

# Private Sector Policy & Guidance Criteria

## 1. Purpose

This policy aims to provide guidance to securing corporate/private sector partnerships while forming procedural and documentation guidelines. The assessment 'checklist' is part of the framework for due diligence including identification, assessment and management of potential risks and is to be performed on prospects throughout the identification, negotiation and contractual stages of the review process. All private sector organisations must adhere to all relevant legislation and regulation.

## 2. Scope

This policy applies to:

- a. All employees of RedR Australia
- b. RedR Australia Board

This policy is to be implemented by the selected RedR management and board and the information collected in this assessment will be kept confidential by RedR Australia.

## 3. Policy Statement

The private sector brings key resources and services to RedR Australia. Suppliers, partnership, expertise, access and reach. They represent a significant source of financial and in kind support to further the work of RedR Australia. RedR Australia must perform this due diligence process before any external partner or supplier is engaged to work for or with RedR Australia.

## 4. Principles

Who are these guidelines for?

Please use the contents of this policy before you engage with prospective corporate partners, institutional partners, community partners (including universities) and service providers/suppliers. The policy principles include integrity and reputation; due diligence regarding risks; financial effectiveness; transparency; legalities and tailored engagements.

## 5. Contents of the Policy

The assessment tool consists of five main sections:

1. General Information
2. Details of Applicant

3. Financial Information
4. Risk Assessment and ethical screening
5. Final Decision and Sign-off

### **General Information**

- 1.1 Full legal name of the Organisation
- 1.2 Type of opportunity – e.g. Supplier, corporate partner, institutional partner, university.
- 1.3 Date completed
- 1.4 Relevant RedR Australia staff member contact details
- 1.5 Contact Information for the Applicant's primary place of business operations
- 1.6 Countries or regions in which the Applicant is registered, owns property or is qualified to conduct business
- 1.7 Type of entity / legal status
- 1.8 Exchange or exchanges, if any, on which the Applicant is publicly traded
- 1.9 Industry sector
- 1.10 Main products/services offered relevant to relationship with RedR Australia
- 1.11 Classification of entity by annual revenue / turnover
- 1.12 Year of Establishment
- 1.13 Number of employees
- 1.14 List of Directors' & Senior Staff

### **Details of Opportunity**

- 2.1 Who instigated this opportunity – RedR Australia or Applicant?
- 2.2 Describe the activity/opportunity.
- 2.3 Please explain the reasons for engagement, including the objectives of the potential engagement for both parties and what benefits are hoped to gain from engaging with each other.
- 2.4 Will the RedR name and logo be used by the external party?
- 2.5 What service will be expected by RedR Australia?

## Financial Information

3.1 Please provide gross revenue/turnover for the most recently completed financial year

3.2 Has the Applicant experienced any financial difficulties over the past three years?

If yes, please explain the financial difficulties, whether they have been remedied and what measures were or are being undertaken to address such difficulties

3.3 Does the entity have any pending bankruptcy, judgement or legal action that could impair its ability to operate as a going concern?

3.4 At any time, has the Applicant or to the Applicant's knowledge, any of its subsidiaries, affiliates or major suppliers been involved in: Human rights abuses, Exposure to the use of forced or compulsory labour, Use of child labour, Sexual abuse, exploitation and discrimination or harassment, Sale or manufacture of anti-personnel landmines or cluster bombs.

5.3 At any time, has the Applicant or, to the Applicant's actual knowledge, any of its subsidiaries (or companies in which the Applicant holds any interest), affiliates or major suppliers been involved in any of the following:

- Manufacture, sale or distribution of weapons or military equipment
- *Gambling (other than lotteries with charitable objectives)*
- *Manufacture, sale or distribution of pornography*
- *Exploration for or extraction of natural resources*
- *Environmental degradation*
- *Financing or promotion of terrorism*

If you have selected any of the above, please describe past and present level of involvement in each item listed above.

5.4 During the last three years, has the Applicant been the subject of any major campaign or criticism by a civil society organisation, local community, government or other entity? If yes, please explain, including measures taken by the Applicant to address such campaign or criticism. Please also indicate if the Applicant has knowledge of any major campaign or criticism that may be impending.

## Risk Assessment and Ethical Screening

Risks arising from private sector interaction include the following:

a. Risk to brand or identity through public association with a corporation whose core business substantially undermines RedR's mission and values.

b. Risk to brand or identity through poor quality critical advocacy, or active, effective private sector response to that criticism. This can result in reduced authority, legitimacy or support.

c. Risk of legal action. Legal action can take the form of libel, with potential financial penalties, or court injunctions which could affect RedR's ability to carry out its work.

- d. Risks to members, partners and other stakeholders. In all cases above, risks to members and partners should be considered. They may be more vulnerable to reputational, legal and physical reprisals in country than RedR Australia itself.
- e. Risk of reputational damage through rejecting offers of funds

Risks should be assessed in terms of the degree to which the following fit with the RedR Partnership Strategy.

- a. The company’s reputation;
- b. The idea/ concept for interaction;
- c. The way the idea is implemented

RedR has made a commitment to ensure that individuals, entities or organizations involved in providing the Services or implementing the contract are not:

- a. Directly or indirectly engaged in, preparing, planning, and assisting in an act of terror;
- b. Listed on the Criminal Code Act List;
- c. Listed on the Sanctions List; and/or
- d. Listed on the World Bank List or any Relevant List.

## 6. Responsibilities & Reporting

The RedR employee responsible for the applicant is responsible for ensuring the policy:

- Aligns with relevant legislation, government policy and / or RedR requirements/strategies/values.
- Is implemented and monitored and
- Is reviewed to evaluate its continuing effectiveness

## 7. Document Control

<b>Reviewed by:</b>	P&C Director
<b>Approved by:</b>	CEO
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