

International Business– Due Diligence Questionnaire

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 comprised of two (2) sections. Please complete the indicated sections:

Part A: First Level Due Diligence

Part B: Complete Due Diligence

Note: 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.

The company acknowledges and agrees that CCC will disclose the following information concerning an export sales transaction with CCC:

- Exporter's name
- Destination of goods or services
- General description of the goods or services
- Project value (range) 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, if required, 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 Part A:**Section A1 – General information**

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

Project Information

Project Name:	
Buyer Name:	
Buyer Country:	
Project Description:	
Sector:	<input type="checkbox"/> Construction & Infrastructure <input type="checkbox"/> Aerospace <input type="checkbox"/> ICT & Clean Technology <input type="checkbox"/> Defence <input type="checkbox"/> Agriculture <input type="checkbox"/> Other _____
Project Value & Currency:	

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

Section A3 – Technical and Managerial Qualifications

A3.1	In each section below, please check the box that most accurately reflects your current profile	
LEADERSHIP		
a.	Senior Management has no international project management experience.	<input type="checkbox"/>
b.	Senior Management has a limited level of international project management experience.	<input type="checkbox"/>
c.	Senior Management has a relevant level of international project management experience in select regions.	<input type="checkbox"/>
d.	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		
e.	Our company has no exporting experience.	<input type="checkbox"/>
f.	Our company has a limited level of exporting experience. Exports do not form a substantial part of the business.	<input type="checkbox"/>
g.	Our company has a relevant level of exporting experience in select regions. Exports are an important part of the business.	<input type="checkbox"/>
h.	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"/>

Section A4 – Financial

Please attach the last 2 sets of annual financial statements (for the entity contracting with CCC).	<input type="checkbox"/> Attached
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Section A5 – Agents, Representatives and Business Partners

A5.1 Will your company hire agents, representatives and/or third party Intermediaries in this project?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TBD
A5.2 If yes, please indicate the name of the agent, representative and/or third party intermediary:	_____

Due Diligence Part B:

<p>If Part A was completed at a prior date to Part B, please confirm that all information provided in Part A above remains valid</p> <p>If no, please attach any updated information</p>	<input type="checkbox"/> Yes <input type="checkbox"/> N/A <input type="checkbox"/> No/Attached
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Section B1 – Legal

B1.1 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:	
B1.2 Are there any judgments, claims, or arbitration proceedings or law suits 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?	<input type="checkbox"/> Yes <input type="checkbox"/> No
B1.3 Has your company (or any person or entity listed in this questionnaire) filed any law suits or requested arbitration with any other federal government department or agency within the last 5 years?	<input type="checkbox"/> Yes <input type="checkbox"/> No
B1.4 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.	<input type="checkbox"/> Attached <input type="checkbox"/> N/A

Section B2 - Technical and Managerial Qualifications

On a separate attachment, please provide response for each of the following questions:	Attached
B2.1 Please provide a listing of countries in which Senior Management and your company have experience in successfully concluding business.	<input type="checkbox"/>
B2.2 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"/>

B2.3	Is the project deliverable in question a 'new' or previously 'untested' product/service and please explain why?	<input type="checkbox"/>
B2.4	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"/>
B2.5	Will your company be sub-contracting significant portions of the export contract? Please specify and provide names/addresses of key subcontractors.	<input type="checkbox"/>
B2.6	Does your company have a written policy and/or processes regarding the use of agents and representatives and third party intermediaries?	<input type="checkbox"/>
B2.7	Please provide your percentage estimate of the project's Canadian content.	<input type="checkbox"/>
B2.8	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 clients 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 significant environmental risks or any potential impediments to successfully completing the project in question.	<input type="checkbox"/>
B2.9	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"/>
B2.10	Please provide at least two references that most closely reflect work on similar projects within the past 3 years.	<input type="checkbox"/>

Section B3 – Financial

B3.1	Has your company, by itself or in partnership or any of its Board of Directors or 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?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
B3.2	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 B4 - 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.	
B4.1 For the following questions (6.1.a to 6.1.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, principle 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
B4.2 Does your company have a written policy regarding corruption or bribery? If yes, please attach a copy of the policy.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Attached
B4.3 Does your company provide anti-corruption / anti-bribery training for those employees involved in high risk countries and activities? If yes, please attach description of how this training is provided.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Attached
B4.4 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
B4.5 Has your company been audited for business integrity compliance by a third-party in the last 5 years? If yes, please attach details of reason for the audit(s).	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Attached

Section B5 – 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>

B5.1 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?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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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>

B5.2 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.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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Section B6 – Agents, Representatives and Business Partners

B6.1 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? If yes, please attach a sample of the due diligence completed for agents, representatives and/or third party intermediaries.	<input type="checkbox"/> Yes/Attached	<input type="checkbox"/> No
B6.2 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? If yes, please attach a copy of the agent or representative’s agreement and a copy of the due diligence results for the agents, representatives and/or third party intermediaries.	<input type="checkbox"/> Yes/Attached	<input type="checkbox"/> No
B6.3 Please provide the names, title and citizenship of all individuals engaged as agents, representatives and/or third party intermediaries in this project and how your company came to be introduced to them.	<input type="checkbox"/> N/A	<input type="checkbox"/> Attached
B6.4 If the agent, representative and/or third party intermediary is a corporate entity with less than 10 employees, attach the names, titles and citizenship of all owners, directors and employees.	<input type="checkbox"/> N/A	<input type="checkbox"/> Attached
B6.5 How did the pursuit become known to the agent, representative and/or third party intermediary? If the agent, representative and/or third party intermediary was selected by the Buyer, on what basis was the selection made?	<input type="checkbox"/> Attached	

<p>B6.6 Will there be locally engaged hires?</p> <p>If yes, please attach the process for engagement.</p>	<p><input type="checkbox"/> Yes/Attached</p> <p><input type="checkbox"/> No</p>
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Section B7 – Foreign Public Officials

<p>B7.1 Have any gifts or benefits, including project related trips been given to any public officials of the buyer?</p> <p>If yes, please attach confirmation of compliance with local and Canadian laws.</p>	<p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes and Attached</p>
<p>B7.2 Provide the names of principal officials or other contacts on the Buyer side who have engaged with the Supplier.</p>	<p><input type="checkbox"/> Attached</p> <p><input type="checkbox"/> N/A</p>
<p>B7.3 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>If yes, please attach details.</p>	<p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes and Attached</p>
<p>B7.4 Were any third party intermediaries required or recommended by the Buyer?</p> <p>If yes, please attach details.</p>	<p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes and Attached</p>
<p>B7.5 Please provide the substantive qualifications of any third party intermediaries that will have contact with foreign public officials.</p>	<p><input type="checkbox"/> N/A</p> <p><input type="checkbox"/> Attached</p>

Section B8 - 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.

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.

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 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.

Except for those events disclosed in section B4.1.b. 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 B4.1 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.