



Request and Addenda

CUA AFA2018 - COMMON USE ARRANGEMENT FOR AUDIT AND FINANCIAL ADVISORY SERVICES

- **Request**
- **Addendum 1**
- **Addendum 2**
- **Addendum 3**

Request

REQUEST TITLE:

Common Use Arrangement for Audit and Financial Advisory Services

REQUEST NUMBER:

CUA AFA2018

CLOSING TIME:

2:30 PM Tuesday 10th October 2017 Western Australia

ISSUED BY THE CONTRACT AUTHORITY ON BEHALF OF:

The Public Authorities and other persons and bodies described as Potential Customers in Clause 2.1 of the General Conditions

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PART A – REQUEST NO CUA AFA2018

1. INTRODUCTION

1.1 BACKGROUND

The Department of Finance (Finance) issues this Request to establish a new Common Use Arrangement (CUA) for the provision of Audit and Financial Advisory Services (CUA AFA2018). CUA AFA2018 will replace the current CUA for Audit Services and Financial Advice (CUA23706) that was established in 2008 and is due to expire on 30 June 2018.

CUA AFA2018 will be for an initial period of three years. There are two (2) one (1) year contract extension options available at the absolute discretion of the Contract Authority. The Contract Authority has the discretion to exercise both extension options simultaneously, if it wishes to do so.

The new arrangement seeks the provision of the following eight categories of services:

- Category A. Audit Services
- Category B. Forensic Audit Services
- Category C. Probity Services
- Category D. Risk Advisory Services
- Category E. Financial, Accounting and Taxation Advisory Services
- Category F. Procurement Advisory Services
- Category G. Financial Assessment Services
- Category H. Program Reviews (non-mandatory)

Respondents may submit an Offer for any one or more of the above categories.

All categories, with the exception of Category H, will be mandatory for State Public Authorities for purchases within the Perth Region (as per Zone 1 of the Western Australian Government's Buy Local Policy) and discretionary for regional and other users as approved by the State Supply Commission.

A full statement of the services required under the Head Agreement is provided in Schedule 2 – Specification/Statement of Requirements.

1.2 SUBMISSION OF OFFER

1.2.1 HAND AND POST LODGEMENT

The Respondent may submit the Offer:

By hand at:	By post at:
Tendering Services, Optima Centre, 16 Parkland Road, OSBORNE PARK WA 6017.	Tendering Services, Locked Bag 11, OSBORNE PARK BC WA 6916.

If the Respondent hand delivers or posts its Offer, the Respondent must provide three copies. One printed copy marked “original”, one printed copy marked “copy” and one electronic copy on CDROM or USB flash drive.

The electronic copy of the Offer must be provided on a CDROM /USB flash drive in minimum Microsoft Word 97 or later.doc format. Any promotional materials can be provided in Adobe Portable Document file ‘.pdf’ format. In the event of any discrepancy between the electronic copy and the original hard copy of the Offer, the original hard copy shall prevail. The CDROM or USB flash drive must be labelled with the Respondent’s name and Request Number.

1.2.2 FACSIMILE LODGEMENT

Offers may not be submitted by facsimile.

1.2.3 ELECTRONIC LODGEMENT

The Respondent may submit the Offer electronically by uploading at: www.tenders.wa.gov.au.

Tenders WA can facilitate the uploading of files to a maximum 100MB limit per upload request.

The Respondent must be registered to submit an offer electronically.

1.2.4 Conditions regarding the submission of Offers (including late lodgement and mishandling) are contained in the Request Conditions.

1.3 OFFER VALIDITY PERIOD

The Offer Validity Period is for a period of nine (9) months.

1.4 TENDERS WA

The Respondent may register (free) for the Tenders WA website to ensure that the complete Request has been downloaded including any and all addenda.

1.5 BRIEFING

A non-mandatory briefing for Respondents will be conducted on:

Date: Friday 8 September 2017
Time: 10:30am Perth, Western Australia
Location: Optima Training Room 1, 2 & 3, Ground Floor
Optima Centre
16 Parkland Road
Osborne Park WA 6017

Respondents are requested to confirm attendance no later than 2:30pm, (Western Australia), Wednesday 6th September 2017 by emailing vanessa.stickells@finance.wa.gov.au and providing the following details: company name; company representative; contact email address; and contact phone number.

1.6 CONTACT PERSONS

Different enquiries can be best dealt with by the most appropriate contact, shown below.

The Respondent must not contact any other person within Government or any consultant engaged in relation to this Request to discuss this Request.

CONTRACTUAL AND ROUTINE ENQUIRIES:

Name: Vanessa Stickells
Title: Procurement Manager, Common Use Arrangements
Telephone: 08 6551 1593
E-mail: vanessa.stickells@finance.wa.gov.au

Or from 20th September 2017 please contact:

Name: Meg Herbert
Title: Procurement Officer, Common Use Arrangements
Telephone: 08 6551 1349
E-mail: meg.herbert@finance.wa.gov.au

ADVICE ON DELIVERING OFFERS:

Name: Tendering Services
Telephone: (08) 6551 2345

ADVICE ON USING TENDERS WA:

Name: Procurement Systems Support
Telephone: (08) 6551 2020

1.7 REQUEST CONDITIONS

The “Request Conditions” are contained in the Part A of the *Request Conditions and General Conditions of Contract* [December 2016] located at www.finance.wa.gov.au (select Government Procurement, then select “Goods and Services Templates, Guides and Conditions of Contract” from the Quick Links menu). The “Request Conditions” contain important provisions regarding the nature of this Request and the consequences of the Respondent submitting an Offer. The Respondent is deemed to have read and considered the Request Conditions prior to submitting an Offer.

2. SELECTION PROCESS

2.1 SELECTION PROCESS

Value for Money is a key State Supply Commission policy objective to ensure that when purchasing products and/or services, Public Authorities achieve the best possible outcome, for every dollar spent, by assessing the costs and benefits of, and the risks inherent in, an Offer, rather than simply selecting the lowest Offered Price.

In determining Value for Money, the Contract Authority in the case of a Common Use Arrangement or otherwise the Customer will:

- a). apply relevant State Supply Commission and Government policies to the assessment of Offers;
- b). assess Offers against the Compliance and Disclosure Requirements in Section 4 in Part B;
- c). assess Offers against the Qualitative Requirements in Section 5 in Part B;
- d). assess Offers against the Insurance Requirements in Section 6 in Part B; and
- e). assess the Offered Prices which includes assessing the Offered Price and Pricing Requirements in Schedule 3.

The determination of Value for Money will require a consideration of all of the above factors and any other matters that the Contract Authority or Customer considers relevant.

2.2 STATE SUPPLY COMMISSION AND GOVERNMENT POLICIES

The following State Supply Commission policies apply to this Request:

- a). Value for Money;
- b). Probity and Accountability;
- c). Open and Effective Competition; and
- d). Sustainable Procurement.

The following Government policies apply to this Request:

- a). Buy Local Policy including the January 2016 and July 2013 Addenda.

These policies can be viewed and downloaded at www.ssc.wa.gov.au or copies of these policies are available from the State Supply Commission (telephone (08) 6551 1500).

SCHEDULE 1 - HEAD AGREEMENT DETAILS AND CUSTOMER CONTRACT DETAILS

HEAD AGREEMENT DETAILS

1. Contract Authority	The Contract Authority is the Director General, Department of Finance, as delegate of the State Supply Commission.
2. The Term of the Head Agreement	The Term of the Head Agreement will begin on the commencement date and will end on 30 June 2021.
3. Commencement Date	The Contract Authority will notify the Contractor of the Commencement Date in the Letter.
4. Extensions	The Contract Authority has two (2) options to extend the Term, each option having a one (1) year duration. The Contract Authority has the discretion to exercise both extension options simultaneously, if it wishes to do so.
5. Notice of Extension	Clause 3.8 of the General Conditions applies.
6. Price Variation	<p>The Price is fixed for the first year of the Term.</p> <p>On each anniversary of the Commencement Date, maximum hourly rates may be varied by the Wage Price Index (Wage Price Index, Australia: (Cat No. 6345.0): Table 3b. Total Hourly Rates of Pay Excluding Bonuses: Private Sector by State – Western Australia).</p> <p>The Contractor shall apply in writing for the Contract Authority's approval each time a revised price is to be applied to the Head Agreement.</p> <p>Application to the Contract Authority must be made within twenty one (21) days prior to the Contract Commencement Date or anniversary thereof. The revised price will take effect on the anniversary of the Contract Commencement Date.</p> <p>Where a Contractor has failed to make an application within the specified timeframe, the Contractor will be precluded from applying for price variation until the following anniversary date.</p> <p>Documentation will be required to justify applications for revised Contract prices during the term of the Contract.</p> <p>No price variation is payable unless and until approved by the Contract Authority.</p> <p>Any request by the Contractor for back-payment of price variations will not be considered.</p> <p>6.1 Price Decrease</p> <p>Contractors may apply to decrease rates at any time.</p>
7. Public Liability	Public liability insurance covering the legal liability of the Contractor and the Contractor's Personnel arising out of the Services for an amount of not less than \$10 million for any one occurrence and unlimited in the number of occurrences happening in the period of insurance.
8. Workers' Compensation	Workers' compensation insurance in accordance with the provisions of the <i>Workers' Compensation and Injury Management Act 1981</i> (WA), including cover for common law liability for an amount of not less than \$50 million for any one occurrence in respect of workers of the Contractor. The insurance policy must be extended to cover any claims and liability that may arise with an indemnity under section 175(2) of the <i>Workers' Compensation and Injury Management Act 1981</i> .

9. Contract Management Requirements	<p><u>Reporting</u></p> <p>Contractors will be required to provide Finance with the following reports:</p> <ul style="list-style-type: none"> • Quarterly sales report detailing all transactions completed within 30 days of the quarter end. Refer to Schedule 16 for the reporting template • Ad-hoc reporting for government agencies as required. <p><u>Meetings</u></p> <p>Meetings will be on an as required basis.</p> <p><u>Contractor Obligation</u></p> <p>Update contractor profile – Contractors are responsible for maintaining the currency of their own Contractor profile.</p> <p><u>Key Performance Indicators (KPIs)</u></p> <p>The Contractor and Contract Authority will monitor the Key Performance Indicators (KPIs) as defined in Schedule 2 of the Request.</p> <p>Failure to comply with the KPIs specified in Schedule 2 is an Event of Default for the purposes of clause 35.3 of the Head Agreement.</p> <p><u>Contract Authority’s Representative</u></p> <p>Name: Vanessa Stickells Telephone: (08) 6551 1593 Email: vanessa.stickells@finance.wa.gov.au</p> <p>Or as delegated by the Contract Authority.</p> <p><u>Contract Authority’s address</u></p> <p>Department of Finance - Government Procurement Level 4, Optima Centre 16 Parkland Road Osborne Park WA 6017 Mailing Address - Locked Bag 11, Cloisters Square, Perth WA 6850</p>
10. Confidential Information	<p>For the purposes of paragraph (b) of the definition of “Confidential Information” in clause 2.1 of the General Conditions, there is no information that is specified by the Contract Authority as confidential.</p>
11. Panel Arrangement	<p>This Request is to establish a Panel Arrangement. Clause 4(b) of the General Conditions applies.</p>
12. Police Clearance	<p>Clause 18.4 of the General Conditions applies.</p>
13. Confidential Declaration – Prevention of Paedophilia	<p>Clause 18.5 of the General Conditions does not apply.</p>
14. Warranties	<p>For the purposes of clause 19.5 of the General Conditions, no warranties are specified.</p>
15. Intellectual Property Owner	<p>The Contractor is the owner of the Intellectual Property Rights in New Material for the purposes of clause 23.2 of the General Conditions.</p>
16. Publicity	<p>For the purposes of clause 24.4 of the General Conditions, no other Public Authority is specified.</p>

17. Termination Without Cause	<p>a). Unless stated to the contrary in the Head Agreement Details, the Contract Authority may, in its absolute discretion and for its sole benefit, terminate this Head Agreement without cause in whole or in part at any time by 30 days (or such other period as may be agreed between the parties) prior written notice to the Contractor. The Contractor will immediately comply with any directions given by the Contract Authority in the notice. No compensation will be payable by the Contract Authority to the Contractor in the event of termination pursuant to this clause 17.</p> <p>b). Termination of the Head Agreement under sub-clause (a) does not have any effect on any Customer Contracts entered into prior to the date of termination of the Head Agreement, but for the avoidance of doubt the Contractor may not enter into any new Customer Contracts after the date of termination of the Head Agreement.</p>
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CUSTOMER CONTRACT DETAILS

1. Customer	The Customer will be specified in the Order.
2. The Term of the Customer Contract	The Term of the Customer Contract will be specified in the Order.
3. Commencement Date	The Customer will notify the Contractor of the Commencement Date in the Letter or Quote Form.
4. Extensions	The extension options will be that specified in the Quote Form.
5. Notice of Extension	Clause 3.4 of the General Conditions applies.
6. Price Variation	The price variation mechanism will be that specified in the Head Agreement. In the event that new Head Agreement prices become effective during the Term of the Customer Contract and the Customer chooses to extend the Customer Contract, the new Head Agreement prices will apply from the commencement date of the Extension.
7. Public Liability	Public liability insurance covering the legal liability of the Contractor and the Contractor's Personnel arising out of the Services for an amount of not less than \$10 million for any one occurrence and unlimited in the number of occurrences happening in the period of insurance.
8. Professional Indemnity	Professional indemnity insurance covering the legal liability of the Contractor and the Contractor's Personnel under the Customer Contract, arising out of any act, negligence, error or omission made or done by or on behalf of the Contractor, or any subcontractor in connection with the Contract for a sum of \$2 million for any one claim and in the annual aggregate, with a provision of one automatic reinstatement of the full sum insured in any one period of insurance. Professional indemnity insurance required under this clause must include: a) fraud and dishonesty; b) defamation; c) infringement of intellectual property rights; d) loss of or damage to documents and data; and e) breach of Australian Consumer Law.
9. Workers' Compensation	Workers' compensation insurance in accordance with the provisions of the <i>Workers' Compensation and Injury Management Act 1981</i> (WA), including cover for common law liability for an amount of not less than \$50 million for any one occurrence in respect of workers of the Contractor. The insurance policy must be extended to cover any claims and liability that may arise with an indemnity under section 175(2) of the <i>Workers' Compensation and Injury Management Act 1981</i> .
10. Contract Management Requirements	Customer's Representative As specified in the Quote Form. Customer's contact details As specified in the Quote Form. Reporting As specified in the Quote Form. Meetings As specified in the Quote Form.

	<p>Key Performance Indicators</p> <p>As specified in the Quote Form.</p>
SPECIAL CONDITIONS	
11. Confidential Information	For the purposes of paragraph (b) of the definition of “Confidential Information” in clause 2.1 of the General Conditions, there is no information that is specified by the Customer as confidential.
12. Police Clearance	Clause 18.4 of the General Conditions applies.
13. Confidential Declaration – Prevention of Paedophilia	Clause 18.5 of the General Conditions applies.
14. Warranties	For the purposes of clause 19.5 of the General Conditions, no warranties are specified.
15. Intellectual Property Owner	The Contractor is the owner of the Intellectual Property Rights in New Material for the purposes of clause 23.2 of the General Conditions.
16. Working Papers	Clause 23.1 (e) of the General Conditions applies.
17. Publicity	For the purposes of clause 24.4 of the General Conditions, no other Public Authority is specified.
18. Government Policies	For the purposes of clause 32 of the General Conditions, no obligations relating to Government procurement policies are specified.

SCHEDULE 2 - SPECIFICATION/STATEMENT OF REQUIREMENTS

1. STATEMENT OF REQUIREMENTS

CUA AFA2018 will provide a range of audit and financial advisory services to Public Authorities to assist with:

- a). conformance to the requirements of the Financial Management Act 2006 (FMA) and Government policies including TI 825 Risk Management and Security and the State Supply Commission's (SSC) Audit and Accreditation Framework
- b). financial resources management and budgetary decision-making processes.

The FMA requires Public Authorities to ensure that:

- the agency operates in a manner that is efficient and economic thus achieving its objectives
- have the custody, control and management of, and accounting for, all public property under its control
- an effective internal audit function is maintained.

The services available from the CUA will be sought on an 'as required' basis and engagement terms will vary. For example, a Public Authority's internal audit assignments may be performed completely in-house, or completely or partially outsourced to contractors. Financial advice is usually sourced on an individual assignment basis.

The structure of the CUA AFA2018 will be as follows:

- Mandatory for Public Authorities located in the Perth metropolitan area for categories A to G.
- Discretionary for Public Authorities located in the Perth metropolitan area for category H (program reviews).
- Discretionary for Public Authorities located in Western Australia regional areas where they may purchase outside the CUA, in accordance with the provisions of the 'Buy Local' policy.
- Discretionary for other approved CUA users.

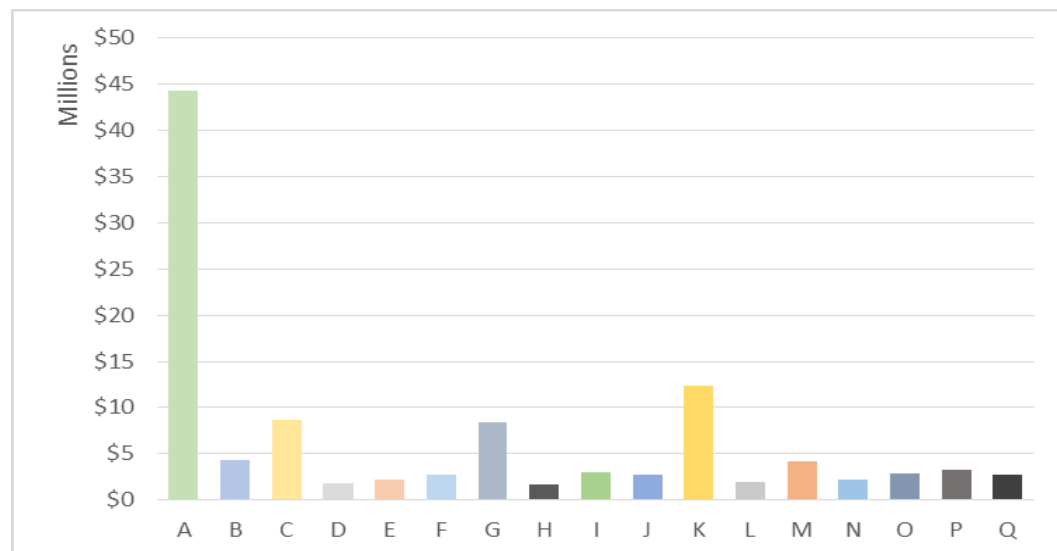
2. BACKGROUND

CUA AFA2018 for Audit and Financial Advisory Services will replace the current CUA for Audit Services and Financial Advice (CUA23706).

The CUA has been well utilised with continuous growth in annual contract spend. The following table is a summary of contract spend from contract commencement to 30 June 2016:

FINANCIAL YEAR	ANNUAL TURNOVER (\$ GST Inclusive)	CUMULATIVE TURNOVER (\$ GST Inclusive)
2008-2009	2,516,077	2,516,077
2009-2010	7,275,588	9,791,665
2010-2011	9,538,852	19,330,517
2011-2012	10,425,966	29,756,483
2012-2013	15,950,959	45,707,442
2013-2014	17,017,486	62,724,928
2014-2015	22,382,103	85,107,031
2015-2016	23,203,219	108,310,250

CUA23706 currently offers the choice of 46 contractors across two categories and 17 service sub-categories. The highest proportion of spend has been on Audit Services (69 per cent) and the sub-categories Internal Audit (\$44.4 million) and Procurement, Tendering and Commercial Advice (\$12.4 million). The distribution of total spend per category, from contract commencement to June 2016, is illustrated in the following graph:



AUDIT SERVICES

A - Internal Audit

B - Corporate Governance Reviews

C - Performance (Operational) Audits

D - Compliance Audits

E - Financial Audits

F - Information Systems Audits

G - Probity Audits

H - Risk Services

I - Investigations / Forensic Audits

FINANCIAL ADVICE

J - Capital Structure Advice

M - Development of Accounting Policies & Procedures

P - Taxation Advice

K - Procurement, Tendering & Commercial Advice

N - Preparation of Financial Statements & Annual Reports

Q - Financial Assessment Services

L - Financial Statements Analysis

O - Accounting Advice

3. SPECIFICATION

Successful Respondents will be required to provide Customers with the following categories of service:

3.1 CATEGORY A - AUDIT SERVICES

For audit services (other than for forensics or probity) including internal audits, performance (operational) audits, compliance audits, financial audits, information systems audits and corporate governance reviews.

The Institute of Internal Auditors' Professional Practice Framework (PPF) defines Internal Audit as "an independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes."

Treasurers Instruction Part XII outlines the basic requirements for an effective internal audit function and stipulate that audit services shall be carried out in accordance with the most recent Standards for the Professional Practice of Internal Auditing issued by The Institute of Internal Auditors.

An important aspect of the internal audit function is to report appropriately to the Customer or its audit committee on any matters, which in the opinion of the auditor, should be reported.

Feedback and advice should be provided to the Customer on Best Practice in both the public and private sectors as part of the internal audit reporting function, as this will assist enhancement of the Customer's efficiency and/or effectiveness and its controls.

3.2 CATEGORY B - FORENSIC AUDIT SERVICES

For investigations through forensic accounting to prevent and resolve commercial disputes, fraud, misconduct, and breaches of rules and regulations.

3.3 CATEGORY C - PROBITY SERVICES

For independent scrutiny of a process (including activities such as outsourcing, procurement, disposal of assets) to ascertain whether procedures followed are consistent with appropriate regulation, guidelines and best practice principles of openness and transparency. Elements that Probity Advisors and Probity Auditors must address are:

- Best value for money
- Impartiality
- Dealing with conflicts of interest
- Accountability and transparency
- Confidentiality.

a). Probity Audits

Probity Audits will examine and evaluate whether a Customer is complying with a probity plan during the life of a project and also assesses whether the established criteria, standards and principles have been complied with at the completion of a project.

b). Probity Advice

Probity advice and assistance will be provided before and during a process to improve the outcomes of a process and/or address unexpected probity issues that arise.

3.4 CATEGORY D - RISK ADVISORY SERVICES

For business/business unit, procurement, project, program or initiative risk reviews, assessments and facilitation services including advice and assistance in defining and assessing risk categories and treatments, workshops and training.

Treasurer's Instruction 825 Risk Management and Security states:

"The accountable authority shall ensure that:

- (i). there are procedures in place for the periodic assessment, identification, and treatment of risks inherent in the operations of the agency;
- (ii). suitable risk management policies and practices are developed;
- (iii). an appropriate level of security is maintained over money, public and other property of or under control of the agency, including information held and intellectual property developed and controlled by the agency; and
- (iv). these procedures, policies and practices are documented in the financial management manual or other relevant policy manuals."

The provision of risk advisory services will be in accordance with the existing Western Australian Government Risk Management Guidelines which adopt an enterprise-wide risk management approach. The Guidelines were published by RiskCover and can be accessed from https://www.icwa.wa.gov.au/data/assets/pdf_file/0023/7844/Risk-Management-Guidelines.pdf.

3.5 CATEGORY E – FINANCIAL, ACCOUNTING AND TAXATION ADVISORY SERVICES

For advice on financial, accounting and taxation matters including:

a). Financial Modelling

The development of financial models to support financial forecasting and analytics. This may include financial model reviews, advice and design.

b). Financial Statements Analysis

Support and advice on the interpretation of financial statements and related data that would assist Customers in their financial planning, resource management and decision-making.

c). Development of Accounting Policies and Procedures

Advice on the formulation and implementation of accounting policies and procedures in accordance with the requirements of the FMA.

d). Preparation of Financial Statements and Annual Reports

Assistance with the preparation of financial statements and annual reports in compliance with the requirements of the FMA and International Financial Reporting Standards.

e). Accounting Advice

Advice on the accounting treatment of large transactions, budget and cash flow management and advice on management models for facilities.

f). Taxation Advice

Advice on State and Commonwealth tax legislation and its impact on the operation and performance of Customers, and related reporting requirements.

3.6 CATEGORY F - PROCUREMENT ADVISORY SERVICES

For procurement advice including:

a). Business case development

Strategic analysis and advice at project and program level to support investment planning and decision making. Preparation of business cases in accordance with project concepts and guidelines.

b). Procurement strategy development

Preparation of procurement strategies at project and program level including the assessment of procurement options (e.g. design and construct, alliance, public private partnership, lease versus buy or other arrangements). Validation of procurement strategy through market capability analysis and market soundings.

c). Procurement process support

Development of selection/project evaluation criteria, development of tender documentation and support for tender evaluations, including value for money, financial and commercial evaluations. Assist in tender negotiation phase.

3.7 CATEGORY G - FINANCIAL ASSESSMENT SERVICES

For the assessment of the financial capacity of organisations including for pre-qualification, pre-contract award and post contract award monitoring of contracts. Financial assessment services provide a due diligence check to assess a contractor has the financial capacity to complete the work or supply the goods and services without becoming insolvent or experiencing financial distress.

This category includes customised financial assessments or the ordering of individual reports with specified delivery timeframes and minimum requirements and outputs as specified in Attachment A.

The monitoring assessment service is ongoing for contracts in progress and is to protect Customers from changes to financial capacity that may occur after the initial assessment report decision was made. This service will monitor changes to a company's "state of health" and provide an early warning prior to changes or events actually occurring.

3.8 CATEGORY H - PROGRAM REVIEWS (NON-MANDATORY)

For the appraisal and evaluation of Customer programs. Reviews are for identifying and understanding the results of a program and their impacts, as well as what can be the best alternatives to help in decision-making and lead to improvement in the process.

3.9 EXCLUSIONS

Services offered by the Western Australian Treasury Corporation (WATC) do not form part of this CUA; this means that Public Authorities can elect to engage the WATC to assist with their requirements.

3.10 QUOTE FORM

The Customer will seek a quote from a successful Respondent from the relevant Category using the Quote Form attached at Schedule 5. This includes the overall cost to complete the services, including GST.

The use of the Quote Form in Schedule 5 is to identify the Customer requirements with particular reference to the buying rules as shown in Schedule 6.

This does not apply to purchasing of financial assessment services.

3.11 ONLINE ORDERING SYSTEM FOR FINANCIAL ASSESSMENT SERVICES

Successful Respondents should have an internet based online ordering system available for Customers to order reports from Category G. The ordering system should be user friendly, readily accessible and reliable.

3.12 INTERNET SECURITY

When the provision of products and services under the Head Agreement are supported by an Information Technology (IT) system, the successful Respondent is required to maintain the adequacy of the security of their online computer system. Adequate security should address the following:

- a). integrity of data – security measures designed to ensure that data transmitted or stored electronically is neither accidentally nor deliberately altered, defaced or lost;
- b). confidentiality – the characteristic of data and information being disclosed only to authorised persons, entities and processes;
- c). authentication – security measures designed to establish the validity of a transmission, message, or originator or a means of verifying an individual's eligibility to receive specific categories of information; and
- d). availability of service – the characteristic of data, information and information systems being accessible and usable on a timely basis in the required manner.

Technology and management control mechanisms may include but not be limited to the following:

1. anti virus tools
2. firewalls
3. back-ups
4. encryption / SSL
5. password controls
6. business continuity plans
7. electronic IDs
8. change controls.

3.13 SERVICE REQUIREMENTS TO CUSTOMERS

It is important that a high level of customer service is maintained in the provision of these services including the suitability of the proposed services and accuracy of the associated administrative, technical and billing operations. Successful Respondents shall:

- a). Manage standards, processes and quality and ensure that services are supplied at the quoted rates.
- b). Offer suitable service outcomes to Customers on a 'value for money' basis.
- c). Provide a consistent and high level of services to all Customers.
- d). Work closely with the Customer to deliver all aspects of the service requirements.

- e). Ensure quality processes are in place to assess the suitability of the consultants offered to meet the outcomes and service requirements of Customers.
- f). Carry out services as requested by the Customer, including any additional requirements that may be requested in the Quote Form (Schedule 5).
- g). Provide feedback to the Customer on any issues, opportunities for improvement and minimising costs.
- h). Maintain records of services performed in sufficient detail to permit performance monitoring and auditing by the Customer and/or Contract Authority and to provide the information to the Customer and/or Contract Authority within 10 working days if requested.
- i). Participate in regular reviews of its performance by the Customer.

3.14 SERVICE STANDARDS

Successful Respondents shall:

- a). Ensure that its quality assurance procedures and processes meet or exceed the standard required by the Customer.
- b). Provide and maintain qualified and experienced personnel for the Customer Contract Term.
- c). Respond within 24 hours to any Customer enquiry or concern.
- d). Provide prior notice to the Customer to supply suitable replacement personnel if the initial proposed personnel is no longer available.

3.15 CONTRACT MANAGEMENT

The Contract Authority will monitor and manage successful Respondents under this Head Agreement. The Customer may nominate a contract representative to monitor and manage the Customer Contract.

3.15.1 Reporting Requirements to the Contract Authority

- a). The successful Respondent must accurately record and maintain all transactions made through this CUA and report these transactions quarterly in the Sales Report to the Contract Authority. The format of the Sales Report is detailed in Schedule 16 – Sales Reporting Requirements.
- b). The successful Respondent must ensure all accounting systems contain sufficient internal controls to maintain the accuracy of the sales and billing data.
- c). The Contract Authority may, at their complete discretion, unilaterally amend the content and format of the reports during the term of the Head Agreement, as may be required from time to time to meet the WA Government's policy commitments and meet the changing and increasing demand for management information.

- d). Notwithstanding the expiry of the Head Agreement, the Contractor must continue to submit the required reports to the Principal on each Customer Contact until such time as the last of the Customer Contracts has expired.

3.15.2 Key Performance Indicators

The following Key Performance Indicators (KPI) will be applicable:

- a). **KPI 1: Sales Reports correctly submitted.**

The successful Respondents will be required to provide comprehensive sales reports to a particular format and standard. The successful Respondents will be advised of the format required prior to commencement of the Contract.

Standards of Performance: 75 per cent success rate for sales reports correctly submitted.

Frequency: Quarterly

The Procurement Data Warehouse (PDW) system will not accept reports which have not been submitted in the correct format or with erroneous fields. Exception reports generated by the system should be completed in a timely manner by the successful Respondents. A worksheet will be included in the workbook to monitor the submission of accurate sales reports.

A measurement of 75 per cent success rate is required and this will be assessed annually. Failure to consistently provide sales reports in the correct format and in a timely fashion will be considered a breach of the successful Respondent's obligations for the purposes of the Request Conditions and General Conditions of Contract.

- b). **KPI 2: Sales Reports submitted on time.**

The successful Respondents will be required to submit Sales Reports within 30 calendar days of the end of the relevant quarter.

Standards of Performance: Must be submitted within 30 calendar days of the end of the quarter.

Frequency: Quarterly

Measurement will be recorded through the late reminder emails and a 100 per cent success rate is required annually.

- c). **KPI 3: Contract rates correctly applied.**

The successful Respondents will be required to apply the correct CUA contract rates for all engagements.

Standards of Performance: CUA contract rates must be correctly applied and a 100 per cent success rate is required annually.

Frequency of Report: At the discretion of the Contract Authority

Measurement will be at the discretion of the Contract Authority (e.g. through a sample audit of supplier sales data and invoices). CUA

buyers will also be encouraged to provide feedback to the Contract Manager to assist in the monitoring of performance.

Failure to comply with the KPI's specified is an Event of Default for the purposes of clause 35.3 of the Head Agreement.

3.15.3 Maintenance of Contractor Profile and Contact Information

- a). It is recommended that the successful Respondent review the currency of their profile information bi-annually from the Contract Commencement Date.
- b). The successful Respondent must promptly notify the Contract Authority on any changes to the circumstances of the organisation including change of address and contact information or company winding up whether voluntary or by court order.
- c). The successful Respondent must promptly notify the Contract Authority on changes to their nominated account manager. The outgoing account manager must notify the Contract Authority at least 14 days prior to departure and provide contact information for the incoming account manager.

3.15.4 Active Presence in the CUA

- a). The successful Respondent must maintain an active presence in the CUA.
- b). Prior to exercising extension options, the Contract Authority will review the quarterly sales reports. Where the Contractor has returned nil total sales since the contract award or last extension option, the Contract Authority may not exercise the next extension option with that Contractor.

This clause does not affect the Contract Authority's absolute discretion when determining whether to exercise extension options.

PART B – CONTENT REQUIREMENT AND RESPONDENT’S OFFER

PART B SHOULD BE COMPLETED BY THE RESPONDENT AND RETURNED TO THE CONTRACT AUTHORITY OR CUSTOMER (REFER ‘SUBMISSION OF OFFER’ REQUIREMENTS OF CLAUSE 2.1 IN THE REQUEST CONDITIONS).

1. NOTE TO RESPONDENT

In preparing its Offer, the Respondent must:

- a). address each requirement in the form set out in this Part B;
- b). take into account the Head Agreement and Customer Contract requirements, as explained in the Head Agreement and Customer Contract Details. The Respondent must read these in conjunction with the General Conditions;
- c). in respect of the Qualitative Requirements in Section 5 in this Part B, provide full details of any claims, statements or examples;
- d). assume that the Contract Authority or Customer has no knowledge of the Respondent, its activities, experience or any previous work undertaken by the Respondent for the Contract Authority, Customer or any other Public Authority; and
- e). nominate any Offer Information that the Respondent wishes to expressly and reasonably nominate as confidential for the purposes of the Request Conditions.

2. IDENTITY OF RESPONDENT

The Respondent must provide the following details:

RESPONDENT TO COMPLETE:	
(a) Name of Legal Entity:
(b) ACN (if a company):
(c) Registered address of Company or address of principal place of business if no registered address:
(d) Business Name:
(e) ABN:
(f) Contact Person:
(g) Contact Person Position Title:
(h) Email:
(i) Telephone:
(j) Facsimile:
(k) Address and facsimile number for service of contractual notices:
<i>Please provide response in the "CUA AFA2018 - Electronic Response Schedule" in Microsoft Excel pro forma under the "Identity of Respondent" tab</i>	

NB: The Offer does not require the Respondent's signature.

3. PRE-QUALIFICATION REQUIREMENTS

There are no pre-qualification requirements for this Request.

4. COMPLIANCE AND DISCLOSURE REQUIREMENTS

The Contract Authority or Customer will, in its Value for Money assessment, consider the extent to which the Offer satisfies the following Compliance and Disclosure Requirements. The Contract Authority or Customer reserves the right to reject any Offer that does not properly address any of the Compliance and Disclosure Requirements, and/or which contains material departures from the Head Agreement Details, Customer Contract Details and/or General Conditions.

a). COMPLIANCE

(i). Head Agreement Details

<p>The Respondent must confirm whether it will comply with the Head Agreement Details. If the Respondent will not comply with any clause of the Head Agreement Details, the Respondent must set out:</p> <p>(A) the clause(s) of the Head Agreement Details it will not comply with;</p> <p>(B) the extent of non-compliance – including the alternative clause, if any, or a description of any changes it requires to the Head Agreement Details; and</p> <p>(C) the reason for non-compliance.</p> <p>RESPONDENT TO COMPLETE:</p> <p>Does the Respondent agree to the Head Agreement Details?</p>	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>If no, provide details:</p> <p><i>Please provide response in the "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab.</i></p>	

(ii). Customer Contract

<p>The Respondent must confirm whether it will comply with the Customer Contract (excluding the General Conditions and Schedules). If the Respondent will not comply with any clause of the Customer Contract, the Respondent must set out:</p> <p>(A) the clause it will not comply with;</p> <p>(B) the extent of non-compliance – including the alternative clause, if any, or a description of any changes it requires to the Customer Contract; and</p> <p>(C) the reason for non-compliance.</p> <p>RESPONDENT TO COMPLETE:</p> <p>Does the Respondent agree to the Customer Contract?</p>	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>If no, provide details:</p> <p><i>Please provide response in the "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab.</i></p>	

(iii). **General Conditions / Schedules**

<p>The Respondent must confirm whether it will comply with the General Conditions and Schedules. If the Respondent will not comply with any of the General Conditions and Schedules, the Respondent must set out:</p> <p>(A) the General Condition / Schedules it will not comply with;</p> <p>(B) the extent of non-compliance – including the alternative clause, if any, or a description of any changes it requires to the General Conditions / Schedules; and</p> <p>(C) the reason for non-compliance.</p> <p>RESPONDENT TO COMPLETE:</p> <p>Does the Respondent agree to the General Conditions/Schedules?</p>	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>If no, provide details:</p> <p><i>Please provide response in the "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab.</i></p>	

b). **DISCLOSURES**(i). **Participants (including subcontractors)**

<p>RESPONDENT TO COMPLETE:</p> <p>Is the Respondent acting as an agent or trustee for another person or persons?</p>	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>If yes, provide details:</p> <p><i>Please provide response in the "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab.</i></p>	
<p>AND</p> <p>Is the Respondent acting jointly or in association with another person or persons?</p>	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>If yes, provide details:</p> <p><i>Please provide response in the "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab.</i></p>	
<p>AND</p> <p>Has the Respondent engaged, or does the Respondent intend to engage, another person or persons as a subcontractor in connection with the supply of the Services?</p>	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>If yes, provide details:</p> <p><i>Please provide response in the "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab.</i></p>	

(ii). **Criminal Convictions**

The Respondent must confirm that neither the Respondent nor any person included in the Specified Personnel has been convicted of a criminal offence that is punishable by imprisonment or detention.	
RESPONDENT TO COMPLETE:	
Has the Respondent or any person included in the Specified Personnel been convicted of a criminal offence that is punishable by imprisonment or detention?	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes, provide details: <i>Please provide response in the "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab.</i>	

(iii). **Conflict of Interest**

The Respondent must declare and provide details of any actual, potential or perceived conflict of interest.	
RESPONDENT TO COMPLETE:	
Does the Respondent have any actual, potential or perceived conflict of interest in relation to the performance of the Customer Contract (if awarded) by the Respondent?	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes, the reasons why: <i>Please provide response in the "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab.</i>	

(iv). **Small Business, Australian Disability Enterprise (ADE) and/or Aboriginal Business**

RESPONDENT TO COMPLETE:	
Respondent is required to disclose whether it is a:	
(A) small business that employs less than twenty (20) people: <i>Please provide response in the "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab.</i>	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
(B) registered Australian Disability Enterprise (ADE) – registered means to be listed as an approved ADE on the Australian Disability Enterprises website at: www.ade.org.au/ : <i>Please provide response in the "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab.</i>	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
(C) registered Aboriginal Business – the business is to be registered on the Aboriginal Business Directory WA at: http://www.abdwa.com.au/ : <i>Please provide response in the "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab.</i>	

Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>The Respondent should note that its response to this Compliance and Disclosure Requirement:</p> <p>(A) will be used by the Department of Finance for statistical purposes only; and</p> <p>(B) will not be used by the Customer in its evaluation of the Offer.</p>	

(v). **Credit Card/Purchasing Card Payment**

<p>RESPONDENT TO COMPLETE:</p> <p>The use of credit cards/purchasing cards by agencies is actively promoted as a payment method. The Respondent is required to disclose whether it agrees to receive credit card/purchasing card payment.</p> <p>Does the Respondent agree to receive credit card/purchasing card payments?</p>	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>Please refer to clause 21.6 of the Request Conditions and General Conditions of Contract for additional information.</p> <p><i>Please provide supporting details to this response as per the provided "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab.</i></p>	

(vi). **Competitive Neutrality**

<p>If the Respondent is a tertiary institution or statutory or Government body (including a Public Authority), the Respondent's Offer must:</p> <p>(A) be calculated on a full commercial basis (in accordance with the guidelines issued by Western Australian Department of Treasury entitled "Costing and Pricing Government Services – Guidelines for use by agencies in the Western Australian Public Sector, June 2015 http://www.treasury.wa.gov.au/uploadedFiles/Treasury/Publications/costing_and_pricing_guidelines_june2015.pdf)</p> <p>(B) be certified by the chief executive officer of the Respondent; and</p> <p>(C) be verified by an independent expert, if required by the Customer.</p> <p>Certification must be in the form of a letter from the chief executive officer of the Respondent certifying that the Offer has been calculated on a full commercial basis.</p>

RESPONDENT TO COMPLETE:

If the Respondent is a tertiary institution or statutory or Government body (including a Public Authority), has the Respondent included certification as required under this clause?

Yes No N/A

If no, the reasons why:

Please provide response in the "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab..

(vii). Professional Standards Scheme**RESPONDENT TO COMPLETE:**

Is the Respondent a member of an occupational association for which a scheme has been approved under the Professional Standards Act 1997 (WA) or equivalent legislation of another State or Territory of Australia?

Yes No

If yes, the Respondent must provide details:

Please provide response in the "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab.

(viii). Disclosure of Information between State Revenue and the Contract Authority**(A). Financial Information**

The Respondent, or if a body corporate, any director or majority shareholder, is required to consent to the Contract Authority making enquiries with the Western Australian Commissioner of State Revenue or his or her delegates as to the financial details of the Respondent, and to the Western Australian Commissioner of State Revenue or his or her delegates disclosing any tax information to the Contract Authority upon application and for the duration of any contract.

RESPONDENT TO COMPLETE:

Does the Respondent, or if a body corporate, any director or majority shareholder, consent to the Contract Authority making enquiries with the Western Australian Commissioner of State Revenue or his or her delegates as to the financial details of the Respondent, and to the Western Australian Commissioner of State Revenue or his or her delegates disclosing any tax information to the Contract Authority upon application and for the duration of any contract?

Yes No

Please provide response in the "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab.

(B). Related Corporations

The Respondent is required to disclose whether it or if a body corporate, any director or majority shareholder has been a director or majority shareholder of a corporation (other than a publicly listed corporation) which has gone into liquidation, receivership, external administration (or anything analogous to any of these) or any such corporation has entered into an arrangement whereby any Commonwealth or State taxes or charges are outstanding or have been written off either in whole or in part.

RESPONDENT TO COMPLETE:

Has the Respondent, or if a body corporate any director or majority shareholder of the Respondent, been a director or majority shareholder of a corporation (other than a publicly listed corporation) which has gone into liquidation, receivership, external administration (or anything analogous to any of these) or any such corporation has entered into an arrangement whereby any Commonwealth or State taxes or charges are outstanding or have been written off either in whole or in part?

Please provide response in the "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab.

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
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If yes:

- I. the Respondent must provide details;
- II. the Respondent consents to the Contract Authority making enquiries of the Western Australian Commissioner of State Revenue or his or her delegates, and to the Western Australian Commissioner of State Revenue or his or her delegates disclosing any tax information.
- III. the Respondent, if requested by the Contract Authority, must obtain the written consent of any such director or majority shareholder to the making of any such enquiries and obtaining information. Failure to provide any such consent may in the Contract Authority's absolute discretion result in the Respondent's Offer being excluded from further consideration.

Please provide response in the "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab.

(C). Number of Employees

The Respondent is required to disclose how many employees it employs, and of those employees what percentage are full-time, part-time and casual.

RESPONDENT TO COMPLETE:

How many employees does the respondent employ?

What percentage of these employees are:

I. full time; II. part time; III. casual.

Please provide response in the "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab.

(ix). Independent Evidence of Financial Solvency

The Respondent is required to provide independent evidence of financial solvency. The independent evidence of financial solvency can be a credit risk report from an independent provider in the last 6 months which clearly indicates the credit risk of engaging with a supplier. **For example:**

- a "Credit Risk" report from Dunn & Bradstreet; or
- a "Company Credit" report from Veda (Note: a Veda "My Credit File" is not acceptable); or
- a similar report from an alternative provider; or
- a letter signed by an independent accountant within the last 6 months on the accountant's letterhead stating the following (or similar):

"We act as accountant/s for Company X. We have reviewed the company's accounts for the period <period must be for the most recent financial year or within last 6 months> and confirm the company is financially solvent and able to pay its debts as and when they become due and payable." (to be signed with Contact Name and Position Title).

Financial statements, yearly statements, marketing material, or statements from a supplier's company's Director/s will not be acceptable forms of a credit report. The Contract Authority or Customer will reserve the right to reject any Offer that does not properly address any of the Compliance and Disclosure Requirements.

The independent evidence of financial solvency will be considered as part of the due diligence process.

RESPONDENT TO COMPLETE:

Does the Respondent agree to provide independent evidence of financial solvency?

Yes

No

Please attach independent evidence with the response.

If no, provide details:

Please provide response in the "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab.

(x). **Contractor Profile**

The Respondent is required to complete the Contractor Profile template in Schedule 17 – Contractor Profile for each service category that the Respondent is submitting an offer for.

RESPONDENT TO COMPLETE:	
Respondent to indicate and confirm that the Contractors Profile for each relevant service category is completed and attached.	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
<i>Please provide response in the "CUA AFA2018 - Electronic Schedule Response" in Microsoft Excel pro forma under the "Compliance and Disclosure" tab and complete and return Schedule 17 of this Request.</i>	

5. QUALITATIVE REQUIREMENTS

The Contract Authority or Customer will, in its Value for Money assessment, consider the extent to which the Offer satisfies the following Qualitative Requirements. The Contract Authority or Customer reserves the right to reject any Offer that does not properly address and satisfy any of the Qualitative Requirements.

5.1 ORGANISATIONAL CAPACITY (40% WEIGHTING) [50%]

The Respondent must demonstrate that it has the organisational capacity to perform the service categories nominated by the Respondent under this Common Use Arrangement (CUA). The Respondent must complete the following:

- a). Organisation structure:
 - (i). Provide an overview of the business including the date the business was established.
 - (ii). Provide the number of employees in the organisation (permanent, casual and subcontracted) based in WA and in other Australian states.
 - (iii). Provide the name and contact details of the account manager proposed for this CUA (i.e. dedicated to manage the CUA and liaise with the Customer).
- b). Resourcing strategy, training and professional development:
 - (i). Outline the resourcing strategy and process used by your organisation for their pre-qualification of sub-contractors (if sub-contractors are used).
 - (ii). Identify employee training programs or professional development opportunities to continuously improve skills and knowledge.
 - (iii). Outline your organisation's methodology to ensure continuity of service delivery and standards for the duration of the engaged period, including managing resource availability with sufficient expert and qualified backup resources.
 - (iv). Identify professional memberships, qualifications or relevant certification (to confirm compliance with professional standards) from appropriate recognised professional bodies such as Institute of Chartered Accountants Australia (ICAA); CPA Australia (CPAA); Institute of Internal Auditors (IIA); Information Systems Audit & Control Association (ISACA) held by specified personnel and/or the organisation where applicable:

Description	Relevance to panel category	Acquired since (mm/yy)

(v). Key Performance Indicators (KPIs):

- (A) Detail the process to ensure that the Key Performance Indicators will be met i.e. demonstrate ability to meet the requirements at the Head Agreement and Customer Contract level including accurate and timely reporting.

RESPONDENT TO COMPLETE:

Please provide the information required under this clause in an attachment labelled "5.1 Organisational Capacity".

5.2 DEMONSTRATED SKILLS AND EXPERIENCE (40% WEIGHTING) [50%]

The Respondent is to complete this qualitative requirement for each category to which they are submitting an offer. If Respondents indicate and confirm 'No' and do not respond to the applicable qualitative requirement for the category they will not be assessed or considered for that category.

Qualitative assessments will be undertaken for each category individually and the specified weighting applied.

5.2.1 FOR CATEGORY A - AUDIT SERVICES

RESPONDENT TO COMPLETE:

Respondent to indicate and confirm that they wish to submit an offer for **Category A - Audit Services**

Yes

No

If yes:

The Respondent must provide at least two examples of completed projects that relate to **Category A - Audit Services** to demonstrate the Respondent's skills and experience in performing similar requirements.

Please provide the information in the table format below and in an attachment labelled "5.2.1 Demonstrated Skills and Experience for Category A - Audit Services".

Project Name:

Client Organisation Name:

Project Dates: mm/yy – mm/yy

Total Contract Value: \$

Similarities between the example and the services:

Services Provided:

Methodology Used:
Outcome:
Referee/s Contact Details: Name: Position Title: Email: Telephone

The Contract Authority may contact referees as part of the evaluation process to verify claims of relevant experience. It is the Respondent's responsibility to ensure that the nominated referee's details are correct.

5.2.2 FOR CATEGORY B - FORENSIC AUDIT SERVICES

RESPONDENT TO COMPLETE:	
Respondent to indicate and confirm that they wish to submit an offer for Category B - Forensic Audit Services	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes: The Respondent must provide at least two examples of completed projects that relate to Category B - Forensic Audit Services to demonstrate the Respondent's skills and experience in performing similar requirements. <i>Please provide the information in the table format below and in an attachment labelled "5.2.2 Demonstrated Skills and Experience for Category B - Forensic Audit Services".</i>	

Project Name:
Client Organisation Name:
Project Dates: mm/yy – mm/yy
Total Contract Value: \$
Similarities between the example and the services:
Services Provided:

Methodology Used:
Outcome:
Referee/s Contact Details: Name: Position Title: Email: Telephone

The Contract Authority may contact referees as part of the evaluation process to verify claims of relevant experience. It is the Respondent's responsibility to ensure that the nominated referee's details are correct.

5.2.3 FOR CATEGORY C - PROBITY SERVICES

RESPONDENT TO COMPLETE:	
Respondent to indicate and confirm that they wish to submit an offer for Category C - Probity Services	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes: The Respondent must provide at least two examples of completed projects that relate to Category C – Probity Services to demonstrate the Respondent's skills and experience in performing similar requirements. <i>Please provide the information in the table format below and in an attachment labelled "5.2.3 Demonstrated Skills and Experience for Category C – Probity Services".</i>	

Project Name:
Client Organisation Name:
Project Dates: mm/yy – mm/yy
Total Contract Value: \$
Similarities between the example and the services:
Services Provided:

Methodology Used:
Outcome:
Referee/s Contact Details: Name: Position Title: Email: Telephone

The Contract Authority may contact referees as part of the evaluation process to verify claims of relevant experience. It is the Respondent's responsibility to ensure that the nominated referee's details are correct.

5.2.4 FOR CATEGORY D - RISK ADVISORY SERVICES

RESPONDENT TO COMPLETE:	
Respondent to indicate and confirm that they wish to submit an offer for Category D - Risk Advisory Services	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes: The Respondent must provide at least two examples of completed projects that relate to Category D – Risk Advisory Services to demonstrate the Respondent's skills and experience in performing similar requirements. <i>Please provide the information in the table format below and in an attachment labelled "5.2.4 Demonstrated Skills and Experience for Category D – Risk Advisory Services".</i>	

Project Name:
Client Organisation Name:
Project Dates: mm/yy – mm/yy
Total Contract Value: \$
Similarities between the example and the services:
Services Provided:
Methodology Used:

Outcome:
Referee/s Contact Details:
Name:
Position Title:
Email:
Telephone

The Contract Authority may contact referees as part of the evaluation process to verify claims of relevant experience. It is the Respondent's responsibility to ensure that the nominated referee's details are correct.

5.2.5 FOR CATEGORY E – FINANCIAL, ACCOUNTING AND TAXATION ADVISORY SERVICES

RESPONDENT TO COMPLETE:	
Respondent to indicate and confirm that they wish to submit an offer for Category E – Financial, Accounting and Taxation Advisory Services	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes:	
The Respondent must provide at least two examples of completed projects that relate to Category E – Financial, Accounting and Taxation Advisory Services to demonstrate the Respondent's skills and experience in performing similar requirements.	
<i>Please provide the information in the table format below and in an attachment labelled "5.2.5 Demonstrated Skills and Experience for Category E – Financial, Accounting and Taxation Advisory Services".</i>	

Project Name:
Client Organisation Name:
Project Dates: mm/yy – mm/yy
Total Contract Value: \$
Similarities between the example and the services:
Services Provided:
Methodology Used:

Outcome:
Referee/s Contact Details:
Name:
Position Title:
Email:
Telephone

The Contract Authority may contact referees as part of the evaluation process to verify claims of relevant experience. It is the Respondent's responsibility to ensure that the nominated referee's details are correct.

5.2.6 FOR CATEGORY F - PROCUREMENT ADVISORY SERVICES

RESPONDENT TO COMPLETE:	
Respondent to indicate and confirm that they wish to submit an offer for Category F - Procurement Advisory Services	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes:	
The Respondent must provide at least two examples of completed projects that relate to Category F - Procurement Advisory Services to demonstrate the Respondent's skills and experience in performing similar requirements.	
<i>Please provide the information in the table format below and in an attachment labelled "5.2.6 Demonstrated Skills and Experience for Category F - Procurement Advisory Services".</i>	

Project Name:
Client Organisation Name:
Project Dates: mm/yy – mm/yy
Total Contract Value: \$
Similarities between the example and the services:
Services Provided:
Methodology Used:
Outcome:

Referee/s Contact Details:

Name:

Position Title:

Email:

Telephone

The Contract Authority may contact referees as part of the evaluation process to verify claims of relevant experience. It is the Respondent's responsibility to ensure that the nominated referee's details are correct.

5.2.7 FOR CATEGORY G – FINANCIAL ASSESSMENT SERVICES**RESPONDENT TO COMPLETE:**

Respondent to indicate and confirm that they wish to submit an offer for **Category G – Financial Assessment Services**

Yes

No

If yes:

The Respondent must provide at least two examples of completed projects that relate to **Category G – Financial Assessment Services** to demonstrate the Respondent's skills and experience in performing similar requirements.

Please provide the information in the table format below and in an attachment labelled "5.2.7 Demonstrated Skills and Experience for Category G – Financial Assessment Services".

Project Name:**Client Organisation Name:****Project Dates:** mm/yy – mm/yy**Total Contract Value:** \$**Similarities between the example and the services:****Services Provided:****Methodology Used:****Outcome:**

Referee/s Contact Details:

Name:

Position Title:

Email:

Telephone

The Contract Authority may contact referees as part of the evaluation process to verify claims of relevant experience. It is the Respondent's responsibility to ensure that the nominated referee's details are correct.

- a). Respondents are to outline their ordering systems for Customers, including details of any secure credit card payment facilities and process for enabling and maintaining secure access for Customers.

5.2.8 FOR CATEGORY H - PROGRAM REVIEWS**RESPONDENT TO COMPLETE:**

Respondent to indicate and confirm that they wish to submit an offer for **Category H - Program Reviews**

Yes

No

If yes:

The Respondent must provide at least two examples of completed projects that relate to **Category H - Program Reviews** to demonstrate the Respondent's skills and experience in performing similar requirements.

Please provide the information in the table format below and in an attachment labelled "5.2.8 Demonstrated Skills and Experience for Category H - Program Reviews".

Project Name:**Client Organisation Name:****Project Dates:** mm/yy – mm/yy**Total Contract Value:** \$**Similarities between the example and the services:****Services Provided:****Methodology Used:**

Outcome:
Referee/s Contact Details:
Name:
Position Title:
Email:
Telephone

The Contract Authority may contact referees as part of the evaluation process to verify claims of relevant experience. It is the Respondent's responsibility to ensure that the nominated referee's details are correct

5.3 LOCAL CONTENT (20% WEIGHTING) [0%]

When a bid is received from:

- A business that is located in another state or territory of Australia, or in New Zealand under the Australia New Zealand – Government Procurement Agreement (ANZGPA); or
- A business that is located in the United States (when the purchase is a “covered procurement” under the Australia-United States Free Trade Agreement (AUSFTA));
- A business that is located in Chile (when the purchase is a “covered procurement” under the Australia Chile Free Trade Agreement (ACI-FTA));
- A business that is located in Korea (when the purchase is a “covered procurement” under the Korea-Australia Free Trade Agreement (KAFTA)); or
- A business that is located in Japan (when the purchase is a “covered procurement” under the Japan-Australia Economic Partnership Agreement (JAEPA)),

the local content weighted selection criteria will not be evaluated during the qualitative assessment. Should the local content criterion not be applicable, the 20% weighting will be divided proportionately across the remaining criteria (see [xx%] for revised weightings).

The Respondent must address the following:

- a. the Respondent must specify the location where the following activities will be performed:
 - (A). where the proposed services will be conducted;
 - (B). where back up support will be sourced and provided; and
 - (C). where contract management will be undertaken;

- b. the Respondent must provide details of how the Respondent supports other Western Australian businesses through subcontracting or service supply arrangements;
- c. the Respondent must estimate the percentage of the total Offered Price as to the amount which represents Contract activities performed in Western Australia, in other Australian States or Territories, New Zealand, the United States, Chile, Korea, Japan and overseas, in accordance with the following table:

	Western Australian Content	Other Australian States, New Zealand, United States, Chile, Korea and Japan	Imported Overseas Content	TOTAL
%	%	%	%	100%

- d. the Respondent must estimate the employment creation and retention and industry and skills development initiatives which may arise if a contract is awarded to the Respondent; and
- e. the Respondent must provide details of any other economic, social or environmental benefits to Western Australia.

RESPONDENT TO COMPLETE:

Respondent to provide the local content information required under this clause.

6. HEAD AGREEMENT AND CUSTOMER CONTRACT INSURANCE REQUIREMENTS

6.1 HEAD AGREEMENT INSURANCE REQUIREMENTS

The Respondent must demonstrate that it has the insurances required under Schedule 1 - Head Agreement Details.

RESPONDENT TO COMPLETE:

Does the Respondent have the following insurance required under Schedule 1 - Head Agreement Details?

- Public Liability Insurance
- Workers' Compensation including common law liability of \$50 million

(Yes / No)

If yes, the Respondent must provide response in the "CUA AFA2018 - Electronic Response Schedule" in Microsoft Excel pro forma under the "Insurance Details" tab.

Information required	Insurer	ABN	Policy No	Insured Amount	Expiry Date	Exclusions, if any
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OR

If no, does the Respondent confirm that prior to being awarded the Head Agreement, they will obtain the insurance policies specified before the Commencement Date?

(Yes / No)

If no, the reasons why.

Please provide response in the "CUA AFA2018 - Electronic Response Schedule" in Microsoft Excel pro forma under the "Insurance Details" tab.

6.2 CUSTOMER CONTRACT INSURANCE REQUIREMENTS

The Respondent must demonstrate that it has the insurances required under Schedule 1 - Customer Contract Details.

RESPONDENT TO COMPLETE

Does the Respondent have the following insurance requirements set out in Schedule 1 - Customer Contract Details?

- Public Liability Insurance
- Professional Indemnity insurance
- Workers' Compensation insurance including common law liability of \$50 million

(Yes / No)

If yes, the Respondent must provide response in the "CUA AFA2018 - Electronic Response Schedule" in Microsoft Excel pro forma under the "Insurance Details" tab

Information required	Insurer	ABN	Policy No	Insured Amount	Expiry Date	Exclusions, if any
----------------------	---------	-----	-----------	----------------	-------------	--------------------

OR

If no, does the Respondent confirm that prior to being awarded a contract, they will obtain the insurance policies set out in Schedule 1 - Customer Contract Details before the Commencement Date?

(Yes / No)

If no, the reasons why.

Please provide response in the "CUA AFA2018 - Electronic Response Schedule" in Microsoft Excel pro forma under the "Insurance Details" tab.

SCHEDULE 3 - PRICING

The Contract Authority or Customer will, in its Value for Money assessment, consider the extent to which the Offer satisfies the following Offered Price and Pricing Requirements. The Contract Authority or Customer reserves the right to reject any Offer that does not properly address and satisfy any of the Offered Price and Pricing Requirements.

The following definitions will apply to the price schedule requirement for all sub-categories but does not apply to Financial Assessment Services:

POSITION TITLE	QUALIFICATIONS/EXPERIENCE
Partner/Director	Partner/ Director of the professional service provider. Extensive experience in the application of modern methodologies and practices in relevant discipline.
Senior Manager	Senior manager with ability and experience to lead a team of professionals. Extensive experience in the application of modern methodologies and practices in relevant discipline.
Manager/Supervisor	An experienced professional with responsibility to manage senior, intermediate and graduate positions in team. Substantial appropriate experience in relevant discipline.
Senior	An experienced professional with appropriate experience in relevant discipline.
Intermediate	Two to three years of experience in a relevant discipline.
Graduate	Person with professional qualification/affiliation and less than two years of experience.

a) OFFERED PRICE AND PRICE SCHEDULE

- (i) The Respondent must include in the Offer this completed Schedule 3 - Pricing.
- (ii) The Respondent must state the basis of its Offered Price in Australian Dollars.
- (iii) The Offered Price will be deemed to include the cost of complying with this Request (including the Head Agreement Details and Customer Contract Details) and the General Conditions and the cost of complying with all matters and things necessary or relevant for the due and proper performance of the Head Agreement and Customer Contract. Any charge not stated as being additional to the Offered Price will not be payable by the Customer.
- (iv) If the Offered Price is consideration for a taxable supply under the GST Act, the Offered Price will be deemed to be inclusive of all GST applicable to the taxable supply at the rate in force for the time being.
- (v) Depending on the size and structure of the organisation, the Respondent should provide the rates that will apply to the categories or levels of staff that may provide services under this contract.

b) SCHEDULE OF RATES

The tendered rates are maximum rates and will form the “published schedule of rates”. Customers will base their Value for Money assessment and decision on the “published schedule of rates” when considering engagements. Rates may be negotiated lower for individual Customer Contracts, but must not be more than the “published schedule of rates”.

(i) For categories A, B, C, D, E, F and H

		A. Audit Services	B. Forensic Audit Services	C. Probity Services	D. Risk Advisory Services	E. Financial, Accounting and Taxation Advisory Services	F. Procurement Advisory Services	H. Program Reviews
		Maximum Hourly Rate (\$) including GST						
POSITION TITLE	Partner/ Director	<i>Please provide response in the “CUA AFA2018 - Electronic Response Schedule” in Microsoft Excel pro forma under the “Pricing for A, B, C, D, E, F and H” tab.</i>						
	Senior Manager							
	Manager/ Supervisor							
	Senior							
	Intermediate							
	Graduate							

(ii) For Category G - Financial Assessment Services

i. Customised Financial Assessment (hourly rate)	5-day Turnaround Assessment				3-day Turnaround Assessment				x. Update of Prior Assessment (for assessments under 6 weeks old)	xi. Electronic copy of previous Assessments	xii. Monitoring Assessment for a Contract in Progress
	ii. Standard Financial Assessment Report	iii. Standard Financial & Performance Assessment Report	iv. Detailed Financial Assessment Report	v. Detailed Financial & Performance Assessment Report	vi. Standard Financial Assessment Report	vii. Standard Financial & Performance Assessment Report	viii. Detailed Financial Assessment Report	ix. Detailed Financial & Performance Assessment Report			
Rate per assessment including GST	<i>Please provide response in the "CUA AFA2018 - Electronic Response Schedule" in Microsoft Excel pro forma under the "Pricing for G" tab.</i>										

SCHEDULE 4 – NOT APPLICABLE

SCHEDULE 5 – ORDER FORM

The Contract Authority reserves the right at its sole discretion to amend the Quote Form during the Term of the Head Agreement.

ORDERING PROCESS:

- Step 1 - Customer completes and forwards **Part A: CUA AFA2018 QUOTE FORM** to selected Contractor(s) as per CUA AFA2018 Buying Rules (refer to Buyers Guide for Buying Rules under this CUA).
- Step 2 - Contractor(s) completes, signs and returns **Part B: CUA AFA2018 CONTRACTOR OFFER** to the Customer by the specified date for consideration.
- Step 3 - Customer discusses and negotiates with selected Contractor (if applicable).
- Step 4 - Customer completes, signs and forwards **Part C: CUSTOMERS ACKNOWLEDGEMENT AND ACCEPTANCE OF OFFER** to selected Contractor.
- Step 5 - If applicable, Customer notifies unsuccessful Contractors and prepares written justification as to why a particular Contractor was selected over other Contractors.
- Step 6 - Contractor delivers services.

**SCHEDULE 5 – QUOTE FORM
RESPONDENT TO READ AND KEEP THIS**

PART A: CUA AFA2018 QUOTE FORM

To: _____

(name of Contractor and contractor contact person)

This Quote incorporates the Department of Finance Request Conditions and General Conditions of Contract [December 2016], the Common Use Arrangement (CUA AFA2018), the attachments (if applicable) and the Customer (Buying Entity) Contract (if applicable).

Please respond to this quote prior to:

Quotation Closing date:		Time:	
--------------------------------	--	--------------	--

CUSTOMER DETAILS

Date of Issue:

Customer or Buying Entity: *(Required)*

Quotation Description:

Quote Number: *(Required)*

Address for service delivery:

Contact Person and position title:

Telephone:		Email:	
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SERVICE REQUIREMENTS

Service Category Selection: (please select)

A. Audit Services		E. Financial Advisory Services	
B. Forensic Audit Services		F. Procurement Advisory Services	
C. Probity Services		G. Financial Assessments Services *	
D. Risk Advisory Services		H. Program Reviews	

*** For (G.) Financial Assessment Services (please select)**

i. Customised Assessment
(must provide details in Scope of Work / Other Requirements)

Standard Turnaround Assessment (5 days)

ii. Standard Financial Assessment Report		iii. Standard Financial & Performance Assessment Report	
iv. Detailed Financial Assessment Report		v. Detailed Financial & Performance Assessment Report	

Priority Turnaround Assessment (3 days)

vi. Standard Financial Assessment Report		vii. Standard Financial & Performance Assessment Report	
viii. Detailed Financial Assessment Report		ix. Detailed Financial & Performance Assessment Report	

**SCHEDULE 5 – QUOTE FORM
RESPONDENT TO READ AND KEEP THIS**

<i>Other Services</i>			
x. Update of Prior Assessment & Reassessment (under 6 weeks old)		xi. Electronic copy of previous Assessments	
xii. Monitoring Assessment for a Contract in Progress			
Scope of Work / Other Requirements (or attached): <i>[Provide details on service requirements]</i>			
Estimated Start Date:		Estimated Finish Date:	
Extension options (if any):			
Qualitative Criteria (if any):			
Special Conditions (if any):			
<p>Insurance: As per Schedule 1 of the Request or note :</p> <p>The following insurances and liability caps automatically apply:</p> <p>Professional Indemnity - \$2m per instance and in aggregate.</p> <p>Public Liability - \$10m per instance and unlimited in aggregate.</p> <p>Workers' Compensation - \$50m.</p> <p>Procurement with moderate to high risks may require higher insurances and liability caps. If the insurance requirements differ from Schedule 1 of the Request, please specify in this section of the quote form.</p>			
Contract Management Requirements (if any): <i>(e.g. Contact details, Reporting, Meetings, Key Performance Indicators etc.)</i>			
Payment Schedule (if any): <i>(e.g. Payment on a monthly basis in arrears, 40% at provision of milestone 1 and 40% at delivery of Project Outcomes.)</i>			
Preferred Payment Method: Purchasing Card <input type="checkbox"/> EFT <input type="checkbox"/>			

NOTE: ORDERING FINANCIAL ASSESSMENT SERVICES

The ordering of Financial Assessment Services will be via the Contractor(s) online system or as otherwise agreed.

**SCHEDULE 5 – QUOTE FORM
RESPONDENT TO READ AND KEEP THIS**

PART B: CUA AFA2018 CONTRACTOR OFFER

To: _____
(Name of Customer/Buying Entity and customer contact person)

For Customer Quote Number: _____

CONTRACTORS DETAILS

Contractor: _____

Registered Address or
Principal Place of Business: _____

Address for Receiving
Contractual Advice: _____

Contractor ABN and ACN: _____

Contractor Contact Person: _____

Phone: _____

Email: _____

Is the Respondent a small business that employs less than twenty (20) people?

Yes

No

CONTRACTORS RESPONSE TO QUOTE FORM

Additional Information, Attachments in Response to Quote (if required).

If insurances and liability caps differ from Schedule 1 of the Request, Respondents must provide certificates of currency demonstrating the revised insurances.

Position Title	Nominated Personnel	Hourly Rates		Allocated hours per nominated personnel	Total Cost per nominated personnel (Inc GST)
		Excl GST	Inc GST		
Partner/Director		\$	\$		\$
Manager/Supervisor		\$	\$		\$
Senior		\$	\$		\$
Intermediate		\$	\$		\$
Graduate		\$	\$		\$
Disbursements (if applicable provide details)					\$
TOTAL					\$

Contract Price \$: as per maximum hourly rates rates as negotiated (as attached)

Accepted Payment Method: Purchasing Card EFT

I (the Contractor) certify that the above prices and information are in accordance with the terms, conditions and pricing of CUA AFA2018 for Audit and Financial Advisory Services.

Signature: _____			
Name: _____	Date: _____		

PART C: CUA AFA2018 CUSTOMERS ACKNOWLEDGEMENT AND ACCEPTANCE OF OFFER

To: _____			
(name of Contractor and contractor contact person)			
For Customer Quote Number:			
CUSTOMER CONTRACT DETAILS (insert or delete rows below as required)			
Customer or Buying Entity: <i>(Required)</i>			
Address for service delivery:			
Customer Contact Person and position title:			
Telephone:		Email:	
Service Category:			
Start Date:		Finish Date:	
Extension options (if any):			
Pricing details:			
Other details (if any):			

Delegated Authority's Signature:

Signature:			
Name:		Date:	
Position Title:			

SCHEDULE 6 - BUYING RULES

Potential Customers will purchase the Services in accordance with the following Buying Rules:

Work valued up to \$250,000 (GST inclusive)	PICK AND BUY (NO QUOTES REQUIRED) Buyers to refer to listed hourly rates and directly engage a contractor by confirming the work assignment via email.
Work valued above \$250,000 (GST inclusive)	QUOTES REQUIRED If it can be foreseen that the cost of an engagement will exceed \$250,000, then buyers must seek 2 or more written quotes from selected contractors by communicating requirements using the Quote Form. A decision can then be made on which contractor represents a value for money outcome.

SCHEDULE 7 TO 15 – NOT APPLICABLE

SCHEDULE 16 – SALES REPORTING REQUIREMENTS

Sales reports will be required to meet these minimum standards:

a) Sales report format:

Invoice Number	Invoice Date	Buying Entity	Buying Entity Quote Number	Buying Entity Contact Person	Buying Entity Contact Phone Number	Buying Entity Contact Email	Delivery Location Postcode	Category Code	Category Description	Consultant Position Level	Rate Type (H or F)	CUA Maximum Hourly rate Inc GST	Hourly Rate Charged Inc GST	Hours	Invoice Total Inc GST

b) Dataset Field Descriptions

Field Header	Format	Description	Example Data Entry
Invoice Number	Number/Text	Unique identifier of the invoice provided	123457
Invoice Date	Date	Date the service was charged (dd/mm/yyyy)	2/08/2018
Buying Entity	Text	Non-abbreviated name of the entity that the order originated from	Department of Health
Buying Entity Quote Number	Number/Text	Unique identifier of the customer order/contract	RFQ123457
Buying Entity Contact Name	Text	Name of the contact within the buying entity	John Citizen
Buying Entity Contact Email	Text	Email address of the buying entity contact	Frank.zappa@education.wa.gov.au
Buying Entity Contact Phone Number	Text	Phone Number of the buying entity contact	9425 1659
Delivery Location Postcode	Number	Postcode of where the services were delivered	6060
Category Code	Text	The code assigned to the category and service description REFER TO SERVICE CATEGORIES	D
Category Description	Text	Description of the category of service provided REFER TO SERVICE CATEGORIES	Risk Advisory Services
Consultant Position Level	Text	Where applicable the position of the consultant working on the task REFER TO POSITION TITLE	Manager
Rate Type	Text	Select from Hourly rate = H or Fixed Price = F	H
CUA Maximum hourly rate Inc GST*	Number	The maximum CUA hourly rate	\$175
Hourly Rate Charged Inc GST*	Number	The rate charged by the consultant	\$150
Hours*	Number	The number of hours spent working on the job	50
Invoice Total Inc GST	Number	Total invoice amount, including GST	\$7,500

* Not required for fixed price and data entry = 0

SCHEDULE 17 - CONTRACTOR PROFILE

The Respondent must complete a Contractor Profile for each category that the Respondent is submitting and offer for.

If the Respondent is successful, the profile will be published on the ContractsWA website. The profile can be updated at any time throughout the Term of the contract. It is highly recommended that the profiles be updated regularly to keep the information current and relevant.

The Contractor Profile is widely used by Customers to search for potential Contractor/s that have the experience and expertise to meet its requirements. The Contractor Profile is an opportunity for Contractors to provide details and market their skills and experience to Customers relevant to each category.

To maximise the likelihood that the Customers will be able to obtain the right information about the organisation, please ensure that the information provided is:

- Direct and concise - This improves the readability of the profile.
- Relevant and helpful - Understand the potential needs of Customers and keep the content focused to engage the reader.
- Credible – Where possible, support claims with verifiable facts.

Format Requirements:

- The profile for each category must not exceed one (1) page in total;
- Template cannot be altered or fields renamed;
- Font – Arial 11; and
- Word document file.

Profiles that do not abide by these formatting requirements will not be accepted.

**[Company Legal Entity and Trading
Name]**

Company Contact Person	
Address	
Direct Telephone	
General Telephone	
Email	
Website Address	
Category	

ABOUT US

[Tip: This section should contain information about who you are by showing potential Customers what your company can do for them or share some success stories]

SKILLS, EXPERIENCE AND SERVICES

[Tip: consider inclusion of important keywords that potential Customers will be searching on]

INDUSTRY CERTIFICATIONS AND/OR QUALIFICATIONS RELEVANT TO THE CATEGORY

INDUSTRY PARTNERS OR AFFILIATIONS

ATTACHMENT A - MINIMUM REQUIREMENTS FOR FINANCIAL ASSESSMENT SERVICES

Name of Products or Services	Standard Financial Assessment Report	Standard Financial & Performance Assessment	Detailed Financial Assessment Report	Detailed Financial & Performance Assessment Report
Standard Timeframe (maximum days)	5	5	5	5
Priority Timeframe (maximum days)	3	3	3	3
Report to include as a minimum the field below	Included	Included	Included	Included
Executive Summary & Financial Overview	x	x	x	x
ASIC Search - Corporate Details	x	x	x	x
Shareholder / Ownership Details	x	x	x	x
Statutory Information	x	x	x	x
Legal Structure	x	x	x	x
Business Structure & Profile	x	x	x	x
Trading Details and Structure	x	x	x	x
History & Background	x	x	x	x
Operations and Activities	x	x	x	x
Office-holder Profiles & Adverse Checks	x	x	x	x
Bank Details & Banking Facilities	x	x	x	x
Registered Charges and Securities	x	x	x	x
Check for Adverse Information	x	x	x	x
Defaults and Court Actions	x	x	x	x
Location and Contact Details	x	x	x	x
Branches	x	x	x	x
Controlled & Associated Entities	x	x	x	x
Parent & Ultimate Parent Entity	x	x	x	x
Employee FTE/Subcontractor Access	x	x	x	x
Capacity Rating	x	x	x	x
Corporate Composite Rating/Score	x	x	x	x
Modelled Pass/Fail	x	x	x	x
Risk Mitigation Recommendations	x	x	x	x
Multiple Scores and Ratings	x	x	x	x
Key Issues Identified	x	x	x	x
Counter Party Risks	x	x	x	x
Related Party Loans investigated	x	x	x	x
Summary Financial Statement and Key Ratios (2yrs)	x	x	x	x
Summary Financial Statement and Key Ratios (up to 4yrs)			x	x
Financial Statement Analysis	x	x	x	x
Financial Investigation	x	x	x	x
Copy of Financial Statements Received	x	x	x	x
Ratio Analysis	x	x	x	x

**ATTACHMENT A
RESPONDENT TO READ AND KEEP THIS**

Name of Products or Services	Standard Financial Assessment Report	Standard Financial & Performance Assessment	Detailed Financial Assessment Report	Detailed Financial & Performance Assessment Report
Standard Timeframe (maximum days)	5	5	5	5
Priority Timeframe (maximum days)	3	3	3	3
Report to include as a minimum the field below	Included	Included	Included	Included
Ratio Definitions / Explanations	x	x	x	x
Graphical Overview	x	x	x	x
Cashflow Analysis	x	x	x	x
Debtor/Creditor Analysis			x	x
Detailed Financial Narrative			x	x
Detailed Ratio Analysis			x	x
Review Management Accounts			x	x
Review of Operating Cash Flow			x	x
Review of Key Counterparty Risk			x	x
Review of Funding and liquidity			x	x
Review of Contingent Liabilities			x	x
Future Outlook			x	x
Source of Funding Analysed			x	x
Financial Capacity Analysed	x	x	x	x
Industry Position Percentile Charts			x	x
Analyst's Financial Narrative	x	x	x	x
2X10 point Detailed Referee Checks		x		x
Customisable Referee Interviews		x		x
Referee Performance Rating		x		x
Projects and Contracts		x	x	x
Supplier references		x	x	x
Subcontractor references	x	x	x	x
Work in Progress & Upcoming Contracts	x	x	x	x
Detail of Recently Completed Contracts	x	x	x	x
Media Release Scan			x	x



ADDENDUM TO REQUEST DOCUMENTS

REQUEST NO.: CUA AFA2018

ADDENDUM NO.: 1

DATE OF ISSUE: 11 September 2016

NO. OF PAGES: 4 (inc this sheet)

IMPORTANT

**Please acknowledge this addendum within 24 hours of receipt.
Failure to acknowledge this addendum prior to the close of offers may
constitute grounds for rejection of the offer.**

Acknowledgment may be made if your Offer has been submitted prior to receipt of this addendum. The acknowledgment must state whether the price contained in your sealed Offer is to remain unchanged or by how much it is to be increased or decreased in value. The acknowledgment must be received prior to the specified closing time.

Please acknowledge this addendum whether your organisation is tendering or not.

To: Tendering Services
Ground Floor, Optima Centre
16 Parkland Road
Osborne Park WA 6017

Phone: (08) 6551 2345

Email: tenderingservices@finance.wa.gov.au

We acknowledge receipt of ADDENDUM NO. 1 to the Request Document(s) for:
CUA AFA2018 FOR AUDIT AND FINANCIAL ADVISORY SERVICES

(please print)

Name of Company _____

Person Tendering _____

Address _____

Signature _____

Date _____

ADDENDUM ADVICE

Please find additional information relating to the Request - CUA AFA2018.

Non Mandatory Briefing Presentation

The MS Power Point Presentation for the tender briefing held on the 8 September 2017 is the PDF document on Tenders WA titled:

Addendum 1 Appendix CUA AFA2018 Non Mandatory Briefing MS Power Point Presentation

Questions and responses

The following questions and responses have been recorded:

1. Given the many changes within the public sector of late, how do we handle referees that have left the organisation?

Respondents may nominate referees that are no longer with the organisation, however Respondents should ensure nominated referee's contact details are correct. If referee choices are not available, alternative contacts within the organisation and/or private sector referees should be considered.

2. Will you publish the rates?

Yes, the rates will be published on ContractsWA.

3. What are the additional documents for reporting requirements?

After award of the CUA, Contractors will be provided with a 'Reporting Requirements' instructional document to assist with the submission of quarterly sales reports. The document will include information such as sales report frequency, delivery method, file formats etc.

4. How do we handle confidential project examples?

As per the requirements of various WA State Government policies, including the Public Sector Management Act and State Supply Commission Probity and Accountability policy, Government Procurement and all officers involved in this procurement process will conduct procurement activities with high standards of probity and accountability. There are various measures in place to ensure the confidentiality of supplier information and evaluation processes are secure. If Respondents have any concerns with the confidentiality of their project examples, consultation with the relevant organisation is recommended.

5. What address is applicable for the Buy Local Policy?

It is the registered address of a company or address of the principal place of business if no registered address.

6. How do we interpret specified personnel?

Specified Personnel are all officers, employees, agents and subcontractors of the Contractor engaged in relation to the supply of the services. The key “Specified Personnel” will be the individuals Respondent’s nominate as responsible for the performance of key roles or tasks under CUA AFA2018.

7. Can we submit our offer in PDF format?

Yes, Microsoft Word 97 is the minimum requirement.

8. Do we need to complete the relevant sections of Part B in the Request document as well as “CUA AFA2018 – Electronic Response Schedule”?

No, completion and return of the “CUA AFA2018 – Electronic Response Schedule” will be considered as completion of corresponding sections of the Request document. Respondents should ensure that all information requested in the Request document is provided.

Request Conditions & General Conditions of Contract (December 2016)

Please amend the following clauses in the Request Conditions and General Conditions of Contract December 2016 as follows:

- Part B Clause 2.1 – Definitions – corrected the cross reference in the following:
 - In **Contract Authority’s Representative** changed ‘clause 34.2’ to ‘clause 33.2’;
 - In **Contractor’s Representative** changed ‘clause 34.3’ to ‘clause 33.3’; and
 - In **Customer’s Representative** changed ‘clause 34.1’ to ‘clause 33.1’.

- Part B Clause 3.4 – Extension of Customer Contract – first paragraph – the addition of (exercisable in its absolute discretion) to the paragraph.

Paragraph changed from

“The Customer has the option or options to extend the Term for the period or periods (as applicable) specified in the Customer Contract.”

to

“The Customer has the option or options (exercisable in its absolute discretion) to extend the Term for the period or periods (as applicable) specified in the Customer Contract.”

- Part B Clause 3.8 – Extension of Head Agreement – first paragraph – the addition of (exercisable in its absolute discretion) to the paragraph.

Paragraph changed from

“The Customer has the option or options to extend the Term for the period or periods (as applicable) specified in the Customer Contract.”

to

“The Customer has the option or options (exercisable in its absolute discretion) to extend the Term for the period or periods (as applicable) specified in the Customer Contract.”

- Part B Clause 25 – Privacy – part (c) – updated ‘National Privacy Principles’ to ‘Australian Privacy Principles’.
- Part B Clause 26.1 – Customer Contract Insurance Requirements – second paragraph – inserted ‘this’ before “clause 26.1.”.
- Part B Clause 26.2 – Head Agreement Insurance Requirements – second paragraph – inserted ‘this’ before “clause 26.2.”.
- Part B Clause 29 – Indemnity – third and fourth paragraphs – inserted ‘this’ before “clause 29.”.
- Part B Clause 35.7 – Suspension at Any Time - Customer Contract – part (a) – updated the excepted clauses list.

Changed from

“..... (except for clauses 19, 24, 25, 26, 27, 28, 29, 30 and 36)”

to

“..... (except for clauses 2, 5, 19, 23, 24, 25, 26, 27, 28, 29, 30, 35, 36 and 37)”

- Part B Clause 35.9 – Suspension at Any Time - Head Agreement – first paragraph – updated the excepted clauses list.

Changed from

“..... (except for clauses 19, 24, 25, 26, 27, 28, 29, 30 and 36)”

to

“..... (except for clauses 2, 5, 19, 23, 24, 25, 26, 27, 28, 29, 30, 35, 36 and 37)”

- Part B Clause 36.7 – Applicable Law – second sentence – “non-exclusive” has been changed to “exclusive”.
- Part B Clause 36.9 – Consent – part (a)(iii) – corrected cross reference, changed ‘clause 36.9 (a)’ to ‘clause 36.9 (a)(i)’.



ADDENDUM TO REQUEST DOCUMENTS

REQUEST NO.: CUA AFA2018

ADDENDUM NO.: 2

DATE OF ISSUE: 19 September 2017

NO. OF PAGES: 2 (inc this sheet)

IMPORTANT

**Please acknowledge this addendum within 24 hours of receipt.
Failure to acknowledge this addendum prior to the close of offers may
constitute grounds for rejection of the offer.**

Acknowledgment may be made if your Offer has been submitted prior to receipt of this addendum. The acknowledgment must state whether the price contained in your sealed Offer is to remain unchanged or by how much it is to be increased or decreased in value. The acknowledgment must be received prior to the specified closing time.

Please acknowledge this addendum whether your organisation is tendering or not.

To: Tendering Services
Ground Floor, Optima Centre
16 Parkland Road
Osborne Park WA 6017

Phone: (08) 6551 2345

Email: tenderingservices@finance.wa.gov.au

We acknowledge receipt of ADDENDUM NO. 2 to the Request Document(s) for:
CUA AFA2018 FOR AUDIT AND FINANCIAL ADVISORY SERVICES

(please print)

Name of Company _____

Person Tendering _____

Address _____

Signature _____

Date _____

ADDENDUM ADVICE

Please find additional information relating to the Request - CUA AFA2018.

Request Conditions & General Conditions of Contract (December 2016)

There was an incorrect reference to the Customer Contract in Part B – Clause 3.8 contained in Addendum 1.

Previously in Addendum 1, the Part B – Clause 3.8 read:

- Part B Clause 3.8 – Extension of Head Agreement – first paragraph – the addition of (exercisable in its absolute discretion) to the paragraph.

“The **Customer** has the option or options (exercisable in its absolute discretion) to extend the Term for the period or periods (as applicable) specified in the **Customer Contract**.”

Please amend the above clause in the Request Conditions and General Conditions of Contract December 2016 to:

- Part B Clause 3.8 – Extension of Head Agreement – first paragraph – the addition of (exercisable in its absolute discretion) to the paragraph.
- “The Contract Authority has the option or options (exercisable in its absolute discretion) to extend the Term for the period or periods (as applicable) specified in the Head Agreement.”



ADDENDUM TO REQUEST DOCUMENTS

REQUEST NO.: CUA AFA2018

ADDENDUM NO.: 3

DATE OF ISSUE: 20 September 2017

NO. OF PAGES: 2 (inc this sheet)

IMPORTANT

**Please acknowledge this addendum within 24 hours of receipt.
Failure to acknowledge this addendum prior to the close of offers may
constitute grounds for rejection of the offer.**

Acknowledgment may be made if your Offer has been submitted prior to receipt of this addendum. The acknowledgment must state whether the price contained in your sealed Offer is to remain unchanged or by how much it is to be increased or decreased in value. The acknowledgment must be received prior to the specified closing time.

Please acknowledge this addendum whether your organisation is tendering or not.

To: Tendering Services
Ground Floor, Optima Centre
16 Parkland Road
Osborne Park WA 6017

Phone: (08) 6551 2345

Email: tenderingservices@finance.wa.gov.au

We acknowledge receipt of ADDENDUM NO. 3 to the Request Document(s) for:
CUA AFA2018 FOR AUDIT AND FINANCIAL ADVISORY SERVICES

(please print)

Name of Company _____

Person Tendering _____

Address _____

Signature _____

Date _____

ADDENDUM ADVICE

Please find additional information relating to the Request - CUA AFA2018.

Request Schedule 17 (Contractor Profile – Formatting Requirements)

The Contractor Profile formatting requirements in Schedule 17 of the Request have been amended to permit profiles of up to two (2) pages in length.

Please amend the Format Requirements section of Schedule 17 to read:

Format Requirements:

- The profile for each category must not exceed **two (2) pages** in total;
- Template cannot be altered or fields renamed;
- Font – Arial 11; and
- Word document file.

Profiles that do not abide by these formatting requirements will not be accepted.