

PROCUREMENT POLICY

1.0 Purpose

In accordance with section 108 of the *Local Government Act 2020* (the 'Act'), this Procurement Policy (the 'Policy') sets out the key principles and processes which City of Ballarat will apply to the purchase of goods, services and the carrying out of works and includes:

- The contract value above which City of Ballarat must invite a tender or expression of interest (EOI).
- The criteria used to evaluate whether a contract provides Value For Money.
- How the City of Ballarat will seek to collaborate with other councils and public bodies in the Procurement of goods, services and the carrying out of works
- Conditions under which the City of Ballarat may purchase goods, services and the carrying out of works without a public tender or EOI.
- The process to be undertaken in inviting a public tender or EOI.

2.0 Scope

This policy applies to Councillors, City of Ballarat workers and all persons undertaking procurement on the City of Ballarat's behalf. The individual undertaking procurement on behalf of the City of Ballarat is accountable for complying with all relevant procurement legislative and policy requirements. The policy covers all procurement activities which is the process of acquisition of goods, services and works. It also includes the organisational and governance frameworks that underpin the procurement function.

3.0 Policy Statement

3.1 Conduct of Councillors and Workers

Councillors and City of Ballarat workers must exercise the highest standards of integrity in a manner able to withstand the closest possible scrutiny. In accordance with sections 126-131 of the Act, Councillors and City of Ballarat workers have a responsibility to act transparently and with integrity, declaring and managing conflicts of interest.

Councillors and City of Ballarat workers must treat potential and existing suppliers with equity and fairness through open and transparent processes. Impartiality is to be maintained throughout the Procurement process in an effort to eliminate the prospect of any bias in decisions and ensure they can withstand public scrutiny.

Councillors cannot participate in any aspect of the procurement process unless acting in the capacity of Council/Committee at a formally constituted Council or Contracts Approval Delegated Committee meeting to consider the awarding of a contract.

3.2 Influencing the Tender Process

Any attempts by bidders to influence the tender process in any way, such as any direct or indirect approach by bidders themselves or through other parties on their behalf, to persons other than those nominated in relevant tender documents will cause those bidders to be excluded from that tender process.

Bidders must declare any actual or potential conflict of interest at the time and in the manner required by the relevant tender documents.

Bidders must not participate in collusive tendering practices or any other anti-competitive practices with any other tenderer.

Any bidder that engages in conduct prohibited under this clause 3.2 will be deemed invalid and will be rejected without further consideration.

Whether a bidder has genuinely attempted to influence a tender process will be determined at the sole discretion of City of Ballarat.

3.3 Accountability and Transparency

The City of Ballarat may appoint an external Probity Advisor where the evaluation panel, under guidance of the Strategic Procurement Unit, considers a proposed procurement to be particularly complex and of high risk.

3.4 Disclosure of Information

In accordance with the Act, Private Commercial Information will be considered 'commercial in confidence' City of Ballarat workers, Councillors, and members of Delegated Committees must not intentionally or recklessly disclose information that the person knows or should reasonably know is confidential information, other than in accordance with section 125 of the Act.

3.5 Risk Management

The principles of risk management are to be appropriately applied at all stages of procurement activities. These principles are applied to protect and enhance the City of Ballarat's capability to prevent, withstand and recover from personal injury, property damage, reputational loss, financial exposure and interruption to the supply of goods, services and works.

3.6 Occupational Health and Safety

The City of Ballarat is committed to protecting the health and safety of City of Ballarat workers, Councillors, suppliers, and the community.

The City of Ballarat undertakes due diligence activities on all prospective suppliers to ensure compliance with legislative and business requirements, including the adoption and implementation of proper systems to maintain and monitor acceptable standards of occupational health and safety. All persons working with the City of Ballarat under a contract, agreement or other documented work arrangement, must comply with obligations under the *Occupational Health and Safety Act 2004* and associated Regulations, Codes of Practice, Safety Standards and other contract specific requirements.

3.7 Child Safety

City of Ballarat is committed to promoting child safety and ensuring compliance with the Victorian Child Safe Standards. Reviews will be undertaken of all suppliers who undertake work on behalf of the City of Ballarat, who will or may have direct or incidental contact with children in the delivery of the relevant goods, services or works.

3.8 Procurement Method

Value For Money

Value for Money in procurement is about selecting the supply of goods, services and works taking into account both cost and non-cost factors, including:

- Contribution to the advancement of The City of Ballarat's priorities, including support of local businesses;
- Performance against factors such as fit for purpose, quality, service and support, social benefit (including support of Aboriginal and Torres Strait Islander people) and environmentally sustainable business practices;
- Price.

Value for Money will not necessarily equate to the lowest price. The City of Ballarat considers the total cost of ownership over the procurement's life consistent with acceptable quality, reliability, delivery, social, and environmental considerations.

In some instances, the City of Ballarat will procure goods, services and works with low value but on a regular or recurring basis. These arrangements can lead to the City of Ballarat incurring expenditure which, on an aggregate basis, approach or exceed applicable procurement thresholds. In those instances, to achieve Value for Money and maintain the highest standards of integrity and transparency, the City of Ballarat will consider whether a panel arrangement should be used.

Market Engagement Methods

The City of Ballarat will invite bids from the market for goods, services, and the carrying out of works in accordance with the thresholds and methodology listed below:

Procurement Threshold (excl.GST)	Procurement Methodology
<\$5,000	<ul style="list-style-type: none"> • One verbal quotation, with notation made as to the date, supplier, contact name and scope including a minimum of one quote from a local supplier/provider where possible. • This applies to purchases which are one off. If repeated purchases are likely, workers must consider whether the aggregate spend is likely to exceed this threshold and apply the relevant higher threshold. • Purchase order or purchase card to financial delegation.
\$5,000 - \$30,000	<ul style="list-style-type: none"> • Obtain at least one written quotation including a minimum of one quote from a local supplier/provider where possible. • This applies to purchases which are one off. If repeated purchases are likely, workers must consider whether the aggregate spend is likely to exceed this threshold and apply the relevant higher threshold. • Purchase order or purchase card to financial delegation.
>\$30,000 - \$100,000	<ul style="list-style-type: none"> • At least two written quotations are to be invited from suppliers considered by the responsible worker to meet the requirements, with at least one quote from a local supplier/provider where possible. • Purchase order to financial delegation.
>\$100,000 - \$300,000	<ul style="list-style-type: none"> • At least three written quotations are to be invited from suppliers considered by the responsible worker to meet the requirements, with at least one quote from a local supplier/provider where possible. • Purchase order to financial delegation
>\$300,000	<ul style="list-style-type: none"> • A formal Request for Tender process or EOI must be undertaken by the City of Ballarat's Strategic Procurement Unit using The City of Ballarat's Tender portal. • In line with City of Ballarat's financial delegations

Procurement transactions will not be split to circumvent the above thresholds.

Exemptions from Market Engagement Methods

An exemption to the market engagement methods and procedures may be requested for the following procurements:

- Software licence and related maintenance renewals at the end of the contract or licence term where the ongoing use of the software is required to support the organisation;
- Government or legislative mandated use of a supplier;
- Subscriptions where there is a sole provider;
- Situations where there is an emergency or impact on safety, the procurement methodology does not apply and a direct approach without quotation can be undertaken to quickly address the situation.
- Where it is able to be evidenced that obtaining a sufficient number of quotations is difficult, e.g. there are few suppliers for the goods, services or building and construction works being sought, or where the work is highly specialised.
- Performers/Events
- Other circumstances when authorised by the CEO or Director of Corporate Services

The following authority must be used for exemptions requests:

- Director Corporate Services or CEO exemption is to be sought from requesting quotations.
- CEO exemption is to be sought from tenders up to delegated authority.
- Contracts Approval Delegated Committee exemption is to be sought from tenders up to delegated authority.
- Council exemption is to be sought from tenders above Contracts Approvals Delegated Committee delegated authority.

The following procurements are exempt from the requirements of Market Engagement Methods:

- Sole Supplier (Core Service) - The City of Ballarat deals with several core service sole suppliers where there is no market to test and obtain multiple quotations. Examples of core service sole suppliers are:
 - (a) Professional membership payments and subscriptions (must relate to position held at the City of Ballarat);
 - (b) Advertising (newspapers, magazines, TV, radio and Social Media e.g. Facebook and similar);
- Where City of Ballarat has an existing supplier that is a monopoly or has sole ownership or rights over a service, assets or goods and its use.
- Performers/Events up to \$50,000 – Where Performers and ticketed events are sourced for resale and these performances/events will return an income to the City of Ballarat.
- Utilities that are mandated to work on their own assets.
- Maintenance that is propriety to an asset and can only be performed by a sole supplier.
- Supplies for shops operated by the City of Ballarat
- Plant and equipment servicing and spare parts with certified supplier to maintain a warranty.
- Exhibitions, Artworks and transportation of artworks
- Emergency situations determined by the CEO or delegated emergency management workers

- Procurements up to \$100,000 from:
 - (a) Registered Aboriginal and/or Torres Strait Islander businesses; and
 - (b) Certified Social Benefit suppliers
- Legal services
- Insurance
- Borrowings
- Payroll expenses - superannuation and PAYG
- Goods and Services Tax payable
- Postage
- VicRoads vehicle registrations
- Councillor expenses - allowances and reimbursements
- Levies e.g. EPA Victoria Levy, Fire Services Property Levy
- Acquisition of land and buildings
- Medical expenses
- Venue hire
- External audit fees – Victorian Auditor General's Office
- Professional workshop and conference registration fees and associated costs

Nothing in this clause 3.8 applies in respect of a contract if:

- The contract becomes novated; and
- The original contract was entered into following the processes applicable to a contract of that type and size under the procurement requirements of the day (whether under clause 3.8 or otherwise); and
- The City of Ballarat has undertaken a due diligence process in respect of the new party.

3.9 Collaborative procurement

In accordance with section 108(3)(c) of the Act, the City of Ballarat will give consideration to collaboration with other Councils and public bodies, or utilise collaborative procurement arrangements (including third-party agents), when procuring goods, services, the carrying out of works to take advantage of economies of scale.

Third-party agents, such as MAV Procurement or Procurement Australia, may be approached to undertake a tender process on behalf of the City of Ballarat where it can be shown that value for money would be achieved. The City of Ballarat may at any time opt into any contracts offered by Third Party Agents providing collaborative arrangements similar to those referenced above.

Market Engagement Methods consistent with clause 3.8 apply. In cases where three quotations are required, and less than three providers exist on a third-party panel in question, quotations should be sought from all providers.

3.10 Panel of Providers Arrangements

A panel provider is a contractor/company that has been appointed following a tender process and will be contracted for the period as outlined in the procurement documentation.

Unless specified during a tender process no minimum quantity of sales or turnover is guaranteed to a panel provider.

Market Engagement Methods consistent with clause 3.8 apply except where Council has nominated a different threshold as part of the award of the panel of providers.

Where appropriate, the formation of a panel of providers will be used as a method to manage aggregated spend.

The City of Ballarat may in its absolute discretion periodically review any panel of providers, and may, at any time during the contract term (and as often as it considers necessary) refresh the panel of providers including adding or removing panel providers via any means it thinks fit, including via a public tender process.

3.11 Procurement and Contract Management System

The City of Ballarat has an online Procurement and Contract Management System (PCMS) which prescribes the processes and procedures for all stages of the end-to-end Procurement lifecycle. It is a requirement that all Procurement activities above \$5,000.00 (ex GST) are to be undertaken in the PCMS.

3.12 Evaluation

An EOI is a precursor to a tender. A contract cannot be awarded after an EOI without an invited tender process. An EOI is used to select the best bidders to participate in the resulting tender process. The EOI only focuses on non-price criteria such as the quality, qualifications and expertise of bidders and any shortlist of bidders must be approved by the CEO.

An EOI may be used in circumstances where:

- There is likely to be many tenderers, tendering will be costly, or the procurement is complex.
- There is uncertainty as to the interest of suppliers or vendors to offer the potential products or services or to undertake the proposed work.

Workers must ensure that:

- EOI and Tenders are advertised publicly for at least 15 business days, allowing consideration for public holidays within the advertising period.
- EOI and Tenders received after the advertised closing date and time may not be accepted.
- EOI, Tender and three quote evaluations are conducted according to the methodology in the PCMS.
- EOI Tenders and three quote submissions will be evaluated against the selection criteria and the evaluation plan within the PCMS.
- Evaluation panel composition for EOI and tenders are determined by the respective City of Ballarat Director and the Executive Manager in whose area the contract will operate. Three quote evaluation panel members are determined by the worker responsible for the procurement. Evaluation panels can include external personnel; however, the number of external panel representatives must not exceed the number of City of Ballarat workers.
- All evaluation panel members involved in the evaluation process, including advisors and approvers, must complete conflict of interest declarations and deeds of confidentiality.
- Evaluation criteria for EOIs and tenders are clearly stated in the request documentation and discussed with evaluation panel members prior to tender release.

All Tenders and Quotations will be reviewed to determine whether they satisfy the conformance and mandatory requirements as follows:

- Submissions are complete and all required information has been included (this also applies to EOI).
- Specifications have been fully addressed.
- Contract departures are acceptable.
- Tendered price is within 30% of the allocated budget.

Submissions that do not meet these requirements may at the absolute discretion of the City of Ballarat evaluation panel be deemed non-compliant and may be excluded without further consideration.

All tenders will be evaluated by an evaluation panel, in a two staged process as follows:

- Stage one – Qualitative assessment of a weighted score totalling 100%
- Stage two – Quantitative assessment which includes the evaluation of price against weighted score calculated as $TES = \text{Tendered Price} \div \text{Total Weighted Score}$.

City of Ballarat may conduct a shortlisting process during EOI, tender and quotation processes. Shortlisting can be based on any criterion or criteria but only in pursuit of the most advantageous outcome for the City of Ballarat. Shortlisted bidders may be invited to submit a best and final offer in relation to all or certain aspects of their respective tenders. Once a preferred bidder/s is/are selected, negotiations can be conducted in order to obtaining the optimal solution and commercial arrangements, within the original scope and intent of the tender. Probity requirements apply to all negotiations.

The following should be considered for all tenders:

- Whether a probity advisor should be appointed to any tender evaluation panel.
- Whether a probity auditor should be appointed to audit the completed evaluation process and prior to award of the contract or acceptance of the selected offer.

3.13 Delegations

Delegations define the limitations within which workers are permitted to work. Delegation of financial authority allows specified workers to approve certain purchases, quotation, tender and contractual processes without prior referral to Council. This enables the City of Ballarat to conduct procurement activities in an efficient and timely manner whilst maintaining transparency and integrity.

Financial delegations ensure accountability and provide confidence to Council and the public that purchasing activities are dealt with at the appropriate level. As such, the City of Ballarat has delegated responsibilities as detailed below relating to the expenditure of funds for the purchase of goods, services and works, the acceptance of quotes and tenders and for contract management activities.

Delegations reserved for workers

The City of Ballarat maintains a documented record of Financial Delegations, identifying the workers authorised to incur expenditure on behalf of City of Ballarat. This extends to those workers making such procurement commitments in respect of goods, services and works on behalf of The City of Ballarat that are within their Financial Delegations. Workers can procure goods and services up to their Financial Delegation for the following:

- Acceptance of tenders (CEO only);
- Acceptance of quotes; and
- Corporate Purchasing Card

Delegations Reserved for the Contracts Approval Delegated Committee / Council

Commitments and processes which exceed the CEO's Financial Delegation which must be approved by either:

- The Contracts Approval Delegated Committee (where it is within its Financial Delegation); or Council

The CEO will then be responsible for giving effect to the decisions of Contracts Approval Delegated Committee and Council by executing all necessary documents and taking such other action as might be required to award and commence the delivery of goods, services or works under the relevant contract.

3.14 Internal Controls

The City of Ballarat maintains a framework of internal controls over Procurement processes that will ensure:

- A clearly documented audit trail exists for procurement activities;
- Appropriate authorisations for each activity are obtained and documented;
- Systems are in place for appropriate monitoring and performance measurement;
- All persons engaged in procurement processes must diligently apply all internal controls.

3.15 Variance to Contract Spend

On occasions there may be valid reason(s) when a tendered contract needs to be varied. This variance normally comes with a cost and increases contract spend.

In instances where variance(s) to a contract that individually or together result in an aggregate variance to spend greater than twenty percent (20%) of the original contract sum, the worker must provide written advice¹ of the variance(s) to at least one of the following, according to who provided the initial approval:

- Director
- CEO
- Contracts Approval Delegated Committee
- Council

Variances to project budget should be managed in accordance with internal budget management controls and procedures.

Notes: 1. This advice is for information purposes only. Works do not need to be put on hold.

3.16 Sustainable Procurement Considerations

Sustainable Procurement looks beyond the up-front cost to the City of Ballarat to make purchasing decisions based on the entire life cycle of the goods and services, taking into account:

- Associated costs
- Environmental and social risks and benefits
- Broader social and environmental implications
- Protecting the ability of future generations to meet their needs
- Creating resilient and prosperous communities.

The mandatory selection criteria for Sustainable Procurement will be:

- Local Presence at 3%
- Economic Benefit at 7%
- Social Benefit at minimum 5%
- Aboriginal and Torres Strait Islander Procurement at minimum 5%, and
- Environmental Sustainability at minimum 5%

Any proposed amendments to the above mandatory evaluation criteria must be documented within the procurement plan.

See Appendix 1 for further information.

4.0 Supporting documents and references

4.1 Legislation

- Child Wellbeing and Safety Act 2005
- Gender Equality Act 2020
- Local Government Act 2020
- Modern Slavery Act 2018
- Privacy and Data Protection Act 2014
- Charter of Human Rights and Responsibilities Act 2006 (Vic)

4.2 Associated Documents

- Child Safe Policy
- Councillor Code of Conduct
- Employee Code of Conduct
- Fraud and Corruption Policy
- Health and Safety Policy
- MAV Best Practice Procurement Guidelines for Victorian Local Government 2024
- Privacy Policy
- Procurement Guidelines
- Procurement procedures
- Risk Management Policy
- Victorian Local Government Guide to Social Procurement (localgovernment.vic.gov.au)

The City of Ballarat's Strategic Procurement Unit will from time to time prepare procedures and guidelines designed to assist workers in their compliance with this Policy, including in their application of the exemptions.

Workers must familiarise themselves with all such procedures and guidelines and apply them to any procurement activities being undertaken.

4.3 Definitions

Term	Definition
Anti-Competitive Practices	Any practice that reduces the degree of competition in a market.
Collusive Tendering Practices	A situation in which companies share information illegally among themselves when offering the supply of goods, services or the carrying out of works in order to control the price:
Market Engagement Methods	A competitive process that tests the market for the supply of goods, services or the carrying out of works which includes calling for expression of interest, tenders or seeking quotations.
Private Commercial Information	Being information provided by a business, commercial or financial undertaking that relates to trade secrets or if released, would unreasonably expose the business, commercial or financial undertaking to disadvantage.
Probity	Undertaking Procurement in a way that ensures: <ul style="list-style-type: none"> a) compliance with legal obligations; b) fairness, impartiality and accountability; c) appropriate management of any conflicts of interest; d) transparency, subject to any confidentiality obligations, and e) ability to withstand internal and external scrutiny.
Probity Adviser	A Probity Adviser independent advice and guidance on probity issues throughout a Procurement activity and may also assist in anticipating issues, proactively managing problems and advising on potential courses of action.
Probity Auditor	A Probity Auditor provides independent scrutiny of a Procurement process and expresses an objective opinion as to whether the Procurement Policy, procedures and Procurement plan have been adhered to.
Procurement	The whole process of acquiring the supply of goods, services or the carrying out of works. This process spans the whole life cycle from initial concept through to the end of the useful life of an asset (including disposal) or the end of a service contract.
Sustainable Procurement	A strategic approach to Procurement that generates positive social, environmental, and economic outcomes in the supply of goods, services and the carrying out of works.
Third Party Agents	An external agent such as Procurement Australia, Municipal Association of Victoria (MAV) that has been established for the benefit of numerous states, federal and/or local government entities that achieves best value by leveraging combined economies of scale
Worker	Any employee of City of Ballarat, whether permanent, temporary, full-time, part-time or casual, and any volunteer, student, contractor, consultant or anyone who works in any other capacity for City of Ballarat.

5.0 Administrative updates

From time to time, circumstances may change leading to the need for minor administrative changes to this Policy. Where an update does not materially alter this Policy, such a change may be made administratively. Examples of minor administrative changes include changes to names of The City of Ballarat departments or positions, changes to names of Federal or State Government departments and minor amendments to legislation that do not have material impact on the application and operation of this Policy. Where any change or update may materially change the application and operation of this Policy, it must be considered by Council.

6.0 Policy Owner

The owner of this Policy is the Chief Executive Officer.

Enquiries regarding this policy should be directed to the City of Ballarat's Strategic Procurement Unit.

7.0 Authorisation

Adopted by Ballarat City Council on 28 August 2024 (R133/24).

Appendix 1 - Sustainable Procurement Considerations

Support of Local Business

Wherever practicable, the City of Ballarat will fully examine the benefits available through purchasing goods, services or works from suppliers/contractors within the Ballarat region defined as being within the boundaries of the following municipalities:

- Ararat Rural City Council
- Ballarat City Council
- Golden Plains Shire Council
- Hepburn Shire Council
- Moorabool Shire Council
- Pyrenees Shire Council

Where applicable, the City of Ballarat will seek information from prospective suppliers/contractors in relation to the economic contribution they will make to the Ballarat region if awarded the relevant contract.

Social Benefit (including Aboriginal and/or Torres Strait Islander Procurement and Employment)

Social benefit Procurement involves using Procurement processes and purchasing power to generate positive social outcomes in addition to the delivery of efficient goods, services and works.

The City of Ballarat supports the social benefit of Procurement when engaging local suppliers, contractors and/or service providers. The City of Ballarat will seek to engage with any of the groups below when it is advantageous to a specific Procurement, is within threshold requirements as outlined in clause 3.8 of the policy, and the required works or services provide Value For Money:

- Employment of groups with entrenched disadvantage;
- Use of Aboriginal and Torres Strait Islander owned and operated companies;
- Social enterprises;
- Disability enterprises;
- Employment of apprentices;
- Employment of recognised youth traineeships;
- Employment of youth labour; and
- Benefits to local community.

Promoting equality through Procurement can improve competition, best value, the quality of public services, satisfaction among users and community relations. It should be a consideration in every Procurement activity and reflect corporate commitment to diversity and equal opportunities wherever possible.

The City of Ballarat recognises the importance of having a diverse supplier base that reflects the breadth of our clients and the Victorian community.

Environmentally Sustainable Business practices

The City of Ballarat aims to purchase environmentally preferred products. Assessment will ensure real and long-term Value for Money from Procurement decisions including consideration of the total cost to society, the environment, and our economy over the entire life cycle of a purchased product or service.

The City of Ballarat considers the following environmental sustainability criteria when making purchases and specifying tender evaluation criteria:

Reduce, reuse, recycle and renew

- Avoid unnecessary purchase of goods, services or works through identifying ways to carry out a function or task without using materials that generate waste.
- Select products that reduce the amount of materials required such as packaging and consumables.
- Seek to buy recycled/part-recycled products that optimise consumption and stimulate demand for recycled products, promoting the collection and reprocessing of waste and working towards zero discharge to landfill.
- Minimise energy consumption and greenhouse gas emissions.

Minimise habitat destruction

- Purchase paper and wood products obtained from recycled, plantation, salvaged or renewable sources.

Minimise toxicity

- Purchase materials and products that minimise or eliminate use or release of toxic substances that can affect human health and pollute water, land or air at any stage of their life cycle.

Minimise use of potable water

- Select products that conserve water or use water in an efficient way.

Green the supply chain

- Where practical develop tender, quotation and contract specifications that encourage suppliers to adopt good environmental and management practices that also respect the rights of all employees and the local community.

Appendix 2 – Occupational Health and Safety Considerations

Insurance and High Risk Licences

		YES	NO
1.1	Does your organisation have >\$20 Million Public Liability Insurance ? If Yes, a copy of Certificate of Currency MUST be provided	<input type="checkbox"/>	<input type="checkbox"/>
1.2	Where applicable to the works or services being provided does your organisation have Product Liability Insurance ? If Yes, a copy of Certificate of Currency MUST be provided	<input type="checkbox"/>	<input type="checkbox"/>
1.3	Where applicable to the services being provided, does your company have Professional Indemnity Insurance ? If Yes, a copy of Certificate of Currency MUST be provided	<input type="checkbox"/>	<input type="checkbox"/>
1.4	Is your organisation WorkCover Certified ? If Yes, a copy of Certificate of Currency MUST be provided	<input type="checkbox"/>	<input type="checkbox"/>
1.5	Does the works being bid for require High Risk Licences? If Yes, a copy of Certificate of Currency MUST be provided	<input type="checkbox"/>	<input type="checkbox"/>

OHS Systems

		YES	NO
2.1	Do you currently have an accredited OH&S System to ISO 45001:2018 ? If Yes, a copy of your certification and evidence of most recent audit MUST be provided	<input type="checkbox"/> 15 Points	<input type="checkbox"/> 0 Points

IF YES FOR SECTION 2, MOVE TO SECTION 4. IF NO COMPLETE SECTION 3

		YES	NO
3.1	MANDATORY - Do you have an Occupational Health & Safety (OH&S) Policy? If Yes, provide a copy of the policy	<input type="checkbox"/> 0.5 Point	<input type="checkbox"/> 0 Points
3.2	MANDATORY – Do you have (an) Officer/s responsible (under OH&S laws) for the proper and effective management of OH&S in the organisation? If Yes, provide the name/s of the Officer/s, and/or a copy of the organisational management structure.	<input type="checkbox"/> 0.5 Point	<input type="checkbox"/> 0 Points
3.3	Do you have and use an OH&S Manual or Work Plan? If Yes, provide a copy of the front page and contents page	<input type="checkbox"/> 2.0 Points	<input type="checkbox"/> 0 Points
3.4	Do you use a SWMS (Safe Work Method Statement), JSA (Job Safety Analysis) or SOP (Safe Operating Procedure) for the proposed works? If Yes, provide a copy.	<input type="checkbox"/> 1.5 Points	<input type="checkbox"/> 0 Points
3.5	Are records kept of operator training, inductions and competencies, such as licences and qualifications? If Yes, provide a register of relevant qualifications and Licenses	<input type="checkbox"/> 0.5 Point	<input type="checkbox"/> 0 Points

3.6	Do you have and use procedures for identifying, assessing and controlling manual handling risks? If Yes, provide a copy of procedure.	<input type="checkbox"/> 0.5 Point	<input type="checkbox"/> 0 Points
3.7	Do you have and use procedures for storing and handling hazardous substances? This also includes office-based substances. If Yes, provide a copy of hazardous substance register.	<input type="checkbox"/> 0.5 Point	<input type="checkbox"/> 0 Points
3.8	Is there a formal mechanism for OH&S consultation in your Organisation? If Yes, provide a copy of recent OH&S minutes or toolbox meeting.	<input type="checkbox"/> 0.5 Point	<input type="checkbox"/> 0 Points
3.9	Do you have and use procedures by which employees can report hazards? If Yes, provide details below and a recent example.	<input type="checkbox"/> 0.5 Point	<input type="checkbox"/> 0 Points
3.10	When a hazard is identified, do you conduct a risk assessment of that hazard? If Yes, provide a copy of your Risk Assessment form.	<input type="checkbox"/> 0.5 Point	<input type="checkbox"/> 0 Points
3.11	Do you have an Incident Investigation Procedure and Incident Reporting form? If Yes, provide a copy of each.	<input type="checkbox"/> 0.5 Point	<input type="checkbox"/> 0 Points
3.12	Do you use Equipment inspection checklists? If Yes, provide a copy of inspection checklist.	<input type="checkbox"/> 1.5 Points	<input type="checkbox"/> 0 Points
3.13	Do you use workplace inspection checklists? If Yes, provide a copy of inspection checklist.	<input type="checkbox"/> 1.0 Point	<input type="checkbox"/> 0 Points
3.14	Does your business have and use any permit to work systems? For example, hot works, electrical isolation and working at heights etc. If Yes, provide an example of a recent permit.	<input type="checkbox"/> 1.0 Point	<input type="checkbox"/> 0 Points
3.15	Do you have elected Health & Safety Representatives (HSR)? If so, provide names(s) and details of initial training and any refresher training.	<input type="checkbox"/> 0.5 Point	<input type="checkbox"/> 0 Points
Note: Maximum points available for non-accredited system is 12 points with 7.5 points required to achieve a PASS rating for OHS Systems.			Total =

OHS Performance

		Number	Points
4.1	Has the business or its directors (including in their capacity as an officer for the tendering entity or any other business) been the subject of prosecutions for breaches of the OH&S Act 2004 in the last 5 years? Provide details:	0 1 2+	3 1 0
4.2	Have you had any enforceable undertakings in the last 5 years? Provide details:	0 1 2+	3 1 0

4.3	How many improvement notices or prohibition notices have you had in the last 5 years? Number:	0-9	3
		10-19	1
		20+	0
4.4	*Have all matters subject of prosecutions, enforceable undertakings, improvement or prohibition notices, stop work orders been addressed with appropriate controls? *Evidence may be requested to demonstrate action taken to achieve full scoring.	Yes	6
		Partial	1-5
		No	0
		Total =	

*Assessment of OH&S performance should consider specifically whether or not the conduct highlighted in the adverse ruling, finding or enforceable undertaking was:

- isolated or systemic in nature;
- disclosed during tender or contract period;
- whether steps have been taken by supplier/business to rectify the conduct; and
- whether steps have been taken to prevent reoccurrence: changing systems, staff training, change in business models / approach to enhance compliance.

All OH&S submissions may be subject to review by the Safety unit.