**Instructions:**

1. Team Lead **must** specifically ask the due diligence questions below, as applicable to the organization. Questions are asked of the applicant’s Highest-Ranking Official.
2. Team Lead completes form immediately following the interview to document all findings.
3. If the Team Lead discovers any issues during its HRO interview, they should gather all pertinent information and discuss the issue immediately with the assigned Lead Judge. The Lead Judge shall provide guidance as needed, to appropriately address the issue in the Feedback Report.
4. Team Lead submits a copy of the completed form to Lead Judge/CCE as part of the Site Visit Scorebook.

|  |  |
| --- | --- |
| **Applicant #:**  | **Team Lead:**  |
| **Question** | **Comments** |
| 1. What has been, or continues to be, the greatest struggle in achieving organizational excellence?
 |  |
| 1. Are there any major changes, organizational or other, that have occurred since the application was submitted? What, if any, major changes do you expect over the next several years?
 |  |
| 1. Are there any pending sanctions or lawsuits against the organization or its executives?
 |  |
| 1. What (if applicable) is the status of your union contracts?
 |  |
| 1. What (if applicable) fines has your organization been assessed in the last two years?
 |  |
| 1. For public or publicly funded organizations (i.e., government or non-profit that receive public funds), ask: are any formal complaints or grievances filed with the local, state, or federal governing agency, open or pending?
 |  |
| 1. Are there any audit or monitoring findings that are currently unresolved?
 |  |
| 1. Are there any external investigations occurring in your organization?
 |  |
| 1. If your organization were to be selected as an award recipient, can you think of anything that might cause embarrassment to the CAPE program or yourself?
 |  |
| 1. Are there any issues that you think we may see that you wish to explain?
 |  |
| 1. Is there anything else we should know about your organization?
 |  |