



ATTACHMENTS

Audit and Risk Committee Meeting – 08 March 2023

- 5(1) Minutes Audit and Risk Management Committee Meeting – 18 January 2023
- 6.1(1) Compliance Audit Return 2022
- 6.2(1) Quote Procurement Plus - Contract Management Framework
- 6.2(2) Quote AOT Consulting Proposal - Contract Management Framework



**AUDIT AND RISK MANAGEMENT COMMITTEE MEETING
MINUTES**

Held on

Wednesday 18 January 2023

Commencing at 3.00pm

Shire of Donnybrook Balingup Council Chambers, Donnybrook

A handwritten signature in black ink, appearing to be 'Kim Dolzadelli', written in a cursive style.

**Kim Dolzadelli
Acting Chief Executive Officer**

19 January 2023

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SHIRE OF DONNYBROOK BALINGUP
MINUTES OF THE AUDIT AND RISK MANAGEMENT COMMITTEE

Held at the Council Chambers
18 January 2023 at 3.00pm

1 DECLARATION OF OPENING

Chairperson – Acknowledgment of Country

The Chairperson acknowledged the traditional custodians of the land, the Wardandi People of the Noongar Nation, paying respects to Elders, past and present and emerging.

The Chairperson declared the meeting open and welcomed the members of the Committee and guests.

2 ATTENDANCE

MEMBERS PRESENT

COMMISSIONER	STAFF
Gail McGowan	Kim Dolzadelli – Acting Chief Executive Officer Belinda Richards – Manager Finance and Corporate Loren Clifford – Acting Manager Executive Services
EXTERNAL MEMBERS	GUESTS
Ian Telfer – Chairperson Vivienne MacCarthy	Lisa Glover

2.1 APOLOGIES

Nil.

2.2 APPROVED LEAVE OF ABSENCE

Nil.

3 ANNOUNCEMENTS FROM CHAIRPERSON

Nil

4 DECLARATION OF INTEREST

Division 6: Sub-Division 1 of the *Local Government Act 1995*. Care should be taken by all Committee Members to ensure that a financial/impartiality interest is declared and that they refrain from voting on any matter, which is considered to come within the ambit of the *Act*.

5 PUBLIC QUESTION TIME

Question: Lisa Glover

Can you explain what is meant by missed statement in the information in the 6.1(2)?

Acting CEO Response

It's the information in the entities Annual Report as at 30 June 2022. There is still an obligation on the CEO to ensure the accuracy of the report.

Question: Lisa Glover

In the sample take of the purchase orders, they found 2 out of 15 purchase orders were created after the date on the invoice. Why is this occurring?

Acting CEO Response

The Shire has a policy and procedure in place for staff to follow to ensure this doesn't happen. However, there are circumstances like an emergency situation where this happens from time to time. Staff are reminded of this process.

Chairperson Response

When we met with the auditors, they advised that these were material purchases and the reason for noting them is a reminder to Council that there is a process in place that they are happy with, but that they have still occurred.

Question: Lisa Glover

There was an allocation of money as an asset with regards to some clay soil, which then shows up as an error. Can you explain?

Member (Vivian McCarthy) Response

The valuation didn't come in until after the end of the financial year, so it had to be reinstated.

Acting CEO Response

It will be listed as a prior year's error, also noting that this impacts on a non-cash donation. It didn't impact on the bottom line of our carried forward surplus.

Question: Lisa Glover

Can I send in questions regarding the status update 2021 findings?

Commissioner Response

Yes, please send them to me and I will answer questions I feel are important to be answered.

Question: Lisa Glover

Can you please have the meetings quarterly?

Commissioner Response

It is my intention to have these meetings quarterly, however I will not hold a meeting if it isn't required.

Question: Lisa Glover

Why is there no record of credit card purchase listed in the November meeting in the monthly financial statement?

Chairperson Response

The question will be answered by the Commissioner at a later date.

6 CONFIRMATION OF MINUTES

Minutes of the Audit and Risk Management Committee meeting held 3 March 2022 are attached (Attachment 6(1)).

EXECUTIVE RECOMMENDATION

That the Minutes of the Audit and Risk Management Committee Meeting held 3 March 2022 be confirmed as a true and correct record.

COMMITTEE RESOLUTION

That the Minutes of the Audit and Risk Management Committee Meeting held 3 March 2022 be confirmed as a true and correct record.

CARRIED 3/0

The Chairperson called for a vote and the resolution was carried.

7 REPORTS OF OFFICERS

7.1 ANNUAL FINANCIAL STATEMENTS AND AUDIT OPINION 2021/22

Location	Shire of Donnybrook Balingup
Applicant	Shire of Donnybrook Balingup
File Reference	FNC 02A
Author	Kim Dolzadelli, Director Corporate and Community
Responsible Manager	Kim Dolzadelli, Director Corporate and Community
Attachments	7.1(1) - Annual Financial Statements 2021/22 7.1(2) - Audit Opinion 2021/22 7.1(3) – Management Letter 7.1(4) – Interim Audit Management Letter
Voting Requirements	Simple Majority

Executive Recommendation
<p>That the Audit and Risk Management Committee recommend to Council:</p> <ol style="list-style-type: none"> 1. Receive the Annual Financial Report, Audit Report, Final Management Letter and Interim Audit Management letter for the year ending 30 June 2022; and 2. Note that a report on significant findings in accordance with Section 7.12A(4)(b) of the Local Government Act 1995, for the year ending 30 June 2022, is not required.

STRATEGIC ALIGNMENT

The following outcomes from the Council Plan relate to this proposal:

Outcome	11	Strong, visionary leadership
Objective	11.1	Provide strategically focused, open and accountable governance
Outcome	12	A well respected, professionally run organisation
Objective	11.1	Deliver effective and efficient operations and service provision

EXECUTIVE SUMMARY

The Office of the Auditor General (OAG) has completed the Audit of the Annual Financial Report for the year ended 30 June 2022. The Independent Auditor’s Report was issued on 21 December 2022 and is attached to this item for reference.

The audit opinion is unqualified and concludes that the report fairly represents the results of the operations of the Shire for the period ended 30 June 2022.

No matters were raised in the Audit Report that requires any action to be taken by the local government in accordance with the Local Government Act 1995, Part – 7 Audit.

The Interim and Final Audit Management reports are also attached to this Agenda with Managements responses included as attachments to this agenda.

BACKGROUND

The Shire of Donnybrook Balingup audit for year ending 30 June 2022 was conducted by the Office of the Auditor (OAG) using a private contractor; Moore Australia.

At Special Meeting of Council held on Wednesday 11 January 2023 Shire Commissioner Gail McGown was formally appointed to the Audit and Risk Management Committee.

For clarity the following is noted in relation to the structure of the Audit Committee:

“Local Government Act 1995:

Division 1A — Audit committee

7.1A. Audit committee

- (1) A local government is to establish an audit committee of 3 or more persons to exercise the powers and discharge the duties conferred on it.*
- (2) The members of the audit committee of a local government are to be appointed* by the local government and at least 3 of the members, and the majority of the members, are to be council members.*

** Absolute majority required.”*

Advice has been obtained from the Director Local Government Support and Engagement, Department of Local Government, Sport and Cultural Industries with the following question being posed:

“Noting the provisions of the LGA 1995 Division 1A how are we to proceed to reform the Audit Committee? The current terms of reference states that the Committee will consist of three (3) Elected Members plus two (2) external members and the Shire President as Ex-Officio. All members shall have full voting rights. We still have the 2 Community members and with one Commissioner I can’t see how we can meet the provisions of the Act.”

The following response was provided by the Director:

“In accordance with section 2.38(2) of the Local Government Act, the Commissioner is regarded as being the council. Our position is that the Commissioner is the council when sitting on the Audit Committee and represents the entire council. On this basis, providing

that the Commissioner is a member of the Audit Committee, the entire council is being represented and therefore the provisions of the Local Government Act and the terms of reference are satisfied.”

FINANCIAL IMPLICATIONS

Nil

POLICY COMPLIANCE

Not Applicable.

STATUTORY COMPLIANCE

Local Government Act 1995 Part – 7 Audit

7.12A. Duties of local government with respect to audits

- (3) *A local government must —*
 - (aa) *examine an audit report received by the local government; and*
 - (a) *determine if any matters raised by the audit report, require action to be taken by the local government; and*
 - (b) *ensure that appropriate action is taken in respect of those matters.*
- (4) *A local government must —*
 - (a) *prepare a report addressing any matters identified as significant by the auditor in the audit report, and stating what action the local government has taken or intends to take with respect to each of those matters; and*
 - (b) *give a copy of that report to the Minister within 3 months after the audit report is received by the local government.*
- (5) *Within 14 days after a local government gives a report to the Minister under subsection (4)(b), the CEO must publish a copy of the report on the local government’s official website.*

Local Government (Audit) Regulations 1996

16. Functions of audit committee

An audit committee has the following functions —

- (a) *to guide and assist the local government in carrying out —*
 - (i) *its functions under Part 6 of the Act; and*
 - (ii) *its functions relating to other audits and other matters related to financial management;*

- (b) *to guide and assist the local government in carrying out the local government's functions in relation to audits conducted under Part 7 of the Act;*
- (c) *to review a report given to it by the CEO under regulation 17(3) (the **CEO's report**) and is to —*
 - (i) *report to the council the results of that review; and*
 - (ii) *give a copy of the CEO's report to the council;*
- (d) *to monitor and advise the CEO when the CEO is carrying out functions in relation to a review under —*
 - (i) *regulation 17(1); and*
 - (ii) *the Local Government (Financial Management) Regulations 1996 regulation 5(2)(c);*
- (e) *to support the auditor of the local government to conduct an audit and carry out the auditor's other duties under the Act in respect of the local government;*
- (f) *to oversee the implementation of any action that the local government —*
 - (i) *is required to take by section 7.12A(3); and*
 - (ii) *has stated it has taken or intends to take in a report prepared under section 7.12A(4)(a); and*
 - (iii) *has accepted should be taken following receipt of a report of a review conducted under regulation 17(1); and*
 - (iv) *has accepted should be taken following receipt of a report of a review conducted under the Local Government (Financial Management) Regulations 1996 regulation 5(2)(c);*
- (g) *to perform any other function conferred on the audit committee by these regulations or another written law.*

CONSULTATION

Not Applicable.

OFFICER CONCLUSION

The audit opinion is unqualified and concludes that the report fairly represents the results of the operations of the Shire for the period ended 30 June 2022.

COMMITTEE RESOLUTION

That the Audit and Risk Management Committee recommend to Council:

- 1. Receive the Annual Financial Report, Audit Report, Final Management Letter and Interim Audit Management letter for the year ending 30 June 2022; and**

- 2. Note that a report on significant findings in accordance with Section 7.12A(4)(b) of the Local Government Act 1995, for the year ending 30 June 2022, is not required.**

CARRIED 3/0

The Chairperson called for a vote and the resolution was carried.

8 CLOSURE

The Chairperson declared the meeting closed at 3:41pm.

Compliance Audit Return Form

Start ✓
Details ✓
Commercial Enterprises ✓
Delegation ✓
Disclosure of Interest ✓
Disposal of Property ✓
Elections ✓
Finance ✓
IPR ✓
Employees ✓
Conduct ✓
Other ✓
Tenders ✓
Documents ✓
Review

Finalise



Details

Local Government

Donnybrook-Ballingup, Shire of

Created By

Loren Clifford

Year of Return

2022

Status

Draft

Commercial Enterprises by Local Governments

1. Has the local government prepared a business plan for each major trading undertaking that was not exempt in 2022? *

N/A

Add comments

—

2. Has the local government prepared a business plan for each major land transaction that was not exempt in 2022? *

N/A

Add comments

—

3. Has the local government prepared a business plan before entering into each land transaction that was preparatory to entry into a major land transaction in 2022? *

N/A

Add comments

—

4. Has the local government complied with public notice and publishing requirements for each proposal to commence a major trading undertaking or enter into a major land transaction or a land transaction that is preparatory to a major land transaction for 2022? *

N/A

Add comments

—

5. During 2022, did the council resolve to proceed with each major land transaction or trading undertaking by absolute majority? *

N/A

Add comments

—

Delegation of Power/Duty

1. Were all delegations to committees resolved by absolute majority? *

Yes

Add comments

—

2. Were all delegations to committees in writing? *

Yes

Add comments

—

3. Were all delegations to committees within the limits specified in section 5.17 of the Local Government Act 1995? *

Yes

Add comments

—

4. Were all delegations to committees recorded in a register of delegations? *

Yes

Add comments

—

5. Has council reviewed delegations to its committees in the 2021/2022 financial year? *

Yes

Add comments

Please enter comments *

Adopted 2021-2022 Delegations Register OCM 27 April 2022 – Council Decision 50/22 – SYNERGY#NREP8535

6. Did the powers and duties delegated to the CEO exclude those listed in section 5.43 of the Local Government Act 1995? *

Yes

Add comments

—

7. Were all delegations to the CEO resolved by an absolute majority? *

Yes

Add comments

—

8. Were all delegations to the CEO in writing? *

Yes

Add comments

—

9. Were all delegations by the CEO to any employee in writing? *

Yes

Add comments

—

10. Were all decisions by the Council to amend or revoke a delegation made by absolute majority? *

Yes

Add comments

—

11. Has the CEO kept a register of all delegations made under Division 4 of the Local Government Act 1995 to the CEO and to employees? *

Yes

Add comments

—

12. Were all delegations made under Division 4 of the Act reviewed by the delegator at least once during the 2020/2021 financial year? *

Yes

Add comments

—

13. Did all persons exercising a delegated power or duty under the Local Government Act 1995 keep, on all occasions, a written record in accordance with Local Government (Administration) Regulations 1996 regulation 19? *

Yes

Add comments

Disclosure of Interest

1. Where a council member disclosed an interest in a matter and did not have participation approval under sections 5.68 or 5.69 of the Local Government Act 1995, did the council member ensure that they did not remain present to participate in discussion or decision making relating to the matter? *

Yes

Add comments

2. Were all decisions regarding participation approval, including the extent of participation allowed and, where relevant, the information required by the Local Government (Administration) Regulations 1996 regulation 21A, recorded in the minutes of the relevant council or committee meeting? *

N/A

Add comments

3. Were disclosures under sections 5.65, 5.70 or 5.71A(3) of the Local Government Act 1995 recorded in the minutes of the meeting at which the disclosures were made? *

Yes

Add comments

4. Was a primary return in the prescribed form lodged by all relevant persons within three months of their start day? *

Yes

Add comments

Please enter comments *

CNL 38

5. Was an annual return in the prescribed form lodged by all relevant persons by 31 August 2022? *

No

Add comments

Please enter comments *

Cr Glover, Cr Atherton, Cr Gubler, Cr Massey, Cr Newman & Cr Smith failed to return their Annual Return's by 31 August 2022

6. On receipt of a primary or annual return, did the CEO, or the mayor/president, give written acknowledgment of having received the return? *

Yes

Add comments

Please enter comments *

CNL 38

7. Did the CEO keep a register of financial interests which contained the returns lodged under sections 5.75 and 5.76 of the Local Government Act 1995? *

Yes

Add comments

Please enter comments *

CNL 38

8. Did the CEO keep a register of financial interests which contained a record of disclosures made under sections 5.65, 5.70, 5.71 and 5.71A of the Local Government Act 1995, in the form prescribed in the Local Government (Administration) Regulations 1996, regulation 28? *

Yes

Add comments

—

9. When a person ceased to be a person required to lodge a return under sections 5.75 and 5.76 of the Local Government Act 1995, did the CEO remove from the register all returns relating to that person? *

Yes

Add comments

Please enter comments *

CNL 38 - Removed Returns

10. Have all returns removed from the register in accordance with section 5.88(3) of the Local Government Act 1995 been kept for a period of at least five years after the person who lodged the return(s) ceased to be a person required to lodge a return? *

Yes

Add comments

Please enter comments *

CNL 38

11. Did the CEO keep a register of gifts which contained a record of disclosures made under sections 5.87A and 5.87B of the Local Government Act 1995, in the form prescribed in the Local Government (Administration) Regulations 1996, regulation 28A? *

Yes

Add comments

Please enter comments *

CNL 35

12. Did the CEO publish an up-to-date version of the gift register on the local government's website? *

Yes

Add comments

Please enter comments *

CNL 35

13. When people cease to be a person who is required to make a disclosure under section 5.87A or 5.87B of the Local Government Act 1995, did the CEO remove from the register all records relating to those people? *

Yes

Add comments

Please enter comments *

CNL 35

14. Have copies of all records removed from the register under section 5.89A(6) Local Government Act 1995 been kept for a period of at least five years after the person ceases to be a person required to make a disclosure? *

Yes

Add comments

Please enter comments *

CNL 35

15. Where an employee had an interest in any matter in respect of which the employee provided advice or a report directly to council or a committee, did that person disclose the nature and extent of that interest when giving the advice or report? *

Yes

Add comments

—

16. Where council applied to the Minister to allow the CEO to provide advice or a report to which a disclosure under section 5.71A(1) of the Local Government Act 1995 relates, did the application include details of the nature of the interest disclosed and any other information required by the Minister for the purposes of the application? *

N/A

Add comments

—

17. Was any decision made by the Minister under section 5.71B(6) of the Local Government Act 1995, recorded in the minutes of the council meeting at which the decision was considered? *

N/A

Add comments

—

18. Did the local government prepare and adopt, by absolute majority, a code of conduct to be observed by council members, committee members and candidates within 3 months of the prescribed model code of conduct coming into operation (3 February 2021)? *

Yes

Add comments

Please enter comments *

28 April 2021 - Council Decision 62/21

19. Did the local government adopt additional requirements in addition to the model code of conduct? If yes, does it comply with section 5.104(3) and (4) of the Local Government Act 1995? *

N/A

Add comments

—

20. Has the CEO published an up-to-date version of the code of conduct for council members, committee members and candidates on the local government's website? *

Yes

Add comments

—

21. Has the CEO prepared and implemented a code of conduct to be observed by employees of the local government? *

Yes

Add comments

—

Has the CEO published an up-to-date version of the code of conduct for employees on the local government's website? *

Yes

Disposal of Property

1. Where the local government disposed of property other than by public auction or tender, did it dispose of the property in accordance with section 3.58(3) of the Local Government Act 1995 (unless section 3.58(5) applies)? *

Yes

Add comments

2. Where the local government disposed of property under section 3.58(3) of the Local Government Act 1995, did it provide details, as prescribed by section 3.58(4), in the required local public notice for each disposal of property? *

Yes

Add comments

Elections

1. Did the CEO establish and maintain an electoral gift register and ensure that all disclosure of gifts forms completed by candidates and donors and received by the CEO were placed on the electoral gift register at the time of receipt by the CEO and in a manner that clearly identifies and distinguishes the forms relating to each candidate in accordance with regulation 30G(1) and regulation 30G(2) of the Local Government (Elections) Regulations 1997? *

N/A

Add comments

2. Did the CEO remove any disclosure of gifts forms relating to unsuccessful candidates, or successful candidates that completed their term of office, from the electoral gift register, and retain those forms separately for a period of at least two years in accordance with regulation 30G(4) of the Local Government (Elections) Regulations 1997? *

N/A

Add comments

3. Did the CEO publish an up-to-date version of the electoral gift register on the local government's official website in accordance with regulation 30G(5) of the Local Government (Elections) Regulations 1997? *

Yes

Add comments

Finance

1. Has the local government established an audit committee and appointed members by absolute majority in accordance with section 7.1A of the Local Government Act 1995? *

Yes

Add comments

2. Where the council delegated to its audit committee any powers or duties under Part 7 of the Local Government Act 1995, did it do so by absolute majority? *

Yes

Add comments

3. Was the auditor's report for the financial year ended 30 June 2022 received by the local government by 31 December 2022? *

Yes

Add comments

4. Where the local government determined that matters raised in the auditor's report prepared under section 7.9(1) of the Local Government Act 1995 required action to be taken, did the local government ensure that appropriate action was undertaken in respect of those matters? *

N/A

Add comments

5. Where matters identified as significant were reported in the auditor's report, did the local government prepare a report that stated what action the local government had taken or intended to take with respect to each of those matters? Was a copy of the report given to the Minister within three months of the audit report being received by the local government? *

N/A

Add comments

Please enter comments *

No report required. No significant findings in Audit Opinion.

6. Within 14 days after the local government gave a report to the Minister under section 7.12A(4)(b) of the Local Government Act 1995, did the CEO publish a copy of the report on the local government's official website? *

N/A

Add comments

FIN-AR-Publish14DaysComments *

No report required. No significant findings in Audit Opinion.

7. Was the auditor's report for the financial year ending 30 June 2022 received by the local government within 30 days of completion of the audit? *

Yes

Add comments

Integrated Planning and Reporting

1. Has the local government adopted by absolute majority a strategic community plan? *

Yes

Add comments

Please provide the adoption date or the date of the most recent review *

25/05/2022

Please enter comments *

Council Plan Adopted 25 May 2022, Council Decision 70/22

2. Has the local government adopted by absolute majority a corporate business plan? *

Yes

Add comments

Please provide the adoption date or the date of the most recent review *

25/05/2022

Please enter comments *

Council Plan Adopted 25 May 2022, Council Decision 70/22

3. Does the corporate business plan comply with the requirements of Local Government (Administration) Regulations 1996 19DA(2) & (3)? *

Yes

Add comments

Local Government Employees

1. Were all CEO and/or senior employee vacancies advertised in accordance with Local Government (Administration) Regulations 1996, regulation 18A? *

N/A

Add comments

—

2. Was all information provided in applications for the position of CEO true and accurate? *

N/A

Add comments

—

3. Was the remuneration and other benefits paid to a CEO on appointment the same remuneration and benefits advertised for the position under section 5.36(4) of the Local Government Act 1995? *

N/A

Add comments

—

4. Did the CEO inform council of each proposal to employ or dismiss senior employee? *

Yes

Add comments

—

5. Where council rejected a CEO's recommendation to employ or dismiss a senior employee, did it inform the CEO of the reasons for doing so? *

N/A

Add comments

Official Conduct

1. Has the local government designated an employee to be its complaints officer? *

Yes

Add comments

2. Has the complaints officer for the local government maintained a register of complaints which records all complaints that resulted in a finding under section 5.110(2)(a) of the Local Government Act 1995? *

Yes

Add comments

3. Does the complaints register include all information required by section 5.121(2) of the Local Government Act 1995? *

Yes

Add comments

4. Has the CEO published an up-to-date version of the register of the complaints on the local government's official website? *

Yes

Add comments

Other

1. Did the CEO review the appropriateness and effectiveness of the local government's financial management systems and procedures in accordance with the Local Government (Financial Management) Regulations 1996 regulations 5(2)(c) within the three financial years prior to 31 December 2022?

Yes

Add comments

Please provide the date of council's resolution to accept the report. *

27/04/2021

Please enter comments *

Council Resolution 55/21 on 27/04/2021

2. Did the CEO review the appropriateness and effectiveness of the local government's systems and procedures in relation to risk management, internal control and legislative compliance in accordance with Local Government (Audit) Regulations 1996 regulation 17 within the three financial years prior to 31 December 2022?

Yes

Add comments

Please provide the date of council's resolution to accept the report. *

24/02/2021

Please enter comments *

Council Resolution 13/21 on 24/02/2021

3. Where a disclosure was made under sections 5.87A or 5.87B of the Local Government Act 1995, were the disclosures made within 10 days after receipt of the gift? Did the disclosure include the information required by section 5.87C of the Act?

N/A

Add comments

4. Did the local government prepare, adopt by absolute majority and publish an up-to-date version on the local government's website, a policy dealing with the attendance of council members and the CEO at events?

Yes

Add comments

—

5. Did the CEO publish information on the local government's website in accordance with sections 5.96A(1), (2), (3), and (4) of the Local Government Act 1995?

Yes

Add comments

—

6. Did the local government prepare and adopt (by absolute majority) a policy in relation to the continuing professional development of council members?

Yes

Add comments

—

7. Did the local government prepare a report on the training completed by council members in the 2021/2022 financial year and publish it on the local government's official website by 31 July 2022?

Yes

Add comments

—

8. By 30 September 2022, did the local government submit to its auditor the balanced accounts and annual financial report for the year ending 30 June 2022?

Yes

Add comments

—

9. When adopting the annual budget, did the local government take into account all its expenditure, revenue and income?

Yes

Add comments

—

Tenders for Providing Goods and Services

1. Did the local government comply with its current purchasing policy, adopted under the Local Government (Functions and General) Regulations 1996, regulations 11A(1) and (3) in relation to the supply of goods or services where the consideration under the contract was, or was expected to be, \$250,000 or less or worth \$250,000 or less? *

Yes

Add comments

—

2. Subject to Local Government (Functions and General) Regulations 1996, regulation 11(2), did the local government invite tenders for all contracts for the supply of goods or services where the consideration under the contract was, or was expected to be, worth more than the consideration stated in regulation 11(1) of the Regulations? *

Yes

Add comments

—

3. When regulations 11(1), 12(2) or 13 of the Local Government (Functions and General) Regulations 1996, required tenders to be publicly invited, did the local government invite tenders via Statewide public notice in accordance with Regulation 14(3) and (4)? *

Yes

Add comments

4. Did the local government comply with Local Government (Functions and General) Regulations 1996, Regulation 12 when deciding to enter into multiple contracts rather than a single contract? *

Yes

Add comments

5. If the local government sought to vary the information supplied to tenderers, was every reasonable step taken to give each person who sought copies of the tender documents or each acceptable tenderer notice of the variation? *

Yes

Add comments

6. Did the local government's procedure for receiving and opening tenders comply with the requirements of Local Government (Functions and General) Regulations 1996, Regulation 15 and 16? *

Yes

Add comments

7. Did the information recorded in the local government's tender register comply with the requirements of the Local Government (Functions and General) Regulations 1996, Regulation 17 and did the CEO make the tenders register available for public inspection and publish it on the local government's official website? *

Yes

Add comments

8. Did the local government reject any tenders that were not submitted at the place, and within the time, specified in the invitation to tender? *

N/A

Add comments

—

9. Were all tenders that were not rejected assessed by the local government via a written evaluation of the extent to which each tender satisfies the criteria for deciding which tender to accept? *

Yes

Add comments

—

10. Did the CEO give each tenderer written notice containing particulars of the successful tender or advising that no tender was accepted? *

Yes

Add comments

—

11. Did the local government's advertising and expression of interest processes comply with the requirements of the Local Government (Functions and General) Regulations 1996, Regulations 21 and 22? *

Yes

Add comments

—

12. Did the local government reject any expressions of interest that were not submitted at the place, and within the time, specified in the notice or that failed to comply with any other requirement specified in the notice? *

N/A

Add comments

13. Were all expressions of interest that were not rejected under the Local Government (Functions and General) Regulations 1996, Regulation 23(1) & (2) assessed by the local government? Did the CEO list each person as an acceptable tenderer? *

Yes

Add comments

14. Did the CEO give each person who submitted an expression of interest a notice in writing of the outcome in accordance with Local Government (Functions and General) Regulations 1996, Regulation 24? *

Yes

Add comments

15. Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice in accordance with Local Government (Functions and General) Regulations 1996, Regulations 24AD(4) and 24AE? *

Yes

Add comments

16. If the local government sought to vary the information supplied to the panel, was every reasonable step taken to give each person who sought detailed information about the proposed panel or each person who submitted an application notice of the variation? *

N/A

Add comments

17. Did the local government's procedure for receiving and opening applications to join a panel of pre-qualified suppliers comply with the requirements of Local Government (Functions and General) Regulations 1996, Regulation 16, as if the reference in that regulation to a tender were a reference to a pre-qualified supplier panel application? *

Yes

Add comments

—

18. Did the information recorded in the local government's tender register about panels of pre-qualified suppliers comply with the requirements of Local Government (Functions and General) Regulations 1996, Regulation 24AG? *

Yes

Add comments

—

19. Did the local government reject any applications to join a panel of pre-qualified suppliers that were not submitted at the place, and within the time, specified in the invitation for applications? *

N/A

Add comments

—

20. Were all applications that were not rejected assessed by the local government via a written evaluation of the extent to which each application satisfies the criteria for deciding which application to accept? *

Yes

Add comments

—

21. Did the CEO send each applicant written notice advising them of the outcome of their application? *

Yes

Add comments

22. Where the local government gave regional price preference, did the local government comply with the requirements of Local Government (Functions and General) Regulations 1996, Regulation 24E and 24F? *

Yes

Add comments

Documents

There are no notes to display.

Close

Previous

Next

ABN: 98837480450
Phone: +61 416142986
Email: info@procurementplus.com.au



Date: 13 February 2023

Reference: Q2022-23-0030

Mr Ben Rose
Chief Executive Officer
Shire of Donnybrook-Balingup

Dear Ben

RE: PROPOSAL FOR THE REVIEW, ADVICE AND DELIVERY OF A CONTRACT MANAGEMENT FRAMEWORK TO THE SHIRE OF DONNYBROOK-BALINGUP

Thank you for the opportunity to submit a proposal for the review, advice and delivery of an appropriately scaled Contract Management Framework (Review). The Review will also take into consideration a range of other procurement aspects including practices and processes, training (customised workshops), and tools and integration with other enterprise frameworks.

Procurement PLUS (P PLUS) is here to support the Shire of Donnybrook-Balingup (the "Shire") with this Review and delivery of procurement services.

Given the strong focus that has been applied by the Office of the Auditor General and other State instrumentalities on the Local Government sector, it is essential that the Shire has confidence in its contract management processes and practices. Notwithstanding the scrutiny being applied to Local Governments, good contract management practices also deliver good outcomes for the wider community. P PLUS has a strong record and considerable experience in supporting and delivering good contract management practices and outcomes for both Local and State Government sectors.

John Filippone has more than 25 years' experience in the State, Local Government and private sectors developing and managing contracts across the energy, ICT, general goods and services, and works environment. Having overseen the development of more than \$4 billion worth of contracts, the P PLUS Director has experience of the full range of procurement processes and is able to impart this knowledge to carry out a Review of the Shire's procurement and contracting management processes and practices and support the delivery of the Shire's procurement services.

By engaging P PLUS, the Shire will benefit from:

- Minimised regulatory and procurement risk, and increased assurance.
- A broad range of practical procurement expertise and experience.
- A clear understanding of good contract management practices and underlying procurement principles.



- An affordable solution that will deliver value for money.

Under this proposal, P PLUS will undertake a Review and deliver a suite of procurement services as outlined below under 'Scope of Service'.

1. ENGAGEMENT PROCESS

Upon acceptance of this quote, P PLUS will liaise with the Shire to determine a main point of contact for the Review and procurement services. The protocols for engaging with the Shire, reviewing documentation and interviewing officers will be determined at this point.

2. SCOPE OF SERVICE

To assist the Shire meet its obligations under the Local Government (Audit) Regulations 1996 (the "Regulations"), and in particular under Regulation 17, to ensure that it is delivering good contract management practices, a Review and delivery of procurement services is proposed as outlined below.

Review of Contract Management Processes, Practices, and Resources

This will include:

- a) a Review of the Shire's current contract management processes, practices and resources and assess these against the requirements outlined in the Regulations, the Shire's suite of relevant policies and procedures, and good contract management practices;
- b) a Review of the Shire's current procurement frameworks and templates (contract planning, contract development and contract management), and how these are integrated and align to the requirements contained in the OAG Report of May 2020, and the Shire's suite of relevant policies and procedures, and good contract management practices;
- c) a Review of the Shires procurement governance structures, processes and assurances and how these are aligned, interact with, or deliver good contract management practices;
- d) a Review of the relevant templates, tools and associated resources (including relevant systems) to support the delivery of good contract management practices;
- e) a gap analysis based on the above;
- f) a roadmap to outline priorities and their alignment to the Regulations and the Shire's suite of relevant policies and procedures;
- g) preparation of a report incorporating roadmap and procurement governance model, highlighting process and practice improvements, and identifying changes required in adopting a new Contract Management Framework; and
- h) once the Review has been completed, prepare a Contract Management Framework document that outlines the requirements to deliver good contract management practices and integration with other enterprise frameworks.



Delivery of Customised Workshop – Contract Management

This proposal allows for the delivery of a contract management workshop (Workshop) to Shire staff.

The delivery of the Workshop will include:

- a) power point presentation, and Workshop notes. The Workshop will include activities to reinforce the learnings and contain relevant examples;
- b) duration of approximately half a day (for Contract Management Essentials), or a full day (for Contract Management Fundamentals) - the Shire to select which option;
- c) face to face engagement which will be interactive and delivered at a suitable venue as arranged by the Shire;
- d) participant numbers in any one Workshop capped at 16. Greater than 16 participants will make an interactive style workshop more challenging;
- e) consultation with the Shire to identify any areas of the Workshop that can be further enhanced to maximise the learner experience and provide further benefit to the Shire; and
- f) an electronic copy of the power point presentation and Workshop notes so that participants can have access to post session reference material.

An outline of the Contract Management Essentials and Fundamentals Workshops are contained at Attachment 1. It should be noted that the outline for each type of Workshop is indicative only and may be amended as a result of the Review and further consultation with the Shire.

3. SERVICE DELIVERY APPROACH – REVIEW ONLY

In undertaking a Review of the Shire’s contract management processes, practices and resources, the following approach will be adopted. It should be noted that some aspects may be undertaken concurrently rather than in a linear fashion.



Initiate and Research	<ul style="list-style-type: none"> 'Kick off' meeting to confirm contact point, requirements, approach, and timelines. Review existing documents, policies, guidelines, contract management practices, systems, tools, templates and resources. Review the Shire’s current procurement frameworks and templates (contract planning, contract development and contract management), and how these are integrated and align to the Shire’s contract management practices, policies and procedures, and the requirements of the Regulations.
------------------------------	--



	<ul style="list-style-type: none"> Review a small sample of recent contract management processes and how they have aligned to OAG requirements and good practices. Review existing procurement governance arrangements.
Consult and Evaluate	<ul style="list-style-type: none"> Discuss with relevant Shire officers their current practices and processes to identify 'gaps' in process or procedures. Consider findings against the Regulations, OAG May 2020 Report, the Shire's suite of relevant policies and procedures, other enterprise frameworks, and good contract management practices.
Organise, Analyse, and Review	<ul style="list-style-type: none"> Collate information and analyse gap between current state and requirements to establish a Contract Management Framework that considers the Shire's suite of relevant policies and procedures, requirements contained in the OAG May 2020 Report, and good contract management practices. Review findings and consider procurement governance regime and model.
Report and Close	<ul style="list-style-type: none"> Prepare Roadmap outlining priorities for change between current state and requirements under a proposed Contract Management Framework, and the Shire's suite of relevant policies and procedures. Prepare Report, incorporating Roadmap and procurement governance model, highlighting process improvements, and identifying changes required in adopting new policies, procedures, tools, templates and resources. Prepare Contract Management Framework document. Presentation on findings, handover and close out.

4. EXPERIENCE

Engaging P PLUS to undertake a Review and deliver procurement services provides the Shire with extensive experience and expertise to deliver the scope of service outlined above.

In 2021, P PLUS was engaged by the State agency, Racing and Wagering WA (RWWA) to deliver a review of current procurement practices and processes and assess findings against the new WA Procurement Act (2020) and WA Procurement Rules that have now come into effect for State agencies. The key deliverable was a report that provided a roadmap to outline priorities to transition to the new WA Procurement Rules and establish a new procurement governance model. The assignment also required the updating of procurement policy documents and creating a procurement delegation schedule. A similar review and procurement service was also carried out for the Public Transport Authority.

In the last 12 months, John has carried out risk assessments and assisted with development of the procurement strategy for the Perth Zoo as part of Zoo's redevelopment plans. This has included a new café and function centre, and primate and African Savannah exhibits. P PLUS has also developed ICT specifications for the Department of



Justice's new application support services contract; and developed the procurement plan for the Department of Communities' new psychology services panel contract.

P PLUS has also delivered more than a dozen workshops on procurement principles, processes and policies in the last 12 months on behalf of the State Department of Jobs, Tourism, Science and Innovation.

In a former role as a Senior Executive within State Government (Department of Finance), John was responsible for ensuring that the quality of procurement processes undertaken on behalf of State Agencies were of the highest standard and would withstand external and independent scrutiny. John was also responsible for overseeing the development and contract management of the State's Common Use Arrangements.

From 2009 to 2014, John was a member of the State Tender Review Committee which is the State's premier procurement governance mechanism and is responsible for reviewing all procurement processes for goods and services at various stages of development that are above certain contract value thresholds. In essence, it provides an assurance service by reviewing all Procurement Plans and Recommendation Reports developed by State Government Departments.

John has also been a Gateway Reviewer for the State and has been involved in Gateway Reviews of critical State infrastructure such as WA Prisons and Tertiary Hospitals. He is currently registered with the Department of Finance as an Independent Gateway Reviewer.

From 2015 to 2020, as the Executive Manager at WALGA, John was responsible for overseeing the development and contract management of more than 30 preferred supplier panel contracts, as well as reviewing and overseeing the drafting of model templates and policy documents. In that capacity, John oversaw the delivery of the Procurement Advisory Service to approximately 120 WALGA members.

More recently, P PLUS has reviewed and drafted a new purchasing and regional price preference policies for the Shire of Boyup Brook, reviewed and drafted a new purchasing policy and procedures manual for the Shire of Wyalkatchem, and delivered procurement advisory services to the Shire of Irwin and the City of Kalgoorlie-Boulder.

5. USE OF SUBCONTRACTORS

The P PLUS operational model relies on the use of Associates (subcontractors) to address periods of excess workload or to ensure business continuity in the event that the P PLUS Director is unavailable. However, P PLUS remains responsible for the delivery of all work regardless of whether it is completed by the P PLUS Director or an Associate. All work carried out by an Associate will be quality assessed by P PLUS prior to its delivery to the Shire.

In the event that that an Associate is to be used to undertake any or all of the required work, the name and details of the Associate will be provided to the Shire prior to the Associate's involvement.



6. COMMERCIAL PROPOSAL

To deliver the Review and Procurement Services in line with the above, the following fee is offered as a fixed and firm price:

Item	Fee (ex GST)
Review of Procurement Processes, Practices and Templates	
Carry out Review and draft Report and Contract Management Framework (CMF) document	\$23,430
Delivery of Workshop	
Contract Management Essentials	\$1,980
Contract Management Fundamentals	\$2,970
Total (with Essentials Workshop)	\$25,410
Total (with Fundamentals Workshop)	\$26,400

7. PAYMENT SCHEDULE

The agreed fee will be invoiced as follows:

Milestone	Proportion of Total Cost
Carry out Review, draft Report and CMF document	
Following review of existing policies, documents and guidelines	30%
At delivery of initial draft Report	30%
At delivery of initial draft CMF document	20%
At delivery of final Report and final CMF document	20%
Workshops	
Post delivery of each workshop	100%

8. SPECIAL CONDITIONS AND ASSUMPTIONS

- a) Payment terms are twenty (20) calendar days from date of invoice.
- b) This proposal remains valid for a period of twenty (20) business days. After this time, P PLUS may need to revise the proposal and expected delivery time.
- c) Excluded from the above pricing structure is:
 - o Engagement of any other specialist professional services (excludes Associates), if requested/required, (Client to arrange or charged on a cost recovery basis plus 5% administrative costs); and



- Disbursement costs associated with travel, accommodation, venue hire, catering and meals, and hire of equipment if required (Client to arrange or charged on a cost recovery basis plus 5% administration costs).
- d) Intellectual Property Rights:
- i. Any new material and the Intellectual Property pertaining to the new material that is created as a result of the **Review**, and the **Customised Workshops** will be owned by the Shire.
 - ii. The Shire grants to P PLUS a non-exclusive, perpetual, royalty-free, irrevocable, licence to use any new material created by P PLUS as a result of the **Review**, and the **Customised Workshops**.
 - iii. Ownership of P PLUS' Background Intellectual Property Rights vests in and shall remain vested in P PLUS.
 - iv. Ownership of the Shire's Background Intellectual Property Rights vests in and shall remain vested in the Shire.
- e) Note that the information contained in this proposal and provided to the Shire is for its use only and is to be treated as confidential and must not be shared with any external party without the prior written approval of P PLUS.

To accept this proposal, please email an authorisation to proceed to info@procurementplus.com.au at your earliest convenience.

By accepting this proposal, and providing authorisation to proceed, the Shire is also accepting the 'Special Conditions and Assumptions' listed above.

Do not hesitate to contact me should you have any questions or require further clarification regarding this proposal.

I trust that P PLUS' involvement will add value and support the ongoing development of the Shire's contract management processes and practices. I look forward to hearing from you and working with you to deliver this service.

Yours Sincerely

John Filippone
Director

Ph: +61 416142986



ATTACHMENT 1: CONTRACT MANAGEMENT WORKSHOP – INDICATIVE OUTLINE

- 1. Welcome and Housekeeping**
- 2. Activity – introducing facilitator and participants**
- 3. Session agenda**
- 4. Course Objectives**

Contract Management Essentials

- 1. Session 1 – Introduction to Contract Management and Administration**
- 2. Session 2 – Managing Performance, Review and Closure**
- 3. Course objectives**
- 4. Introduction to Contract Management and Administration**
 - a) Why is it important
 - b) Definition of contract management (CIPSA)
 - c) Characteristics of contract management and administration
 - d) Contract management lifecycle
 - e) Managing compliance – insurances, licenses and other accreditations
 - f) Contract variations
 - g) Contract novation and assignment
 - h) Contract management risk
 - i) Records management
 - j) Case study and activity
- 5. Managing Performance, Review and Closure**
 - a) Contract kick off
 - b) Safety management
 - c) Tools for managing performance
 - d) KPIs and standards
 - e) Inspections, audits and recording contractor activity
 - f) Contractor payments
 - g) Dispute resolution
 - h) Practical completion, site handover and defects liability
 - i) Contract review and closure
 - j) Case study and activity
- 6. Wrap up**



Contract Management Fundamentals

- 1. Session 1 – Introduction to Contract Management**
- 2. Session 2 – Contract Clauses and Contract Administration**
- 3. Session 3 – Managing Contract and Contractor Performance**
- 4. Session 4 – Contract Review and Closure**
- 5. Course objectives**
- 6. Introduction to Contract Management**
 - a) Why is it important
 - b) Definition of contract management (CIPSA)
 - c) Procurement lifecycle
 - d) Characteristics of contract management
 - e) Contract management lifecycle
 - f) Contract management planning
 - g) Contract management risk
 - h) Probity and ethical behaviour
 - i) Case study and activity
- 7. Contract Clauses and Contract Administration**
 - a) Types of contracts
 - b) Managing compliance – insurances, licenses and other accreditations
 - c) Novations and assignment
 - d) Contract variations
 - e) Records management
 - f) Case study and activity
- 8. Managing Contract and Contractor Performance**
 - a) Contract kick off
 - b) Safety management
 - c) Tools for managing performance
 - d) KPIs and standards
 - e) Inspections, audits and recording contractor activity
 - f) Contractor payments
 - g) Dispute resolution
 - h) Case study and activity
 - i) Contract review and closure
 - j) Case study and activity
- 9. Contract Review and Closure**
 - a) Termination types
 - b) Practical completion, site handover and defects liability



- c) Contract review
- d) Lessons learnt
- e) Case study

10. Wrap up



Shire of Donnybrook Balingup Provision of services to provide advice on, and delivery of, an appropriately scaled contract management framework

AOT Consulting Pty Ltd

ACN 009 374 001

Document Number

DON-000-001 15 Feb23

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1 Proposed Services

1.1 Scope

We understand from the communication the scope is as follows, which is duplicated for completeness.

Context: The Shire's 'Regulation 17' Review (attached, along with other review/audit recommendations) identified an enterprise risk in the fact that the Shire does not have a formal contract management framework, which results in an inconsistent approach implemented by those responsible for contract management.

Deliverable: the Shire seeks advice on, and delivery of, an appropriately scaled contract management framework, including consideration of:

Review of existing contract management practices and resources;

- staff training;
- contemporary tools, templates, resources;
- governance structures and processes;
- integration of contract management framework with other enterprise frameworks (e.g. policies, procurement, delegations etc).

Further discussions via the Teams meeting highlighted:

The framework should be appropriately scaled to focus on (a) "must do" (i.e. essentials), possibly (b) "should do" if not essential but highly desirable, (c) "should do but can be done later", and (d) "could do", which in effect will be initiatives identified during the engagement that are recorded for sometime in the future.

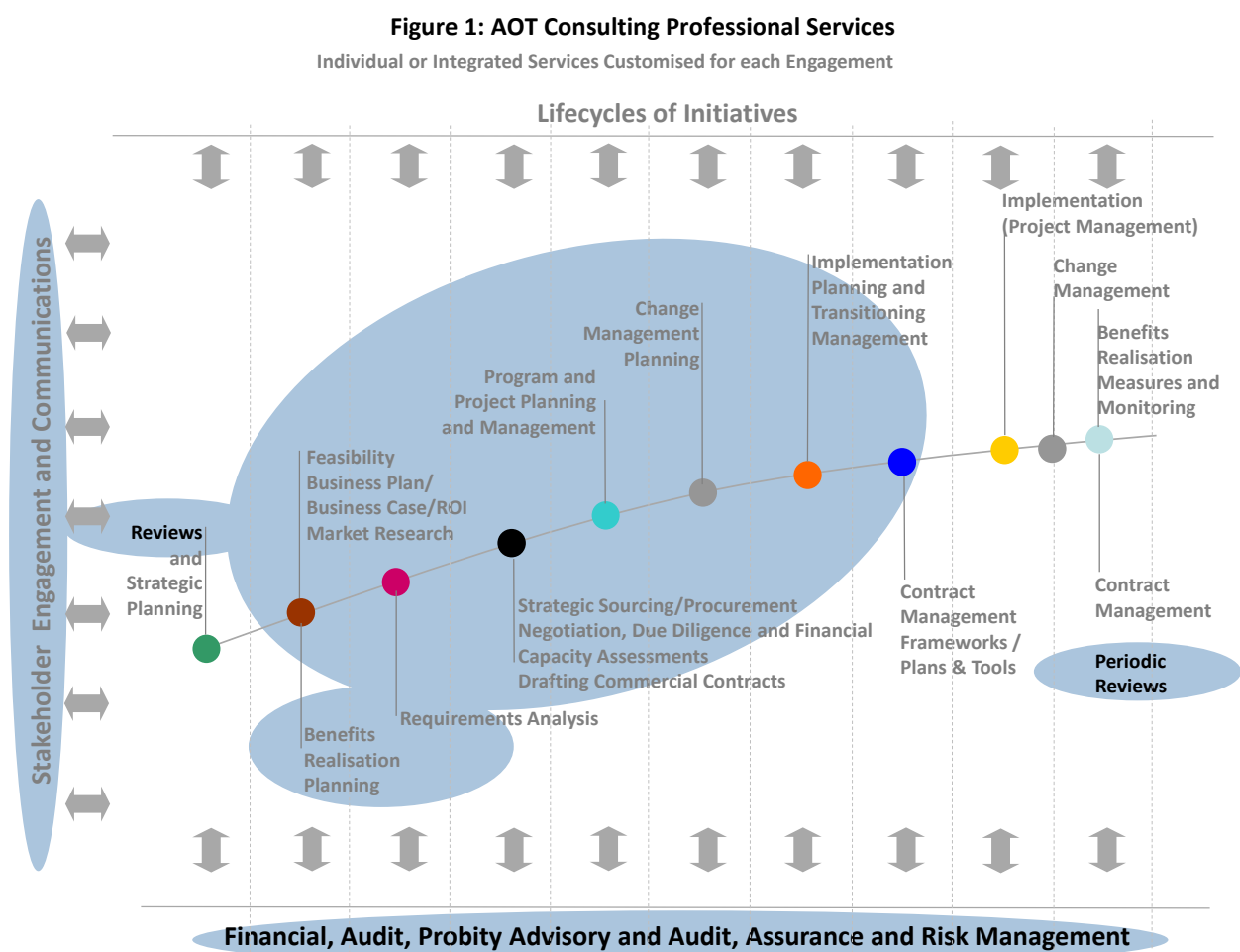
1.2 Introduction

AOT Consulting professional services are designed to meet multiple requirements that align to stages of a lifecycle as illustrated in Figure 1. As shown, review services often occur at the beginning of an initiative or towards the end, but they can also occur anywhere along the continuum where called for.

The purpose of highlighting Figure 1 is that we also have skills, knowledge, expertise and experience in the various stages of an initiative's lifecycle and can bring tacit and explicit knowledge to the area or subject under consideration.

As illustrated, Procurement and Contract Management are central to the services we provide, which has previously enabled us to assist agencies with reviewing their current operating models to achieve increased efficiency and effectiveness in Procurement and Contract Management.

These services have also been undertaken in the context of reviewing and/or establishing procurement and/or contract management policies, procedures, guidelines, and protocols to identify gaps in current documentation and updating accordingly.



The professional services proposed for this review, comprises a combination of services that we provide. While Figure 1 depicts a lifecycle as being linear, it also serves to show that some services are customised to bring multiple elements together to achieve an outcome. The relevant services we provide and will therefore draw upon various elements of our services in context for this proposal.

Below is small example of similar projects we have undertaken that relate to the scope (in varying degrees).

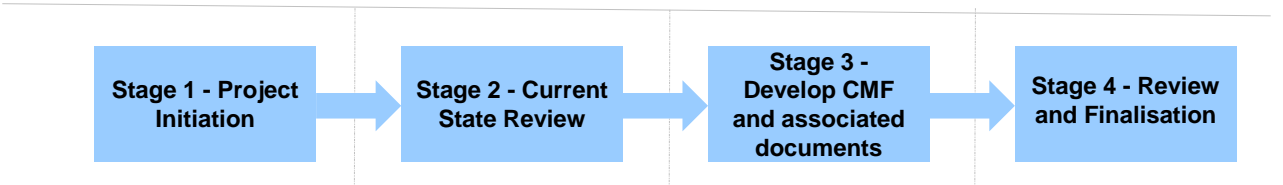
1. Fremantle Ports – Services to undertake a review for the Fremantle Ports ‘Structure for Success’.
2. Fremantle Ports – Review and update Fremantle Ports Supply Policies to align with the current Government policy that applies to Fremantle Ports, including aligning the P&CM Policy Manual.
3. Landgate - Review of Facilities and Records Services (FARS).

4. Western Australian Police Force - Review of WA Police procurement, tendering, contract management and purchasing functions.
5. Western Australian Police Force - Review of WA Police procurement, tendering, contract management and purchasing functions.
6. Western Australian Police Force - Centre-Led Model Implementation.
7. Horizon Power – Sourcing Transformation Project.
8. City of Melville – Procurement Planning Tool (framework)
9. Horizon Power – Contract and Category Management Planning framework.
10. Department of Local Government and Communities (DLGC) - Review of Procurement Planning Process for Community Services Funding Program.
11. Queen Elizabeth II Medical Trust (QEM) – Review and Update of QEII Medical Centre Trust Operating model.
12. Queen Elizabeth II Medical Centre Trust – Review and Update of the Queen Elizabeth II Medical Centre Trust Policies and Supporting Documentation.
13. WA Country Health - Commercial and procurement advice for WA Country Health Forward Procurement Planning Process with Supporting Reporting framework.
14. Department of Finance Building Management and Works (BMW) - Works Reform Program.
15. Department of Water (previously Department of Environment) Strategic Procurement Framework Review and Update.
16. BHP Billiton - Contracting Guidelines and Contracting Opportunities for Indigenous Organisations.
17. Whole of Government Procurement Processes Reform and Policy and Processes Project.

1.3 Proposed Approach

Figure 2 illustrates the proposed approach.

Figure 2: High Level Methodology



Stage	Task
Stage 1 - Project Initiation	<p>During this Stage we will:</p> <ul style="list-style-type: none"> • Hold a Project Initiation Meeting to meet key stakeholders to discuss approach and methodology, initial inputs required, schedule, stakeholder communications and logistics. • Undertake a preliminary review of initial documentation such as current contract landscape, suite of existing templates for contract management, example contract documents, Shire of Donnybrook's Delegations and Approvals matrix, procedures and guidelines, procurement and contract management policies.

Stage	Task
Stage 2 - Current State Review	<p>During this Stage we will:</p> <ul style="list-style-type: none"> Identify gaps in current documentation and process documentation and consider areas of discussion with key stakeholders. Undertake internal brainstorming sessions on current assessments and areas for discussion with key stakeholders. Schedule meetings/communications. Undertake stakeholder discussions (allowed up to 5 stakeholders at 1.5 hours each plus 30 minutes each to document outcomes).
Stage 3 - Develop CMF and associated documents	<p>During this Stage we will:</p> <ul style="list-style-type: none"> Develop a) preliminary framework for contract management framework incorporating all relevant pillars of contract management; and b) matrix of relevant policies/documents/templates/tools/registers, identifying documents that needs to be developed. We anticipate two (2) weeks of elapsed time. Allow for a period to undertake further clarifications with stakeholders to inform the deliverables. Review Draft Contract Management Framework and supporting documentation. Walk through the framework and deliverables with stakeholders. Complete Draft Contract Management Framework and supporting documentation following walk-through session with stakeholders. Review amendments to Draft Contract Management Framework and supporting documentation following walk-through session with stakeholders. Undertake AOT Consulting Internal review (Part of our ISO9001 Quality Management).
Stage 4 - Review and Finalisation	<p>During this Stage we will:</p> <ul style="list-style-type: none"> Undertake a final review by stakeholders at the Shire of Donnybrook. Apply further edits to deliverables following review feedback (allowing for two iterations). Issue and Finalise. Project close-out

1.4 Schedule

We will aim for the completion to be by 30 June 2023 or earlier if possible, but we are also mindful that we will be dependent on the provision of inputs and access to key personnel.

As with all projects AOT Consulting undertakes the timeframe and effort required is subject to the:

- | | |
|--|--|
| <ul style="list-style-type: none"> Availability of the stakeholders (or other as the case may be) resources; Quality and completeness of information provided; | <p>Stakeholders can often be focussed on other activities and on occasions it can prove challenging to schedule meetings.</p> <p>Sometimes when undertaking reviews, an agency may have formed a view that the</p> |
|--|--|

- Accuracy of information provided;
- Number of iterations / clarifications that may be required;
- Access to agency resources, inclusive of relevant resources required to assist in clarifying business or technical or other aspects of the review; and
- The willingness of agency resources (or other as the case may be) personnel to participate.

information on-hand is adequate but we have often found it is insufficient to undertake a review to the level required.

Sometimes, the information provided is inaccurate, thereby diminishing the extent to which evidence can be substantiated.

Sometimes, it takes more iterations to elicit information than originally expected.

Sometimes, agency resources who have tacit knowledge in the subject-matter may no longer be with the agency and it takes the agency time to find alternative resources.

Sometimes, agency resources or the resources of third-parties may be reluctant to participate (for whatever reason), which can cause delays in schedules and consume time that has not been budgeted for.

Regular reporting should serve as a way to monitor and discuss the progress.

1.5 Quality Management

AOT Consulting has wholeheartedly embraced quality management and has designed its policies, guidelines, procedures and work practices to conform to the ISO9001 standard so that the principle of continual improvement is embedded into the ethos of the firm.

Our end-to-end service philosophy and supporting systems are designed to reduce the risk of there being quality issues at any level. At the beginning of a consulting project the most problematic area is the level of specifications in requirements, and we sometimes need to propose that we commence a project to document the scope in more detail before we can gauge the full depth and breadth, which in turn affects the level of effort required. Adopting this approach, where required, reduces the risk of delivering a service that may otherwise be perceived to do with quality. During the course of a project we include in-process and 'product' reviews with clients, which is based on ISO9000.

All 'products' are reviewed internally before being issued to a client. Client reviews are also intrinsic to the quality review process.

Please refer to Appendix 2 for further details.

2 Proposed Personnel

2.1 Introduction – Service Delivery Model

AOT Consulting's business model is service-based as opposed to individual based. The reason for adopting a service-based approach is it provides oversight by a Consulting Director who takes overall responsibility for the service delivery plus it enables the firm to draw upon consulting skills where they are optimally suited to specific aspects of the project. A Lead Consultant is always assigned to lead the consulting project, which includes direct engagement with clients, undertaking the professional consulting work, managing other consulting resources within the firm, and undertaking internal-reviews of work prepared by other consulting resources within the firm.

To maintain a position of independence, it is a policy of AOT Consulting not to sub-contract other firms, individuals or vendors or be sub-contracted by other firms or vendors.

Even though we may assign more than one consultant, the overall service can often equate to less than one full time consultant. We design our service for each consulting project and in effect play to our strengths where required. The benefits of applying a service-based approach to our clients includes:

- The ability to access a broader range of specific skills, knowledge, expertise and experience than would otherwise be available in a single resource;
- The provision for quality management by senior personnel in the firm who can take an objective view on the quality of the deliverables in the context of the requirements, which would otherwise fall entirely to the client;
- The ability for the Lead Consultant to tap into specific skills, knowledge, expertise and experience within the firm, which equates to approximately 100 years of experience;
- The provision of business continuity in the event that specified personnel become unwell – continuity is provided to cover all bases should such an event occur so that timelines are not compromised;
- Consulting fees are applied according to the role – where it is possible to leverage internal consulting resources under the direct control of the Lead Consultant, the rates will be lower. The principle applied is if internal consulting resources can undertake activities to the same or similar level as the Lead Consultant, it makes sense to utilise such resources at lower rates, because there is minimal risk, which is still subject to internal reviews by the Lead Consultant; and
- Ultimately, the risk of managing the deliverables and resources rests with AOT Consulting (unless issues arise that are outside of our control). With a contracted resource the risk rests entirely with the client.

2.2 Proposed Team

The proposed team is illustrated in Figure 3. There are more consulting resources included in Figure 3 than will practically be required but we have included them partly as a contingency but also to provide some flexibility in being able to draw upon specific skills, knowledge, expertise and experience.

For this project, we propose that **Julie Faulkner** will take the role of **Consulting Director**. Julie has considerable skills, knowledge, expertise and experience in the full range of services illustrated in Figure 1.

Santhi Menon is the proposed **Principal-Lead Consultant**. Santhi has provided a lead role in undertaking several reviews that AOT Consulting has conducted and experienced strategic sourcing and contract management. Santhi has been with AOT Consulting for 20 years and has worked on over 200 strategic sourcing projects and contract management plans.

John Kane joined AOT Consulting as a **Lead Consultant** after migrating from the UK where he worked with NHS¹ Digital, and held the position of Commercial Process, Assurance & Policy Manager. John has extensive skills, knowledge, expertise and experience in ICT initiatives. He has experience in providing reviews and

¹ National Health Service, UK

internal audits to NHS departments with a focus on understanding process inefficiencies (duplication/manual entry) and alignment to policies and procedures. These engagements would often cover multiple departments (Commercial/Finance/HR) to determine consistency of application and adherence to governance requirements.

John will take a lead role in this engagement.

John may also leverage the skills, knowledge, expertise and experience of Hinchliffe and Emilia Neo as required.

Ryan Hinchliffe has excellent skills in analysis and modelling. We have made provision for Ryan so we can make use of his capabilities should the need arise. Ryan joined AOT Consulting in 2021 as a Consultant and has a sound background in financial modelling and economics. While Ryan has only been AOT Consulting for a comparatively short time, he has made a positive contribution to all the consulting projects he has worked on since taking up the position. His ability to apply a background in financial modelling and economics to broader consulting services has enabled him to bring innovative solutions professional consulting services.

Emilia Neo recently joined AOT Consulting in 2022 as a Consultant. Prior to joining AOT Consulting, Emilia worked with Deloitte in Audit and Assurance. In her previous position she was preliminary engaged in analytical reviews, which included concluding the reviews, accounting and documenting significant account movements, including ASX announcements, significant and insignificant industry reports, risk of impairment of the assets, and related activities pertaining to the audits. She has a sound understanding of AASB and a comprehensive understanding of accounting principles.

Figure 3: Proposed Team



2.2.1 Julie Faulkner, Consulting Director



Julie Faulkner is the proposed Consulting Director. Julie has extensive experience in management consulting and has twenty-two years direct experience of working with the WA Government on a diverse range of projects. She is a management consultant with over 30 years' experience in business consulting and ICT and has been with AOT Consulting for 30 years since she co-founded it in 1989 with David Taylor. Julie specialises in strategic planning, strategic sourcing and procurement, commercial structuring, contract design, negotiation, audit and assurance and project management in the areas of business and technology. She has worked extensively with public and private sector organisations in

Australia, Europe and Asia Pacific including China, Singapore, Malaysia and Hong Kong. Julie has undertaken over 1,000 strategic procurement projects for WA Government and has extensive experience in every facet of strategic sourcing, contract development, contract management and facilities management. Julie previously held a position on the State Supply Commission Board for a period of three years.

Some examples of projects include:

- Fremantle Ports – Structure for Success (Procurement and Contract Management Review)
- Western Australia Police – Review of WA Police procurement, tendering, contract management and purchasing functions
- Western Australia Police – Centre-Led Model Implementation
- Horizon Power – Sourcing Transformation Project
- Mental Health Commission / Department of Finance - Joondalup Sub-Acute Centre
- Department of Health and WA AIDS Council Service Agreement Review
- Department of Local Government and Communities (DLGC) - Review of Procurement Planning Process for Community Services Funding Program
- Department of Local Government and Communities (DLGC) - Analysis of the Department of Local Government and Communities' Community Services Funded Programs
- Verve Energy - Julie led a team provided by AOT Consulting to undertake a commercial review for Verve Energy for its High Efficiency Gas Turbine Supply (HEGT) and Install Project.
- CSIRO/iVEC - AOT Consulting was engaged by CSIRO as the Strategic Procurement Manager for the Pawsey High Performance Supercomputer Project. The role was provided primarily by Consulting Director Julie Faulkner with supporting consulting resources from AOT Consulting.
- Department of Corrective Services Acacia Prison Expansion (387 beds) – analysis and negotiations for the expansion plus the review of the maintenance requirements.
- Department of Corrective Services Young Adult Facility (Wandoo Reintegration Facility) – full procurement process and project management from business case through to service take-up.
- District Court Building (DCB) PPP Contract Benchmarking, Review and extension negotiations.
- Delivery of Facilities Management, Operational Services and Utilities Services for Rottneest Island (awarded to Tungsten Group Pty Ltd).
- Horizon Power - since 2006, Julie has provided commercial probity advice to Horizon Power through multiple engagements. She has provided advice on over 100+ procurement projects, some of which are related to FM and services contracts in regional Western Australia.
- Insurance Commission of WA (ICWA) – Julie has provided commercial probity advice on 100+ projects, many of which are related to FM contracts for various facilities owned by ICWA. Many of these projects involve commercial leasing arrangements.
- Landcorp – Julie assisted Landcorp with review of an FM contract.
- University of WA – various projects Provision of Procurement Services for the New Data Centre Assessment Service; Negotiation Services for the Procurement of a Learning Management System; review Business Cases relating to the Business Improvement Program; Printer Management Services Procurement Process; Provision of services to consider lease versus buy; review Business Cases relating to the Business Improvement Program; Procurement process for the Provision of Disaster Recovery Services; and Provision of Services to Implement the ServiceNow Asset Management Module.

The foundations of Julie’s experience with public sector strategic sourcing commenced in 1995 after AOT Consulting was awarded a contract with Contract and Management Services (CAMS) for the provision of general contract consultancy services. This contract consolidated previous contract management related projects where AOT Consulting had specified requirements/managed procurement processes, which was the catalyst for establishing AOT Consulting’s track record in public sector strategic sourcing, procurement, contract planning and management work that has since resulted in over 1,000 strategic sourcing projects. During this time Julie has worked on a range of projects contracts including Goods and Services, Alliance Based Contracts and PPP.

Julie has been involved in the majority of the strategic sourcing projects we have undertaken, and has experience in the following, which generally form the scope of the services provided:

- Business Case / Sourcing Strategy
- Market / Procurement Research
- Options Analysis
- Risk Assessment
- Procurement Planning
- Service Specifications
- Performance Metrics and models (e.g. risk Reward framework), / Service Level Agreements / Abatement regimes
- Pricing and payment models, performance linked payments
- Risk management;
- Business Case / Sourcing Strategy
- Draft Tender / EOI (single stage / two-stage).
- Draft Contract
- Evaluation
- Due Diligence and Negotiations
- Contract Finalisation
- Contract Management Plan.
- Transition Planning
- Transition Management (for some projects).
- Draft Tender / EOI (single stage / two-stage as determined).
- Draft Contract
- Contract Auditing.

The majority of the projects Julie undertakes is designed to avoid dispute resolution either when developing requirements and/or drafting contracts, which we often recommend are issued with a Request. Avoidance of disputes is also addressed when developing risk management plans and also when undertaking contract reviews. In relation to providing advice on how to resolve disputes, Julie would take into consideration the provisions of the dispute resolution clause; contractual obligations; conditions precedent; supporting evidence (where applicable) and other relevant factors. Julie’s commercial astuteness would instinctively guide her to know if a dispute is a commercial matter or a legal issue. Most of the advice Julie provides is in the context of probity advice, particularly in regard to issues that arise during a process.

Proven verbal, analytical and written communication skills

From a stakeholder engagement and communications perspective, Julie has highly developed interpersonal, verbal and report writing skills and has considerable experience in facilitating collaborative workshops, liaison and negotiations and conducting stakeholder interviews. She has excellent skills in written and spoken communication and can succinctly and accurately articulate strategy, requirements and decision-making processes while also being able to apply the level of precision required for drafting contractual terms and conditions. Julie has also written reports that were tabled in Parliament, is experienced in drafting EERC submissions, assisting with Cabinet Submissions and briefing Ministers.

2.2.2 Santhi Menon, Principal-Lead Consultant



Santhi Menon joined AOT Consulting in April 2003 as a Consultant and provides services in all of the **AOT Consulting Professional Services** summarised in Figure 1. The scope of services provided by Santhi therefore includes: audit and assurance; business planning and analysis (strategic and operational); facilitation; strategic sourcing and procurement; contract reviews and management; negotiation; governance; stakeholder engagement and communications; and program, project and transition management. These services have been delivered across a broad range of sectors.

Santhi has over 20 years direct experience of working with the government including various audits, reviews, development of contract management plans and development of monitoring and audit plans.

Santhi also has knowledge and experience in contract development and management, and program, project and transition management. She also has fifteen years' experience in the Information and Communications Technology Industries.

Skills: Santhi has a broad range of skills and experience in:

- Program and Project Management;
- Strategic Sourcing and strategic procurement reviewed;
- Procurement Management including planning, development and management;
- Probity Advisory and Audit Services, Audit and Risk;
- Facilitation;
- Business Planning and Analysis (Strategic and Operational);
- Stakeholder engagement and communications;
- Commercial Reviews;
- Due Diligence and Negotiation; and
- Contract Management and assisting agencies develop contract management frameworks.

Qualifications: Santhi has completed a BSc Degree in Science and has also undertaken postgraduate studies in Computing and Information Technology.

Professional or business associations: Santhi is a member of the Chartered Institute of Procurement and Supply (CIPS); the Institute of Internal Auditors (IIA); and Information Systems Audit and Control Association (ISACA).

Length of service at the organisation: Santhi has been employed by AOT Consulting for 20 years.

Industry experience: The following provides a synopsis of projects with a particular emphasis on projects in the Health Sector.

Santhi has worked in government and industry since 1987 and has gained in depth knowledge and experience across a broad range strategic sourcing projects. She has undertaken several projects for the Department of Health and the WA Country Health Services (WACHS). **Santhi has worked on over 400 strategic sourcing projects since commencing with AOT Consulting.**

As an example, Santhi completed several procurement projects for the Department of Education and Training to assist the Department with various stages of the procurement process. AOT Consulting assisted with approximately 220 strategic procurement projects of which Santhi directly assisted with approximately 101 of these projects.

Santhi has considerable experience in contract development. She was an integral contributor to the development of complex services contracts such as the Department of Corrective Services Young Adults Facility (Wandoo) contract developed by AOT Consulting in collaboration with the State Solicitor's Office.

In regards to developing Panel Contracts and CUAs, Santhi was intrinsically involved in the development of **Radio Communication Services Panel Arrangement for DFES** and she was also an integral member of the team assigned to assist the Department of Treasury and Finance develop a portfolio of CUAs.

She recently assisted the **Department of Communities** with the provision of Procurement Advisory Services - Procurement and Contract Policy and Coordination (PaCPaC) portal re-design.

Santhi previously undertook a project to assist the **Department of Environment / Department of Water** with a review its strategic Procurement Framework, which also included process mapping its processes and developing a revised contracting framework. The project included reviewing and revising procurement policies, reporting guidelines and procedures, which satisfied the requirements of good governance and timeliness. The strategic objective of the Review was to optimise the organisational structure, quality and cost effectiveness of the Department of Environment Procurement to maximise the whole of government delivery of procurement services.

With 17 years' experience at AOT Consulting and considerable procurement skills, knowledge, expertise and experience, Santhi's focus over the past year has been commercial contract reviews and developing advanced contract management frameworks for complex service arrangements.

Santhi previously assisted with a review for the **Fiona Stanley Hospital**, which assessed a cross section of procurements and contracts for Fixtures, Fittings and Equipment (FF&E), Managed Equipment Service (MES) and Information Communications and Technology (ICT) procurements.

She assisted the **East Metropolitan Health Service for the St John of God Midland Public Hospital** and was the lead consultant assigned to develop a **Contract Administration Framework** and supporting tools to manage the contract. This project required reviewing the contractual documentation to develop a model for managing the contractual obligations under a Public Private Partnership; and identifying and developing tools to assist the Contract Manager in administering the contract and managing the State's and the Operator's obligations. As part of this project, Santhi assisted with the identification of tools that could assist the Contract Manager to manage the contract.

Santhi has been providing similar services to **WA Country Health Service**, where she had led a small team to assist WACHS develop a suite of Contract Management Plans and associated tools for various contracts.

Santhi also assisted the **North Metropolitan Health Service - Joondalup Health Campus** to develop a Contract Administration Manual and supporting tools to manage the Joondalup Health Campus contract.

In addition to strategic sourcing and contract management projects, Santhi has worked with **Department of Housing and Works** to assist with a review of its entire capital works processes and in a later project, the **BMW Works Reform** program. On both occasions Santhi was the lead consultant who worked with a group of project and procurement practitioners to develop the revised processes and practice guides. She also worked with the **Department of the Premier and Cabinet, Office of Development Approvals**, on a project to improve approvals processes for industrial and resource development projects. This project was a key component of the WA Government's initiative to improve turnaround times for industrial and resource development projects. Santhi has also assisted with several Probity Advisory projects for government agencies. Engagements include Broome China Town Undergrounding for Horizon Power; the procurement of software to design wood poles for Western Power; and procurement of Network Control Services for Western Power.

Santhi also has experience with the PRINCE2®, PMBOK, Risk Cover Guidelines and ISO 31000.

Proven verbal, analytical and written communication skills

Stakeholder engagement and communications is a service AOT Consulting provides, and we therefore draw upon these skills, knowledge, expertise and experience to identify the essential stakeholders who need to be involved in the assessment. Santhi has provided an integral role in the provision of these services for the past 17 years and has considerable experience in verbal and written communications. Most of the reports Santhi has provide have been the result of analysis undertaken, which is an integral part of the methodologies AOT Consulting applies.

Santhi has highly developed interpersonal, verbal and report writing skills and has considerable experience in facilitating collaborative workshops, liaison and negotiations and conducting stakeholder interviews. Santhi has undertaken various sizes of stakeholder engagements, range from a few stakeholders to 100.



John Kane joined AOT Consulting in 2022 as a Senior Consultant after migrating from the UK where he worked with NHS Digital. John is not new to Western Australia as he previously worked in Perth for the Department of Fisheries, Department of Commerce, and Synergy.

John has wide range of experience in digital strategies, technologies, process management, procurement, and audit and assurance.

Skills: John's key areas of expertise include:

- Strategy and business planning.
- Business modelling, process management and policy development.
- Governance, audit and assurance.
- Risk Management.
- Project Management.
- Change Management.
- Process Improvement.
- Performance Measurement.

Qualifications: John has completed:

- Bachelor of Arts (Honors) in Journalism & Broadcasting | The University of Salford | 2010

John has also completed:

- AgilePM with DSDM
- Managing Successful Programmes (MSP) - Practitioner
- Power BI Comprehensive

Professional or business associations: John is a member of the Institute of Internal Auditors (IIA), and Information Systems Audit and Control Association (ISACA).

Industry experience:

John has been actively involved in the following engagements:

- Department of Health – Services to undertake the Phase 35 Compliance Audit at St John of God Midland Public Hospital in accordance with the Service Plan for Identity and Access Management (HDW-082).
- Department of Communities – Provision of Strategic Procurement and Commercial Advisory Services including Project Management activities (HOU-010).
- Department of Planning, Lands and Heritage – Procurement Business Case, Procurement Plan and Request documentation for ICT Managed Services (DPH-001).
- Legal Aid Commission of Western Australia – Business Case, Procurement Plan and Procurement Process for Client, Grants and Legal Practice Management Solution (LAW-008).
- Department of Finance – Risk Assessment for Asset Lifecycle Costing and Analysis (LCC) Software RFQ process (FIN-029).
- Department of Health – Refinement of the management options through risk and benefits assessments for the Royal Perth Hospital (RPH) Multideck Carpark (MDCP) (HDW-086).
- The Office of the Information Commissioner Western Australia – Treasury Business Case to seek funding for a Case Management Solution (ICM-001).

Current Projects:

- Department of Health – East Metropolitan Health Service (EMHS) Phase 36 - SJGMPG Compliance Audits B3.57 Medical Technology Services Plan (HDW-090).
- Legal Aid Commission of Western Australia - Strategic Sourcing Services for the Legal Practice Management Solution (LAW-008).
- Main Roads - Provision of Procurement Strategy Development Services (MRD-008).
- Department of Local Government and Communities - Provision of Procurement Strategy Development Services (LGC-010).

Prior to joining AOT Consulting

NHS Digital

Prior to joining AOT Consulting, held the position of Commercial Process, Assurance & Policy Manager with NHS Digital. The role included project management of initiatives such as new eCommerce system, which required engaging across NHS organisations as the key organisation stakeholder to deliver a solution which worked for numerous Health Family members. This project included the training of 70+ team members on system functionality and developing the portal to fit internal processes and business procedures.

This role also included delivering a Standard Operating Framework capturing best practice across the commercial lifecycle. This enabled the team to become a leading, innovative and professional commercial function, transitioning from being a transactional to strategic workforce. John applied training and existing networks to gain an edge for the cultural change being undertaken, using his business leadership skills to navigate the corporate climate.

Another initiative John was responsible for was invigorating internal governance processes by creating automated checklists and procedures utilising a combination of advanced Excel tools and the Power Automate Office 365 application. This initiative also redefined reporting capabilities by generating smart dashboards using Power BI.

Another initiative John was responsible for was to review and embed Social Value and Sustainability weightings into the procurement evaluation framework in line with emerging governmental policies, allowing NHS Digital to challenge potential suppliers on societal contributions. John also has experience with establishing processes to track KPIs outputs, governance and contract management activities.

John was also responsible for managing all Commercial “Business as Usual” corporate assurance processes including Audit management, Risk Management, Business Continuity, Counter-Fraud. This responsibly required high levels of effective relationship management across the organisation, Government and the NHS Health Family. He managed the governance and assurance of all commercial activity across NHS Digital ensuring that the organisation employed best practice and remained compliant with its obligations and legal requirements.

EU Exit National Coordination Centre, NHS England

The UK exited the European Union (EU) on 31 January 2020 and the government announced on 24 December that the United Kingdom and the EU had agreed a Trade and Co-operation Agreement. The Department of Health and Social Care (DHSC) led the response to the end of the transition period across the health and care sector. NHS England and NHS Improvement worked closely with the DHSC to ensure that the NHS was well prepared for any possible disruption that may arise.

John held a position in the NHS, EU Exit National Coordination Centre, and was the Single Point of Contact in a unique, ever-evolving operational environment requiring the ability to react to fast-paced demands from cross-governmental agencies and provide up-to-date detail feeding into the Cabinet Office Briefing Room.

As a requisite for the role John trained in the Emergency Preparedness, Resilience and Response methodology to meet the demands of EU Exit on NHS health system. The training included reacting to supply chain issues promptly while planning for shortages based on National Risk Assessments.

The role also included developing working relationships with Subject Matter Experts, key stakeholders and colleagues in regional teams across the EU Exit piece of work to facilitate an effective incident response setting: coordinating actions, managing information and providing a clear focal point for responses alongside expert advice and guidance.

The heightened focus on the criticality of the EU Exit required John to coordinate producing daily Situation Reports collating data from all of the Trusts in England to create a Commonly Recognised Information Picture to develop a statement of shared situational awareness and understanding, which was used to brief crisis decision-makers and provide a basis for auditable and defensible decision.

He also developed training products for new starters entering the National Coordination Centre in order to bring them up to speed quickly while highlighting best practices across the team's functions.

NHS Improvement

John also worked as an Assistant Operations Manager with the Winter Reporting Team with NHS Improvement. His responsibilities included:

- Creating dynamic and flexible products to analyse and interpret performance data in real time and translate those metrics into priorities and a narrative.
- Chairing daily calls with sub-regional colleagues in the North to ascertain problem areas and further develop narratives to be fed up the chain.
- Providing assurance to National colleagues on interventions in local systems, expectations for recovery and anticipated pressures.
- Developing preparations for Winter, and the operational function with the wider system while allowing products to be flexible enough to adapt to changing priorities.
- Reviewing and monitoring improvement plans alongside performance data to ensure they support improved delivery.
- Briefings for Regional Directors and senior leadership in NHS Improvement and NHS England.
- Working closely with A&E Improvement and Urgent and Emergency Care Transformation programme teams to ensure communications and priorities are aligned.

NHS England

John worked in the Learning Disabilities Programme for the North of England, which included:

- Secretariat for the Regional Learning Disabilities Programme Board and Expert Advisory Group.
- Organising events for the function including the organising of schedules, presentations, tech and logistics on the day.
- Management of various project streams requiring communications between all parties, organisation of priorities including budgeting and deadline targets and chairing project meetings.
- Data management, analysis and spreadsheet design for tracking project progress and capital spend.
- Fortnightly communications to the programme to relay information from National team and other organisations in the region whilst feeding significant updates back up to National team.
- Quality Assurance of official documentation and programme specific pieces of work.
- Collecting and writing case studies, demonstrating the positive work being done across the region via Transforming Care.

NHS Digital

John's first role with NHS Digital was in Business Support and Administration. During this time activities included:

- Developing and maintaining continuous improvement initiatives for the assurance process for the financial and commercial team while being responsible for the coordination of the tracking process, running meetings and managing the panel.
- Managing the Finance and Commercial investment assurance which involved developing an understanding of NHS governance policies and liaising with colleagues across different NHS organisations to seek improvements and cost-savings to the procedures.
- Developing a comprehensive communications strategy from the ground up for the Finance team with a focus on bridging the various internal teams and breaking the silo culture.
- Working on a project to capture all the internal processes within the finance function. This involved reviewing the financial processes and policies within the directorate, working with a range of colleagues and formulating inputs and outputs in a consistent manner.



Ryan Hinchliffe joined AOT Consulting in 2021 as a Consultant. Ryan has a sound background in financial modelling and economics. Ryan has made a positive contribution to all the consulting projects he has worked on since taking up the position. His ability to apply a background in financial modelling and economics to broader consulting services has enabled him to bring innovative solutions professional consulting services.

Skills: Ryan’s key areas of expertise include:

- Financial Analysis.
- Risk Management.
- Strategic Planning.
- Audit and Reviews.
- Change Management.
- Performance Measurement.
- Compliance.
- Contract Management.

Qualifications:

- Tax (Financial) Adviser | 2020 (Tax practitioners board number: 26058519)
- Qualified Financial Planner | 2018 (Authorised representative number: 1268789)
- Graduate Diploma in Financial Planning, Kaplan University | 2018
- Bachelor of Commerce (Finance and Economics), Curtin University | 2015

Professional or business associations:

- Ryan is a member of the Institute of Internal Auditors (IIA).

Industry experience:

Since joining AOT Consulting, Ryan has worked on the following projects.

- Department of Communities – Information and Communication Technology Manage Services Contract - Assisted the contract manager in the development of the contract management plan and associated tools (COM-004).
- Department of Health – State Health Incident Coordination Centre Hotel Quarantine and Security Contract Management Plan - This project involved the reconstruction of four excel spreadsheets into formats that is user-friendly, automated and accurate to allow the department to have confidence in the reporting they provide (HDW-066).

- Department of Health – East Metropolitan Health Service Phase 27 Audit Services - Provided a level of assurance to the Contract Manager in ensuring the Operator is providing Clinical Support and Non-Clinical Support Services in line with the requirements under their contracts (HDW-068).
- Department of Health - Midland Satellite Dialysis Unit - On behalf of North Metropolitan Health Service, AOT conducted an audit of the Midland Satellite Dialysis Unit to sought reasonable assurance on the provider's compliance with the relevant contractual obligations (HDW-069).
- Department of Health – East Metropolitan Health Service (EMHS) Phase 29 Audit Services - On behalf of EMHS, AOT conducted an audit into the anaesthesia, critical care unit, cancer unit and central sterile supply department, providing a level of assurance to the Contract Manager that ensures the Operator is providing Services in line with the requirements under their contracts (HDW-074).
- Department of Health - East Metropolitan Health Service Electricity Probity - Provided assistance to the probity adviser through the forensic analysis of the pricing spreadsheets assumptions and formula (HDW-075).
- Department of Health - State Health Incident Coordination Centre Contract Management spreadsheet upgrade and maintenance – AOT assisted the organisation in upgrading and maintaining their tracking and reporting excel spreadsheets (HDW-076 & HDW-085).
- Department of Health - North Metropolitan Health Service (NMHS) Medical Equipment Management Internal Audit – AOT assisted the internal audit team at NMHS in undertaking an audit into its management of medical equipment (HDW-081).
- Department of Primary Industries and Regional Development - Review of Regional Economic Development (RED) Grants - Review of the RED grant program to determined if there was adequate governance, processes and program controls in place and provided guidance on the programs progress in meeting its objectives (DRD-012).
- Department of Primary Industries and Regional Development - Facilitated a risk management workshop with key stakeholders and reconstructed risk management policy and plan into a manner that is consistent with ISO 31000:2018 (DRD-013).
- DevelopmentWA - Assisted in developing of a schedule of Australian Automation and Robotics Precinct Schedule of Rates for their new testing facility in a cost-neutral manner (DWA-004).
- Department of Local Government, Sport and Cultural Industries - Construction of an Information Communication Technology services catalogue and associated key performance indicators (LGC-009).
- Department of Mines, Industry Regulation and Safety – Analysis of request for information and construction of model to inform pricing estimate for tender Fast Track Mining Approval Procurement (MPR-007).
- Landgate – Assisted with Information and Communication Technology Procurement Services in the development of Strategic Options Paper (LGT-008).
- Office of the Auditor General - Financial Capacity Assessment and develop Contract Management Plan and associated tools (financial and performance tracking) (OAG-005).
- Department of Communities – Review of the Social Housing Economic Recovery Package (SHERP) Grants Program and processes for the administration of the SHERP grants program to help identify process and governance improvements (HOU-009).
- Road Safety Commission – Infringement Processing System Procurement and construction of financial tracking and performance management tools (RSC-001).
- Road Safety Commission - Assessing responses to request for information from the safety camera industry as part of the Safety Camera Strategy (RSC-002).
- Tourism Western Australia - Facilitate risk workshops and construct risk workbooks for public relations and marketing procurements (TWA-008 & TWA-009 and TWA-010).

- WA Country Health - Maintenance and support of the Telehealth Videoconferencing Infrastructure Contract - Construction of Contract Management Plan (WCH-028).
- WA Country Health - Procurement and Contract Management Service Model Review - Current state assessment report of procurement and contract management services (WCH-034).
- WA Country Health Service - Acute Patient Transport Coordination System evaluation and comparison of tendered responses (WCH-036).

Current Projects (in progress):

- Department of Health - East Metropolitan Health Service (EMHS) Medical Equipment Management Internal Audit. Assisting the internal audit team at EMHS in undertaking an audit into its management of medical equipment (HDW-088).
- Department of Health - East Metropolitan Health Service (EMHS) Phase 36 Compliance Audit B3.52 Security Services Plan. On behalf of EMHS, conduct an audit into the security services to provide a level of assurance to the Contract Manager that ensures the Operator is providing services in line with the requirements under their contracts (HDW-089).
- Forrest Products Commission – Review the Price Evaluations Spreadsheets and the transcription to the draft Evaluation Report for Pine Harvesting and sale of jarrah and marri wood fibre (FPC-011).
- Legal Aid Commission - Sourcing Legal Practice Management Solution - Analysing Request for Information respondents to understand different solutions that Market Participants offer, informing the procurement strategy (LAW-008).
- Department of Local Government, Sport and Cultural Industries - Activity-based costing of the model. Construction of dynamic cost model to price the services the department provides to the Gaming and Wagering Commission (LGC-008).
- Department of Local Government, Sport and Cultural Industries - Procurement of Financial Modelling Services (LGC-013).
- Main Roads Westralian Australia - Intelligent Transportation System Platform Procurement - Construction of performance management tool and assessment of respondent's contractual departures (MRD-008).

Prior to joining AOT Consulting

bdhSterling

Prior to joining AOT Consulting, Ryan held the position of Financial Planner at a mid-sized financial planner firm, bdhSterling. While at bdhSterling, Ryan engaged with a large variety of clientele, helping them with all facets of their financial situation.

Ryan applied a methodology to build a comprehensive knowledge of clients' needs and objectives as a pre-requisite to preparing advice. His approach to planning and advice was underpinned by gathering sufficient information to be in a position to form and communicate recommendations that were substantiated to support the preferred option, thereby enabling clients to make informed decisions.

As a Financial Planner, a key role was to assist clients navigate the complexities of international finance when migrating to Australia from the United Kingdom. Ryan's skills, knowledge, expertise, and experience in relating legislation enabled him to prepare advice to a depth and breadth that went beyond the level of advice that clients might receive elsewhere. One of Ryan's strengths is lateral thinking, which served to solve complex problems to extend the level of advice in the pursuit of assisting clients achieve their goals.

Ryan chaired the Australian investment committee, and was responsible for the international equity exposure of a \$1 billion-dollar investment portfolio. This role facilitated his keen interest in leveraging data and macro- and micro-trends to most efficiently allocate capital.

Ryan also took the role of project lead for the onboarding of a new investment platform, which included engaging all key stakeholders to understand the key functionalities that were most important to the

organisation, whilst ensuring that any changes were effectively communicated across the organisation. He was also a key contributor in onboarding a new client relationship management system. Through this role he gained an in-depth understanding first-hand of what a company needs to consider when enacting large scale change.

During his employment, he also held positions of Associate Financial Planner, Lead Paraplanner, Paraplanner and Review Coordinator. This variety of roles has given Ryan a strong understanding of financial modelling, research and projections and has been utilised in a team lead role to train staff on how to complete similar analyses.

Omega Financial Services

Omega Financial Services is a private entity that provides a full range of financial planning services to private individual clients. The services portfolio includes; investments, risk insurance, superannuation (including self-managed superannuation), estate, aged care and retirement planning, as well as business advice.

During his time with Omega Financial Services, his areas of responsibilities included:

- Compiling relevant documentation, and drafting and editing statements of advice as the sole Paraplanner for the practice.
- Undertaking comprehensive research into superannuation and insurance products and providers.
- Developing and maintaining effective professional relationships with internal and external stakeholders including licensee and service providers.
- Answering clients' queries over the phone and lodging superannuation and insurance applications.
- Maintaining up-to-date accreditations and qualifications and pro-actively seeking opportunities to broaden skill-set.
- Solving complicated financial planning, estate, tax and retirement issues.
- Completing research on insurance, investment and all manner of financial products to quantify and understand the most suitable products for clients.
- Ensuring that all activities were fully compliant with regulatory and company policies.



Emilia Neo joined AOT Consulting in 2022 as a Consultant. Emilia has a sound background in audit and assurance, risk, and financial accounting.

Skills: Emilia's key areas of expertise include:

- Financial Analysis.
- Risk Management.
- Audit and Assurance.
- Stakeholder Engagement and Communications.
- Reviews of an Organisation's Business Process.
- Business Process Controls Testing.
- Strong Excel Skills.
- Compliance Audit.

Qualifications:

- Bachelor of Commerce (Majors in Accounting and Management), University of Western Australia, 2017 – 2020.
- Chartered Accountants Australia and New Zealand (CAANZ studies), September 2021 – Ongoing.
- Certification of MYOB Bookkeeping, May 2020.

Professional or Business Associations:

- Emilia is a member of the Institute of Internal Auditors (IIA).

Industry experience:

Since joining AOT Consulting, Emilia has worked on the following projects:

- The Office of the Information Commissioner Western Australia – Procurement Advisory Services assisting the team by producing a Business Case for the procurement of an ICT solution. During this engagement AOT facilitated market research in the form of industry research as well as conversation with different States and Territories that utilise a similar ICT system to help inform the Business Case (ICM-001).
- WA Country Health Service - Assisted the Project Personnel Acute Patient Transport Coordination System by producing a Contract Management Plan outlining the strategies with descriptions for additional guidance to the Contract Manager (WCH-036).

Current Projects (in progress):

- Department of Mines Industry Regulation and Safety - Procurement advisory support services to the Fast-Tracking Mining Approvals (FTMA) project. Produced a Procurement Plan and Request for Quote documentation to assist the client in identifying the best strategic approach for their procurement process. Additionally, a Request for Quote was produced to help the client identify the terms within the contract that would present the best value for money (MPR-007).
- Department of Mines Industry Regulation and Safety - Enterprise Platform Strategy. Assistance with the facilitation of inquiries with other department agencies to identify the optimal strategy for a single Enterprise Platform that would provide the client with the best value for money (MPR-008).
- Horizon Power - Blueprint for whole of review of procurement and supply chain policies, processes, procedures and documentation. Assistance in the production of a piece of documentation that demonstrates a blueprint for managing procurement and supply chain activities for the client (HPR-105).

- Department of Health - EMHS Phase 36 - SJGMPG Compliance Audit B3.57 Medical Technology Services Plan. Assisted with an internal compliance audit (HDW-090).
- Department of Local Government and Communities - Procurement of Specialist Services for the Independent Monitor. Assist the team with the production of a Procurement Plan as well as a Request document to identify the best strategies to be utilised and the terms and conditions of the Contract. Provided assistance during the various workshops conducted to identify the scope and risk of the procurement (LGC-011).
- Department of Local Government and Communities - Banned Drinkers Register and Take-Away Alcohol System (BDR &TAMS). Assisted the team with the production of a Procurement Plan as well as a Request document to identify the best strategies to be utilised and the terms and conditions of the Contract. Provided assistance during the various workshops conducted to identify the scope and risk of the procurement (LGC-012).
- Department of Local Government and Communities - Procurement of Financial Modelling Services to assist with the production of a Financial Model that can be utilised internally by the client. This included, a workbook, instruction manual and additional guidelines (LGC-013).

Prior to joining AOT Consulting

Deloitte Australia

Prior to joining AOT Consulting, Emilia worked as an Auditor with Deloitte in Audit and Assurance. In her previous position she has primarily worked with clients from various industries. Several of the client's she worked on were ASX listed clients. This enabled Emilia to get insight into the different business structures, understand how the various sectors operated and work to meet her deadlines.

Emilia was engaged to audit various components within a client's financial statement. This consists of analytical reviews, which included concluding the reviews, accounting and documenting significant account movements, including ASX announcements, significant and insignificant industry reports, risk of impairment of the assets, and related activities pertaining to the audits. Emilia has worked on audit engagements from start to finish, these activities include the planning stages of an audit, interim testing and final year end testing.

The planning stages of an audit included understanding the client and the industry they were in, identifying the significant risk accounts and identifying and testing key controls within a business process, examples of these key controls would be a three-way match in a business' procurement process. During the interim audits, Emilia was engaged to test account balances to determine if accounts were free from material misstatements.

Emilia also assisted with Group Risk Assessments on risk levels for the accounts that had been audited. During a financial audit, not all accounts noted within the financial statement were tested in detail. As such, Emilia would conduct risk assessments for each account to determine the level of risk relating to each account balance and determine if an account would be a candidate for testing.

In addition to these reviews, she has a sound understanding of Australian Accounting Standards Board (AASB) and International Accounting Standards (IAS), which are a set of comprehensive accounting standards. As an auditor, her key guiding principle was to maintain professional scepticism. This key principle ensured that she maintained strong attention to detail.

Intrinsic to the role was stakeholder engagement and communications, particularly in eliciting information that was required from clients to undertake the engagements. Maintaining strong professional communication was an essential part of an audit engagement.

While with Deloitte, Emilia worked on a wide range of engagements, thereby gaining experience in the operations of several across different sectors. These industries include mining, exploration and evaluation, education, shipbuilding, financial services and many others. This large portfolio enabled her to get exposure into the different industries and have a sound understanding of how organisations within these industries operate.

3 Rates, Estimates and Administrative Arrangements

3.1 Price Basis - Fee and Payment Structure

AOT Consulting services are usually provided on a time and materials basis based upon an agreed budget where a budget can be determined. Some projects such as advisory services or projects where there is a lot of variability can only be provided on a T&M basis.

If we can determine a budget, we take the approach of committing to it and not exceeding it without prior agreement with the agency because if we consume less time it is to the benefit of the agency whereas fixed is fixed irrespective of being over or under. Also, most firms will build a contingency for fixed price, which we are of view does not represent value for money if the contingency is not used.

The budget approach is very rarely an issue. Whilst it is subtly different to fixed price, it is generally accepted as being equivalent in terms of managing the risk of overruns because you are not at risk.

In the event that situation factors give rise to the need to extend the budget, the rationale would be presented and approval would be sought before going beyond the budget. With a fixed price contract the process would be via a Request for Variation.

The basis for proposing extensions to the budget would be a result of a change in scope or the like, or the depth and breadth of the treatment. That is, we do not propose extensions to budget if we ourselves consider our services to be less efficient than it should be.

Please also note that we also do not work to a daily rate, which we believe is in our client's interests as we only invoice for time we consume. All time spent at a client's premises or external location specified however is invoiced if we are required to work at your premises. This rarely occurs however as we generally visit your premises for interviews, meetings and workshops and undertake much of the work back at our office.

Each activity is tracked and can be reported at the end of each month (usually within one week of end of month processing). A detailed breakdown of the activities undertaken is accompanied with each invoice. Time is booked in 15-minute intervals and consultants make a judgement call as to whether to book time to the nearest 15-minute boundary e.g. if an activity takes 20 minutes they may booked 15 minutes or conversely if an activity takes 10 minutes, they may book 15 minutes. The time generally averages out.

Time is usually invoiced monthly in arrears, which is our preference however we are prepared to invoice based upon key deliverables if necessary.

3.2 Situation factors that can affect the level of effort

As with all projects AOT Consulting undertakes the timeframe and effort required is subject to the:

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|---|--|
| <ul style="list-style-type: none">• Availability of the stakeholders (or other as the case may be) resources;• Quality and completeness of information provided;• Accuracy of information provided;• Number of iterations / clarifications that may be required; | <p>Stakeholders can often be focussed on other activities and on occasions it can prove challenging to schedule meetings.</p> <p>Sometimes when undertaking reviews, an agency may have formed a view that the information on-hand is adequate but we have often found it is insufficient to undertake a review to the level required.</p> <p>Sometimes, the information provided is inaccurate, thereby diminishing the extent to which evidence can be substantiated.</p> <p>Sometimes, it takes more iterations to elicit information than originally expected.</p> |
|---|--|

- Access to agency resources, inclusive of relevant resources required to assist in clarifying business or technical or other aspects of the review; and
 - The willingness of agency resources (or other as the case may be) personnel to participate.
- Sometimes, agency resources who have tacit knowledge in the subject-matter may no longer be with the agency and it takes the agency time to find alternative resources.
- Sometimes, agency resources or the resources of third-parties may be reluctant to participate (for whatever reason), which can cause delays in schedules and consume time that has not been budgeted for.

3.3 Consulting Rates

AOT Consulting fees are set out below, which have applied as the basis for the estimating.

Position Title	Nominated Personnel	Hourly Rates	
		Excl. GST	Inc. GST
Consulting Director	Julie Faulkner	\$220.00	\$242.00
Principal –Lead Consultant (Senior Manager)	Santhi Menon	\$220.00	\$242.00
Lead Consultant (Manager / Supervisor).	John Kane	\$200.00	\$220.00
Senior	Ryan Hinchliffe Emilia Neo	\$190.00	\$209.00
Consultant / Operations Manager	Bianca Williams	\$150.00	\$165.00

3.4 Estimate

The following sets out the product of our estimating. Please note that some tasks will appear duplicated, but this is because more than one resource will be working on it.

Stage	ID	Task	Role	Total Hours	Sum of Est. Cost Inc. GST
Stage 1 - Project Initiation	1	Project Initiation Meeting - meet key stakeholders to discuss approach and methodology, initial inputs required, stakeholder communications and logistics	Senior Manager	1.00	\$242.00
	2	Project Initiation Meeting - meet key stakeholders to discuss approach and methodology, initial inputs required, stakeholder communications and logistics	Manager / Supervisor	1.00	\$220.00
	3	Preliminary review of initial documentation such as current contract landscape, suite of existing templates for contract management, example contract documents, Shire of Donnybrook's Delegations and Approvals matrix, procedures and guidelines,	Senior Manager	5.00	\$1,210.00

Stage	ID	Task	Role	Total Hours	Sum of Est. Cost Inc. GST
		procurement and contract management policies			
	4	Preliminary review of initial documentation such as current contract landscape, suite of existing templates for contract management, example contract documents, Shire of Donnybrook's Delegations and Approvals matrix, procedures and guidelines	Manager / Supervisor	5.00	\$1,100.00
Stage 1 - Project Initiation Total				12.00	\$2,772.00
Stage 2 - Current State Review	5	Identify gaps in current documentation and process documentation and consider areas of discussion with key stakeholders	Manager / Supervisor	5.00	\$1,100.00
	6	Internal brainstorming sessions on current assessments and areas for discussion with key stakeholders	Senior Manager	2.00	\$484.00
	7	Internal brainstorming sessions on current assessments and areas for discussion with key stakeholders	Manager / Supervisor	2.00	\$440.00
	8	Scheduling of meetings/communications	Professional Services Support	2.00	\$0.00
	9	Undertake stakeholder discussions (allowed up to 5 stakeholders at 1.5 hours each plus 30 mins each to document outcomes)	Senior Manager	10.00	\$2,420.00
Stage 2 - Current State Review Total				21.00	\$4,444.00
Stage 3 - Develop CMF and associated documents	10	Develop a) preliminary framework for contract management framework incorporating all relevant pillars of contract management; and b) matrix of relevant policies/documents/templates/tools/registers, identifying documents that needs to be developed. Anticipate two (2) weeks of elapsed time	Manager / Supervisor	80.00	\$17,600.00
	11	Period to undertake further clarifications with stakeholders to inform the deliverables	Manager / Supervisor	21.00	\$4,620.00
	12	Review Draft Contract Management Framework and supporting documentation	Senior Manager	10.00	\$2,420.00
	13	Walk through the framework and deliverables with stakeholders	Senior Manager	5.00	\$1,210.00

Stage	ID	Task	Role	Total Hours	Sum of Est. Cost Inc. GST
	14	Walk through the framework and deliverables with stakeholders	Senior Manager	5.00	\$1,210.00
	15	Complete Draft Contract Management Framework and supporting documentation following walk-through session with stakeholders	Manager / Supervisor	20.00	\$4,400.00
	16	Review amendments to Draft Contract Management Framework and supporting documentation following walk-through session with stakeholders	Senior Manager	5.00	\$1,210.00
	17	AOT Consulting Internal review	Partner / Director (CD)	10.00	\$2,420.00
Stage 3 -	Develop CMF and associated documents Total			156.00	\$35,090.00
Stage 4 - Review and Finalisation	18	Review by stakeholders at the Shire of Donnybrook	Manager / Supervisor	0.00	\$0.00
	19	Edits to deliverables following review feedback (allowing for 2 iterations)	Manager / Supervisor	20.00	\$4,400.00
	20	Issue and Finalise	Manager / Supervisor	5.00	\$1,100.00
	21	Project close-out	Manager / Supervisor	2.00	\$440.00
Stage 4 -	Review and Finalisation Total			27.00	\$5,940.00
Total				216.00	\$48,246.00

3.5 Disbursements

Disbursements are usually not incurred, though on occasions they may be required where multiple copies of large documents need to be produced and the like.

If required, the cost for disbursements will be discussed beforehand and agreed before being applied. Such costs are usually a pass-through cost with provision of supporting receipts where applicable.

3.6 Delayed Payments - Pending Extended Review of Drafts

As a request, we ask that payment is not unreasonably withheld pending extended review of documents. The basis of this is that we have on occasions experienced delays in payments due to situation factors outside of our control after delivering documents and such situations have nothing to do with the quality or completeness of the deliverables.

Some examples can include, but are not limited to:

- changes in agency personnel who may be involved in the review of documents and are substituted by acting personnel, which can delay matters;
- changes in agency personnel who introduce their own views on the scope or treatment even though the scope or treatment has been agreed;
- agency personnel taking leave without anyone back-filling them;
- other agency priorities may take precedence;
- inability of key stakeholders to reach consensus on plans due to competing objectives; and so on.

It should be noted this rarely happens.

3.7 Location of Resources

COVID-19

AOT Consulting Pty Ltd has always been and remains committed to the wellbeing of our employees, our clients, the community and our company. In view of the current situation with respect to COVID-19 AOT Consulting has activated, and has been operating in accordance with, its Business Continuity Plan, which has implemented a range of measures to support the Commonwealth and Western Australian governments in trying to contain the spread of the virus. The current position takes precedence over the following statement.

A full statement can be found at www.aotconsulting.com/news.

AOT Consulting abides by Western Australian public health directions, as amended from time to time, specifically relating to COVID-19. Directions will be supported under the *Public Health Act 2016*.

All staff at AOT Consulting have been triple vaccinated.

Notwithstanding the State of Emergency ended at 12:01am on Friday 4 November 2022, given the current situation with COVID, our current COVID Response Policy is still to minimise physical attendance, where practical. This should not be an issue as we have successful undertaken engagements using Teams and like.

In normal circumstances, the approach we usually adopt is to work onsite when we need to but to do the rest of the work from our office if there's no specific reason to be at yours. The principle we adopt is we will be there whenever we need to e.g. if there's several back-to-back meetings then it makes sense to be there. Time spent at your offices is chargeable whereas only time booked to your project when we work from our office is chargeable.

If the documents to be reviewed need to be kept on site, we will be pleased to review them on site, though we would like to highlight that we regularly review copies of client documents in our office, some of which are highly confidential. We therefore have controls in place to manage the confidentiality.

If there are physical documents, we will usually collect these from you and make a record of them. This is called Customer Supplied Product or "CSP" in our system and will be returned to you when we have finished with them. If they are soft copies and large documents, we can collect a CD rather than you emailing them. We will treat the CD as CSP in that case.

The location of documents to be reviewed is not the main point however. Rather, it is the flexibility to work from our office (e.g. when drafting documents).

3.8 Travel and Accommodation

Our usual policy is that time spent travelling point-to-point to client premises or premises pertaining to a project may be billed at the discretion of AOT Consulting depending on how much time is consumed travelling.

In practice, we rarely charge time for travel in the Perth Metropolitan Area, but some projects have warranted it if there is a lot of 'toing and froing' between locations due to the unavailability of stakeholders

and the like i.e. matters outside of our control. Should that occur, we would appreciate the opportunity to discuss the issue if it unreasonably consumes valuable time.

No provision for road, rail or air-travel has been made as all non-metropolitan interviews will be held via web-conferencing. However, should Department require physical attendance outside of the metropolitan area that requires travel, the costs should be reimbursed. Where such travel is required to deliver the services specified, we would normally secure approval in advance from the Customer to incur this cost.

Whilst it is unlikely that air-travel would be required, for the purpose of clarity, we acknowledge that all air travel shall be economy class securing the best fare of the day unless otherwise approved in advance by the Customer. However, if required, we may prefer to identify and agree the economy class fare but have the option to top it up with our own funds to a business class fare.

3.9 Confidentiality Agreements

Whilst the CUA includes the provision for confidentiality, some agencies also require specific confidentiality agreements to be completed. Confidentiality agreements vary from agency to agency.

In principle, there is no issue with completing separate agreements, subject to the following:

3.9.1 Ability to disclose

Most confidentiality agreements restrict the ability to disclose information, though some omit the ability to disclose information as required by any law, judicial or parliamentary body or governmental agency; or when required to professional advisers and/or insurers.

Without the ability to disclose information to such parties or the like, AOT Consulting and/or the signatories to the confidentiality agreements could be in breach of the law, regulations or the like.

Similarly, in the event of a professional indemnity claim or other insurance claim, professional advisers and/or insurers may require access to confidential information for the purpose of assessing and/or defending a claim. Without the ability to disclose, AOT Consulting would compromise its position to defend a claim and potentially invalidate its professional indemnity or other insurance.

AOT Consulting will therefore require confidentiality agreements that do not provide the ability to disclose, to be amended accordingly.

3.9.2 Destruction of Records

Most confidentiality agreements make provision to return and destroy copies of confidential information, however, some omit to allow AOT Consulting to retain copies as required to provide the ability to disclose as set out in 3.10.1.

AOT Consulting will therefore require confidentiality agreements that do not provide the ability to retain copies of confidential information, to be amended accordingly. It is acknowledged that an agency may seek agreement that sufficient controls exist to control, access to copies of confidential information.

AOT Consulting will therefore require confidentiality agreements that do not provide the ability to retain confidential information, to be amended accordingly.

3.9.3 Personal Agreements

Some confidentiality agreements are designed to be completed by consulting resources who are providing the services. Some agreement make provision for an individual to return and destroy copies of confidential information. However, employees of AOT Consulting are not permitted to destroy copies of confidential information unless authorised by the Directors.

The requirements to return and destroy copies of confidential information should therefore be an undertaking of AOT Consulting (whilst making provision to retain copies for the reason explained).

AOT Consulting ISO9000:2015 quality management system includes the provision for “client supplied products”, which includes a process of registering and storing information provided by

clients and returning them accordingly (mainly hard-copy). Whilst consulting resources will use confidential information for the purpose of delivery in services in accordance with the scope of the engagement, their role is not to return or destroy information.

AOT Consulting will therefore require personal confidentiality agreements to be amended accordingly.

3.10 Access to client premises and systems

Please note the following is only relevant if AOT Consulting is required to work onsite and/or access your network or systems. Whilst it is unlikely this would be relevant for the proposed services, we have included it for completeness.

In the event that special circumstances warrant working onsite, our consultants will work using an AOT Consulting notebook with wireless access and will email documents as required using their firstname.surname@aotconsulting.com account.

AOT Consulting prefers not to have controlled access to a client's premises via a security card or the like and also prefers not to have login accounts to a client's network and servers.

The liabilities placed on AOT Consulting through the government contracts are onerous – we accept these terms based on the mitigations and controls that we have in place to manage the risks. One of these being, we do not have access to our clients' networks or systems. Maintaining these controls also flows through to our underpinning insurances such as professional indemnity. Our Professional Indemnity insurance necessitates that we maintain records of communications and deliverables.

If it is necessary for the purpose of a project to have access to premises and/or systems, we will need the following to be agreed to:

Using a Client's Email Accounts

In respect of email, our policy prohibits us from masquerading and therefore consultants from AOT Consulting cannot be identified as your organisation. We maintain clear representation that we are AOT Consulting and we are external to your organisation. A successful approach to addressing this is to include additional identification in the email signature such as NAME (AOT Consulting) followed by your standard signature detail.

Accessing Systems

In the event that AOT Consulting is required to have access to your organisation's information and systems for the purpose providing the provision services, we can comply with the requirement, though we will need written confirmation of the following that your organisation:

1. would ensure all appropriate security is in place such that AOT Consulting cannot access any other folders (directories) other than the locations where the program related documents will reside;
2. would be responsible for backups and management of folders (directories) that AOT Consulting may have access to;
3. would relieve AOT Consulting of any liability in the event that your organisation does not affect appropriate security and logging; and AOT Consulting inadvertently accesses any area other than the designated folders (directories); and/or that your organisation fails to undertake regular backups to protect the data in the designated folders (directories);
4. will agree to add an automatic forwarding email address (via an email rule or mail-flow delivery) that AOT Consulting provides to be applied to any email account that AOT Consulting is required to use whilst at your organisation, which will serve to forward all inbound emails delivered to your organisation email account(s) that AOT Consulting use to a designated AOT Consulting's email account (e.g. firstname.surname@aotconsulting.com);
5. will agree to all outbound emails sent from any email account(s) that AOT Consulting is required to use whilst at your organisation to include an email rule that automatically sends a copy of the email to a designated AOT Consulting's email account (e.g. firstname.surname@aotconsulting.com); and

6. will immediately remove such access for AOT Consulting upon completion of the service.

In order to meet the requirements of our Professional Indemnity insurance we are required to retain a copy of any deliverable for which we are held accountable and/or responsible for our records. As such we will need to take such copies during the project and maintain alignment with the directory contents. The location of this information is maintained on secure servers, which you are welcome to inspect (please arrange a convenient time should you wish to inspect our premises and infrastructure).

We also will retain the use of our AOT Consulting email address and will only use your organisation email address during the term of the contract for the purpose of providing services.

4 Appendix 1 – Company Overview

4.1 Background

For 33 years, AOT Consulting has provided its services to local, national and international clients and has played a key role in assisting corporate business and government to plan, implement and manage new initiatives.

The high quality of its professional services has ensured AOT Consulting itself has become a WA success story as highlighted in the WA Business News book – Land of Rising Stars.

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AOT CONSULTING

AOT Consulting's greatest assets are its wealth of experience and passion to achieve excellent outcomes for its clients.

Many businesses have impressive stories about how they have grown with the developing state of Western Australia. For more than 17 years, the consulting firm has provided its services to local, national and international clients and has played a key role in assisting corporate business and government to plan, implement and manage new initiatives.

The high quality of its professional services has ensured AOT Consulting itself has become a WA success story.

The firm provides independent business, management and technology professionals who achieve top results for its clients in the government and commercial sectors. Its specialist professional service consultants have a

unique blend of sound commercial, business and technical expertise. The firm is based in the Forum Centre, 233 St George's Terrace, Perth, and is owned and managed by founders David Taylor and Julie Faulkner. The firm is truly passionate about working with its clients and achieving excellent outcomes for them.

Indeed the firm diversified and enjoyed different combinations of professional services which shaped the contemporary perspective that its clients also helped to form in strategic business cases of the types of services they were seeking from the firm.

Mr Taylor commented on the firm's initial business model: "It had to be relevant to include other firms and awarded contemporary management trends and models in strategic business planning and strategic procurement, which we have achieved and delivered over the years," he said.

As a result of having an excellent understanding of its client's needs and designing its professional services specifically to provide results that can be acted upon, AOT Consulting has created a service that represents true value.

A testament to this is that most of its business comes from repeat or referrals. AOT Consulting has always been focused on understanding client needs when planning and implementing new initiatives, reducing risk, managing risk or examining the efficiency and effectiveness of existing business models, systems and processes.

The firm's independent advice is a key factor in this approach, allowing the customer to be defined based on the business requirement, giving an unbiased service.

As a leading provider of highly professional, independent quality consulting services that delivers results that can be acted upon, AOT Consulting is proud that it continues to maintain its unsurpassing principles as its core.

At its inception in 1985 AOT Consulting was a national commitment to delivering a quality service through working in accordance with its ISO 9001 Quality System, accredited by Business Veritas (Quality International). AOT Consulting's professional services are based upon quality processes. In the last 30 years, it has been in the planning of several strategic initiatives such as the popular InlandRail and has since developed strategic plans, feasibility studies and business plans for many public and private organisations.

As one of the business that it continues to expand is strategic procurement planning and management, which it formalised in 1995 and which has since become a core service that the firm offers to its clients.

AOT Consulting has undertaken a significant number of strategic procurement planning and management projects since that time and has worked in various sectors including government, oil and gas, utilities, mining, information and communication technologies, science and technology, financial services, health, life sciences and education, law and order, sport, recreation, tourism and leisure.

PHOTO: BOB HILLMAN



PHOTO: BOB HILLMAN



PHOTO: BOB HILLMAN

Such dedication has led AOT Consulting to provide strategic projects and procurement advice on some of the state's high-value, high-risk initiatives. Mr Taylor and Ms Faulkner share the executive management of the firm. To maintain its independence, the firm employs professionals rather than contracted staff.

Over the years, AOT Consulting has enjoyed compound growth in knowledge and experience which it shares with our clients. Often, its starting point is well advanced and it can quickly focus in on helping clients achieve their business objectives.

Apart from operating a sustainable professional services firm since 1985, Mr Taylor and Ms Faulkner take pride in maintaining an ethical business that maintains professional standards while being pragmatic.

"Looking back at our history, we are most proud of contributing to the success of others by helping plan and implement initiatives while managing risks," Mr Taylor said.

AOT Consulting's mission is to be the best at helping others achieve their goals.

The above article is focussed on the two founding directors of AOT Consulting, Julie Faulkner and David Taylor.

Julie Faulkner has worked in management consulting and ICT for over 33 years and has considerable experience in all aspects of the professional services offered by the firm. She has worked on many of the State's prominent projects and has in depth experience in strategic sourcing and procurement, negotiations and commercial contracts as well as being keenly sought after as a probity advisor.

David Taylor has worked in management consulting and ICT for over 40 years. He has been a consulting board member to the International Board of the International Association of Science Parks (IASP) and also held a position as a member of the State Development Forum established by the Hon. Clive Brown during the term his party held office.

4.2 Professional Consulting Services

As an independent professional services firm, we have specifically designed our professional services to assist clients from conceptual and strategic planning stages through to the implementation of initiatives and beyond. The professional services include:



Business Planning, Analysis and Reviews (Strategic and Operational) - this service is designed to assist organisations to develop and plan for new initiatives or review the opportunities for improvement of existing initiatives. There can be many dimensions to this service such as developing strategic plans, analysis of business processes, application of business systems and enterprise technology planning. Another dimension is to assist with the development of a business case to substantiate initiatives and return on investment. This service also includes program reviews.



Financial Services – this service covers a wide range of areas including financial modelling; financial reviews, planning, resource management and decision-making; review and development of accounting policies and procedures; advisory services pertaining to transactions, budget and cash flow management; and advice on management models for facilities. The service also includes financial assessment and due diligence.



Change Management and Communications – where there is a step-change required to implement new or enhanced capabilities, there is also a need to prepare for the change, especially if it involves changes to the business model, service delivery, commercial structuring, or outsourcing because such changes can materially affect areas of the business such as organisational structure, human resources, culture, policies and business processes. This service is designed to plan and manage transitions. The service is especially cognisant that people are a critical success factor to managing successfully managing change.



Facilitation – in its broadest sense, this service refers to the process of designing and running one or a series of successful meetings or workshops to achieve an outcome. Facilitation concerns itself with all the tasks needed to design and run a productive and impartial meeting or workshop to serve the needs of a group in its decision-making. Our in-depth understanding of business and technology enables this service to be designed with subject matter knowledge.



Strategic Sourcing and Procurement - this service assists organisations to plan and procure business and technology solutions and services. It ranges from developing sourcing strategies and commercial structuring through to the development of procurement plans, specifications, tenders, evaluation of offers, preparing evaluation reports that substantiate the recommendation and due diligence.



Due Diligence and Negotiation - this service provides organisations with a structured process that facilitates stakeholders resolving disputes, agreeing upon courses of action, bargaining for individual or collective advantage, and/or crafting outcomes which serve mutual interests. This service is also integral to achieving successful strategic sourcing and procurement outcomes.



Contract Development and Management - this service assists organisations to plan, develop and manage contracts, which are often complex, high risk and/or high value. AOT Consulting has worked in many different industry sectors and has designed contracts that not only protect an organisation's interests but also establishes a sound framework that can be applied in practice.



Governance Services – this service assists organisations to review and form their governance structures on sound principles to ensure that the relationships between, and the distribution of rights and responsibilities among stakeholders reflects best practice.



Probity Advisory and Audit Services, Audit and Risk – these services are designed to assist organisations to assess and/or manage the risk of processes and assets. Our Probity Advisory services safe guards against the risk of unfavourable outcomes from strategic sourcing and procurement. Audit services includes internal audits, performance (operational) audits, compliance audits, financial audits, information systems audits and corporate governance reviews. We also provide forensic audit services. A comprehensive risk assessment and management service is designed to assist organisations manage risk in a range of areas including commercial risks, procurement, project, program or initiative risk reviews. This service also includes risk assessments and facilitation services and assistance in defining and assessing risk categories and treatments, workshops and training.



Stakeholder engagement, communications and change management - this service assists organisations to determine the potential stakeholders and design a plan for stakeholder engagement and communications. This is often used for seeking stakeholder engagement when assessing or developing new initiatives. During implementation of initiatives, this relates to developing and coordinating change management processes.



Program, Project and Transition Management - this service is founded upon years of experience in managing a broad range of projects, particularly in ICT. As an independent consulting firm, our sole focus is to achieve successful results for our clients in delivery of their projects and our track record is founded on fulfilling our commitment to success on each individual project.

4.3 AOT Consulting Methodologies and Standards

AOT Consulting has developed consultative methodologies that are used as a base for different types of consultative assignments. These comprise a combination of professional consulting service methodologies that the firm has designed and enhanced over the years to support our professional services and frameworks such as Managing Successful Programs (MSP®) and PRINCE2®. Most of our consultants have completed the MSP® or PRINCE2® foundation courses and some have completed the practitioner certification.

The application of the methodologies is integrated into our service delivery models, which is core to our ISO9001 Quality System. The methodologies are modular and can be used for different stages of the business or project life cycle and can be used for the full end-to-end service or can provide services for one or more stages as required. Where applicable we also apply national and internationally recognised standards such as the Australian Accounting Standards (AASB); ISO 31000 Risk Management Set; ISO 27002 Information Security Management; AS8000-2003 Corporate Governance; General Conditions of Contract - AS 4000; and AS 4905/4906 (Minor Works). Methodologies are also aligned to standards such as The International Standards for the Professional Practice of Internal Auditing (Standards) and the Australasian Evaluation Society (AES) where applicable.

4.4 Sectors

AOT Consulting has knowledge and experience in a range of sectors including:

- Commonwealth Government.
- Emergency Services.
- Financial Services.
- Health, Life Sciences and Education.
- Information and Communication Technologies Industries.
- Infrastructure.
- Land and Property.
- Law and Order.
- Licensing and Regulation.
- Local Government.
- Mining and Resources.
- Oil and Gas.
- Primary Industries.
- Professional Services.
- Science and Technology industries and Science Parks.
- Sport, Recreation, Tourism and Leisure.
- State Government.
- Utilities (Gas, Power, Telecommunications, Water).

4.5 Quality Assurance

AOT Consulting has reinforced its commitment to delivering a quality service through working in accordance with its ISO 9001 Quality System, accredited by Bureau Veritas Quality International for ISO 9001:2015.

4.6 Consulting Projects

AOT Consulting has undertaken a wide range of consulting assignments since the company was first formed in 1989. A profile of consulting projects that have been undertaken can be provided, which reflects a representative portion of the work we have undertaken over the past 30 years. Since commencing our ISO9001 Quality System in 1995, we have recorded over 3,000 projects for clients.

4.7 Independence

AOT Consulting maintains complete independence of vendors and has a strict company policy that prevents the company from acting in any capacity that involves the reselling of vendor products or services or the provision of services that will compromise our integrity to provide unbiased, independent services.

While many firms claim independence, it is our view that their interpretation of this is to be prepared to contractually work with all vendors and not favour one vendor over another. Our interpretation of independence however, is to be truly independent without any alliances with vendors.

As such, it is our policy to not sub-contract other firms or vendors or be sub-contracted by other firms or vendors.

The Directors of AOT Consulting have no conflict of interest.

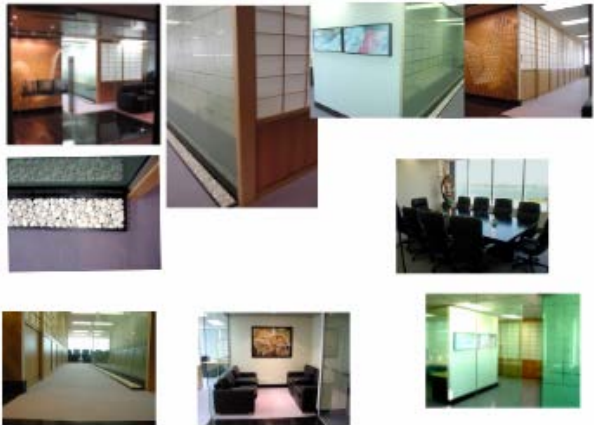
4.8 Company's Facilities

The company is based at level 15, 221 St. George's Terrace and its offices were officially opened by the Hon. Clive Brown, Minister for State Development on the 10th March 2004. The location provides a credible presence for AOT Consulting in the City.

The design of AOT Consulting's office is based on a blend of contemporary and traditional design concepts that provides an elegant yet highly functional environment which includes a hi-tech boardroom that can accommodate up to 12 people with sweeping views of the Swan River and South Perth foreshore.



Blending contemporary and traditional design concepts to provide an elegant, yet highly functional environment

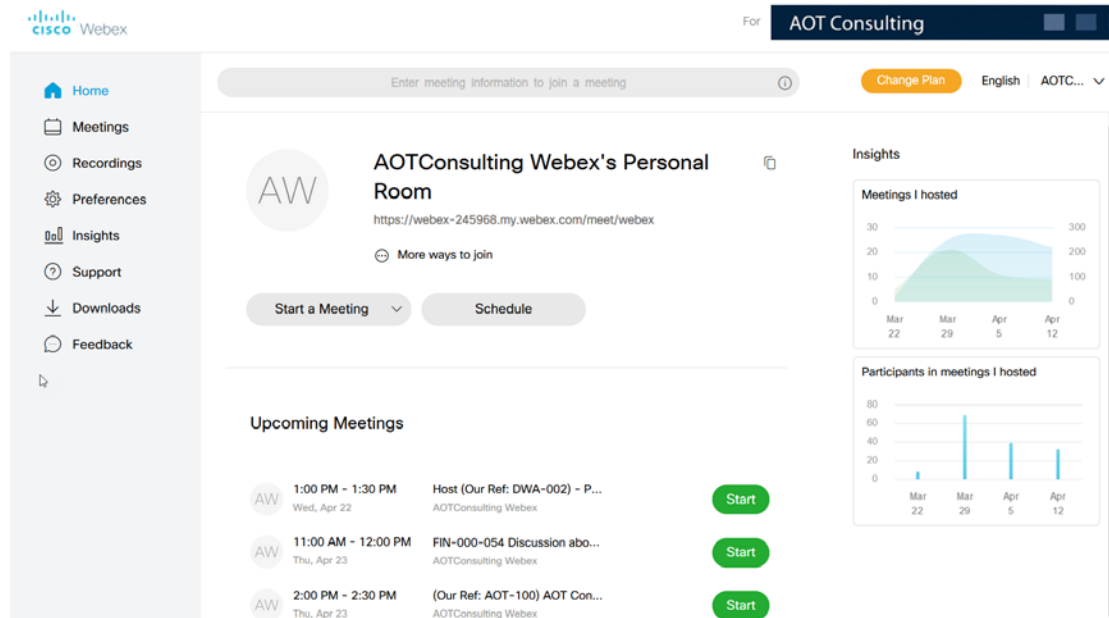


4.9 Web Conferencing

AOT Consulting has been using WebEx, Microsoft Teams and Zoom, though we have focussed more on the use of WebEx.

We have a hosting subscription for WebEx and Teams and can set up the sessions.

If a client prefers other platforms, we can participate, but the client would need to set up the hosting.



The screenshot shows the Cisco Webex interface for a user named 'AOT Consulting'. The main heading is 'AOTConsulting Webex's Personal Room' with a URL: <https://webex-245968.my.webex.com/meet/webex>. There are buttons for 'Start a Meeting' and 'Schedule'. Below this is a section for 'Upcoming Meetings' with three entries:

Time	Day	Meeting Title	Action
1:00 PM - 1:30 PM	Wed, Apr 22	Host (Our Ref: DWA-002) - P...	Start
11:00 AM - 12:00 PM	Thu, Apr 23	FIN-000-054 Discussion abo...	Start
2:00 PM - 2:30 PM	Thu, Apr 23	(Our Ref: AOT-100) AOT Con...	Start

On the right, there are two charts under 'Insights': 'Meetings I hosted' (a line graph showing a peak in late March) and 'Participants in meetings I hosted' (a bar chart showing participation levels).

Technology

AOT Consulting is committed to using the latest technology. A recurrent investment programme combined with advanced services and infrastructure provides the ability to undertake projects locally, nationally and internationally while establishing a sound base to progressively expand the range of services offered.

AOT Consulting uses a 400Mb/s fibre-optic service (up and down) and also has NBN100 for business continuity, with dual Fortigate firewalls configured for automatic failover.



5 Appendix 2 – Quality Management

5.1 Quality Management Framework

5.1.1 Quality Review Framework

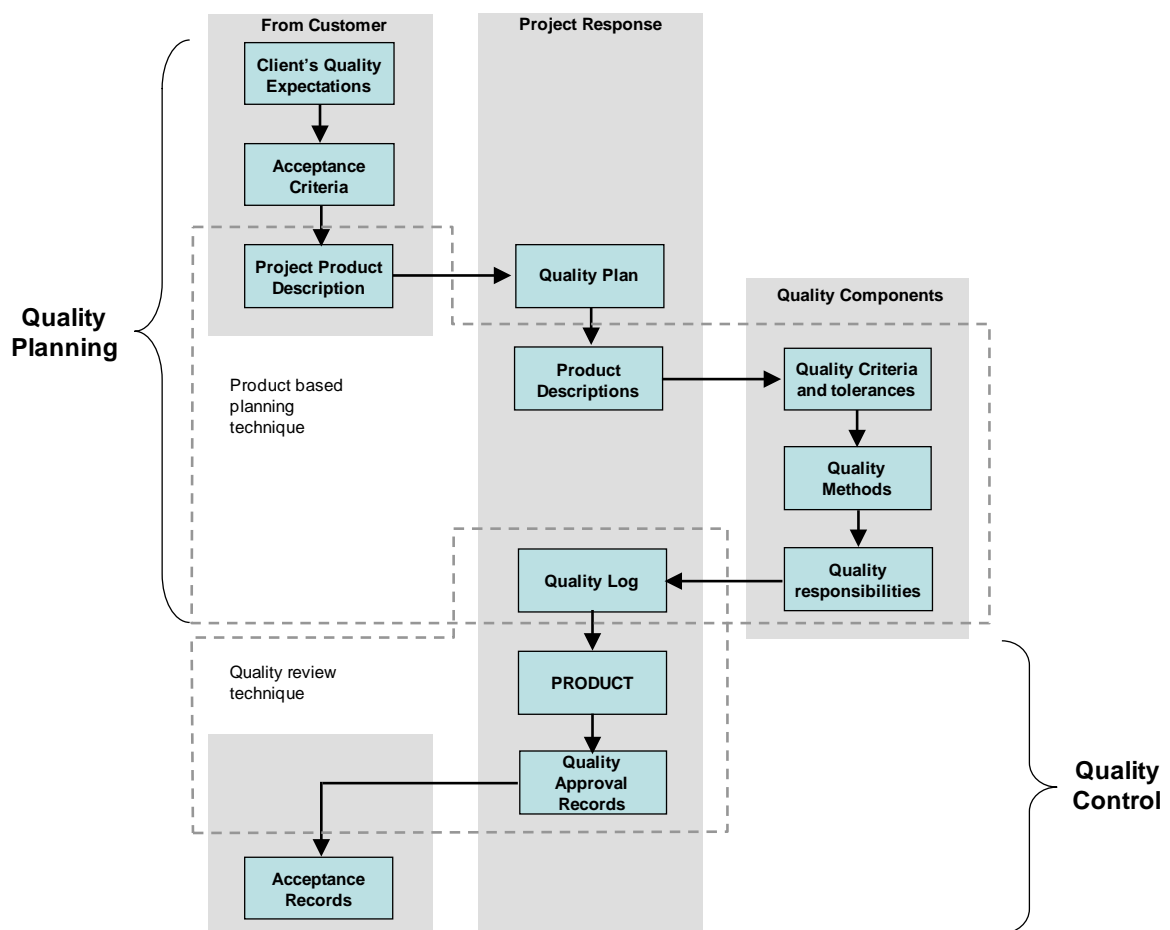
Figure A2 illustrates the Quality Management and Review Framework we propose to apply.

The framework reflects the complete structure, which is usually customised to suit the scale of the project as required.

Some elements may not be used.

The current QMS is certified to ISO9001:2015.

Figure A2: Quality Management and Review Framework



The table below outlines the minimum application of the framework.

Client's Quality Expectations	These are usually set out in the Request document. In addition, the quality review guidelines set out below reflect most client's expectations in regards to quality.
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Acceptance Criteria.	Acceptance criteria is set out in the Request document such as the section on Deliverables.
Project Product Description	In the absence of a formal Project Product Description, the stated objectives set out in the Request document and this proposal will serve as the basis for defining the “product”.
Quality Plan	In the absence of a formal Quality Plan, stated quality requirements set out in the Request document and this proposal will serve as the basis for defining the plan.
Product Description (s)	In the absence of a formal Product Description, the stated deliverable(s) set out in the Request document and this proposal will serve as the basis for defining the “product” or “products” as the case may be.
Quality Criteria and Tolerances	These are usually set out in the Request document. In addition, the quality review guidelines set out below reflect most client’s expectations in regards to quality.
Quality Methods	In most cases, the method is reviewing draft documents, though occasionally such as spreadsheet that are handed over to a client, the method may be testing.
Quality responsibilities	These are usually set out in the Request document in terms of who in the client organisation will be responsible for quality reviews. This may also be discussed during Project Initiation.
Quality Log	In the absence of a formal Quality Log, records pertaining to quality will usually be communicated through various means such as emails, meetings, tracked-changed documents (where agreed)
Product	The “product” is usually set out in the Request document e.g. A Report.
Quality Approval Records and Acceptance Records	This will usually be communicated through an email or meeting.

5.1.2 Internal Reviews

In regards to quality control, we draw upon ISO9001:2015 to apply a comprehensive quality review framework that is applied to preparing draft report findings (referred to as the “product”).

All “products” are subject to internal review whereby the reviews of drafts are undertaken by a Consulting Director, Lead Consultants or through peer reviews. The quality review process is determined on a case-by-case basis during the project initiation.

5.1.3 Clients Participating in Quality Reviews

During Project Initiation we determine to what extent stakeholders are to be involved in the quality reviews.

Draft reports/documents can be submitted for review and there are various methods for undertaking reviews, though we are mindful that processing feedback from the quality review can become onerous if there are many reviewers. One technique we have found is particularly efficient is a round-table quality review where the reviewers get together with ourselves to go through the drafts. Another benefit to this is that it reduces the risk of conflicting views being expressed by different reviewers. Other approaches are track-changed documents and meetings.

Where clients participate in quality reviews for drafts, the distribution of the drafts need to controlled to avoid stakeholders that are not directly involved in the process inadvertently forming views on the quality of the work.

The extent to which changes to drafts proposed by clients participating in quality reviews can be accommodated may be limited if the proposed changes materially affect the analysis, findings and the like and/or the quality of the document e.g. style, grammar, etc. In some cases we occasionally find personal stylistic preferences can result in additional review cycles and we therefore reserve the right to amend the budget where further review cycles are required solely for the purposes of accommodating personal preferences.

Where AOT Consulting undertakes independent reviews or assessment/audits, the extent to which amendments can be applied will depend on the types of amendments requested. Such amendments will generally be limited to statements that cannot be substantiated, are ambiguous, or incorrectly formed based upon that the information provided.

Version Control

We will maintain version control.

If you require document filenames to be constructed a particular way during the drafting process, we can accommodate that, though we need to maintain internal conventions as well.

When any document (which includes Word, Excel and PowerPoint) is created, the format of the filename will be constructed in a manner as follows:

XXXXXXX DraftV0.1 21May19 or XXXXXXXX_Draft V0.1_21May19
XXXXXXX FinalV1.0 21May19 or XXXXXXXX_Final V1.0_21May19

- When the draft is first issued to the client it is: Draft V0.1
- When further edits are made as a result of the review by the client it becomes the next version and so on:: Draft V0.2
- When the document is deemed a completed/delivered product it will be issued as: V1.0
- If a minor update is required subsequent to it being deemed a completed/delivered product then the version will be amended to: V1.1
- If a material update is required subsequent to it being deemed a completed/delivered product then the version will be amended to: V2.0

If the document produced is branded as an AOT Consulting Pty Ltd document the Final Version will be expressed as Final e.g. Final V1.0. If the document is produced as a client branded document, the word Final may or may not be included depending upon the nature of the document.

The date that be applied to the document filename is the date that the document version is created or updated. The date format may be presented as DDMMYY or DDMMYYYY which will depend on the adopted naming convention by other documents produced for the project.

Whilst all documents produced by AOT Consulting have version control in the footer, when AOT Consulting prepares a document in the client’s template a version control sheet will be included in the document immediately following cover page to ensure traceability of all edits during its development.

As AOT Consulting is the only author of documents that are branded as AOT Consulting documents, this version control sheet is not required.

5.1.4 Quality Review Guidelines

We also have established guidelines as to what the focus of reviewers should be when undertaking quality reviews, which may be helpful in this case. It is important to agree how the feedback is to be conveyed back to AOT Consulting. It should be noted that the guidelines are also used for our own internal review process before drafts are issued.

Quality Review	AOT Consulting	Client
1. Proofreading Review		
This level of review involves checking that the document is ready to be released. It is usually the last stage of a document’s development cycle prior to release (even for drafts) and includes addressing typos, repeated words, spelling, punctuation and formatting issues (how things look on a page) as they occur in the final.	All documents are proof read before being issued in draft for review.	The Client reviewers should not need to proof read the documents.
2. Consistency Review		
This level of review aims to achieve accuracy, clarity and consistency in a document. It does not involve significant rewriting, providing a single authorial voice or tailoring text to a specific audience – these belong to a substantive edit and to a lesser degree, stylist review.	All documents are proof read before being issued in draft for review, which includes a consistency check.	The Client reviewers should not need to proof read for consistency. Any observations will be welcomed however. However, consistency of terms used specific to Client should be undertaken.
3. Stylistic Review		
This level of review involves reviewing and recasting sentences for clarity and flow. It can also involve moving sentences around so that the meaning is clear. Some editing is also applied (usually in track-changes).	A stylistic review will be undertaken before draft documents are issued for review.	The Client reviewers should not need to be overly concerned with the style of writing but feedback on the style for the benefit of the audience will be welcomed.
4. Substantive Review		
This level of review can involve a degree of editing (sometimes called structural or content editing) and ensures that the structure, content, language, style and presentation of the document are suitable for its intended purpose and audience. The substantive review method	A substantive review will be undertaken before draft documents are issued for review.	The Client reviewers will need to take into consideration the intended audience. The method of communicating changes will be agreed

Quality Review	AOT Consulting	Client
such as track-changes would be agreed beforehand.		at the commencement of the engagement.

5. Is-There-Anything-Missing Review

This type of review also goes to the heart of the thinking and analysis process used to form the final 'product' in the context of the scope agreed with the client.

This level of review can also serve as a measure to determine if the 'product' meets the requirements.

It should be unlikely that there is anything materially deficient. Observations pertaining to there being anything missing is anticipated to be isolated to specific areas.

The scope of the drafts will be based upon the engagement.

The **Client** reviewers will need to be satisfied that the extent to which the draft document address what is required.

6. Depth of Treatment and Substantiation Review

Reviews should also consider if the depth of treatment is sufficient, which needs to be proportionate to the scale and risk of the document's intended use and should therefore be balanced with efficiency and effectiveness.

It should be unlikely that the depth and breadth of treatment is materially deficient. Observations pertaining to the depth and breadth of treatment is anticipated to be isolated to specific areas.

The first draft document will serve to determine if the depth of treatment is sufficient.

The first draft document will serve to determine if the depth of treatment is sufficient.

7. Usability Review

Reviews should also consider the extent to which the 'product' can be used for its intended purpose.

The level of usability will be assessed to a reasonably high degree.

The **Client** reviewers will need to determine the adequacy of the level of usability.