
2. Survey the range of sensing devices coming into use to collect data related to modern energy cooking energy usage (e.g. heat, energy consumption); either embedded in cooking appliances, or separate.
3. Identify the available connectivity technologies and techniques for transmitting and storing this information in a form appropriate to the Gold Standard requirements for calculating CO₂e emission reductions under the new methodology; and
4. Determine the application and software requirements for these solutions to function effectively.
5. The consultant should consider how SMART indicators/metrics identified for demonstrating co-benefit SDG impacts can be integrated into the reporting using essentially the same usage data required to demonstrate CO₂e emission reductions.
6. Finally, the consultant should identify where co-benefits can be measured using the same sensing device that captures the data needed for CO₂ reporting (including where devices could be upgraded to capture the data for measuring co-benefits at a similar cost).

Through this review the consultant is required to provide information on and answers to the following questions;

1. What requirements are Gold Standard and other existing standards organisations setting around digital data? What are the opportunities to use digital technologies to improve the processes surrounding carbon credit minting and sale. How much such requirements differ for new carbon platforms such as Cavex?
2. What approaches are potential project developers and/or technology providers taking to generating, transmitting and storing digital data on stove usage, and related impacts? Distinguish between bespoke and open-source approaches.
3. How will those approaches affect the quantity and quality of data? Related to 2, are there **potentially** important improvements or innovations to be made which are in view but are not yet being pursued?
4. Beyond carbon emissions reduction, what approaches are project developers, technology providers and standards organisations taking towards data related to other impact categories (co-benefits)?
5. What lessons can be learned from other digital platforms and sectors that could be replicated for the Gold Standard requirements for cooking.

Budget and Timescales

The total budget is a maximum of £30,000 (ex VAT, where applicable).

The research is expected to commence no later than **1st October 2023**. All deliverables must be completed and delivered no later than **15th December 2023**. These dates are non- negotiable.

The consultant should demonstrate in their response to these ToRs how the work can be completed within the time available.

Payment is contingent on successful completion of all deliverables.

Deliverable	Payment value
At 2 weeks – Inception report. The Inception Report will set out a strategy and workplan for the completion of the assignment. It should include the conceptual framework for the main report, details of technologies to be covered, firms targeted for interview and timelines.	40%
At 10 weeks - Final report. Final Report covering all the points raised under the scope of work. It is envisaged that following the completion of the consultant’s report, MECS would produce a guide regarding use of the methodology and other digital systems incorporating the feedback from the consultant.	60%

Contract Management

All meetings and appointments to discuss the overall progress of the project against the contract will be agreed and arranged in advance and at mutually convenient times. Any significant changes to the approved research plan and timelines have to be discussed and approved in advance.

Loughborough University reserves the right to request the consultant/organisation to make revisions to the deliverables if they do not meet the required quality. The consultant/organisation will be required to make these revisions at no additional costs to Loughborough University.

Ethical considerations

All research must be in line with the Code of Practice for research, Promoting good practice and preventing misconduct (UK Research Integrity Office, 2009).

The UK Research Integrity Office (UKRIO) is an independent charity, offering support to the public, researchers and organisations to further good practice in academic, scientific and medical research. Its confidential advice service is available to free of charge to individuals (members of the public, research participants, patients, researchers and students) and subscribing organisations. Their advice service can be [accessed here](#).

At a minimum, participants must not be subjected to physical, social, legal or psychological harm. Due consideration and ethical steps must be taken into safeguarding all participants, especially the vulnerable. A detailed Participation Information Sheet explaining the full scope of the study, what confidentiality entails, and that no participants will be forced into participating, must be provided at recruitment. Participants are to be made aware that participation is fully voluntary and there are no repercussions if they choose to no longer participate in the study at any point in time. Participants should, ideally, sign a consent form which includes consent for the use of photographs and videos.

Confidentiality must be maintained at all times. With regards to confidentiality and privacy of participation, participants must be informed that their anonymity will be maintained in any outputs and that all identifiable markers will be removed from any data sets that are published. Additionally, due consideration must be made to ensure that participants are safeguarded during the research process in line with the local government issued guidelines around COVID-19.

The consultant will be responsible for securing any research or ethical permissions needed from local authorities in each of the field work locations. There may be additional ethical, or research clearance needed for this kind of user centric design research in the chosen country.

4. DUE DILIGENCE PROCESS

The first-place tenderer will be required to submit a Due Diligence Questionnaire that will check the organisation's financial stability along with its processes and policies to ensure they are in-line with our funders' requirements.

Once notified the questionnaire must be completed within 10 business days. This process will be fully transparent, and the achieved will be returned along with a copy of the assessment. If the due diligence process is completed satisfactorily, the contract will be awarded.

The Due Diligence Questionnaire is included here. **This is for information only**, do not complete it unless requested to.



Due Diligence & Safeguarding Questionnaire

Please note the following points before completing the questionnaire;

- Please complete this questionnaire honestly. Answering 'no' to a question does not automatically disqualify your organization from working with the programme. In each section you are invited to explain the answer you give. This explanation is important and will be given careful consideration during the assessment process.
- Providing false information on this questionnaire can result in the termination of any contract issued.
- There are **3 main sections to complete; background information, due diligence and Safeguarding**. All sections and sub-sections must be completed. If a question is not applicable to your organisation mark it N/A.
- All details provided in the questionnaire will be kept securely and managed in line with Loughborough University's Data Protection Policy. Details of the policy can be found at <https://www.lboro.ac.uk/admin/ar/policy/dpact/ludpp/>
- Please complete the checklist and sign the declaration at the end of the form. Forms returned without a signature will not be processed.
- Please include any supporting documents requested, making clear in the file name the name of the organisation/respondent and the question number it refers to.
- Please label your attached documents as follows: Organisation Name - Type of document – Question in DD form this relates to [e.g. LU -Audited accounts-Q3.4]

Section A: Background information

Question	Response
1. Full name of organisation	
2. Address of Registered Office (including postcode or zip code)	
3. Is the organisation a legally registered entity?	<input type="checkbox"/> Yes: <i>Please provide a copy of the registration document</i> <input type="checkbox"/> No: please explain why the organisation is not legally registered
4. Company Registration Number	
5. Description of organisation (e.g. what the organisation does)	
6. Head of organisation (name and title)	
7. Name and contact details of main contact person for this Award	
8. Name and contact details of the person responsible for receiving legal notices	
9. If the organisation is a subsidiary of another body, will your parent company guarantee the awardee's contract performance as its subsidiary?	<input type="checkbox"/> Yes: Please provide details of the parent firm including company registration number. <input type="checkbox"/> No <input type="checkbox"/> N/A
10. Length of time in operation	
11. Status of organisation	<input type="checkbox"/> A Public Limited company <input type="checkbox"/> A Limited Company <input type="checkbox"/> A Company Limited by Guarantee <input type="checkbox"/> A Partnership <input type="checkbox"/> A Sole Trader <input type="checkbox"/> A Charity <input type="checkbox"/> A Franchise <input type="checkbox"/> A Small/Medium Sized Enterprise or SME <input type="checkbox"/> Other (e.g.: a Special Purpose Vehicle, Joint Venture Company etc.) Please specify
12. To the best of your knowledge, does any director or senior officer of the organisation have any personal or financial connection with any member of Loughborough University staff?	<input type="checkbox"/> Yes: please provide details of the individuals concerned and the nature of their relationship. <input type="checkbox"/> No

Question	Response
13. Does the organisation have a designated bank account that will accept euros, pound sterling and/or US dollars?	<input type="checkbox"/> Euro <input type="checkbox"/> US dollar <input type="checkbox"/> Pound sterling

Section B: Due Diligence

1: Governance structure

Question	Response
1.1 Please outline the organisation's strategy, mission or vision statement	
1.2 Please explain how the organisation ensures environmental sustainability and good waste management in the organisation <i>(Stating that this does not apply to the organisation is not acceptable)</i>	
1.3 Please explain any processes in place to manage health and safety for the organisations staff and the people the organisation works with <i>(Stating that this does not apply to the organisation is not acceptable)</i>	

Section 2: Economic and financial standing

Where possible, the University will carry out an independent financial check on all partners using an appropriate software package.

Question	Response
2.1 Is the organisation ready and willing to carry out the activities planned under this contract/agreement?	<input type="checkbox"/> Yes <input type="checkbox"/> No: please explain why the organisation is not ready to carry out the activities planned.
2.2a Are the accounts audited at least once per year?	<input type="checkbox"/> Yes <input type="checkbox"/> No: please explain why the accounts are not audited at least once per year.
2.2b Please send a copy of at least one of the evidence's listed in order to demonstrate that the organisation has the financial strength required to carry out this contract.	<p>Please indicate which document/s are included in the due diligence submission;</p> <input type="checkbox"/> Audited accounts for the most recent two years <input type="checkbox"/> Statement of turnover, profit & loss account and cash flow for the most recent year of trading <input type="checkbox"/> Statement of cash flow forecast for the current year and a bank letter outlining the current cash and credit position <input type="checkbox"/> Alternative means of demonstrating financial status if trading for less than a year

Question	Response
<p>2.3 Please explain the organisations accounting system, particularly how it allows for proper recording of financial transactions e.g. general ledger accounts, cash book/s, fixed assets register, accruals, pre-payments etc</p>	
<p>2.4 Are supporting documents (e.g. invoices, receipts) obtained for all costs?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No: please explain why supporting documents are not obtained.</p>
<p>2.5 Please explain the organisation’s financial control systems and processes (e.g. how is fraud prevented, theft of funds etc). Include details of any manuals the organisation has, and staff training done.</p>	
<p>2.6 The organisation is required to hold insurances. Please confirm which insurance the organisation already holds or will purchase prior to the contract being issued. We understand that in different countries the name of the insurance may differ from that in the UK. Please read the description for each type of insurance and choose the one most similar to the one/s available.</p>	<p><input type="checkbox"/> No insurances held: please explain why no insurances are held.</p> <p>Insurances for organisations with one employee or more:</p> <p>Essential: Employer’s Liability Insurance</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Equivalent held: </p> <p>Please provide a copy of the insurance certificates</p> <p><i>This covers the Employer against claims from Employees arising from injuries caused by work-related activities for which the employer is legally responsible sustained during the period of indemnity. The obligation to ensure safety of employees applies wherever they are working (world-wide)</i></p> <p>Preferred: Public Liability Insurance</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Equivalent held: </p> <p>Please provide a copy of the insurance certificates</p> <p><i>This covers the Employer against claims from third parties (e.g. claims from volunteers, visitors or the general public etc) arising from accidental bodily injury to them or accidental damage to their property for which the Employer is legally responsible, arising out of the business of the Employer. The cover will apply on a worldwide basis wherever the Employer's activities are being undertaken.</i></p> <p>Preferred: Professional Indemnity Insurance:</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Equivalent held: </p> <p>Please provide a copy of the insurance certificates</p>

Question	Response
	<p><i>This covers the Employer against claims made against the Employer during the period of insurance arising out of the conduct of the activities of the Employer caused by any:</i></p> <ol style="list-style-type: none"> 1. <i>negligent act error or omission (for property damage, injury/death claims the cover is limited to those claims arising out of the provision of a professional service such as advice or design</i> 2. <i>breach of warranty of authority or breach of trust</i> 3. <i>infringement of copyright or patent right or trademark design rights or other intellectual property rights</i> 4. <i>breach of confidential information</i> 5. <i>breach of confidence</i> 6. <i>dishonest or fraudulent act or omission on the part of the Employer</i> 7. <i>libel and slander</i> 8. <i>loss or damage to documents</i>
<p>For the following three questions, please answer if your role was as a supplier, an awardee or as an organisation in the supply chain.</p>	
<p>2.7. Has the organisation been involved in a contract that has been terminated or payment has been withheld because performance was not satisfactory in the last three years?</p>	<p> <input type="checkbox"/> No <input type="checkbox"/> Yes – as an awardee: Please explain what happened <input type="checkbox"/> Yes – as a supplier: Please explain what happened <input type="checkbox"/> Yes – as an organisation in the supply chain: Please explain what happened </p>
<p>2.8. Has the organisation withdrawn from a contract prematurely during the last three years?</p>	<p> <input type="checkbox"/> No <input type="checkbox"/> Yes – as an awardee: Please explain what happened <input type="checkbox"/> Yes – as a supplier: Please explain what happened <input type="checkbox"/> Yes – as an organisation in the supply chain: Please explain what happened </p>
<p>2.9. Has the organisation had to pay financial penalties or had payment deducted due to a failure to perform in accordance with contractual obligations in the last three years?</p>	<p> <input type="checkbox"/> No <input type="checkbox"/> Yes – as an awardee: Please explain what happened <input type="checkbox"/> Yes – as a supplier: Please explain what happened <input type="checkbox"/> Yes – as an organisation in the supply chain: Please explain what happened </p>

Section 3: Professional and technical capacity

Question	Response
<p>3.1 Please provide details of at least one (preferably two) current or completed contracts that are similar in nature to the work the organisation will be doing under the MECS programme</p> <p>Loughborough University, as the lead of MECS may speak to the client listed to confirm the accuracy of the information provided. The University reserves the right to contact any or all these organisations for a reference.</p> <p><i>If you cannot provide these details, please explain why</i></p>	<p><u>Contract 1</u> Customer organisation: Contact name, tel. no., & e-mail: Contract start date: Contract completion date: Contract value: Brief description of contract (max 150 words):</p> <p><u>Contract 2</u> Customer organisation: Contact name, tel. no., & e-mail: Contract start date: Contract completion date: Contract value:</p>

Question	Response
	Brief description of contract (max 150 words): Add others below if relevant
3.2 Please provide the names of up to 3 people who will be responsible for managing the delivery of services under this award.	<p><u>Person 1</u> Name and Title Position in organisation Length of service with the organisation Highest educational and/or professional qualification obtained:</p> <p><u>Person 2</u> Name and Title Position in organisation Length of service with the organisation Highest educational and/or professional qualification obtained:</p> <p><u>Person 3</u> Name and Title Position in organisation Length of service with the organisation Highest educational and/or professional qualification obtained:</p>
3.3 Please explain what quality assurance, processes the organisation has in place to ensure the work under this contract/award will be delivered to a high standard.	

Section 4: Equality

Question	Response
4.1 Does the organisation, as an employer, comply with all statutory obligations to staff and applicants for employment under national equality legislation?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>The following sections are split into two – please choose the most appropriate section for the organisation Section 4A – for organisations with a written equality policy or equivalent Section 4B – for organisations without a written equality policy or equivalent</p>	
<p style="text-align: center;">4A - for organisations with a written equality policy or equivalent</p> <p><input type="checkbox"/> Policy/equivalent document attached</p> <p>Title of document:</p>	
4.2 Does the policy or equivalent document address the following?	If yes, note the page number where this item is included in the policy/ equivalent document. If not please explain why the item is not included.

Question	Response
<p>(a) Recruitment, selection, training, promotion, discipline and dismissal</p> <p>(b) Discrimination, harassment, and victimisation (and it is made clear that these are disciplinary offences within the organisation)</p> <p>(c) Modern slavery (defined as slavery, servitude, forced or compulsory labour and human trafficking)</p> <p>(d) Identification of the senior position with responsibility for the policy and its effective implementation</p> <p>(e) How the document is communicated to staff</p> <p>(f) It covers both employees and service users</p>	<p><input type="checkbox"/> Yes: On page number <input type="checkbox"/> No: please explain why</p> <p><input type="checkbox"/> Yes: On page number <input type="checkbox"/> No: please explain why</p> <p><input type="checkbox"/> Yes: On page number <input type="checkbox"/> No: please explain why</p> <p><input type="checkbox"/> Yes: On page number <input type="checkbox"/> No: please explain why</p> <p><input type="checkbox"/> Yes: On page number <input type="checkbox"/> No: please explain why</p> <p><input type="checkbox"/> Yes: On page number <input type="checkbox"/> No: please explain why</p>
<p>4.3 How is the policy/ equivalent document implemented in your organisation's <u>recruitment</u> practices? (e.g. do staff responsible for recruitment receive additional, focused or special training? - please specify content of any training provided and mode of training e.g. face to face, online etc).</p>	
<p>4.4 Does the organisation work with volunteers or temporary/casual staff in any capacity (e.g. survey enumerators).</p>	<p><input type="checkbox"/> Yes: Please describe the equality training the organisation provides for these staff to protect themselves and the people they interact with.</p> <p><input type="checkbox"/> No volunteers/casual staff</p>
<p>4B - for organisations without a written equality policy or equivalent</p>	
<p>4.2 Please explain how the organisation ensures equality within hiring and staff management practices. All points (a- e) must be addressed.</p>	<p>(a) Recruitment, selection, training, promotion, discipline and dismissal</p> <p>(b) Discrimination, harassment, and victimisation (and it is made clear that these are disciplinary offences within the organisation)</p> <p>(c) Modern slavery (defined as slavery, servitude, forced or compulsory labour and human trafficking)</p> <p>(d) Do these statements on equality (a-c) cover both employees and services users?</p> <p><input type="checkbox"/> Yes: both</p>

Question	Response
	<input type="checkbox"/> Only staff: Please explain why they do not cover service users/partners/people the organisation interacts with (e) The senior staff member responsible for overseeing equality is (provide name/position).....
4.3 How are staff made aware of the organisation's position on equality (Please specify content of any training provided and mode of training e.g. face to face, online etc).	
4.4 Does the organisation work with volunteers or temporary/casual staff in any capacity (e.g. survey enumerators).	<input type="checkbox"/> Yes: Please describe the equality training the organisation provides for these staff to protect themselves and the people they interact with. <input type="checkbox"/> No volunteers/casual staff

Section 5: Procurement and asset management

Question	Response
5.1 Does the organisation have guidelines/a policy/a set of instructions for procurement that are available to all staff?	<input type="checkbox"/> Yes, document attached Title of document: <input type="checkbox"/> No: Please explain how the organisation ensures procurement is completed transparently and rigorously.
5.2 Does the organisation solicit competitive bids for major procurements? (In the UK a major procurement is £50,000 or above)	<input type="checkbox"/> Yes <input type="checkbox"/> No: please explain why
5.3 Does the organisation have threshold amounts for obtaining multiple bids or quotes? (e.g. single source for a contract value under £10,000; 3 quotes for a contract value under £25,000 etc.)	<input type="checkbox"/> Yes <input type="checkbox"/> No: please explain why
5.4 Is an assets register maintained? (An asset register records all the assets your organisation has, this could be IT equipment, software, machinery, prototypes etc etc)	<input type="checkbox"/> Yes: Updated every weeks/months/years <i>(delete as appropriate)</i> Last physical inventory of assets was (date)..... <input type="checkbox"/> No asset register: Please explain why
5.5 Please explain how the organisation will protect project assets (e.g. any assets bought through the award/contract).	

Section 6: Compliance with relevant legislation, regulation, rules, policies and procedures

Question	Response
6.1 Does the organisation confirm compliance with all national legislation, regulations, rules, policies and procedures affecting the organisation and its activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No: please explain why it does not confirm compliance with all national legislation, regulations, rules, policies and procedures affecting the organisation and its activities.
6.2 Please explain how the organisation ensures compliance and remains updated with all national legislation, regulations, rules, policies and procedures (e.g. who is responsible for ensuring compliance, retention of legal counsel etc)	
6.3 Does the organisation have a policy/statement or equivalent document on anti-corruption and anti-bribery? It should address the following; a) Anti-corruption b) Enforcement of the anti-corruption policy c) Anti-bribery d) Enforcement of the anti-bribery policy	<input type="checkbox"/> Yes Title of document..... <input type="checkbox"/> Document attached (a) Anti-corruption is referred to on page number <p> (b) Enforcement of the anti-corruption policy is referred to on page number.....</p> <p> (c) Anti-bribery is referred to on page number.....</p> <p> (d) Enforcement of the anti-bribery policy is referred to on page number.....</p> <input type="checkbox"/> No: please explain why there is no document on anti-corruption and bribery.
6.4 Do staff receive training on the anti-bribery and anti-corruption measures in place? ((Please specify content of any training provided and mode of training e.g. face to face, online etc).	<input type="checkbox"/> Yes: type of training <input type="checkbox"/> No: please explain why there is no training
6.5 Is the organisation linked to any political activity?	<input type="checkbox"/> Yes: please explain the nature of this activity <input type="checkbox"/> No

Section 7: Data management

Question	Response
7.1 Does the organisation have a policy/statement/guidelines on good data management?	<input type="checkbox"/> Yes, document attached Title of document..... <input type="checkbox"/> No: please explain why
7.2 Do staff receive training on good data management? (Please specify content of any	<input type="checkbox"/> Yes: type of training <input type="checkbox"/> No: please explain why

training provided and mode of training e.g. face to face, online etc).	
7.3 Please explain the systems and processes used to keep data held by the organisation secure, especially if the data is confidential and/or sensitive.	
7.4 Does the organisation provide, transfer or sell data to third parties for any reason?	<input type="checkbox"/> No <input type="checkbox"/> Yes: please provide further explanation

Section C: Safeguarding

Principles of Safeguarding

The safeguarding principles that underpin our due diligence process are as follows;

- Do no harm
- Organisations have a safeguarding duty of care to any people we work with, staff and volunteers, including where downstream partners are part of delivery. This includes people who are not directly involved in the programme but who may be vulnerable to abuse as a result of the activities of the programme.
- All people shall be treated equally, irrespective of race, gender, religion/or not, sexual orientation or disability
- Everyone has the responsibility for safeguarding
- Act with integrity, be transparent and accountable
- All activity is done in the best interests of any person involved
- A child is defined as someone under the age of 18 regardless of the age or majority/consent in country.

Section 1: Safeguarding processes and procedures

Question	Response
<p>The following sections are split into two – please choose the most appropriate section for the organisation Section 1A – for organisations with a written safeguarding policy or equivalent (e.g. if safeguarding is covered in a staff handbook, manual, guidelines, code of conduct etc). Section 1B – for organisations without a written safeguarding policy or equivalent</p>	
<p style="text-align: center;">1A - for organisations with a written safeguarding policy or equivalent (e.g. if safeguarding is covered in a staff handbook, manual, guidelines, code of conduct etc).</p> <p><input type="checkbox"/> Policy/equivalent document attached Title of document:</p> <p>Who is the designated safeguarding officer or focal point for safeguarding issues? Name: Position: Email:</p>	
1.1 Does the policy or equivalent document address the following;	<p>Commitment to safeguarding: <input type="checkbox"/> Yes: On page number <input type="checkbox"/> No: please explain why</p> <p>Zero-tolerance <input type="checkbox"/> Yes: On page number <input type="checkbox"/> No: please explain why</p>

Question	Response
	<p>Bullying and harassment <input type="checkbox"/> Yes: On page number <input type="checkbox"/> No: please explain why</p> <p>Sexual exploitation <input type="checkbox"/> Yes: On page number <input type="checkbox"/> No: please explain why</p> <p>Sexual abuse <input type="checkbox"/> Yes: On page number <input type="checkbox"/> No: please explain why</p> <p>Record keeping on safeguarding issues <input type="checkbox"/> Yes: On page number <input type="checkbox"/> No: please explain why</p> <p>Disciplinary procedures for safeguarding incidents <input type="checkbox"/> Yes: On page number <input type="checkbox"/> No: please explain why</p> <p>Referral mechanism <input type="checkbox"/> Yes: On page number <input type="checkbox"/> No: please explain why</p>
<p>1.2 How is training for staff, including volunteers and temporary or casual workers, provided on the safeguarding policy or equivalent document. (Please specify content of any training provided and mode of training e.g. face to face, online etc).</p>	
<p>1.3 Through the activities under this award/contract, are you going to be working with children or vulnerable adults?</p> <p>A child is defined as anyone below 18 years of age, regardless of national definitions.</p> <p>Vulnerable adults include those with disabilities (physical and learning), those in a position of weakness e.g. a female headed household, prisoners, refugees, minorities etc</p>	<p>Children (below 18 years of age): <input type="checkbox"/> Yes: Attach a copy of the safeguarding policy for working with children <input type="checkbox"/> No</p> <p>Vulnerable adults: <input type="checkbox"/> Yes: Attach a copy of the safeguarding policy for working with vulnerable adults <input type="checkbox"/> No</p> <p>If the organisation is going to be working with children, vulnerable adults or both as part of this award/contract and no policy is available the organisation is required to submit a separate statement outlining in detail how the children and/or vulnerable adults will be protected from any kind of harm (physical, mental, psychological, sexual, harassment, intimidation etc)</p>
<p>1.4 If the organisation is going to be working with children and/or vulnerable people in order to deliver this award/contract have all the staff involved been cleared/vetted through a nationally recognised process? (e.g. a police check).</p>	<p><input type="checkbox"/> Not applicable</p> <p><input type="checkbox"/> Yes – all staff vetted: Please explain the process followed</p> <p><input type="checkbox"/> No – only some staff vetted: Please explain why only some staff are vetted</p>

Question	Response
	<input type="checkbox"/> No staff vetted: Please explain why no staff are vetted
<p>1.5 If the organisation is going to be working with children and/or vulnerable people in order to deliver this award/contract have all the staff involved received training on working with children/vulnerable adults?</p>	<input type="checkbox"/> Not applicable <input type="checkbox"/> Yes - All staff trained: please explain the training received <input type="checkbox"/> No – only some staff trained: Please explain why only some staff are trained <input type="checkbox"/> No training given: Please explain why no staff are trained
1B - for organisations without a written safeguarding policy or equivalent	
<p>1.1 Please explain how the organisation ensures staff and the people it works with are protected from harm through a commitment to the following statements. All points (a- g) must be addressed.</p>	<p>(a) Commitment to safeguarding</p> <p>(b) Commitment to a Zero-tolerance approach to any form of bullying, harassment or sexual exploitation</p> <p>(c) Commitment to a safe environment free from bullying and harassment</p> <p>(d) Commitment to a safe environment free from sexual harassment, exploitation or abuse</p> <p>(e) Referral mechanism for staff or those outside the organisation to raise concerns on safeguarding issues</p> <p>(f) Record keeping on safeguarding issues</p> <p>(g) Disciplinary procedures for safeguarding incidents</p>
<p>1.2 How does the organisation make staff, including volunteers and temporary or casual workers, aware of the organisation’s position on safeguarding? (training completed - specify content and mode e.g. through a code of conduct etc).</p>	
<p>1.3 Through the activities under this award/contract, are you going to be working with children or vulnerable adults?</p> <p>A child is defined as anyone below 18 years of age, regardless of national definitions.</p> <p>Vulnerable adults include those with disabilities (physical and learning), those in a position of weakness e.g. a female headed household, prisoners, refugees, minorities etc</p>	<p>Children (below 18 years of age):</p> <input type="checkbox"/> Yes: attach a copy of the safeguarding policy for working with children <input type="checkbox"/> No <p>Vulnerable adults:</p> <input type="checkbox"/> Yes: attach a copy of the safeguarding policy for working with vulnerable adults <input type="checkbox"/> No <p>If the organisation is going to be working with children, vulnerable adults or both as part of this award/contract and no policy is available the organisation is required to submit a separate statement outlining in detail how the children and/or vulnerable adults will be protected from</p>

Question	Response
	any kind of harm (physical, mental, psychological, sexual, harassment, intimidation etc)
1.4 If the organization is going to be working with children and/or vulnerable people in order to deliver this award/contract have all the staff involved been cleared/vetted through a nationally recognised process? (e.g. a police check).	<input type="checkbox"/> Not applicable <input type="checkbox"/> Yes – all staff vetted: Please explain the process followed <input type="checkbox"/> No – only some staff vetted: Please explain why only some staff are vetted <input type="checkbox"/> No staff vetted: Please explain why no staff are vetted
1.5 If the organisation is going to be working with children and/or vulnerable people in order to deliver this award/contract have all the staff involved received training on working with children/vulnerable adults?	<input type="checkbox"/> Not applicable <input type="checkbox"/> Yes - All staff trained: please explain the training received <input type="checkbox"/> No – only some staff trained: Please explain why only some staff are trained <input type="checkbox"/> No training given: Please explain why no staff are trained

Section 2: Whistleblowing (also called complaint or concerns procedure)

Question	Response
2.1 Does the organisation have a whistleblowing process in place?	<input type="checkbox"/> Yes: <i>Please attach a copy</i> Name of document..... <input type="checkbox"/> No: Please provide an explanation on; <ol style="list-style-type: none"> How the organisation ensures that whistle blowers are protected within the organisation What the processes are for dealing with concerns raised by staff What the timelines are for these processes
2.2 How are staff provided training on your whistleblowing/complaints procedure? (Please describe content of the training and mode of training e.g. face-to-face, online etc).	<input type="checkbox"/> No whistleblowing/complaints procedure of any kind <input type="checkbox"/> Yes: (Please describe content of the training and mode of training e.g. face-to-face, online etc). <input type="checkbox"/> No training provided but procedure exists: Please explain why

Section 3: Risk management

Question	Response
3.1 Does the organisation keep a risk register? (for any risk associated with delivering core activities/services)	<input type="checkbox"/> Yes: List the risk categories included in the register (e.g. financial, reputational, technical, operational etc etc); <input type="checkbox"/> No: Please explain why there is no risk register
3.2 Does the organisation's risk register include safeguarding risks?	<input type="checkbox"/> Yes

Question	Response
	<input type="checkbox"/> No –it does not include safeguarding risks: Please explain how the risks associated with safeguarding are monitored and tracked <input type="checkbox"/> No – there is no risk management process or framework
3.3 Who has senior oversight of the risk register?	Name: Position in Organisation:
3.4 Are downstream partners/sub-contractors required to submit a risk register or risk assessment as part of the contracting process?	<input type="checkbox"/> Yes <input type="checkbox"/> No: Please explain why

Section 4: Code of conduct

Question	Response
4.1 Does the organisation have a clear code of conduct for staff (paid, voluntary, temporary or casual) that sets out clear expectations of behaviours, inside and outside the workplace?	<input type="checkbox"/> Yes: Please attach a copy <input type="checkbox"/> No: Please explain why and explain how expectations on behaviour are communicated to staff.
4.2 Does the code of conduct include what will happen in the event of a breach of the code?	<input type="checkbox"/> No code of conduct <input type="checkbox"/> Yes: on page..... <input type="checkbox"/> No: Please explain why it does not state what will happen in the event of a breach of the code.
4.3 Does the code of conduct prioritise the wellbeing of and care of all people, including all the people the organisation works/interacts with?	<input type="checkbox"/> No code of conduct <input type="checkbox"/> Yes: on page..... <input type="checkbox"/> No: Please explain why it does not prioritise the wellbeing of all people
4.4 Are all staff (paid or voluntary) provided with training on the code of conduct as part of their induction to their role?	<input type="checkbox"/> No code of conduct <input type="checkbox"/> Yes: Please describe content of the training and mode of training e.g. face-to-face, online etc. <input type="checkbox"/> No: Please explain why there is no training
4.5 Are the organisations policies and practices for the management of downstream partners/sub-contractors and affiliates aligned to the code of conduct?	<input type="checkbox"/> No code of conduct <input type="checkbox"/> Yes <input type="checkbox"/> No: Please explain why they are not aligned to management of downstream partners/sub-contractors.

Section 5: Governance and accountability

Question	Response
5.1 Is the organisation going to be working/interacting with people who are external to the organisation, it's sub-contractors or suppliers? (e.g. through research, piloting, service provision etc)	<input type="checkbox"/> Yes: Please identify the types of people the organisation will be working with; Answer Q 5.2 & 5.3 <input type="checkbox"/> No – all work will be internal to the organisation, it's sub-contractors or suppliers (Move to declaration at end of document)
5.2 How are the people identified under Q5.1 able to feedback on the quality of the work/services/activities completed by the organisation?	Feedback is possible via..... If feedback is not possible please explain why
5.3 Are the people identified under Q5.1 able to shape the organisations planned activities/processes/approaches under this contract/award? (e.g. through the co-design of the approach to be used or via a representative committee)	<input type="checkbox"/> Yes: please explain how <input type="checkbox"/> No: please explain why not