



GLOBAL CROP DIVERSITY TRUST

Due Diligence Questionnaire for Potential Private Sector Partners

Instructions

This questionnaire is part of the due diligence process that the Global Crop Diversity Trust (the 'Crop Trust') undertakes in considering companies and other private sector organizations (the 'Partner') for potential partnerships, including as contributor of financial resources to the Crop Trust. The questionnaire is to be filled out by the Partner or by Crop Trust staff in collaboration with the Partner.

Responses to questions should be sufficiently comprehensive. Failure to disclose material information or provision of inaccurate information could lead to a unilateral termination by the Crop Trust, or applicable fund, or programme of a given partnership.

This questionnaire covers five main sections:

1. Proposed Partnership
2. General Information
3. Financial Information
4. Sustainability Information
5. Other Disclosures

Please provide separate sheets so as to respond to each question.

Information disclosed will be kept confidential by the Crop Trust. The Crop Trust will use commercially reasonable efforts to ensure that such information will not be disclosed.

Note: A partnership with the Crop Trust is not related to the Crop Trust's procurement activities. A partnership with the Crop Trust does not grant the Partner special rights or preferred status in connection with contract awards following competitive procurement processes.

Contact for queries:

Ms. Krupali Patel
Partnerships Manager
Global Crop Diversity Trust
Email: krupali.patel@croptrust.org

1. Proposed Partnership

1) Nature of the Partnership

Please explain how the Partner intends to work with the Crop Trust, e.g. financial volume of proposed support, type of contribution, timing of contribution, conditions/ earmarking attached to the contribution, any other relevant information to describe the proposed partnership

2) Motivation for the Partnership

Please explain the objectives of the proposed partnership and which benefits the Partner hopes to gain from engaging with the Crop Trust

2. General Information

3) Full legal name of the Partner

4) Contact information

- Address:
- Telephone:
- Fax:
- Email:
- Website:

5) Name of the individual person representing the Partner

6) Contact information for the individual person representing the Partner

- Address:
- Telephone:
- Fax:
- Email:

7) Countries or regions in which the Partner is registered, owns property, or is qualified to conduct business (attach full list including type of business in each place, if available)

8) Entity/ entities with which the Partner must register and corresponding registration numbers (e.g., company registration number)

9) Type of entity/ legal status of the Partner in place of registration (e.g., limited liability company, proprietary company, limited liability partnership)

10) Exchanges, if any, on which the Partner is publicly traded

11) Pertinent information on the Partner's parent company or companies, if any

12) Chart detailing the relationships between the Partner and its subsidiaries or affiliates, if any. In addition, to the extent applicable, include a list of all entities in which the Partner owns more than a 10% equity interest

13) Industry sector of the Partner

14) List of industrial, trade or other associations of which the Partner is a member

15) Main products/services offered (list only most important)

- 16) Year of the Partner's establishment
- 17) Number of employees (including employees of subsidiaries, if known)
- 18) List of Directors (or equivalent members of Partner's highest governing body)
- 19) List of senior executives (the Partner's most senior staff below Board of Director level)
- 20) To the extent available, please attach certified copies of the Partner's organizational documents, as currently in effect
- 21) Indicate whether the Partner is currently a vendor with the Crop Trust or has been awarded a Crop Trust contract in the past five years
- 22) Indicate whether there is any other current or prior business relationship with the Crop Trust, or whether the Partner has proposed a partnership with the Crop Trust in the past

3. Financial Information

- 23) Audited consolidated financial statements for the last three financial years, with the auditors' opinion and footnotes
- 24) Has the Partner experienced any financial difficulties over the past three financial years, and if so, what type and which measures have been taken to address them?

4. Sustainability Information

- 25) Does the Partner have a sustainability policy, ethics policy, and/or code of conduct? If yes, please attach relevant policies.
- 26) Does the Partner have a grievance mechanism for hearing, processing, and settling grievances for internal stakeholders (e.g. employees) and/or external stakeholders (e.g. local communities)? If yes, please attach relevant policies.
- 27) Does the Partner produce a sustainability or Corporate Social Responsibility report? If yes, please attach the most recent report.
- 28) Does the Partner have any sustainability-related and/or labour-related certifications? (e.g., SA8000 (http://www.sa-intl.org/_data/n_0001/resources/ive/2008StdEnglishFinal.pdf))? If yes, please describe these.
- 29) Is the Partner listed on any sustainability or environmental, social and governance (ESG) indices? (e.g., FTSE4Good see: <http://www.ftse4good.com/>). If yes, please describe these.
- 30) Do the Partner's marketing and advertising practices abide by specific standards of ethical conduct (e.g., as set forth in the ICC International Code on Advertising Practices)?
- 31) If relevant, does the Partner adhere to the United Nations Principles for Responsible Investment (PRI) (www.unpri.org)?
- 32) Does the Partner abide by, adhere to, participate in, support, or has the Partner implemented or committed to, any other voluntary sustainability or ethical-related principles or

guidelines? (e.g. Voluntary Principles on Security and Human Rights (<http://www.voluntaryprinciples.org/principles/introduction>) or Equator Principles (<http://equator-principles.com/index.php/about-ep/the-eps>))? If yes, please describe these.

- 33) List any major social investment or philanthropic initiatives the Partner is currently involved in or has been involved in over the past three years, including the nature of such involvement (including human rights initiatives, trade/labour issues, environmental causes, anti-corruption initiatives, etc.). If these are described on the Partner's website, provide the link.
- 34) Describe any other relevant corporate sustainability activities the Partner has been involved in over the past three years, as well as the nature of such involvement (e.g., other examples of community involvement, major internal initiatives not already described above, awards received for corporate responsibility initiatives or performance, etc.). If these are described on the Partner's website, provide the link.
- 35) Does the Partner have a corporate foundation? If yes, please provide details.
- 36) Has the Partner been involved in partnerships or initiatives with the UN or its agencies, funds and programmes in the past ten years? If so, please describe.
- 37) Has the Partner had any major partnerships or collaboration with other international, multilateral or civil society organizations in the past five years? If so, please describe.

5. Other Disclosures

- 38) Is the Partner (including any parent, subsidiary or affiliate thereof) or any company or individual associated with the Partner included on the UN Security Council Committee's "Al-Qaida Sanctions List" pursuant to resolution 1267 (http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml)?
- 39) Is the Partner (including any parent, subsidiary or affiliate thereof) or any company or individual associated with the Partner included on the IIC Oil for Food List (<http://www.iic-offp.org/documents/IIC%20Tables%2010-21-2004.pdf>)?
- 40) Is the Partner (including any parent, subsidiary or affiliate thereof) or any company or individual associated with the Partner currently, or within the past five years has it been, under investigation or sanction by UN Headquarters, its Field Missions or any other UN organizations (including the World Bank) or any government of a UN Member State?
- 41) Does the Partner have any pending bankruptcy, judgment or legal action that could impair its ability to continue operating as a going concern?
- 42) At any time, has the Partner or, to the Partner's actual knowledge, any of its subsidiaries, affiliates or major suppliers been involved in:
- Human rights abuses
 - Exposure to use of forced labour or compulsory labour
 - Use of child labour
 - Sexual abuse, exploitation, discrimination or harassment
 - Sale or manufacture of anti-personnel landmines or cluster bombs

If yes, please provide information for all applicable items and indicate whether such involvement has been resolved and how

- 43) At any time, has the Partner or, to the Partner's actual knowledge, any of its subsidiaries (or

companies in which the Partner holds any interest), affiliates or major suppliers been involved in any of the following activities:

- Manufacture, sale or distribution of any armaments, weapons, other military equipment or related products, or non-dual use components for armaments, weapons, other military equipment or related products
- Manufacture, sale or distribution of replica arms marketed to children
- Marketing of breast milk substitutes contrary to the WHO Guidelines on Marketing Breast Milk Substitutes (or the manufacture of breast milk substitutes the marketing of which is contrary to the WHO Guidelines)
- Manufacture, sale or distribution of tobacco or tobacco products
- Programmes, initiatives, research or projects directly or indirectly endorsed, funded or promoted by the tobacco industry or a subsidiary of a tobacco company
- Gambling (other than lotteries with charitable objectives)
- Manufacture, sale or distribution of alcohol
- Manufacture, sale or distribution of pornography
- Exploration for or extraction of natural resources
- Environmental degradation (including pesticides/herbicides subject to international bans or phase-outs, asbestos, ozone-depleting substances or other activities that do not comply with local and/or international environmental standards)
- Financing or promotion of terrorism or entities that are classified as terrorist or paramilitary organizations

If yes, please describe the past and present level of involvement in each applicable item

- 44) List and describe each allegation or finding of bribery within the past five years relating to the Partner, its affiliates, or its respective officers, directors, employees or agents and, if applicable, how the Partner addressed such allegation and/or finding
- 45) At any time in the last ten years, has the Partner or any of its subsidiaries, parent companies or affiliates violated any International sanctions? If yes, provide details.
- 46) List and describe each pending or threatened litigation, claim, arbitration proceeding or investigation on an ethical issue relating to the Partner, its affiliates or its respective officers, directors, employees or agents, including (a) litigation involving alleged violations of laws or regulations relating to abuse of human rights, corruption, discrimination, the protection of the environment or the health or safety of employees or others; and (b) governmental or administrative proceedings.
- 47) During the last three years, has the Partner been the subject of any major campaign or criticism by a civil society organization, local community, government, the media, or other entity?
- If yes, please explain, including measures taken by the Partner to address such campaign or criticism. Please also indicate if the Partner has knowledge of any major campaign or criticism that may be impending.
- 48) Are there any other conditions that might disrupt a partnership with the Crop Trust if one were to result? If yes, please explain.
- 49) Disclose any other information not otherwise requested above that, in the Partner's judgment, could be material to a partnership with the Crop Trust or that the Partner believes should be considered and reviewed in commencing a partnership with a prospective partner.