

THE UNIVERSITY OF
SYDNEY

**The University of Sydney -
Architect Panel
Establishment and
Competitive Design
Process**

University of Sydney

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1.0 Introduction

1.1 Background

Campus Infrastructure and Services (CIS) have established robust and competitive panels for the provision of Consultancy and Contractor Services (CCS).

The Architectural Panel is one of the key and most fundamental panels that have been established and is now in operation.

The key objectives for establishing this panel are;

- consolidation of the number of firms undertaking these services with a view to reduce inefficiencies and duplication;
- having a panel of appropriately qualified service providers covering the spectrum of work that CIS can utilize in order to optimise the delivery of its program;
- standardisation of number and consistency of deliverables;
- reduction in multiple procurement activities;
- reduction in the costs associated with administering ad-hoc contracts and arrangements;
- ensure a consistent approach to delivering value for money, and;
- improve and communicate pipeline of activity to the benefit of CCS providers

1.2 Overview

Following the recommendations from the Procurement Strategy **PS/2013/022** the University engaged in multiple Open Request for Tender (RFT) processes in line with the University's Procurement Policy in order to establish panels for the following categories of work:

1. BCA & PCA
2. (WH&S) and Risk
3. Ecologically Sustainable Design (ESD)
4. Accessibility
5. Quantity Surveying
6. Land Surveying
7. Community and Communications
- 8. Architects**
9. Landscape
10. Urban/Town Planning
11. Services Engineering
12. Structural
13. Civil and Traffic
14. Geotechnical
15. Services Engineers
16. Contractors (September/October 2014)

The size of each panel was carefully determined to support the University's requirements while ensuring maximum opportunity of work for those selected.

Reserve panels were also established where required with Tenderers that are placed in the second tier of responses during the RFT. Tenderers considered to be highly specialised in an area of expertise (relevant to the University) may have been selected onto the Reserve Panels, regardless of their suitability against all other criteria listed. Reserve Tenderers can be invited to join the Panel should the existing members become unavailable, no longer able to perform the Services as assessed against Key Performance Indicators or demand increases.

It is important to note that the open tender process followed was in accordance with the University

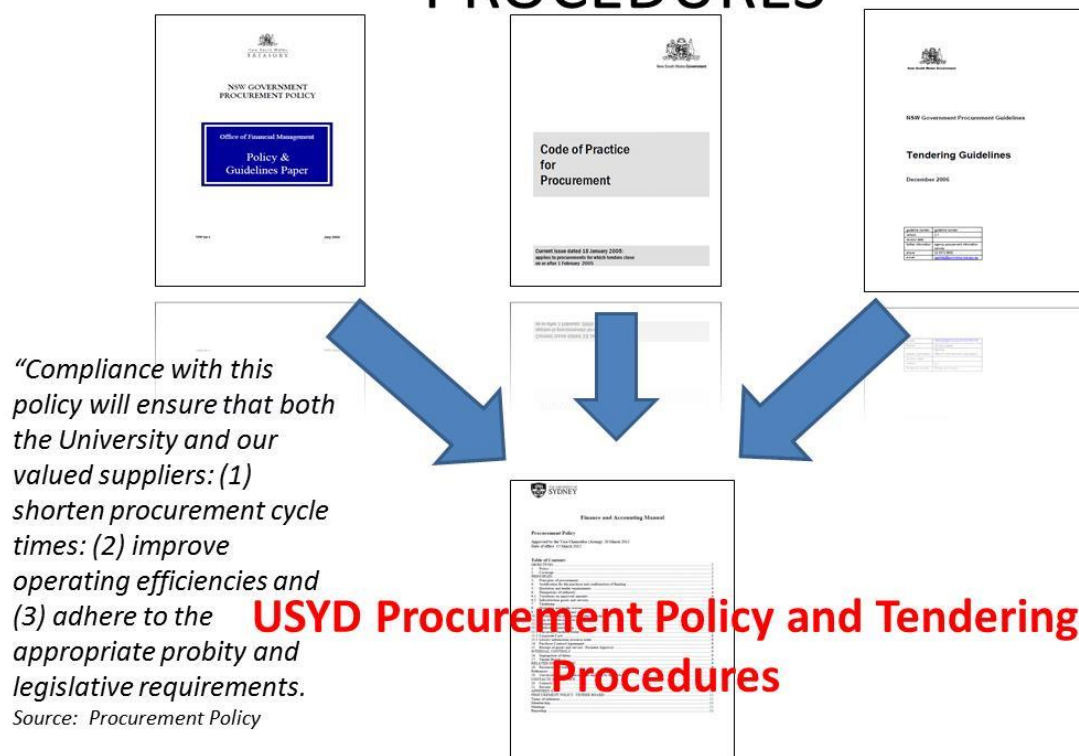
of Sydney Procurement Policy which has been created from the amalgamation of the following 3 documents:

1. NSW Government Procurement Policy – Policy and Guidelines Paper
2. NSW Government Code of Practice Procurement
3. NSW Government Tendering Guidelines

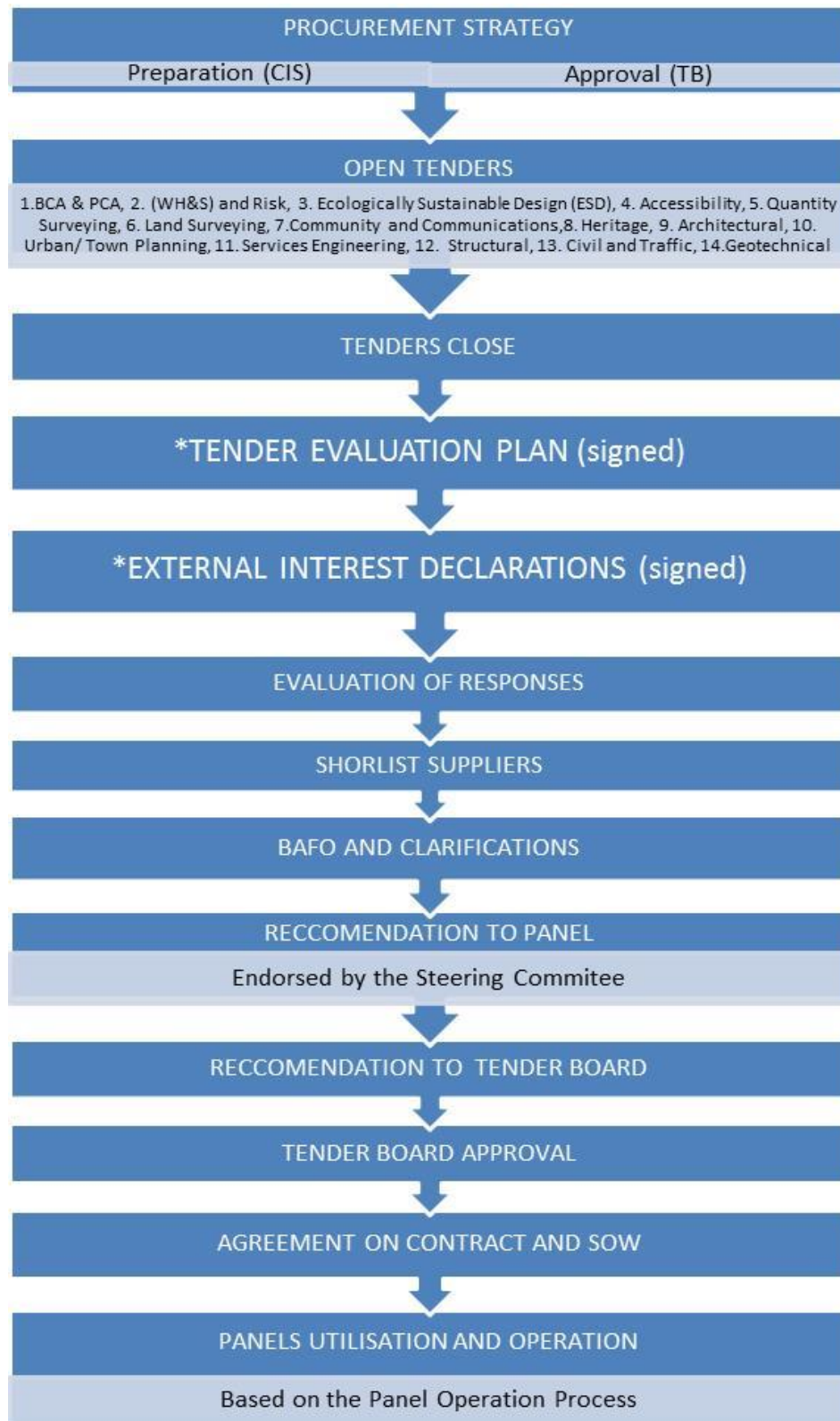
This policy has been endorsed and approved by the University of Sydney Senate (comprising Executive Level External Representatives and Internal University Representatives nominated by peers).

Therefore, despite being a Semi-Government institution, the University of Sydney has adhered to NSW Government Regulation and Policy.

ICAC GUIDELINES AND TENDERING PROCEDURES



For each of the above services including the Architecture Panel the following process was followed (Please refer to **Appendix A** for the Official Probity Report to endorse the below process):



Specifically, the Architects Panel has the following sub categories:

New Builds (<\$10M), New Builds (\$10M+), Refurb(<\$10M), Refurb (\$10M+), Specialist Labs, Specialist Health, Heritage

Please refer to **Appendix B** for Evaluation Criteria and Tender Evaluation Plan for the Architects Panel.

1.3 Objective

Post the execution of the open tender process the operation of the panel will result in a number of key benefits:

- Increased competition among suppliers due to aggregated demand contributing to improved pricing, terms and conditions.
- Familiarity with the terms and conditions of supply, pricing and rate structures, and in terms of quality and performance.
- Ability to readily access suppliers to meet business needs, including where there may be a conflict of interest or volume of work in excess of a supplier's capability.
- Ability to build effective working relationships with suppliers who are familiar with the University's needs and preferences.

2.0 Structure of Panels and Principles of Operation

2.1 Rationalisation

The table below shows the number of suppliers used before panels were established and the number of suppliers after RFT completion.

Panel	Pre-Panel Number	Post- Panel Number
BCA/PCA Consultants	14	7
WHA & Risk Consultants	10	5
Accessibility Consultants	8	3
Quantity Surveyors	14	5
Land surveyor	14	5
Community and Communications	6	4
Landscape Architects	15	7
Town Planners	15	7
Geotechnical Engineers	8	4
ESD Consultants	10	4
Structural Engineers	26	7
Civil Engineers	18	5
Traffic Engineers	8	4
Architects*	29	22
Building Services Engineers*	57	28
Total	252	117
Number Reduction	135	
% Reduction	53.57%	

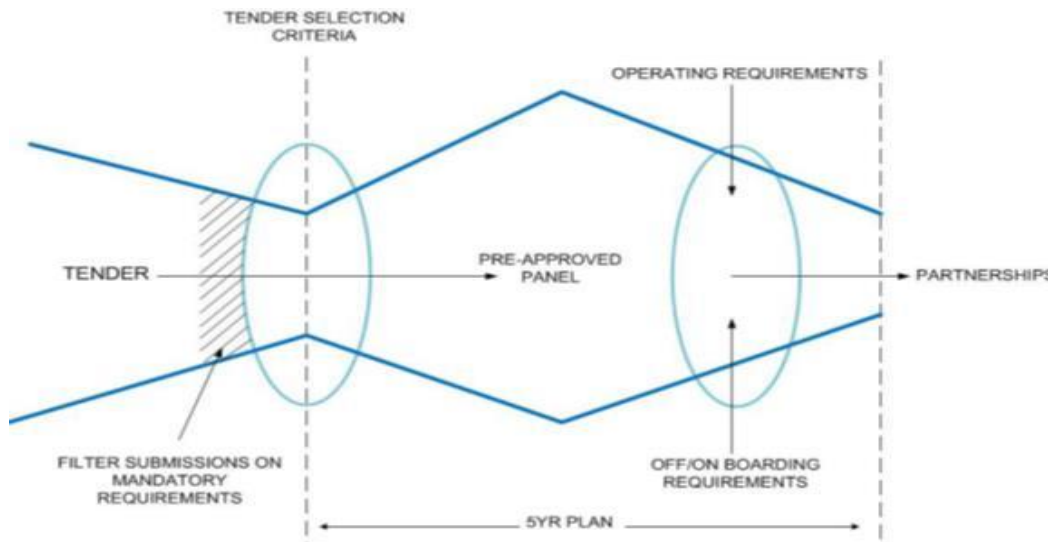
*Pre-panel numbers are approximate values

2.2 Panel Operating Methodology

Figure 1 below illustrates in blue how procedures for procurement from within the panel and management of the panel continue to deliver value for money for the University as a continuation of the work done establishing the panel.



The open RFT to establish the Architects panel was the first phase of a longer term 5-year framework in which the panel will operate and perform. The below diagram outlines the framework from inception, tender selection, operating requirements, performance management, off / on boarding requirements and ultimately creating strong industry partnerships with our service providers to supplement the internal resources as an integral part of the capital works delivery model.



Tenderers successful through the RFT process have been appointed to the panel for a 3-years' engagement terms, with 2 one year extension period.

As the Panel matures and there is a turnover of service providers, either due to non-performance term expiry or workload increase, the Reserve Panel or introduction to new members may be utilised to refresh the panel to provide the University with depth in resourcing, flexibility and dynamic to grow for increasing future workload.

2.3 Principles of Allocation of Work - General

Post-establishment of the Panel, work will be competitively quoted between members on the panel and appointed thereafter on submitted resources and fixed fee structure.

Based on the successful implementation and efficient operation of the Panel, it is envisaged that in the 4th and 5th year of the Contract (or a period determined sooner) the members on the Panel be potentially reduced to establish partnering suppliers that will be able to deliver the relevant projects with maximum efficiency due to the knowledge and experience developed in the prior years. This stage will need to be considered in conjunction with past performance and forecasted work.

2.4 Principles of Allocation of Work – Architect Panel

The University of Sydney has two overarching protocols for the allocation of work to the Architects Panel:

a) Competitive Proposals

Proponents are selected from the appropriate sub panel and are requested to respond to Request for Quote/Proposal document and lodge the submission to the Quotation Register or an online Tender Portal (eValua). This document and supporting material would encompass but is not limited to the following:

- Quotation/Proposal Terms and Conditions
- Project Brief
- Design Criteria
- Appendices and Reference Documents (customised for each project)
- Draft Agreement
- Returnable Schedules

This method is utilised for projects that do not have a transformational impact to the University and generally fall in the \$10,000 to \$10,000,000 range in line with the below requirements:

Value of Order / Agreement / Contract Life (including GST) - Standard activities – CIS	Requirement	Approver
\$200,000 and above	3 or more written proposals as determined by Authorised Project Manager/Director	DCIS
\$50,000 to \$199,999	3 written proposals	DCIS, Divisional Manager or Operations Manager
\$10,001 to \$49,999	2 written proposals	DCIS, Divisional Manager, Operations Manager, Supplier Performance Manager or Project Manager
\$10,000 and below	1 written proposal	DCIS, Divisional Manager, Operations Manager, Supplier Performance Manager, Project Manager, > HEO5

i. Evaluation Methodology & Endorsement

The proposals for each respective project are assessed by the Project Manager and key technical representatives in line with pre-approved evaluation criteria and weightings based around Personnel, Fee Structure and Design Philosophy.

This evaluation can be conducted on via excel template or via the Online Tendering Tool (eValua) and both methods will provide a clear ranking.

Each Architects rates and key personnel have all been nominated in the tender responses to be successful on the overall Architects Panel.

Upon identifying the successful Architect, the Project Manager will draft a recommendation and seek approval for engagement from an individual with the appropriate financial delegation to execute the contract with the respective Architect.

b) Design Competitions

The University of Sydney conducts Design Competitions for Transformational Projects. These projects usually have a significant University wide impact with respect to research and teaching and have a significant level of spend (<\$10M - \$200M+).

The following flow chart outlines the process and methodology behind the University's Design Competitions:

Documentation Development	The project team (Campus Planning Manager (CIS), Project Director, Project Manager) develops a Request for Proposal (RFP) document including but not limited to the following: • Proposal Terms and Conditions • Project Brief • Design Criteria • Appendices and Reference Documents ○ SITE PHOTOGRAPH ○ SITE SURVEY ○ SITE CONSTRAINTS & OPPORTUNITIES ○ SITE ROAD ALIGNMENT ○ IN-GROUND SERVICES PLANS ○ INDICATIVE BUILDING ENVELOPES ○ CONSERVATION MANAGEMENT PLANS ○ DRAFT CONSULTANCY AGREEMENT ○ ARCHITECTURAL DETAILS AND HISTORICAL BUILDING DOCUMENTATION • Draft Agreement • Returnable Schedule • All documentation to be endorsed by Director of Campus Infrastructure Services (CIS)
Selection of Architects	• The project team (Campus Planning Manager (CIS), Project Director, Project Manager) determine appropriate sub Architect Panel • Initial assessment is made with respect to the panels experience, past performance, capacity and personnel • Architects (4-5) are selected to partake in the Design Competition • Proposed Architect List is endorsed by Director of Campus Infrastructure Services (CIS)
Request for Proposal (RFP)	• Final RFP documentation to be endorsed by

	Project team and Director of Campus Infrastructure Services • Project Director or Project Manager liaises with the Procurement Manager to release the documentation via eValua (Online Tendering Tool) • All Architects register interest via this tool and download all documentation • Any relevant questions are answered via the tool and all addendums are also released via the tool • Architects submit an online response via the tool prior to the close date and time • Hard copies are also handed to the Procurement Manager prior to the closing date (these are not accepted if there is no concurrent submission on the tool) • No submissions are accepted via email
Evaluation	• Project Director recommends the members of the Evaluation Panel (Campus Planning Manager, Senior Architect (Internal), Internal Representative, Faculty Representative and Independent ('Internal and External') Technical Advisors • Project Director in conjunction with the Procurement Manager develops the Evaluation Plan with relevant criteria and weightings (Qualitative and Quantitative). Please refer to Appendix C for an executed Evaluation Plan • Evaluation Plan is signed off formally including an Conflict of Interest Declarations and Conflict Management Plans and Confidentiality Agreements • Evaluation team conduct assessment individually on the tool • Evaluation Meetings are conducted to discuss scoring and any clarification required • Proponents are short listed and interviews are conducted • Successful Architect is recommended and endorsed by all members of the Evaluation Panel
Recommendation	• Project Director to draft a recommendation and seek approval for engagement from DCIS execute the contract with the respective Architect • Should the University require the services of an independent probity advisor prior to the submission of the recommendation report it has the right to do so via the NSW Government Pre-Qualification Scheme. This advisor will review the process followed and provide an independent endorsement

2.4.1 Design Competition – The University of Sydney v City of Sydney

The Sydney Local Environment Plan 2012, Division 4 Design Excellence, 6.21 Design excellence section (5) (d) reads as per below:

(5) Development consent must not be granted to the following development to which this clause applies unless a competitive design process has been held in relation to the proposed development:

[...]

(d) development for which the applicant has chosen such a process.

The above clause has a direct impact to the University as it conducts its own design competition for Transformational projects (please refer to above section 2.3.1, section 2 – Design Competition).

Although there is limited direct requirement by the University to gain approval from the City of Sydney for the undertaking of Design Competitions most Transformational Project applications are lodged with the Department of Planning and Environment, it is essential to demonstrate that the University's Design Competition process is rigorous, probity rich and derives value for money and is directly comparable to the process stipulated by the City of Sydney.

The below table provides direct comparisons between the two processes:

City of Sydney	The University of Sydney
(4) Competitive design process means either: (i) An architectural design competition; or (ii) The preparation of design alternatives on a competitive basis;	2.3.1 Section 2 – Design Competition outlines that a competitive process is followed
(5) A competitive design process must be undertaken in accordance with an approved Design Excellence Strategy.	The University has Design Guidelines that are required to be followed for all capital projects
Provisions – 1.2 Design excellence strategy, 2.1 Three types of competitive design process, 2.2 Documentation requirement and costs, 2.3 The competitive process brief	2.3.1 Section 2 – Design Competition – Documentation Development, Selection of Architects and Request for Proposal sections directly correlates with the City of Sydney's requirements. The Request for Proposal (RFP) documentation will outline the key requirements and duration of the process with pertinent dates, the selected Architects will be invited to submit a proposal (post endorsement of the DCIS), the documentation is released via the Online Tendering Tool (post endorsement of the DCIS and Project Team) and an audit trail is maintained as all proponents must interact via the tool from proposal open date to close date.
3.1 Architectural Design Competitions (Open and Invited), 3.2 Judging the competition entries – jury establishment, 3.3 Heritage-related applications, 3.4 Assessment and decision, 3.5 Architectural Design Competition Report, 3.6 Procedure where there is an outstanding resolution of a preferred design, 3.6 Procedure where there is an outstanding resolution of a preferred design, 3.7 Completion of the architectural design competition process	2.3.1 Section 2 – Design Competition – Evaluation and Recommendation sections directly correlates with the City of Sydney's requirements. The University ensures integrity and due diligence with respect to the Assessment of proposals by appointing a panel of key internal and external stakeholders with adequate representation to ensure that the technical and commercial needs of the University are met.

	The evaluation criteria and weightings are signed off in a formal evaluation plan and the assessment is conducted via the Online Tender Tool. Post the conduction of all evaluation meetings and shortlist meetings, a recommendation report is produced with the endorsement of all Evaluation Members. This report is then officially approved by the DCIS.
4.1 Competitive Design Alternatives Process, 4.2 Assessment and decision, 4.3 Competitive Design Alternatives Report,	2.3.1 Section 2 – Design Competition – Evaluation and Recommendation sections directly correlates with the City of Sydney's requirements. The University documentation allows for alternative submission and the process for submission of such proposals. These alternative submissions can only be assessed only if a conforming submission is present by the proponent. If this is the case, the Evaluation Team will assess the viability of the proposal and process the recommendation accordingly.
5.1 Design Integrity, 5.2 Design Integrity Assessment	The successful Architect of the Design Competition will be engaged in two phases – Concept Design and Design Development. The two phases are designed to ensure the University can efficiently manage the programme, ensure cost certainty and develop key milestones to be reached.

2.5 Value for Money

When sourcing services under panel arrangements, a value for money outcome must be achieved.

The establishment of panels ensured several requirements for Value for Money are met, including fit to the University requirements, efficient use of resources through reduced open tender requirements, fitness of contract options and risk assessment of suppliers.

Procurement from those panels requires users to continue to enhance Value for Money by:

- encouraging competition: the Quotation/Proposal Process detailed above indicate minimum requirements and users are encourage to seek multiple quotes even at lower thresholds. Furthermore prices listed in responses to original RFT are considered maximum rates and users are encouraged to seek to improve upon these rates where possible when procuring services from panels.
- promoting the use of resources in an efficient, effective and ethical manner: users should be aware of the panel scope (what can and cannot be procured through it), the panel term and conditions and contractual options for engagement.

If required, communication with the CIS Procurement Manager or Supplier Performance Manager will facilitate understanding of Value for Money factors such as the supplier's fitness for purpose (for example, they may have necessary specialist expertise); their performance history (for example, based on the experience of previous panel users); their availability to complete the services in the required timeframe; and their pricing relative to other panel suppliers.

2.6 Buying outside of the Panel

The panels established through the open RFT are exclusive and users are required to buy from suppliers from within the panel.

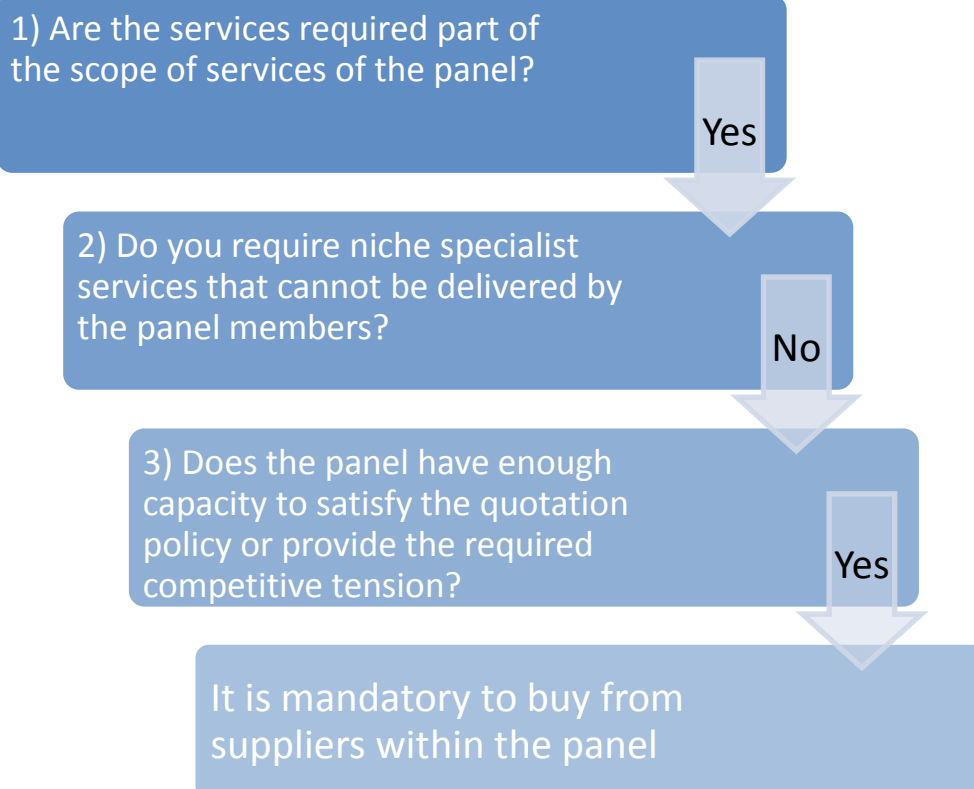
Exceptions exist where:

- The user requires niche Specialist services that are not available within the panel;
- There are limited capacity / availability from panel suppliers (e.g. not enough suppliers available to satisfy quotation policy)
- Introduction of reserve or new member as benchmark can be inserted into the process for competitive pricing if approved by Operations Manager. If the Reserve or new member is successful, their engager doesn't qualify then to the panel and is limited by Procurement Policy Process followed. I.e. if 3 quotes are obtained, maximum engagement would be \$200k inclusive of GST. Their performance will contribute to future assessment of panel refresh processes.

In such instances the user is required to the Reserve Panel where possible. Indeed the Reserve Panels have been designed specifically for those needs and extend the benefits available through the regular panel (pre-qualified suppliers, agreed terms and conditions, reduced supplier risk, understanding of the University requirements).

If there is no Reserve Panel or the Reserve Panel does not satisfy the user's requirements then sourcing can be done from the extended market. In such cases all the rules of Procurement Policy apply.

The checklist below summarises the conditions for buying outside the panel:



Communication with CIS Procurement Manager is essential to determine whether buying outside of the panel is justified.

3.0 Performance Management

3.1 Principles of Performance Management

Explicit measures for performance in terms of service delivery (Time, Quality, and Cost), minimisation of risk and increased value are used to evaluate suppliers in the panel. A simple and transparent process has been developed to collect and communicate performance data on a 6-monthly basis to ultimately determine if service providers are removed from the Panel.

The performance management methodology considers aspects such as;

- compliance with the scope of work deliverables (Standard Consultant Brief);
- stakeholder management;
- consultant and contractor management; and
- delivery of projects on time, within agreed budgets and to the expected quality.

Continued poor performance against these requirements will ultimately mean that a proponent is removed from the Panel. Depending on the market engagement, reserves or new members will be retained to supplement the panel, as required.

Additionally, the next key step in implementing improved control measures is the introduction of an online contractor induction. This phase of the overall performance management plan is to partner with a specialist contractor management software vendor to deliver a comprehensive compliance monitoring and tracking mechanism, as well as an automated performance assessment tool. All consultants and contractors engaged by the University will be able to be managed through this software. This system will be mandatory for all consultants and contractors to be familiar and fully versant with as part of their respective contract.

3.2 End of Project Performance Assessment

As part of a supplier engagement through the panel arrangement users are required to complete a performance assessment at the end of each project.

This performance assessment will be done based on a series of KPIs agreed with the supplier at time of engagement.

Those KPIs should be relevant to the services provided and cover the following Performance Areas:

1. Finance;
2. Operation;
3. Relationship, and;
4. Risk.

Some KPIs will be recurrent throughout projects (e.g. Invoice accuracy, Spend over budget, Attendance to meetings, On-time completion, Staff turn-over, Compliance to WH&S regulations) and other will be tailored to type of services and nature of project (E.g. Cost reduction activities, Reporting accuracy, Quality of deliverables, UAT, Stakeholder review)

Note that some general KPIs were included in the original RFT and included in draft Contract Service Agreement sent as part of the Panel Agreements. Those KPIs are draft only, they can be used as a basis to develop final KPIs but the University is not required to use them.

All End of Project Performance Assessment results need to be properly documented and communicated to the Supplier Performance Manager no later than 10 days after project completion.

3.3 Project Performance Master File

The Supplier Performance Manager will collect and file all End of Project Performance Assessments into a master file with the double objective of communicating sub-par performance to the Steering Committee on an ad-hoc basis and conducting a Panel Performance review on a 6-monthly basis.

4.0 Panel Membership Review

4.1 Principles of Membership Review

Composition of panel must be reviewed and eventually modified at regular interval in order to ensure efficiency, effectiveness or value for money provided by this arrangement.

Sometimes, during the term of a panel, some members may no longer be able to supply the services included in the original scope or the University has new recurring specialty needs that are not covered in the original scope. This situation may result in 'gaps' in services or locations, or an insufficient number of panellists to service the requirements of the University.

Because the selection process for panel members will have already been completed when this situation arises, a new procurement process may be required to fill the gaps.

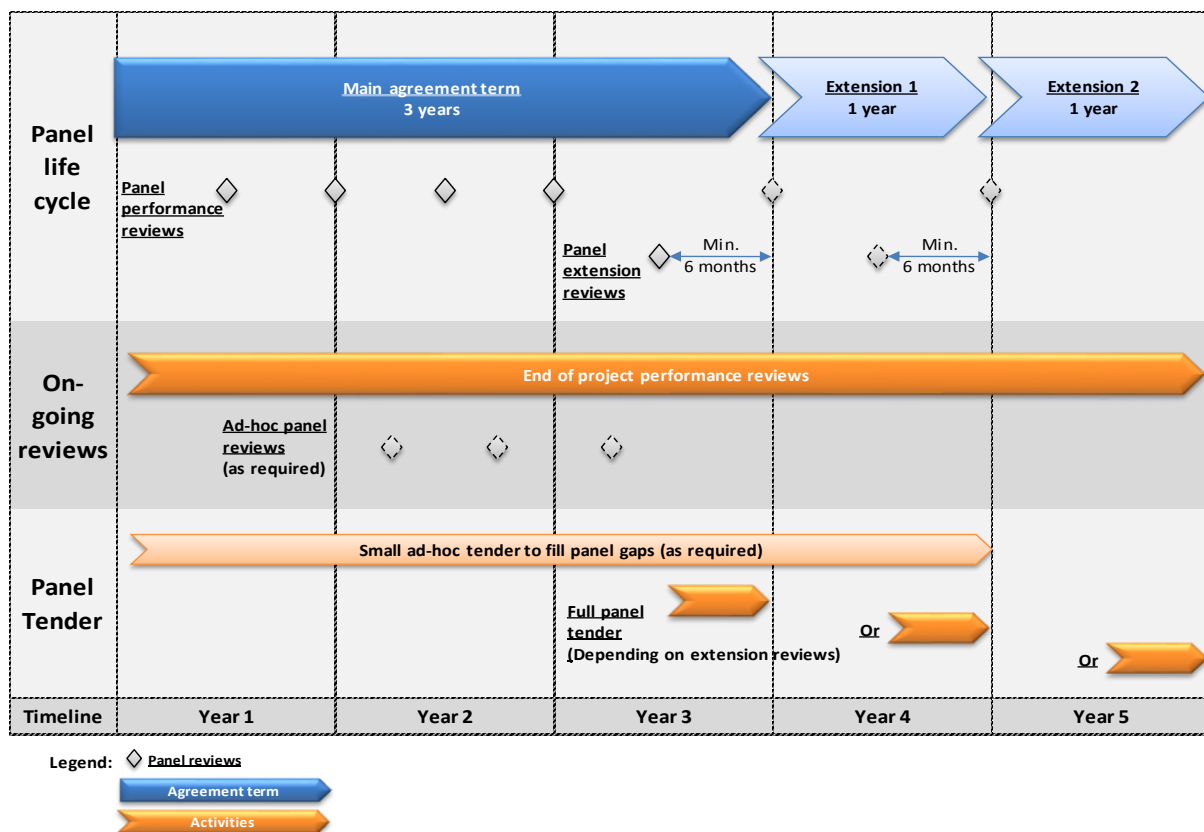
In the first instance members of the Reserve Panels (if they exist) should be considered for inclusion in the Panel otherwise a procurement process must be conducted in accordance with the requirements of the Procurement Policy and current panel members can participate in this new process.

Where a new procurement process is required to fill gaps in a panel, The University can use request documentation and panel agreement terms for the new suppliers that are similar to the initial procurement process. It will be easier for the Supplier Performance Manager to integrate the information regarding new suppliers into the existing panel instructions, making the administration of the panels seamless for users.

In addition, suppliers under the new arrangement should have the same end date in their panel agreement as the existing panel agreements with current panel members. In this way, all of the services in all locations covered by the concurrent agreements cease at the same time, and the services can be included together in a procurement process for a new panel, rather than staggered over a number of procurement processes.

The Supplier Performance Manager is responsible for ensuring reviews are held in a timely manner to ensure continuous panel efficiency. Those reviews can be either recurring and scheduled in advance according to an agreed timeframe (Panel performance reviews and panel extension reviews) or organised when changes in circumstances occur (Ad-hoc panel reviews).

The figure overleaf summarises the methodology for panel reviews:



4.2 Monitoring and Reporting

Monitoring and reporting of procurement activity under the panel will help to identify and investigate procurement risks, and where necessary to take corrective action to support compliance with the University's needs and requirements. Understanding the nature, value and spread of their procurement, and the contributions of different suppliers, also assists the University to adopt more efficient ways to approach the market and achieve better value for money. Common mechanisms the University should use to monitor and review procurement activities under the panel include:

- 12-monthly panel performance review;
- Panel extension review;
- Ad-hoc panel review; and
- internal audits.

The Supplier Performance Manager may also routinely report to CIS senior management or executive on procurement activities undertaken under the panel.

The effectiveness of monitoring and reporting is impacted by the nature and quality of available data on procurement activity. The University may elect to monitor and review a range of procurement data. For example, in relation to panel procurement, the Supplier Performance Manager could capture information on:

- contracts entered into under the arrangement;
- the spread of use of suppliers within individual panels;
- the performance history of suppliers; and
- the extent to which services have been purchased outside established panel arrangements.

This information is available through existing and future University systems.

Currently the University maintains a Quote Register on Sharepoint that is being updated with new

features to allow easier panel management. Those features will allow the Supplier Performance Manager to run standardized reports on the usage of each panel. Those reports should include the following fields:

- Panel name
- Quote number
- Service description
- Budget
- Invited suppliers
- Successful supplier
- Accepted price

4.3 Panel Performance Review

On a 12-monthly basis a Panel Performance Review will be conducted by an assessment team comprised of the following representatives:

- Supplier Performance Manager
- Divisional Manager
- Strategic Procurement Manager
- Precinct Manager

For each of the panels the Supplier Performance Manager needs to prepare reporting that will allow to assess the following:

- Usage of the panel:
 - Number of contract entered into
 - Budget of contracts and variations
 - Quotation method elected and results
 - Number of procurement activities outside of panel
 - Compliance from panel users to panel operating model
- Performance history of suppliers
 - End of Project Performance Reviews
 - Number of quotations submitted and bids won
 - Changes in supplier capabilities (E.g. key personnel leaving, closure of office, partial or total acquisition of businesses, diversion of specialty department)
- University requirements
 - Forecast for upcoming procurement
 - Changes in service needs or resource qualification
 - Changes in regulation requirements (legislation requirements, procurement policy changes, probity requirements)

The outcome from this review will allow the University to improve the panel operation by taking the following possible actions:

- Terminate and off-board panel members for changes in capabilities and/or poor performance
- On-board reserve panel members to fill identified gaps
- Communicate with panel users to update them on panel operating methodology
- Communicate with panel members to update them on the University coming needs and requirements
- Start a procurement activity to fill gaps where reserve panel cannot satisfy needs

4.4 Panel Extension Review

Panel agreements terms are for 3 years and include 2 extension options of 1 year each. When a panel is coming to the end of its period of operation, any remaining extension option included in the panel arrangement should be considered on the basis of whether it would provide value for money.

The agency may decide to exercise an extension option for only some of the members of the original panel arrangement. Indicators such as timeliness, quality of service and/or quantity of services would contribute to the value for money assessment.

The Supplier Performance Manager has the responsibility of keeping track of panel agreement expiry (through the contract register) to ensure a panel extension review is held on time (usually at least six months before the contract end date). Under the “Option to extend” clause of the panel agreements the University needs to give notice to the panel member no later than 1 month prior to the expiration of the Term, if it wishes to extend the Term by the Option Period.

Furthermore should the option to extend not be exercised and a new procurement activity be required the Supplier Performance Manager needs to ensure enough time is allowed for this procurement activity to be run and new agreements set in place for a seamless transition between arrangements. Panel extension reviews that start late can place the University in an inferior negotiating position.

Key issues to consider when deciding to exercise an option to extend a panel arrangement include:

- the comparative value for money of exercising the option and continuing the contract versus re-approaching the market under a new procurement process, including with regard to the costs of tendering;
- the performance of the current panel members and the management of the panel;
- the timeframes involved (for example, whether there is sufficient time to run a new procurement process);
- the current market conditions;
- whether any coordinated procurement arrangements that may impact on the exercise of the option have been announced; and
- the changing needs or requirements of the University.

4.5 Ad-hoc Panel Review

Under certain circumstances the Supplier Performance Manager should have the ability to call for an ad-hoc panel review to take place. Such circumstances can be as follows:

- Continuous negative performance reviews from a panel member
- Legal actions being taken against a panel member
- Inability of panel member to provide scoped services (E.g. Bankruptcy, change in staff)
- Drastic changes to the needs of the University, (E.g. scope or forecasted workload)
- Significant change in the market offering (E.g. significant new entrant or service alternative)

4.6 Internal Audits

The panels that have been established are subject to the University Internal Audit Requirements as conducted by Audit and Risk Management.

4.7 Documentation

As with all aspects of procurement, the University must keep adequate records of decisions made during reviews. In addition to all documentation for the establishment of the panel; formal documentation should include evaluation reports, decisions regarding the exercise of extension

options, record of usage of the panel and records concerning transition at the conclusion of the arrangement. Records should be kept of what decisions have been made and the reasons behind them. The records should be able to demonstrate that the panel is not being used to avoid competition or to discriminate against suppliers.

5.0 Outcomes of Panel Reviews

5.1 Off-boarding

Under certain circumstances it may be required to off-board panel members to maintain efficiency within the panel and ensure it meets the University's requirements. The results from the various panel reviews will determine whether off-boarding of one or several of the panel members is necessary.

Prior to issuing a recommendation for the off-boarding of a panel member the assessment team should make sure that either of the following circumstances is verified:

- The panel member has been continuously under-performing as demonstrated in end-of-project performance reviews;
- The panel member has been unable to win bids for any of the following reasons:
 - They are consistently non-competitive on price criteria;
 - They are unable to provide resources to complete the work when the University requires it;
 - They have declined to bid to all or most of the bids;
 - The users are reluctant to issue Requests For Quotes (RFQ) to this member. In that case rationales need to be obtained from users to understand the reasons behind it.
- There is a change in the University forecast for work for this specific panel and it does not require to have as many members. In such case members with the lowest ratings in terms of performance and bid-winning ratio should be considered for off-boarding;
- The panel member has communicated changes in their capability (E.g. staff departure) that makes them unable to complete work under the scope of services.

The assessment team should be able to demonstrate that every opportunity has been given to the panel member to improve on the circumstances prior to issuing a recommendation to off-board. The team should exercise caution in its recommendation and investigate reasons behind under-performance and low bid-winning ratio such as exceptional circumstances, lack of communication in regards to resource requirements or lack of user information of the supplier's capability.

5.2 On-boarding

In the same way some panel member may need to be off-boarded, new panel member may require to be on-boarded to meet the University's requirements.

Requirements to on-board a new panel member should not be confused with buying outside the panel. Buying outside the panel can happen on occasional basis when circumstances detailed in section 3.5 occur. On-boarding of a new panel member responds to University needs that are deemed recurrent and should be considered only if and when it will benefit users of the panel from a value-for-money perspective.

There are three main reasons for which on-boarding of new panel members should be considered:

1. Replacement of another panel member that has been off-boarded and where the work forecast for the University require to maintain the same number of members in the panel;
2. Increased demand forecast by the University that cannot be met by the existing panel members;

3. Change in the usage frequency for niche specialist services where the University's need becomes recurrent.

When on-boarding new panel members, just as for buying outside of panel, the assessment team is required to consider members of the reserve panel (if there is one) in the first instance. Members of the reserve panel have already been evaluated for value for money during the panel establishment phase and are considered offering the best value after panel members at the time of submission. They also represent the most efficient procurement process as they have already executed a reserve panel agreement. The University is therefore only required to issue a letter of appointment signifying the replacement of all references to reserve panel in the agreement.

If the reserve panel members do not have the capability or capacity to be appointed to the panel then the broader market can be considered. In order to leverage the work done during the establishment of the panel it is recommended to consider the submissions made by unsuccessful suppliers and their scoring at the time of RFT.

Whether a reserve panel member or a submission from an unsuccessful supplier is considered it is mandatory to then engage in a due diligence phase to ensure that their circumstances have not changed (E.g. staff, services, price, ownership, financials, insurances) and that they continue to represent good value for money for the University.

If those suppliers do not satisfy the University's requirements a new procurement activity needs to be started to appoint new members to the panel in line with the University's procurement policy.

Any new agreement issued to new panel members needs to align with the terms of the current panel members, especially in terms of commencement and end dates.

5.3 Off-boarding and On-boarding Recommendation Approval

Any recommendation to off-board or on-board panel members needs to be approved by the tender board.

The assessment team will complete a briefing note including documentation from the panel review which will cover the following:

- Substantiated rationale to off-board, as per paragraph 6.1
- Substantiated rationale to on-board, as per paragraph 6.2
- Proposed approach to market and rationale

This briefing note should be approved by the CIS operation manager and submitted to the Tender Board for final approval.

APPENDIX A – PROBITY REPORT

APPENDIX B – TENDER EVALUATION PLAN

APPENDIX C – TRANSFORMATIONAL PROJECTS (DESIGN COMPETITION) EVALUATION PLAN

To be provided upon request due to the commercial sensitivity of the information contained, as evaluations have not yet been finalized.



University of Sydney

Probity Report: Consultancy and Contractor Service
Panels

Architecture and Heritage Specialist Consultant
Services Panel (eRFT/2013/231)

June 2014

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Mr Greg Robinson
Director, Campus and Infrastructure Services
University of Sydney
Services Building
22 Codrington Street
DARLINGTON NSW 2008

Copy to: Mr Kevin Duffy, Operations Manager, Corporate Services

11 June 2014

Dear Greg,

Probity Report: University of Sydney – procurement process for Consultancy and Contractor Panels – Architecture and Heritage Specialist Consultant Services Panel (eRFT/2013/231)

O'Connor Marsden & Associates (OCM) was engaged to provide probity services to the University of Sydney in relation to the procurement strategy for establishing the Consultant and Contractor Panels.

As detailed in our engagement letter of 13 March 2013, OCM provided its services in accordance with the terms and conditions of the *NSW Pre-Qualification Scheme: Management and Performance Services*. OCM has set out its report below regarding probity aspects of the *Consultancy and Contractor Panels – Architecture and Heritage Specialist Consultant Services Panel (eRFT/2013/231)*. This probity report covers the period from 13 March 2013 to the date of this report.

If you require any further information or wish to clarify any matters, please contact Sarah Mullins on (02) 9252 2565.

Yours sincerely



Andrew Marsden
Director
O'Connor Marsden & Associates

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About the Services

The services described in this document are of an audit and internal risk management nature only and are not intended to be of a financial services nature.

The engagement was performed in accordance with the Australian Auditing Standard on Assurance Engagements ASAE 3000, *Assurance Engagements Other than Audits or Reviews of Historical Financial Information* issued by the Australian Government Auditing and Assurance Standards Board.

Further information in relation to the extent and nature of the procedures performed is detailed in the Statement of Responsibility in Appendix B.

Confidential - this document and the information contained in it are confidential and should not be used or disclosed in any way without our prior consent.

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1 Executive Summary

1.1 Introduction

The University of Sydney (the University) owns and manages, through Campus and Infrastructure Services (CIS), a substantial property portfolio to support the University's core education and research operations. CIS identified the potential to achieve efficiencies and cost savings to the University's capital works program through the establishment of a Consultants and Contractor Services (CCS) Panel¹.

The University identified the following key objectives for establishing a CCS:

- Consolidating the number of firms undertaking these services with a view to reduce inefficiencies and duplication;
- having a panel of appropriately qualified service providers covering the spectrum of CCS that CIS can use to optimise the delivery of the capital works program;
- standardizing the number and consistency of deliverables;
- reducing the current multiple procurement activities;
- reducing the costs associated with administering ad-hoc contracts and arrangements;
- ensuring a consistent approach to delivering value for money; and
- improving communication of the pipeline of activity to the benefit of CCS providers.

The University, through a number of service category based, open market Requests for Tender (RFT), is now establishing panels of external services providers to CIS supplemented by a pre-qualification scheme for providers of building works. The CCS Panel will enable CIS to access providers across a number of service packages that have been identified as being high value, highly reactive and currently generate high levels of engagement with CIS.² It is anticipated that in addition to potential cost savings, CIS will benefit from leveraging the early engagement of pre-qualified suppliers in a reactive environment, saving significant time and resource.

The Architecture & Heritage Specialist Services Panel is an integral part of the CIS operating model for provision of services for Capital Works, Facilities Management, Planning and Operations. Historical expenditure patterns highlight the continued utilisation of Architecture & Heritage Specialist services for repeatable work but not necessarily predictable work. The intent of establishing the Panel (over a 5 year timeframe) is to eliminate some of the uncertainty that is inherent when procuring services of this nature and which in turn leads to greater overall costs due to the greater than expected time taken to complete the services. It is also anticipated a panel will provide CIS greater flexibility when allocating work.

Tenderers successful through this RFT process have been recommended for engagement either on a Primary or Reserve panel, depending upon the Tenderer's ranking during the evaluation phase. In addition, the University will offer different levels of engagement terms, i.e. three (3) year, two (2) year and one (1) year terms, staggering the end dates to ensure a level of continuity and provide a mechanism to trial unknown (but potentially suitable based on assessment of submissions received) service providers on 1 year terms. As the Panel matures and there is a turnover of service providers, either due to non-performance or term expiry, the Reserve Panel will be utilised to refresh the panel to

¹ Panel Establishment for Consultant and Contractor Services Strategy (PS/2012/022)

² Architectural Services, Quantity Surveying, Service Engineering, Structural Engineering, AV Consultancy, Electrical Engineering, Heritage Consultancy, Infrastructure Works, Mechanical Engineering, Early Works Package, Civil Engineering, Urban Planning, OHS, Building works, BCA Compliance, Signage

provide the University with depth in resourcing, flexibility and dynamic to grow for increasing future workload. Post-establishment of the Panel, works will be allocated to panel members either:

- Directly awarded on submitted rates and agreed resources for undefined projects, scoping exercises, ad-hoc works or emergency resources; or
- Once viable, the on-going engagement would be either directly or competitively quoted between members on the panel and appointed thereafter on submitted resources and fixed fee structure.

Also, the Panel will comprise a mix of firm sizes, to cater for the widest range of work package types and values generated by the University. In the RFT firm sizes were identified as:

- Small Firm: 1-5 employees OR an annual turnover of more than \$500,000 and less than \$2M.
- Medium Firm: 6-20 employees OR an annual turnover of more than \$2M and less than \$10M.
- Large Firm: more than 20 employees OR an annual turnover of more than \$10M.

The Panel will comprise the following work categories, as identified in the RFT:

- New Build under \$10M;
- New Build \$10M and over;
- Refurbishment & Fitout under \$10M;
- Refurbishment & Fitout \$10M and over;
- Specialist – Laboratories;
- Specialist – Healthcare; and
- Heritage Architecture.

An open market Request for Tender (RFT) was released on 7 May 2013 and closed on 27 May 2013, through the University's On-line Tender Box. 82 submissions were received from 90 parties registering interest.

RFT submissions were assessed by a Tender Evaluation Committee (TEC) using the University online tender evaluation tool (eValua), including interviews with Shortlisted Tenderers, held between 27 March 2014 and 1 May 2014. Following the interviews, the TEC completed its evaluation, culminating in the TEC report *Consultancy and Contractors Services Panels, Architecture and Heritage Specialist Consultant Services Panel eRFT/2013/231*, (draft received by OCM on 16 May 2014) with recommendations for engagement, for approval by the University's Tender Board.

1.2 Objectives

As detailed in our engagement scope dated and approved on 13 March 2013, the overall objective of our engagement was to provide a conclusion based on the work performed on whether anything came to our attention to indicate that the evaluation process did not comply with the probity principles in all material respects.

1.3 Scope

The scope of our engagement covers the provision of probity services in relation to the University's procurement strategy for the establishment of the Consultant and Contractor Panels, with specific reference to the Architecture Panel.

As the University is a NSW body corporate established under and subject to the *University of Sydney Act 1989 (NSW)* and the University by-laws and regulations, and the Senate of the University is a statutory body pursuant to Schedule 2 of the *Public Finance and Audit Act 1983 (NSW)*, OCM notes that:

- The *NSW Government Procurement Policy* is implemented as a Treasurer's Direction under section 9 (1) of the *Public Finance and Audit Act 1983 (NSW)*. Section 9(4) of that Act states that directions under section 9 do not apply to universities.
- University officers are bound to the policies and directives approved by the University Senate or their delegated authority, in this instance the Vice Chancellor. In terms of procurement, the officers are bound by the *University Finance and Accounting Manual - Procurement Policy* (15 March 2012) (the Policy). The Policy references the University's *Code of Conduct, Corruption Prevention Strategy and Reporting Wrongdoing Policy 2012* as well.

In accordance with the probity principles stated in clause 3 of the Policy, *Principles of procurement*, we have focused on the University's evaluation management systems and processes, particularly in regard to:

- value for money, being the benefits achieved compared to the whole-of-life costs (e.g. price, quality, reliability, service, delivery, payment terms, and strategic suppliers);
- probity and equity;
- transparency; and
- effective competition, including ethical behaviour and fair dealing.

These principles as well as the management of conflicts of interest and confidentiality during the process are expanded upon in **Appendix A**.

1.4 Methodology

Our methodology, included a review of the RFT evaluation process, and attendance at selected activities and sighting certain documentation, as more fully described under Work Performed, in order to:

- Review the link between procurement planning and the selected approach to the market, including the RFT;
- Review the documented probity controls, including conflict of interest, confidentiality and security management;
- Review the evaluation procedures, including alignment with tender documentation, evaluation meetings, criteria assessment and scoring methodology;
- Review the evaluation documentation, including records, scoring and reporting; and
- Review the communications and meetings between the tenderers and the University, including the provision of addenda and seeking of clarifications.

1.5 Conclusion

OCM is not aware of any matter to indicate that the evaluation procedures carried out by the University for the Request for Tender (RFT) process for the *Consultancy and Contractors Services Panels, Architecture and Heritage Specialist Consultant Services Panel eRFT/2013/231*, as at the conclusion of the receipt and assessment of RFTs, were not compliant with the probity principles described in the Scope in all material respects.

OCM has based this conclusion upon the activities undertaken between 13 March 2013 and the date of this report and described in the Work Performed section below. This conclusion is also on the basis that the final signed TEC assessment results and recommendations have not materially changed from the draft version we reviewed on 16 May 2014.

2 Work Performed

In completing our work, we confirmed the following tasks in order to form a conclusion from a probity perspective in regard to the evaluation process followed by the University:

1. Reviewed from a probity perspective, the process for RFT notification and noted (from the Tender Evaluation Plan, Part 8) that:
 - a. the University invited open market tenders through advertisements in the Sydney Morning Herald on 24 March 2013, 6 April 2013 and 13 April 2013; and
 - b. The RFT documents (RFT package and schedules) were available for download from the University's eTenderBox system from 7 May 2013.
2. Reviewed the RFT document titled *Request for Tender, Architecture & Heritage Specialist Consultant Services Panel eRFT/2013/231* dated 7 May 2013 and confirmed that it included the following clauses in relation to the management of the principles of probity:
 - a. Conditions for Participation - i.e. mandatory requirements describing minimum acceptable standards were in place;
 - b. The Evaluation Criteria that were to be used to compare submissions were in place;
 - c. Rights to amend the evaluation process;
 - d. Requirements for confidentiality;
 - e. Notification of the limits to the University's liabilities to the respondents;
 - f. Remedies for not complying with the conditions;
 - g. Process rules for the RFT, including:
 - i. communication process for contacting the University;
 - ii. clarifications process for handling late submissions;
 - iii. procedures for addenda and subsequent submission modification;
 - iv. notification of government, agency, and other procedures and policies relating to the evaluation.
 - h. Details regarding the establishment of the Panels including a statement that it is critical that the panel size, composition and resource experience matches the University's requirements
 - i. Information schedules including:
 - i. Draft Panel Agreement;
 - ii. Draft Consultancy Agreement;
 - iii. Response schedules;
 - iv. the University's Design Guidelines;
 - v. the University's Procurement Policies and Procedures; and
 - vi. the University's Standard Consultant Brief.
3. Reviewed, from a probity perspective, the *Tender Evaluation Plan* (TEP) and observed that it contained the following clauses with regard to the management of the principles of probity:
 - a. The identification of the purpose and objectives of the procurement;

- b. Government and the University's policies, guidelines and procedures to apply to the evaluation process;
 - c. Communications management with the market, respondents and TEC members, which are consistent with the RFT;
 - d. The structure and authority for making decisions;
 - e. A description of the resourcing, including the roles and responsibilities of TEC members, advisors, review and nominated approval authority where applicable;
 - f. Rules for submission of tender responses, registration and managing security;
 - g. Confirmation that all TEC members are responsible for ensuring the probity and integrity of the process;
 - h. Execution of Conflict of Interest Declarations, which included provisions relating to objectivity, confidentiality and conflict of interest;
 - i. Identification of the engagement and role of OCM as Probity Advisor; and
 - j. Protocols for maintaining records of the process, resolving probity and process questions as they arise, and identifying and handling conflicts of interest.
 - k. Evaluation Management Procedures, including:
 - i. A preliminary assessment of the responses to determine extent of compliance with RFT requirements;
 - ii. Assessment criteria and weightings;
 - iii. The scoring methodology;
 - iv. Discretion and methodology for the TEC to seek clarifications from proponents during the evaluation if required;
 - v. The process for seeking advice from expert advisors to enable clarification during the evaluation if required;
 - vi. The decision making process for the evaluation including that TEC members undertake an individual assessment of the responses prior to completing consensus scoring and making a recommendation on proposals for shortlisting;
 - vii. Procedural requirements, including communication protocols for dealing with respondents.
4. Sighted Conflict of Interest declarations signed by the TEC members, consistent with Appendix D of the TEP. We also sighted a consolidated Conflicts Register, noting that the following TEC members declared potential and/or perceived conflicts of interest:
- a. Gareth Williams: Declaration - managing current USYD projects where some tenderers are involved.
 Action taken - that the associations were disclosed on the Conflict of Interest disclosure and notified to the Procurement Specialist, the Probity Advisor and the Steering Committee. No further action was considered warranted other than recording and monitoring each association.
 - b. Chris Legge-Wilkinson: Declaration - managing current USYD projects where some tenderers are involved.
 Action taken - that the associations were disclosed on the Conflict of Interest disclosure and notified to the Procurement Specialist, the Probity Advisor and the Steering Committee. No further action was considered warranted other than recording and monitoring each association.

- c. Juliette Churchill: Declarations - (1) managing current USYD projects where some tenderers are involved and (2) formerly employed by one of the tenderers (Woodhead).

Action taken regarding item (1) - the associations were disclosed on the Conflict of Interest disclosure and notified to the Procurement Specialist, the Probity Advisor and the Steering Committee. No further action was considered warranted other than recording and monitoring each association.

Action taken regarding item (2) - Juliette did not submit an evaluation score for Woodhead.

- d. Victoria Bolton: Declaration - formerly employed by the tenderers Woodhead and Hayball.

Action taken - Victoria did not submit an evaluation score for Woodhead or Hayball.

- e. Michael Tawa: Declaration - association with some tenderers through their involvement in USYD teaching programs.

Action taken - the associations were disclosed on the Conflict of Interest disclosure and notified to the Procurement Specialist, the Probity Advisor and the Steering Committee. No further action was considered warranted other than recording and monitoring each association.

- f. Trevor Howells: Declaration - close personal and business associations with a number of tenderers.

Action taken - Trevor ceased to be a TEC member, was not involved in the assessment process and did not have access to confidential information.

- 5. Observed that the following security arrangements for confidential documentation were in place:

- a. All RFT documents and material were filed separately from material related to other University business, noting that these documents were stored in eTenderbox, which maintains a record of all documents (files) submitted and addenda released and a record of from and to whom the submissions were received and addenda released;
- b. Electronic documents were filed in a network folder, with access (through eValua) restricted to only those who had signed confidentiality agreements;
- c. All original proposals were kept securely by the RFT Project Manager;
- d. The RFT Project Manager must provide authorisation before any copying or removal of a RFT process document and authorisation will only be given where document security can be guaranteed; and
- e. RFT documents and material were not left unattended. All notes made during the assessment process, all files and other documents relating to the assessment process were stored securely when not in use.

No breaches of the security arrangements to maintain confidentiality were observed by OCM or reported to OCM by employees or advisors involved in the project.

- 6. Reviewed the RFT closing procedures and confirmed through the TEP and attendance at TEC meetings, as well as discussions with the Senior Procurement Specialist, that:
 - a. A secure electronic submission box (the University's eTenderBox system) was provided and accessible for the tenders to be submitted between 7 May 2013 and closing at 5.00pm 27 May 2013, as specified in the RFT and was used to receive the tenders;
 - b. From 90 registered parties, 82 RFT submissions were received;

- c. The RFT Procurement Process Manager downloaded the RFT submissions from the University's eTenderbox system and then filed them in a secured location within the University's internal network (managed by CIS);
 - d. Security arrangements ensured no proposal was accessed prior to tender close, and distribution of documentation considered confidential was limited on a need-to-know basis to authorised parties; and
 - e. No late tenders were received in relation to this RFT.
7. Attended the evaluation meetings for the assessment of the tenders received for the Architects Panel which were undertaken across the various categories and observed the following:
- a. All members of the TEC completed an individual assessment of the tender responses and entered their scores and comments supporting their scores in eValua
 - b. The TEC discussed their individual scores including any scores where there was a large range in scores and, where relevant, made amendments to their individual scores
 - c. The assessment of the responses was completed on the basis of the categories of the Panel as described above
 - d. The TEC considered the non-price scoring for the ranking of the tenders in eValua and considered the pricing as part of the assessment, consistent with the TEP
8. Undertook a comparison between the evaluation criteria in the Tender Evaluation Plan and therefore used for the assessment of the tenders and those communicated to the tenders in the RFT document and confirmed that they are consistent.
9. Attended a meeting with the Manager, Operations, Mr Kevin Duffy, and the University's Senior Procurement Specialist, on 8 October 2013 to discuss the next steps in the evaluation of the Architect tender response, including a preference that further due diligence be undertaken in relation to the assessment of the tendering organisations. At this meeting it was considered that the interim assessment of the tender responses could be enhanced through additional steps in the process. These steps were seeking referee checks and interviews with a shortlist of tenderers. It was confirmed that the RFT document anticipated that reference checks and interviews may be undertaken as part of the evaluation process.
- Following this meeting, it was agreed that an amendment to the Tender Evaluation Plan would be developed which would outline the additional steps to be undertaken in the assessment of the tenders, for endorsement by the TEC as well as the Steering Committee.
10. Attended the following meetings of the Contractors and Consultants Steering Committee and observed that the Committee received and considered reports, and made decisions (as required) regarding all the various contractor and consultant panels, including the Architecture and Heritage Specialist Consultant Services Panel Services Panel:
- a. 29 March 2013;
 - b. 29 April 2013;
 - c. 13 May 2013;
 - d. 27 May 2013;
 - e. 22 July 2013;
 - f. 5 August 2013;
 - g. 19 August 2013; and
 - h. 3 September 2013.

We are not aware of any minutes of the Steering Committee meetings being maintained and it is recommended that, in future procurement processes, the Steering Committee ensure that key decisions and advice/direction provided on the procurement process is appropriately documented. This is particularly important for key parts of the process including the endorsement of the Panel composition as well as the advice provided to the Project Team to undertake additional due diligence on the tender assessment, being the referee checks and the interviews with shortlisted tenderers. Appropriate record keeping such as maintaining minutes of meetings will assist in adhering to the requirements under the TEP for maintaining appropriate records as well as adhering to a key probity principle of accountability.

11. Sighted emails dated 26 November 2013 and 12 February 2014 from the University's external procurement advisor, Mr Sean Beattie, to tenderers who had downloaded the eRFT/2013/231 documents, advising them of the status of the RFT process (as at the date of each email) and next steps, in particular regarding the Supplier Reference Checks, Supplier Interviews and Tender Board Recommendations.
12. Reviewed the Tender Evaluation Plan Amendment signed by the TEC members from a probity perspective and observed that it contained the following amendments to the approved TEP, noting that the amendments were endorsed by the Steering Committee on 8 October 2013:
 - a. Changes to the TEC, through the addition of Mr Nicolas Francois and Mr Sean Beattie as advisors;
 - b. Changes to the detailed evaluation and shortlisting, as follows:
 - i. Woodhead assessment: Because of the inability of Juliette and Victoria to assess due to potential conflict of interest, this supplier was only assessed by two members of the TEC which was considered insufficient by the TEC. It was therefore requested that one of the Technical Advisors identified in the TEP undertake an assessment of this tender response to ensure this tenderer received a similar assessment process, as scores from only two TEC members had the potential to skew the result.
 - ii. Breakdown of ranking by size: Small and Medium size suppliers will be ranked separately from the larger suppliers to provide better visibility to the quality of their proposal and their possible relevance in the final panel selected.
 - iii. A number of suppliers will be shortlisted during review meetings involving members of the various review committees. This shortlist will be endorsed by the Steering Committee prior to referee checks being completed.
 - iv. Following the completion of referee checks, the TEC may revisit their scores based on information provided in the referee checks. This may result in a more refined shortlist of tenderers to be invited to tenderers presentations.
 - v. Tenderer presentations to be undertaken. Following the completion of tenderer presentations, the TEC will revisit their scores to take into consideration information provided by the tenderers at these interviews, relative to the evaluation criteria.
 - vi. The TEC will make a final recommendation for the composition of the Architect Panels across each of the categories for endorsement by the Steering Committee.
13. Attended the following tenderer interviews and observed that the TEC used a pre-agreed set of questions, aligned with the RFT assessment criteria, to guide each interview and ensure consistency by the TEC across all interviews:
 - a. 2 April 2014: Billard Leece Partnership, Bates Smart, SKM

- b. 3 April 2014: Scientific Interiors, Architectus, BEM, Tanner Kibble Denton Architects, PTW Architects
- c. 4 April 2014: Allen Jack & Cottier, Design Inc, Perumal Pedavoli, Geyer
- d. 7 April 2014: Hassall
- e. 8 April 2014: Cox Richardson, Warren and Mahoney
- f. 9 April 2014: Woods Bagot, Noxon Giffen,
- g. 10 April 2014: NBRS, Hames Sharley, Caldis Cook, Foran Design, Gran Associates, Lahz Nimmo, Conybear Morrison, CHROFI
- h. 11 April 2014: Building Studio, FJMT
- i. 29 April 2014: Daryl Jackson Robin Dyke Architects
- j. 30 April 2014: Department of Public Works, Arie Smits, Beraldo Design,
- k. 1 May 2014: Greenbox, Anchor Mortlock & Woolley
- l. 5 May 2014; Group GSA, Figgis Jefferson, Custance.

OCM Did not attend the interview for Budden Nangle Michael Hudson Architects, but confirmed with the Procurement Manager, Mr Sean Beattie, that the interview followed the same script and process as the all other interviews and was consistently conducted.

14. Attended the following TEC meetings following the referee checks and interviews with shortlisted tenderers:
 - a. 27 March 2014, where the TEC discussed the outcomes of the referee checks, to decide which tenderers to invite to interviews. It was noted at this meeting that one of the tenderers was proposed to be set aside from interviews on the basis that the University was in the process of commencing legal action with the tenderer. The TEC agreed that this was a high risk to the University and the justification for not putting this tenderer forward would be included in the evaluation report for consideration by the Steering Committee and the Tender Board.
 - b. 7 May 2014, where the TEC considered their consensus scoring based on the assessment of the tenderers, taking into consideration the interviews and the outcome of the referee checks.
 - c. 8 May 2014, where the TEC sought to confirm its final recommendation the composition of both the Primary and Reserve Panels, noting that this reflected the TEC's view that one tenderer should not be recommended for more than two primary panels, which was communicated to tenderers in the interviews held between 2 April and 5 May 2014.
15. Sighted the draft *Consultancy and Contractors Service Panels, Architecture & Heritage Specialist Consultant Services Panel eRFT/2013/231, Recommendations for Engagement, USYD*, which we received on 16 May 2014, and observed that it contained the following:
 - a. An overview of the overarching Consultants and Contractors Panel process;
 - b. An outline of this RFT process;
 - c. The composition of the TEC, including the category-specific roles of TEC members;
 - d. An outline of the tender evaluation process, panel structure, work allocation, and performance management, noting that there were no clarifications or addenda issued;
 - e. A summary of the TEC consensus scores and rankings, including key tender evaluation commentary (regarding critical anomalies between tenderers, reference checks, interviews, supplier rationalisation and development of recommendations);

- f. TEC recommendations for the various Building Services Engineering Consultants Panels, as follows:
 - i. Specialised laboratories (5 main suppliers/primary panel and 3 reserves);
 - ii. Specialised health (5 main suppliers/primary panel and 2 reserves);
 - iii. New builds under \$10M (6 main suppliers/primary panel and 2 reserves);
 - iv. New builds \$10M and over (5 main suppliers/primary panel and 2 reserves);
 - v. Refurb & fitout under \$10M (8 main suppliers/primary panel and 2 reserves);
 - vi. Refurb & fitout \$10M and over (6 main suppliers/primary panel and 1 reserve); and
 - vii. Heritage (5 main suppliers/primary panel and 1 reserve).
- g. Provision for endorsement of the Recommendations report by the Project Management Team and TEC members.

Appendix A: Key Probity Principles

Value for money

This is demonstrated by the use of an open competitive environment in which the market is tested regularly, and tenderers can make attractive, innovative proposals with the confidence that they will be assessed on their merits. Value-for-Money is not necessarily achieved by accepting the lowest available price. The process should include: the evaluation of non-price criteria (such as the quality of the goods or services offered, the experience and past performance of the providers, the financial strength of the companies, the differing risk factors, the quality of the personnel, etc.); cost-benefit analysis against a target outcome or budget; and the assessment of the total cost over the proposed life of the project;

Probity and equity

Individuals and organisations involved in preparing and submitting proposals are entitled to expect impartial treatment at every stage of the process. If they do not consider the process to be fair, impartial and honest they may withhold valuable ideas or be deterred from bidding in the future. Any form of bias, whether driven by personal interests or not, could jeopardise the integrity of the project. Procedures that include multiple person panels, independent members and observers mitigate this risk.

Transparency

Transparency refers to the preparedness to open a project and its processes to scrutiny and possible criticism. This also involves providing reasons for all decisions that are taken and the provision of appropriate information to relevant stakeholders.

Effective competition, including ethical behaviour and fair dealing.

Accountability involves agencies being able to justify the use of public resources to an appropriate authority by allocating and taking responsibility for past and expected performance. This includes aligning the decision making process with the appropriate delegated authority, and keeping adequate records that will leave an auditable trail.

Effective competition assists with demonstrating a value for money competition. A fair process is achieved through ensuring that all tenderers are provided with the same opportunity during the procurement process and access to information.

Management of Conflicts of Interest

A conflict of interest is a conflict between the public duty and private interests of a public official where the public official has private interests which could improperly influence their official duties and responsibilities. The community and potential tenderers have a right to expect that public officials will make decisions that are not influenced by private interests. Similarly, when the private sector is engaged to perform public sector duties, there is an obligation to ensure that conflicts of interest are disclosed and effectively managed. Perceived or potential conflicts of interest can be as damaging as actual conflicts, and procedures should be implemented to mitigate the effect.

Maintenance of confidentiality and ensuring security

Although accountability and transparency are fundamental to the work of public sector organisations and public officials, there is some information that needs to be kept confidential, at least for a

specified period of time, in order to protect the integrity of the process and give tenderers the confidence to do business with government. This information can include the content of proposals, intellectual property and tenderers' pricing and profit structures. Importantly, much of the information relating to the project needs to be kept confidential up to the point where a contract is executed with the successful tenderer. However, once this has happened, government guidelines require that certain information be released, consistent with the fundamental principles of public sector accountability and transparency, as discussed above. Procedures must be implemented to ensure that no unauthorised release of confidential information occurs.

Appendix B: Statement of Responsibility

Management's responsibility for the evaluation process

The management of the University of Sydney is responsible for the design and implementation of the evaluation process controls in accordance with Government and the University of Sydney's policies. This responsibility includes establishing and maintaining processes relevant to the evaluation process to ensure that the process meets appropriate probity policies, laws and regulations; and leads to selecting the most appropriate tenderer or tenderers under the prevailing circumstances.

Assurance practitioner's responsibility

Our responsibility is to express a conclusion on the Evaluation Process based on our review. We conducted our review in accordance with the Australian Auditing Standard on Assurance Engagements ASAE 3000, Assurance Engagements Other than Audits or Reviews of Historical Financial Information issued by the Australian Government Auditing and Assurance Standards Board, in order to state whether or not, on the basis of the procedures described and witnessed where appropriate, we have become aware of any matter that makes us believe that the evaluation process is not in accordance with the principles described above.

A review consists primarily of making enquiries, primarily of persons responsible for undertaking the evaluation process and its underlying documentation, applying analytical and other review procedures, and examination of evidence for a small number of transactions or events. A review is substantially less in scope than a reasonable assurance audit conducted in accordance with ASAE 3000. Accordingly, we do not express an audit opinion. Had we performed a reasonable assurance audit as defined by ASAE 3000 or an audit as defined by the Australian Auditing Standards, additional information may have come to our attention, which would have been reported to the University of Sydney.

While conducting our review and/or in our report we may provide advice and/or recommendations in relation to the mitigation of risk of challenge to the processes undertaken by the University of Sydney. In these cases, our responsibility is limited to providing such advice and/or recommendations, based on our experience and knowledge of the subject matter of the project. For the avoidance of doubt, the procedures performed in providing advice and/or recommendations do not constitute an assurance engagement in accordance with the Australian Auditing Standards for Assurance Engagements, nor do they represent any form of audit under the Australian Auditing Standards. We therefore do not express any form of assurance in relation to the advice and/or recommendations, and none should be inferred from any such commentary in this report.

Inherent limitations

Our Work is subject to the following limitations:

- Owing to the inherent limitations of any internal control structure, it is possible that errors or irregularities may occur and not be detected. Our procedures were not designed to detect all weaknesses in control procedures as they were not performed continuously throughout the period and the tests performed are on a sample basis.
- Any projection of the evaluation of the control procedures to future periods is subject to the risk that the systems may become inadequate because of changes in conditions, or that the degree of compliance with them may deteriorate.

- The matters raised in this report are only those which came to our attention during the course of performing our procedures and are not necessarily a comprehensive statement of all the weaknesses that exist or improvements that might be made. We cannot, in practice, examine every activity and procedure, nor can we be a substitute for management's responsibility to maintain adequate controls over all levels of operations and their responsibility to prevent and detect irregularities, including fraud. Accordingly, management should not rely on our report to identify all weaknesses that may exist in the evaluation process, or potential instances of non-compliance that may exist.

Advice and/or recommendations for improvement should be assessed by the University of Sydney management for their full commercial impact before they are implemented.

Limitations on use

This report is made solely to the Management of the University of Sydney in accordance with your engagement scope dated 22 March 2013, for the purpose of providing assurance to senior management on the appropriateness and robustness of the evaluation process and should not be quoted in whole or in part without our prior written consent. We disclaim any assumption of responsibility for any reliance on this report to any person other than the management of the University of Sydney, or for any purpose other than that for which it was prepared.

We disclaim all liability to any other party for all costs, loss, damages, and liability that the other party might suffer or incur arising from or relating to or in any way connected with the contents of our report, the provision of our report to the other party, or the reliance on our report by the other party.

Independence, Competence, and Experience

All professional personnel involved in this engagement have met the independence requirements of the Australian professional accounting bodies.

APPENDIX B – TENDER EVALUATION PLAN



Tender Evaluation Plan

Project information

Project name:	Architecture & Heritage Specialist Consultant Services Panel
Rft number:	eRFT/2013/231
Strategy number:	PS/2013/022

Procurement Services Contact:

Name:	Aaron Holmes
Phone:	(02) 9351 2053
Email:	Aaron.Holmes@sydney.edu.au



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1. SCOPE AND REQUIREMENTS OF THIS DOCUMENT

This Tender Evaluation Plan (the 'Plan') sets out how the evaluation will be conducted. The Plan describes the specific evaluation criteria to be used and provides for probity, fairness and how value for money of the tendered offers will be assessed.

This Plan should always be signed and dated by the tender evaluation team prior to close of tenders or tenders being made available for evaluation.

The Plan should align the evaluation criteria described in the Conditions of Tendering with the information sought from respondents, and explain how each criterion will be assessed. It must be explicit about what will be done, how it will be done, when it will be done, and who is responsible for doing it.

This Tender Evaluation Plan includes information about the:

- Management arrangements which will apply to the evaluation;
- Arrangements for the management risk, confidentiality and probity;
- Roles and responsibilities of those involved in the evaluation and the principles with which they will comply;
- Timing and sequence of the tasks comprising the evaluation;
- Processes to be used to evaluate tenders and determine recommended respondent/s; and
- Processes to be applied to the execution of a formal agreement (if applicable).

2. INTRODUCTION

The University of Sydney ("University" "we" or "us") seeks tenders for the supply of:

Architecture & Heritage Specialist Consultant Services to establish a Specialist Consultant Services Panel for up-coming Capital Works, as an integral part of the capital works delivery model. Establishing a Specialist Services Panel is an integral part of the Campus Infrastructure and Services capital program delivery model and will critically enable effective and efficient infrastructure Capital Works project delivery.

3. PURPOSE AND OBJECTIVES OF THIS PROCUREMENT

The University's key objectives for establishing the Panel are to:

- Reduce inefficiencies and duplicates, including a reduction in multiple procurement activities;
- Source a panel of reputable Consultancy and Contractor Services providers with the appropriate level of capability and competitiveness;
- Create a structured but flexible environment with greater competition for 'biddable' work in which panel members can equitably compete for work and be recognised for value delivered above and beyond a competitive price;
- Develop and embed a clearly defined structure for measuring performance and overall value;
- Create an environment for collaboration and the managed entry/exit of CCS providers, and;
- Become a customer of choice to those service providers measured as being 'best in class'.

Key aspects of this procurement:

Phase /stage:	Consultancy Package 3 (CCS Project)
Requirement:	Architecture & Heritage Specialist Consultant Services Panel
Market source:	Open Tender

Tendering strategy:	Single Stage
Contract:	TBA
Applicable evaluation criteria:	Ref 11. Evaluation Criteria (This Document)

4. **PROCUREMENT STRATEGY**

This market engagement is based on Procurement Strategy number: PS/2013/022

5. **CONFIDENTIALITY, FAIRNESS AND PROBITY ARRANGEMENTS**

Risk, confidentiality and probity during the tender process will be managed as follows:

1. RFT documents will be issued only via the University's eTenderBox system;
2. RFT responses will be accepted only electronically via the University's eTenderBox system;
3. The Procurement Specialist will be the single point of contact during the tender process. The Procurement specialist will coordinate and manage all responses, enquiries and addenda only via the eTenderBox system;
4. After tenders have been invited, amendments to the RFT will be confirmed by addendum to all respondents.
5. Respondents' intellectual property and other confidential and Commercial in Confidence information will not be disclosed to other respondents. Clarifications of RFT documents will be communicated to all respondents via addenda. Where respondents reveal a unique approach to a particular matter, such approach will not be revealed to other respondents;
6. Addenda will not be issued when less than five working days remain to tender closing date. When addenda are to be issued, the need for an extension of the tender closing date will be considered and granted where appropriate; and
7. All meetings with respondents will be minuted and kept on file.

6. **RISK MANAGEMENT**

Refer to Procurement Strategy number: PS/2013/022.

7. **ROLES AND RESPONSIBILITIES**

7.1. **Tender Evaluation Committee**

The Tender Evaluation Committee will be responsible for reviewing the responses to the RFT and for applying the evaluation methodology and evaluation criteria. The Tender Evaluation Committee will:

1. Endorse this Tender Evaluation Plan, including any weighting given to the evaluation criteria listed in Attachment B and the RFT document;
2. Declare any conflicts of interest and sign External Interest Declarations and Tender Evaluation Committee Declarations;
3. Agree to be available to participate in the activities identified in the timetable included in this Tender Evaluation Plan;
4. Consider rejection of any seriously non-conforming tenders or acceptance in extenuating circumstances if appropriate;
5. Conduct a detailed analysis of tenders in accordance with this plan;
6. Identify instances where further technical appraisal is necessary;
7. Consider any other matters relevant to the evaluation; and

8. Assist in the preparation of, and endorse a formal recommendation for tender acceptance, to be considered by the University's Tender Board.

The Tender Evaluation Committee comprises the following members:

Committee member	Role	Position and organisation
Gareth Williams	TEC member (Chair)	Senior Project Manager, CIS
Juliette Churchill	TEC member	Campus Planning Manager, CIS
Chris Legge-Wilkinson	TEC member	Heritage Architect, CIS
Victoria Bolton	TEC member	Senior Architect, CIS

The following advisors will participate in the evaluation:

Advisor	Role	Position and organisation
Srinath Vitanage	Procurement advice	Senior Procurement Specialist, CIS
Sarah Mullins/ Ray Calligeros)	Probity planning	Probity Advisor, O'Connor Marsden
Aaron Holmes	Procurement Delivery Team	Procurement Consultant, Johnstaff
Zoe Davis	Procurement Delivery Team	Project Engineer, Johnstaff
Michael Tawa	Technical advice	Professor of Architecture, School of Architecture, Planning and Design

7.2. Probity Advisor

A Probity Advisor has been engaged for this project. The details of this Advisor are shown below:

Name: Sarah Mullins
Company: O'Connor Marsden
Address: Level 1, 1 York Street, Sydney NSW 2000
Phone: 1300 882 633
Fax: 02 9247 7161
Email: ocmadmin@ocm.net.au

The Probity Advisor will oversee the preparation of any Probity Plan and risk assessments that are used to guide the processes associated with the project, and provide practical assistance in identifying and managing a range of probity-related risks. The Probity Advisor will observe, review and provide guidance on the probity framework and processes associated with the project and provide opinions, and guidance on probity risks and issues that may arise during the life of the project. The Probity Advisor will also comment on whether the processes of the project overall are consistent with the requirements outlined in the Probity Plan as well as general probity fundamentals, and suggest solutions and monitor their implementation.

7.3. Procurement Specialist

A Procurement Specialist has been designated to the project to assist in the development of the procurement strategy and associated procurement methodologies; assist with the coordination of contact with respondents during the tendering and evaluation processes; to provide advice on probity during the



procurement process; provide advice and assistance with the use of eValua Systems; provide assistance in the preparation of the Tender Evaluation Committee's recommendations for the Tender Board Approval Report; and assist with the initial conformance check if necessary.

7.4. Technical Advisor

The role of the technical advisor is to be responsive to the technical needs of the Tender Evaluation Committee. Ideally this will be in person during evaluation meetings but advice can also be presented to the Committee through email circulation or conference call.

The technical advisor will have access to the tender submissions, and will be able to give advice upon the tenderers ability to provide the university with the appropriate services based on the information contained in the submissions, The TEC is not obligated to follow this advice.

This advice can be given in person or by conference call during evaluation meetings, not by email circulation. Email circulation of technical advice can only be responsive to questions from the TEC.

8. PROJECT ADVERTISING

This project was advertised in the Sydney Morning Herald on Sunday 24th March, Saturday 6th April & Saturday 13th April. This project was available for download on the Universities Etendering system from 17:00 Tuesday 7th May 2013.

9. COMPOSITION OF THE RFT DOCUMENT

The RFT document comprises the following parts:

PART A	Request for Tender Package
PART B	RFT Response Schedules

10. PROCUREMENT TIMING

The roles and responsibilities associated with the project will be allocated as follows:
(L: Lead coordinator, I: Input; S: Support, R: Review and sign-off)

Activity	Project Manager	Procurement Specialist	P/ Strategy Manager	Procurement Delivery Team	Tender Evaluation Committee	eValua	Probity Advisor	Tenders Board	Start	Complete
Procurement Strategy developed	I	S	L					R		
Tender Evaluation Plan prepared	I	S		L	R		R			
Probity Plan developed	I	S					L		n/a	n/a
Tender Evaluation Plan approved by Tender Evaluation Committee	I	L		S	R					
Committee Declarations	I	S		L	R		R			



Prepare eTenderBox	L	I						
Create project in VFM Online	I	L		S				
RFT opened	I	L		S				
RFT closed	I	L		S				
Initial review and short-listing	S	L	I		S			
Initial detailed evaluation	S	L	I		S			
Clarifications and departures identified	S	L	I					
Clarification process	S	L	I					
Coordination of interviews with shortlisted respondents	S	L	I		S			
Review of detailed evaluation	S	L	I		R			
Value for money evaluation VFM Online	S	L	R					
Respondents shortlisted	S	L	I		S			
Preparation of evaluation report	I	S	L	R	R			
Approval of recommendation sought	L	S				R		
Respondents notified of outcome	I	S	L		S			
Contract award	L	S	I					

11. EVALUATION CRITERIA

The Tender Evaluation Committee (TEC) will assess the tenders submitted using the selection criteria outlined below. This will be done using the VFM online evaluation assessment tool (Evalua package) for probity and audit purposes.

11.1. Mandatory Criteria

The first stage of the Evaluation involves assessing the Mandatory criteria. If the tenderer is unable to comply with any of the Mandatory criteria outlined in Schedule 4 Attachment 2 and has no reasonable explanation for this, then their tender may be excluded from assessment.

The Mandatory criteria which these tenders will be assessed by is shown below. All tenderers must have:

PART I: INSURANCES
OPTION 1: SMALL FIRM
Professional Indemnity insurance no less than \$2 million
Public Liability insurance no less than \$5 million
Adequate Workers Compensation cover, relative to size
OPTION 2: MEDIUM FIRM
Professional Indemnity insurance no less than \$5 million
Public Liability insurance no less than \$10 million
Adequate Workers Compensation cover, relative to size
OPTION 3: LARGE FIRM
Professional Indemnity insurance no less than \$10 million
Public Liability insurance no less than (or willing to increase current cover to be no less than) \$20 million
Adequate Workers Compensation cover, relative to size
PART II: National Code of Practice
Compliant with the National Code of Practice (NCOP) (Building Code 2013)
PART III: Policies and Processes

WHS Policy
Environmental Policy
Accredited Quality Management System ISO 9001:2008 (Medium and Large Firms Only)
Compliant with current Gender Equality Act
Compliant with current Disability Act
Compliant with the Commission for Racial Equality's Code of Practice for Employment
PART IV: Office Locations
Sydney Region Office
Except where: Tenderer can serve another regional University of Sydney campus locally at either Dubbo, Broken Hill, Narrabri, Orange, Lismore or Camden.

11.2 Mandatory Criteria Screening

The mandatory criteria screening rules for this process are very strict. The following is as a non-exhaustive list of reasons why a tender's submission will/ may not pass through to the assessable stage.

11.2.1 Part I- INSURANCES

- The tenderer may not pass through if they do not have the insurances appropriate to their size.
- If the insurance certificates provided are not at the right thresholds the tender may not pass through to assessable stage.
- A tenderer may not pass through if they have missed any of the requested certificates of currency.

The size they have stated for this mandatory criteria (as seen below) will be checked for verification against the tenderers workcover certificate, their financial statements and any other compelling information in their tender response that is indicative of size.

I, the Tenderer, declare that my organisation is a:	
SMALL FIRM	1 - 5 employees OR an annual turnover of more than \$500,000 and less than \$2 million
MEDIUM FIRM	6 - 20 employees OR an annual turnover of more than \$2 million and less than \$10 million
LARGE FIRM	More than 20 employees OR an annual turnover of more than \$10 million

11.2.2 Part II- NCOP

- A tenderer will pass through to the assessable stage in the absence of this. Please note that this will still be a mandatory requirement and must be obtained prior to appointment of the panel.
- A tenderer will pass through if they claim that they have applied for this and supply evidence of this submission.

11.2.3 Part III- Policies and Processes

- If the tenderer has not referenced or evidenced a **WHS policy**, they may not pass through to the assessable criteria stage.
- If the tenderer has not referenced or evidenced a **Quality Management System** they may not pass through to the assessable criteria stage.
- If the tenderer has not referenced or evidenced an **Environmental Policy** they may not pass through.
- If the tenderer has not referenced or evidenced compliance with the current **Gender Equality Act**, **Disability Act** or the **Commission for Racial Equality's Code of Practice for Employment** they will pass through.

11.2.4 Part IV- Office Locations

- If the tenderer does not have an office in the Greater Sydney Region and cannot serve another regional campus locally at either Dubbo, Broken Hill, Narrabri, Orange, Lismore or Camden then they may not pass through to the assessable stage of evaluation.
- If other compelling evidence suggests that the tenderer does not have an appropriate office location, further clarification will be sought before they are allowed to pass through to the assessable stage of evaluation.

11.3 Assessable Criteria

This section represents the criteria by which the tenders will be assessed in eValua.

11.3.1 Non-Price Criteria Evaluation

The assessable criteria in this process will lead towards a Value comparison score that will rank the tenderers in eValua. The price comparison and VFM index functionality in eValua will not be used (except for the exceptional circumstances outlined in section 11.3.5) as certainty of delivery in this process is considered to be an overriding requirement over price.

11.3.2 Assessable criteria methodology

Size of the company

When assessing the tenders, the size of a company may have an effect upon the scoring of a criteria. When assessing the size of the company during the assessable criteria stage. This will be determined by the number of employees covered by the tenderers workcover, and the annual turnover as stated in the tenderers financial statements. The tenderers will fall into one of the size categories below;

SMALL FIRM	1 - 5 employees OR an annual turnover of more than \$500,000 and less than \$2 million
MEDIUM FIRM	6 - 20 employees OR an annual turnover of more than \$2 million and less than \$10 million
LARGE FIRM	21 - 60 employees OR an annual turnover of more than \$10 million and less than \$50 million
EXTRA LARGE	61 – 100 employees OR an annual turnover of more than \$50 million and less than \$100 million
SUPER FIRM	More than 100 employees OR an annual turnover of more than \$100 million

Category of works

Each tenderer can elect to provide services for up to seven (7) different categories of works. The category of works are shown below;

Category of Works	
New Build < \$10M	
New Build \$10M & Over	
Refurbishment & Fitout < \$10M	
Refurbishment & Fitout \$10M & Over	
Heritage	
Specialty	Laboratory
	Health / Clinical

Each Architecture & Heritage Specialist Consultant who makes it to this stage will be assessed against the criteria for each of these relevant categories of works. As a result, the final recommendation for this process will consist of a list of the consultants to be appointed to the panel and a list of these categories that the consultants can be used for in future university works. (There will not be seven separate panels).

In order to assess each tender on the appropriate category of works they will have to be evaluated in two (2) stages;

1st Stage- Generic assessable criteria

These criteria will apply to all categories of works and this set of criteria will only have to be assessed once with each tender.

Generic Assessable Selection Criteria	20%
<u>University Specific</u> Schedule 4 Attachment 5 - Ability to meet the commercial, functional and technical requirements of the University.	10%
<u>Ability to Serve University Campuses</u> Schedule 4 Attachment 4 - Ability to serve University of Sydney campuses outside the Sydney Metropolitan Area, including those in regional NSW.	5%

<u>Value Added Services</u> Schedule 4 Attachment 7 - Assess the Tenderers response to any value added services or innovation.	5%
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2nd Stage- Category of works specific assessable criteria

These criteria will apply to all categories of works that the tenderer wishes to make a submission for;

Category of Works Specific Assessable Selection Criteria	80%
<u>Business Capability & Organisational Capacity</u> Schedule 4 Attachment 1 - company overview; - organisational structure; - capability of your business to fulfill the requirements; - operation methodology; - risks or constraints associated with the offer; - future workload;	15%
<u>Consultant Specific Criteria Response</u> Schedule 4 Attachment 5 - Ability of the tenderer to comply with the consultant specific requirements for each category of works as set out in RFT Schedule 1, Part 7 c) i)	25%
<u>Company Experience</u> Schedule 4 Attachment 1 - Assessment of previous experience (and/or Tertiary or Government experience, if any); - any relevant experience in an area of expertise; - previous performance, including references;	25%

<u>Individuals Experience</u> Schedule 4 Attachment 1 - relevant skills, experience and availability of key personnel.	15%
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The tenderers submission for each category of works will be evaluated on seven (7) criteria, proportionately weighted according to importance. Each of these has a direct link to the information requested in the RFT. This comprehensive evaluation methodology can be easily migrated into the University's Evalua system.

11.3.3 Assessable Criteria Details and Guidance

The directions for how to assess each of the criteria above can be found below.

11.3.3.1 University Specific

Scroll to the bottom half of **Schedule 4 Attachment 5** of the RFT response schedule. This should be listed in **Part B** of the submission. Address whether the tenderer has marked "compliant" in their response. Read through the details of their compliance. **This is not a threshold issue**. Tenderers should be assessed on their level of compliance in the detail they have or have not provided. Tenderers are to respond to the following requests;

- Consultant demonstrates they can provide services in compliance with the University's Philosophies as outlined in the Design Guidelines (as referred to at Schedule 5);
- Ability to elect an individual Consultant that will act as the University's Primary Contact;
- Attendance of Primary Contact at a University Induction course to be held by the University for successful Tenderers;
- Ability to work on conservation areas such as the University's Camperdown campus;
- Ability to work on Heritage Listed Buildings;
- Ability to provide staff during the University's busiest times of the year (December, January and February);
- Consultant is able to provide value-added and innovative services (as detailed in Schedule 4 Attachment 7);
- If utilising Other Parties, the Consultant is able to meet the University's expectation that at least 80% of the Services are to be provided by direct employees of the Consultant's company;
- Provide prompt responses to any Requests for Quotes, within 5 days of receipt from the University;
- Provide notice to the University of any changes to future workload, if not engaged by the University at the time, where such changes will affect the availability of the Consultant's Proposed Team and Resources.

11.3.3.2 Ability to Serve University Campuses

Refer to **Schedule 4 Attachment 4** of the RFT response schedule. This should be listed in **Part B** of the submission. It is up to the TEC member to decide how relevant it is that the tenderer is able to serve university campuses. Useful pointers the TEC member would like to consider include;

- The tenderers ability to serve all campuses.
- Any regional offices that are close to UoS campuses.
- Costs incurred for serving campus's

A guideline example might be to award 5 points if the tenderer can serve Camperdown and Camden, 0.5 points for any other regional campus, and 0.5 points for any extra regional offices.

11.3.3.3 Value Added Services

These will be located in **Part A** of the submission and will be titled “**Schedule Attachment 7: Value Add**”. Ctrl+F (find) is the best way to find this. The way this is assessed will be discussed in the 1st Evaluation meeting and input below.

For this panel, examples might be BIM, giving lectures to UoS students (at no cost), info updates, professional developments meetings, research into green technologies and Software rights. The TEC is looking for additional services with no cost. Discounts will not be taken into account.

If a tenderer has not filled out this section of the RFT response, this information will be requested through clarification. (Ref 14.4).

11.3.3.4 Business Capability & Organisational Capacity

The majority of this information should be located in the first few pages of **Part A**, but there may be references to this information in several other parts of the submission.

11.3.3.5 Consultant Specific Criteria Response

In **Part B** of the submission under tab “**Schedule 4, Attachment 5**” there will be a list of criteria the University would like compliance with from this tenderer dependent on the Category of Works they are applying for. The tenderer is requested to state whether they are compliant and they are to give details of their compliance. Again, **this is not a threshold issue** and TEC members are to assess their level of compliance under each of the criteria. Tenderers in this area have been asked to detail their compliance in the following areas.

If a tenderer has not filled out this section of the RFT response schedules, this information will be requested through clarification. (Ref 14.4).

A. Architecture – General

- Ability to provide the Services expected of an Architect as listed in the Standard Consultant Brief attached (Schedule 7). Consultants must identify if they are unable to provide any of the listed services.
- Demonstrate ability to provide design services for the range of building types in the University's portfolio, including:
 - Sporting and recreational facilities and public spaces;
 - Informal teaching space (library / study space), formal teaching space (lecture theatres) and offices;
- Ability to demonstrate Safety in Design. Explain how the Consultant implements this practice; and
- Proven experience in sustainable building design.

B. New Build under \$10M

- Proven experience in economical building design.

C. New Build \$10M & Over

- Ability to design large-scale new buildings in context with an existing campus / built environment.

D. Refurbishment & Fitout < \$10M

- Ability to design innovative adaptive re-use and develop creative solutions in an existing campus built environment.

E. Refurbishment & Fitout \$10M & Over

- Provide examples of design using new technologies and leading edge design methods, including for innovative teaching and learning spaces.

F. Heritage Architecture

- Ability to provide the Services expected of a Heritage Architect as listed in the Standard Consultant Brief attached (Schedule 7). Consultants must identify if they are unable to provide any of the listed services;

- Specifically able to demonstrate proven experience or knowledge of:
- Heritage Conservation Management Plans;
- Heritage Conservation Projects;
- Adaptive Re-use, notably the ability to adapt culturally significant heritage buildings to suit the requirements of a modern teaching and research environment;

Please note: "The interpretation of this section has been amended from the RFT which states "notably the ability to adapt 19th century gothic and early 20th century heritage buildings to suit the requirements". This amendment was considered by the TEC to be a more accurate representation of the University heritage buildings being referred to.

- Demonstrated experience and knowledge of the New South Wales Heritage Office Guidelines and "Burra Charter".

G. Specialist – Laboratories

- Ability to provide the Services expected of a Specialist Architect as listed in the Standard Consultant Brief attached (Schedule 7). Consultants must identify if they are unable to provide any of the listed services;
- Experience with teaching and research labs, PC1 and PC2 standards; and
- Adaptive re-use of an existing campus building to transform into an appropriate chemical or radiation lab space.

H. Specialist – Healthcare / Clinical

- Ability to provide the Services expected of a Specialist Architect as listed in the Standard Consultant Brief attached (Schedule 7). Consultants must identify if they are unable to provide any of the listed services;
- Experience with clinical trial and medical science buildings, including teaching hospitals; and
- Experience with medical research facilities in a campus setting.

11.3.3.6 Companies Experience

This information should be listed approximately 4 pages into **Part A** and should have its own title. If company experience is listed elsewhere in the submission it can still be assessed under this criteria.

11.3.3.7 Individuals Experience

This should be listed in **Part A** and will be contained in a Personnel summary or Resume's section. In the absence of either, resumes will be sought during the clarification period.

11.3.4 Scoring Scale

Outlined below is the scoring system that will be used for the above assessable criteria. Each value will be directly linked to the wording in the description.

Score	Description
0-2	Unacceptable: Compliance stated by Supplier. Supplier's supporting statement does not indicate the level of understanding or indicates some misunderstanding of the requirement. Some major weaknesses or deficiencies. Low probability of success.
2-4	Marginal: Compliant. Supplier's supporting statement indicates a general understanding of the requirements. Some minor weaknesses or deficiencies and further clarification may be needed. Fair probability of success.



4-6	Good: Compliant. Supplier's supporting statement indicates a good understanding of the requirement. No major weaknesses or deficiencies. Good probability of success
6-8	Very Good: Compliant. Supplier's supporting statement indicates a very good understanding of the requirement. No weaknesses or deficiencies. Very good probability of success.
8-10	Excellent: Compliant. Exceeds specified performance or capability and the additional input adds value. Supplier clearly understands the requirement. No weaknesses or deficiencies. Excellent probability of success.

The scoring must be reflected in the VFM Online. Scoring in increments of 0.5 is acceptable, but should always be rounded down in terms of descriptor (E.g. A score of 6.5 may be given, but should still be listed as "Good").

11.3.5 Pricing

If during shortlisting, the Tender Evaluation Committee cannot come to a consensus upon the panel recommendations then the price criteria in **Schedule 4 Attachment 6** can be visited to tip the balance of a non-price decision either way.

NB

Please note that this is to be used in exceptional circumstances where there is a clear disagreement between TEC members in this criteria.

If this is to be used it will be used in one of 2 ways;

- 1) The TEC will agree on a division of work allocation within a typical Architecture consultancy. Each position the tenderers have priced against will be allocated a percentage that will be used to calculate an average service cost and a figure that would reflect a "like for like" comparison of price between the tenderers. Not all positions have to be used and the service price would come from the hourly off site rate for each position. This can be seen in the example below:-

Position	Price	Percentage	Apportioned Hourly Rate
Principal / Technical Director	\$310	5%	\$15.5
Associate / Associate Director	\$260	10%	\$26
Senior Consultant / Engineer	\$205	35%	\$71.75
Consultant / Engineer	\$165	50%	\$82.5
Total			\$195.75

- 2) The TEC will agree on a position that could provide a "like for like" standing between each tender. The hourly rate, off-site rate for this position will be compared.

Once each of these methods is chosen the results would offer a figure that can be compared to the other tenderers pricing and will tip the balance for this criteria either way to produce a result.

12. GENERAL PRINCIPLES OF THE EVALUATION

The evaluation will conform to the requirements detailed in this Tender Evaluation Plan. Any necessary deviation from this plan will be documented and justified in the resulting Tender Board Approval Report for consideration by the approving delegates.

All members of the Tender Evaluation Committee will be required to sign External Interest Declarations and Tender Evaluation Committee Declarations before commencing with the evaluation. Before the tenderbox is opened or the circulation of tender responses by the Procurement Specialist to the TEC, all TEC members will agree and sign off this Tender Evaluation Plan.

Once completed, each Evaluation Committee Member will review the submissions independently and record his/her commentary and initial scoring against the applicable evaluation criteria, making reference to the agreed Scoring Guide which is attached to this plan. This guide will be available for each Tender Evaluation Committee member in VFM Online.

All members of the Evaluation Committee will sign the Tender Board Approval Report prior to its submission to the Tender Board for approval.

13. INITIAL EVALUATION PROCESS AND METHODOLOGY

After the closing date and time, the eTenderBox will be opened by the Procurement Specialist. This will be receipted by the eValua System. The evaluation process shall be conducted in the stages outlined below:

13.1. Initial Examination and Conformance Check

Each tender received will be initially examined by the Procurement Specialist in charge of managing Etenders. At this stage each tender will be subject to an initial examination to check for any seriously non-conforming tenders.

Significantly non-conforming tenders include:

- Duplicate responses
- Severely incomplete responses
- Any in-house bids that are not handled by the appropriate confidentiality and competitive neutrality required.
- Any other non-conformances with the RFT requirements which are substantial or incapable of rectification and, therefore, justify not considering the response further.

13.2. Late Tender Check

Late tenders are not to be considered, except when the University is satisfied that the integrity and competitiveness of the tendering process has not been compromised. Questions for consideration are included in the Code of Tendering:

- Was the late tender received prior to the completion of the tender opening and recording process in circumstance where it could not have been influenced by information from other tenders?
- Was it clear that the cause of lateness was beyond the Respondents' control and other tests allow the tender to be considered?
- Is the late tender significantly different that no information from other Respondents could have assisted in framing the late tender?
- Is the late tender the only conforming tender received?

When it is established that considering the late tender would compromise the integrity and competitiveness of the process, that tender should not be considered for acceptance. The Tender Board Approval Report should note if any tenders were late and that the tender was not considered further for the reasons explained.

When a late tender meets the criteria above for circumstances where late tenders may be considered for acceptance, the Tender Board Approval Report should state that the tender was late, but the requirements of the University's Procurement Policy have been met, and explain the circumstances.

Late responses will not be admitted to evaluation unless the circumstances are such that admission of the tender is consistent with the conditions permitted by the University's policies.

13.3. Mandatory Criteria Conformance Check

Tenders will then be subject to a Mandatory criteria check using the Mandatory criteria listed in 11.1, using the screening rules set in 11.2.

This will be undertaken by the Procurement Specialist and the Procurement Delivery Team. Tenderers who do not conform to the Mandatory criteria and rules set out in these sections will be excluded from the rest of Evaluation Assessment unless they have a reasonable explanation for non-conformance or they have exceptional/ extenuating circumstances. The TEC has the final judgement upon this and they will be presented with a list of the firms who are screened out at this stage.

Once the above processes and methodologies have been completed, submissions not set aside during the above stages will be distributed to the Tender Evaluation Committee for the commencement of individual detailed evaluations. All documents will be handled and distributed securely via the eValua VFM Online System.

14. DETAILED EVALUATION AND SHORTLISTING

14.1 Evaluation Meetings

A number of rules will surround the evaluation meetings for this process.

14.1.1 TEC Member Absence

In the absence of any TEC members for a scheduled evaluation meeting, a Quorum ruling will be held. That is to say that the minimum number of members of the TEC that must be present to have a scheduled meeting will be 50% plus one (1). If this quorum is present for the meeting, the meeting can continue and the absent members will be informed of what was discussed promptly afterwards. Scoring cannot be amended or visited in this meeting, but a list of clarifications can be agreed on and sought.

14.1.2 Use of a Probity Advisor

Each key evaluation meeting must have a probity advisor present. If not in person it is acceptable to have a probity advisor present through conference call.

14.1.3 TEC Chair

During the 1st Evaluation meeting a chair will be agreed upon by the TEC. The role of the chair is to steer the TEC towards achieving a unanimous functional decision.

14.1.4 Conflicts of Interest

Conflicts of Interests will be managed by the Probity Advisor, the TEC and the Steering Committee.

14.2 Notes on qualifications and departures in Tenders

A qualification or departure in a tender (including as an alternative tender) submitted by a respondent, may take many forms, including technical, commercial and contractual, and may arise with the following:

- Alternative commercial and technical conditions;
- The tender complies with the requirements but lists items not allowed for in the tender price which are in fact not required;
- The tender indicates it does not fully allow for work required under the contract;
- The information provided in any technical schedule shows that some particular aspects depart from the requirements; or
- The tender varies commercial/ contractual aspects of the requirements.

It is common for respondents to submit qualifications and departures with their tenders. Each respondent is to remove, or allowances are to be made for, unacceptable qualifications and departures so that acceptable tenders can be compared on an equal basis.

All tenders received, including late tenders, are to be examined to ensure that they do not contain references to any errors, ambiguity, omissions or discrepancies in the tender documents or any qualifications which indicate matters that must be taken into account with other tenders.

Each qualification and departure included in tenders in contention should be individually and fully considered for their effect on the work under the contract and acceptability. If the examination of all tenders reveals any such problems in the tender documents, these issues should be resolved.

If the effect of the issues on the tenders will not change the preferred respondent, it is only necessary to clarify the issues with that respondent; otherwise the effect of any change to the conditions to rectify the issues must be determined with each respondent still in contention.

Where there is a doubt, the details should be discussed with the Tender Evaluation Committee with a representative from the University's Procurement Services Team. The Tender Board Approval Report should highlight these matters, any resulting amended requirements, and whether tender relativity was affected.

Where a tender in contention contains an unacceptable qualification of the commercial, contractual or technical provisions of the tender documents, the preferred respondent is to be required to provide a conforming tender, complying with the requirements of the tender documents, and an allowance is to be made for such a qualification with other tenders, to allow for a fair comparison.

Contractual and commercial qualifications relating to items such as cost adjustment, liquidated damages, payment provisions are generally not negotiable unless a substantial commercial advantage is being offered or all tenders are qualified in this way.

Particular attention is to be given to any conditions which might appear within documents submitted by respondents. Such qualifications are generally not acceptable and the preferred respondent is to be asked to withdraw them and allowances are to be made with other tenders in comparisons.

When a qualification or departure is accepted or withdrawn, the value assessed or allowed in the tender price comparison should ensure that no other respondent is unfairly disadvantaged by high or low adjustments to tender price by respondents.

In some instances, when qualifications or departures are removed, the relativity of tenders either changes or becomes very close. In these instances it becomes critical that the review of tenders is carried out in a manner that ensures the best value tender has been recommended and all tenders are dealt with fairly.

The following matters should be referred to the Procurement Specialist for advice regarding the actions proposed:

- The tender contains unusual qualifications or departures;

- A respondent's capacity to do the work is doubtful and difficult to determine;
- The proposed grounds for setting aside a tender are questionable, unusual or uncertain
- It should be ensured that no Respondent is unfairly disadvantaged in tender evaluations.

14.3 Shortlisting

Responses that survive the Initial examination and conformance check stage will undergo detailed examination by the Tender Evaluation Committee. Each of these short-listed responses will be scored against the evaluation criteria using the evaluation criteria attached to this plan, to determine the respondents' ability to satisfy the University's requirements.

Each Tender Evaluation Committee member will independently record her/his scores for each of the short-listed responses in the VFM Online system. Any comments and issues will be recorded by this system. When this step is complete, the Tender Evaluation Committee will meet to discuss the outcome of this stage of the process.

Each response will be discussed in detail addressing its particular strengths and weaknesses having regard to the evaluation criteria attached to this plan.

14.4 Clarifications

The Tender Evaluation Committee will identify any indications of errors or discrepancies in the RFT responses, which may require clarification by the respondents. The Tender Evaluation Committee will prepare requests for clarification, to clarify information and confirm the removal of unacceptable departures and qualifications. These requests will be communicated to the respondents by the Project Manager or procurement specialist, allowing adequate time for responses to be prepared.

The Evaluation Committee will record the discussion for use in developing the Committee's detailed comments as part of the Tender Evaluation Board Approval Report, and also for use in the debriefing of unsuccessful respondents.

If required, and agreed by the Committee, interviews or other correspondence with respondents may be undertaken during the evaluation period. The purpose may be to clarify any issues raised by the Committee in appreciating the responses or to interview key personnel nominated for the project. During any interviews, all respondents involved will be treated equally using a common and detailed agenda, set of questions and/or scenario with explicit time limits, ensuring the required content is communicated and recorded.

14.5 Referee checks

At the agreement of the Committee, referee comments may be sought from those respondents that have been deemed competitive, to confirm information provided in the responses. Records of any referee comments will be included in the VFM Online System and Tender Board Report. Information from referees will not be restricted to those provided in respondents' proposals. If information from referees will be evaluated, the methodology used will be available at **Attachment C – Reference-checking methodology**.

The Tender Evaluation Committee will consider new information obtained in the respondents' responses to clarifications and any interviews and/or presentations conducted. The Tender Evaluation Committee will then make any necessary revisions to their detailed evaluations using the VFM Online system.

The Tender Evaluation Committee will then discuss final scoring and agree on the completion of the detailed evaluation. The evaluation will then be locked in the VFM Online system, at which point no further changes will be possible.

15. STEERING COMMITTEE RECOMMENDATION

This recommendation will then be passed to the Consultant and Contractor Services Steering Committee who will endorse or amend the panel based on the projected workload of the Campus, Infrastructure &

Services (CIS) department. Steering committee recommendations will go back to the TEC for approval before Tender Board Report sign off.

16. FINAL RECOMMENDATION AND APPROVAL

The evaluation process will then result in a report containing justification for the recommended selection and rejection of respondents for the approval of the delegates in accordance with this Plan. The TEC will formally agree to the record of the evaluation process by individually signing the Tender Board Approval Report. The Steering Committee will formally agree to the record through the signature of the Chair of this meeting. The Tender Board's approval shall be sought using the University's Online Tender Board Approval Tool.

The final Tender Board Report shall be sufficiently detailed to satisfy all University requirements for probity and defensibility. The Tender Board is the final gateway prior to awarding preferred respondent status and entering negotiations.

Once the Tender Board approves the recommendation, the Procurement Delivery Team will advise the preferred respondents of the outcome of the evaluation. The Procurement Delivery Team will also notify unsuccessful respondents in writing and offer to conduct a verbal debriefing.

17. TERMS OF REFERENCE

The procurement process and evaluation shall be undertaken in accordance with the following instruments:

1. NSW Government Procurement Policy Statement
2. NSW Government Code of Practice for Procurement
3. NSW Government Tendering Guidelines
4. The University of Sydney Tendering Procedures
5. The University of Sydney Procurement Policy

18. NOTIFICATION AND CONTRACT NEGOTIATIONS

The University will notify all respondents of the outcome of the tender and negotiations shall be entered into with the recommended respondent for the arrangement of a contract.

19. DEBRIEFING OF UNSUCCESSFUL RESPONDENTS

The Project Manager will arrange a time for the debriefing of any unsuccessful respondents who request a debriefing.

The debriefing shall be conducted by either the Project Manager, Procurement Specialist, or the Procurement Delivery Team (and one other member of the Tender Evaluation Committee). The unsuccessful respondents will be provided with the following information:

- Background to the evaluation process;
- General comments regarding the evaluation of the Respondent's submission by the Tender Evaluation Committee against the evaluation criteria; and
- General feedback regarding any strengths and weaknesses of the response.

At no time shall any respondent be compared specifically with any other, and no scoring will be provided.

20. APPROVALS

20.1. Project Management

Project Manager
(Also behalf of the Steering
Committee)

Kevin Duffy

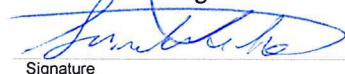

Signature

Approved w/ the
attached conflict Mgt. Plan.
17/6/13.

Date

Senior Procurement Specialist

Srinath Vitanage


Signature

17/6/2013

Date

Probity Advisor

Sarah Mullins/ Ray Calligeros


Signature

3/7/13.

Date

Procurement Consultant

Aaron Holmes

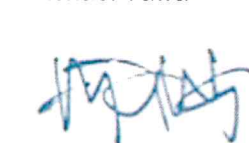

Signature

14/6/2013

Date

Professor of Architecture

Michael Tawa


Signature

14 / 06 / 2013

Date

20.2. Tender Evaluation Committee

Heritage Architect

Chris Legge-Wilkinson

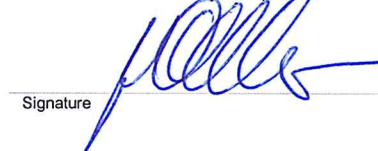

Signature

14/6/2013

Date

Senior Project Manager

Gareth Williams


Signature

14/6/2013

Date



Campus Planning Manager

Juliette Churchill

Signature

14/6/13

Date

Senior Architect

Victoria Bolton

Signature

14/6/13

Date



ATTACHMENT A – EVALUATION CRITERIA

Mandatory

PART I: INSURANCES
OPTION 1: SMALL FIRM
Professional Indemnity insurance no less than \$2 million
Public Liability insurance no less than \$5 million
Adequate Workers Compensation cover, relative to size
OPTION 2: MEDIUM FIRM
Professional Indemnity insurance no less than \$5 million
Public Liability insurance no less than \$10 million
Adequate Workers Compensation cover, relative to size
OPTION 3: LARGE FIRM
Professional Indemnity insurance no less than \$10 million
Public Liability insurance no less than (or willing to increase current cover to be no less than) \$20 million
Adequate Workers Compensation cover, relative to size
PART II: National Code of Practice
Compliant with the National Code of Practice (NCOP) (Building Code 2013)
PART III: Policies and Processes
WHS Policy
Environmental Policy
Accredited Quality Management System ISO 9001:2008 <i>(Medium and Large Firms Only)</i>
Compliant with current Gender Equality Act
Compliant with current Disability Act
Compliant with the Commission for Racial Equality's Code of Practice for Employment
PART IV: Office Locations
Sydney Region Office
Except where: Tenderer can serve another regional University of Sydney campus locally at either Dubbo, Broken Hill, Narrabri, Orange, Lismore or Camden.

Assessable

Generic Assessable Selection Criteria		20%
<u>University Specific</u> Schedule 4 Attachment 5 - Ability to meet the commercial, functional and technical requirements of the University.		10%
<u>Ability to Serve University Campuses</u> Schedule 4 Attachment 4 - Ability to serve University of Sydney campuses outside the Sydney Metropolitan Area, including those in regional NSW.		5%
<u>Value Added Services</u> Schedule 4 Attachment 7 - Assess the Tenderers response to any value added services or innovation.		5%
Category of Works Specific Assessable Selection Criteria		80%
<u>Business Capability & Organisational Capacity</u> Schedule 4 Attachment 1 - company overview; - organisational structure; - capability of your business to fulfill the requirements; - operation methodology; - risks or constraints associated with the offer; - future workload;		15%
<u>Consultant Specific Criteria Response</u> Schedule 4 Attachment 5 - Ability of the tenderer to comply with the consultant specific requirements for each category of works as set out in RFT Schedule 1, Part 7 c) i)		25%



<u>Company Experience</u> Schedule 4 Attachment 1 - Assessment of previous experience (and/or Tertiary or Government experience, if any); - any relevant experience in an area of expertise; - previous performance, including references;	25%
<u>Individuals Experience</u> Schedule 4 Attachment 1 - relevant skills, experience and availability of key personnel.	15%

ATTACHMENT B – EVALUATION SCORING GUIDE



Score	Description
0-2	Unacceptable: Compliance stated by Supplier. Supplier's supporting statement does not indicate the level of understanding or indicates some misunderstanding of the requirement. Some major weaknesses or deficiencies. Low probability of success.
2-4	Marginal: Compliant. Supplier's supporting statement indicates a general understanding of the requirements. Some minor weaknesses or deficiencies and further clarification may be needed. Fair probability of success.
4-6	Good: Compliant. Supplier's supporting statement indicates a good understanding of the requirement. No major weaknesses or deficiencies. Good probability of success
6-8	Very Good: Compliant. Supplier's supporting statement indicates a very good understanding of the requirement. No weaknesses or deficiencies. Very good probability of success.
8-10	Excellent: Compliant. Exceeds specified performance or capability and the additional input adds value. Supplier clearly understands the requirement. No weaknesses or deficiencies. Excellent probability of success.

The scoring must be reflected in the VFM Online. Scoring in increments of 0.5 is acceptable, but should always be rounded down in terms of descriptor (E.g. A score of 6.5 may be given, but should still be listed as "Good").



ATTACHMENT C – REFERENCE-CHECKING METHODOLOGY

This is tailored to meet the KPI's outlined in the RFT (Attachment 9). Each Referee will be asked to rate the tenderers previous performance on a scale of 1 to 10: 0-1 indicates the area of the service provided by the consultant was Unsatisfactory; 8-10 indicates the area of the service provided by the consultant is Very Strong.

Availability: Did the consultant have a continuous availability of resources?

Very Strong	Strong	Fair	Marginal	Unsatisfactory
8 – 10	6 – 8	4 – 6	2 – 4	0 – 1

Responsiveness: Was the consultancy contactable & responsive to your needs?

Very Strong	Strong	Fair	Marginal	Unsatisfactory
8 – 10	6 – 8	4 – 6	2 – 4	0 – 1

Value Add: Was the consultancy innovative, proactive and involved?

Very Strong	Strong	Fair	Marginal	Unsatisfactory
8 – 10	6 – 8	4 – 6	2 – 4	0 – 1

Staff Turnover: Can you rate the staff turnover on the projects you used the consultancy for?

Very Strong	Strong	Fair	Marginal	Unsatisfactory
8 – 10	6 – 8	4 – 6	2 – 4	0 – 1

Stakeholder Management: Did the consultancy have effective stakeholder management?

Very Strong	Strong	Fair	Marginal	Unsatisfactory
8 – 10	6 – 8	4 – 6	2 – 4	0 – 1

Reporting: Did the consultancy produce and complete all of the necessary reports?

Very Strong	Strong	Fair	Marginal	Unsatisfactory
8 – 10	6 – 8	4 – 6	2 – 4	0 – 1

Project Program: Did the consultancy appropriately adhere to and manage the project program?

Very Strong	Strong	Fair	Marginal	Unsatisfactory
8 – 10	6 – 8	4 – 6	2 – 4	0 – 1

Design/ Planning Guidelines: Did the consultancy comply with the relevant design/ planning guidelines?

Very Strong	Strong	Fair	Marginal	Unsatisfactory
8 – 10	6 – 8	4 – 6	2 – 4	0 – 1

Effective Delivery: Did the consultancy effectively deliver the projects on time, within agreed budgets and to the expected quality?

Very Strong	Strong	Fair	Marginal	Unsatisfactory
8 – 10	6 – 8	4 – 6	2 – 4	0 – 1

Completion/ Handover: After completion of the work was the project handed efficiently over to Stakeholders?

Very Strong	Strong	Fair	Marginal	Unsatisfactory
8 – 10	6 – 8	4 – 6	2 – 4	0 – 1

After Service: Were there any defects/ maintenance/ changes? Rate how well these were handled.

Very Strong	Strong	Fair	Marginal	Unsatisfactory
8 – 10	6 – 8	4 – 6	2 – 4	0 – 1



ATTACHMENT D – CONFLICT OF INTEREST DECLARATIONS

EXTERNAL INTERESTS DECLARATION (AD HOC)

Project name: *Architecture* Specialist Consultant Services Panel
RFT number:: eRFT/2013/
Project Manager: Kevin Duffy (Operations Manager, Corporate Services, CIS)

I have read and understood The University of Sydney's External Interests Policy (the Policy), which is available here: http://sydney.edu.au/hr/policydev/external_interests_policy.pdf

I have (tick only one of the following options below):



1. Not submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, as I do not have any actual, potential or perceived conflicts of interest as defined in the conflict of interest rule.

2. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, that has been duly evaluated and:



a. the conflict is being managed by an External Interests Conflict Management Plan; or

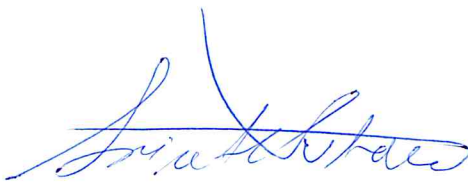


b. I must abstain from the current procurement activity.



3. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy that has not been duly evaluated and must abstain from the current procurement activity.

Participant name:
Signature:

 3/6/2013
Signature Date

TENDER EVALUATION COMMITTEE MEMBER DECLARATION

Project name: *Architecture* Specialist Consultant Services Panel
RFT number: eRFT/2013/
Project Manager: Kevin Duffy (Operations Manager, Corporate Services, CIS)

I understand:

- that all communication regarding University procurement projects, implied or explicit, with respondents, internal University staff members and any other party is to be directed solely by the Project Manager;
- that I will not provide any party with information as to the RFT process, status, progress or outcome and that all queries received must be directed to the Project Manager;
- the announcement of successful and unsuccessful Respondents may only be made by the Project Manager;
- that any violation of these provisions may constitute a breach of Tendering Procedures, Procurement Policy and the Code of Conduct and may result in disciplinary measures;
- that all RFT responses must be evaluated only on the information provided in the responses;
- that the recommendation of the Tender Evaluation Committee must be endorsed by the University Tender Board before it can be considered finalised; and
- that the Project Manager is obliged to report any perceived contravention to the Director, Audit and Risk Management.

Participant name:

Signature:

[Signature] *3/6/13*
Signature Date

EXTERNAL INTERESTS DECLARATION (AD HOC)

Project name: *Architecture RFT* Specialist Consultant Services Panel
RFT number: eRFT/2013/
Project Manager: Kevin Duffy (Operations Manager, Corporate Services, CIS)

I have read and understood The University of Sydney's External Interests Policy (the Policy), which is available here: http://sydney.edu.au/hr/policydev/external_interests_policy.pdf

I have (tick only one of the following options below):

- ☒ 1. Not submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, as I do not have any actual, potential or perceived conflicts of interest as defined in the conflict of interest rule.
-
- ☐ 2. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, that has been duly evaluated and:
- ☐ a. the conflict is being managed by an External Interests Conflict Management Plan; or
- ☐ b. I must abstain from the current procurement activity.
-
- ☐ 3. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy that has not been duly evaluated and must abstain from the current procurement activity.

Participant name:
Signature:

Sarah Mullins
S Mullins

Signature

4/16/13

Date

TENDER EVALUATION COMMITTEE MEMBER DECLARATION

Project name: *Architecture RFT.* Specialist Consultant Services Panel
RFT number: eRFT/2013/
Project Manager: Kevin Duffy (Operations Manager, Corporate Services, CIS)

I understand:

- that all communication regarding University procurement projects, implied or explicit, with respondents, internal University staff members and any other party is to be directed solely by the Project Manager;
- that I will not provide any party with information as to the RFT process, status, progress or outcome and that all queries received must be directed to the Project Manager;
- the announcement of successful and unsuccessful Respondents may only be made by the Project Manager;
- that any violation of these provisions may constitute a breach of Tendering Procedures, Procurement Policy and the Code of Conduct and may result in disciplinary measures;
- that all RFT responses must be evaluated only on the information provided in the responses;
- that the recommendation of the Tender Evaluation Committee must be endorsed by the University Tender Board before it can be considered finalised; and
- that the Project Manager is obliged to report any perceived contravention to the Director, Audit and Risk Management.

Participant name: *Sarah Mullins*
Signature: *[Signature]*

4/16/13
Date

TENDER EVALUATION COMMITTEE MEMBER DECLARATION

Project name: Specialist Consultant Services Panel
RFT number: eRFT/2013/
Project Manager: Kevin Duffy (Operations Manager, Corporate Services, CIS)

I understand:

- that all communication regarding University procurement projects, implied or explicit, with respondents, internal University staff members and any other party is to be directed solely by the Project Manager;
- that I will not provide any party with information as to the RFT process, status, progress or outcome and that all queries received must be directed to the Project Manager;
- the announcement of successful and unsuccessful Respondents may only be made by the Project Manager;
- that any violation of these provisions may constitute a breach of Tendering Procedures, Procurement Policy and the Code of Conduct and may result in disciplinary measures;
- that all RFT responses must be evaluated only on the information provided in the responses;
- that the recommendation of the Tender Evaluation Committee must be endorsed by the University Tender Board before it can be considered finalised; and
- that the Project Manager is obliged to report any perceived contravention to the Director, Audit and Risk Management.

Participant name:
Signature:

Aaron Holmes
4/6/13

Signature Date



EXTERNAL INTERESTS DECLARATION (AD HOC)

Project name: Specialist Consultant Services Panel
RFT number:: eRFT/2013/
Project Manager: Kevin Duffy (Operations Manager, Corporate Services, CIS)

I have read and understood The University of Sydney's External Interests Policy (the Policy), which is available here: http://sydney.edu.au/hr/policydev/external_interests_policy.pdf

I have (tick only one of the following options below):



1. Not submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, as I do not have any actual, potential or perceived conflicts of interest as defined in the conflict of interest rule.

2. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, that has been duly evaluated and:



a. the conflict is being managed by an External Interests Conflict Management Plan; or



b. I must abstain from the current procurement activity.



3. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy that has not been duly evaluated and must abstain from the current procurement activity.

Participant name:
Signature:

Aaron Holmes


4/6/13

Signature

Date

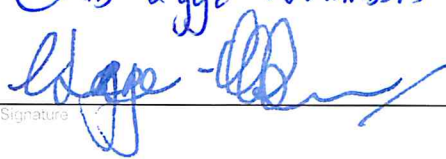
TENDER EVALUATION COMMITTEE MEMBER DECLARATION

Project name: Specialist Consultant Services Panel
RFT number: eRFT/2013/
Project Manager: Kevin Duffy (Operations Manager, Corporate Services, CIS)

I understand:

- that all communication regarding University procurement projects, implied or explicit, with respondents, internal University staff members and any other party is to be directed solely by the Project Manager;
- that I will not provide any party with information as to the RFT process, status, progress or outcome and that all queries received must be directed to the Project Manager;
- the announcement of successful and unsuccessful Respondents may only be made by the Project Manager;
- that any violation of these provisions may constitute a breach of Tendering Procedures, Procurement Policy and the Code of Conduct and may result in disciplinary measures;
- that all RFT responses must be evaluated only on the information provided in the responses;
- that the recommendation of the Tender Evaluation Committee must be endorsed by the University Tender Board before it can be considered finalised; and
- that the Project Manager is obliged to report any perceived contravention to the Director, Audit and Risk Management.

Participant name:
Signature:

Chris Legge Wilkinson

Signature _____ Date 31/5/2013

EXTERNAL INTERESTS DECLARATION (AD HOC)

Project name: Specialist Consultant Services Panel
RFT number:: eRFT/2013/
Project Manager: Kevin Duffy (Operations Manager, Corporate Services, CIS)

I have read and understood The University of Sydney's External Interests Policy (the Policy), which is available here: http://sydney.edu.au/hr/policydev/external_interests_policy.pdf

I have (tick only one of the following options below):



1. Not submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, as I do not have any actual, potential or perceived conflicts of interest as defined in the conflict of interest rule.



2. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, that has been duly evaluated and:

- a. the conflict is being managed by an External Interests Conflict Management Plan; or
b. I must abstain from the current procurement activity.

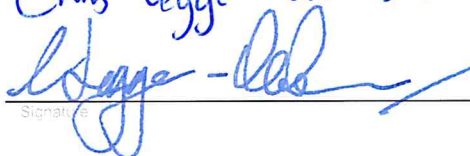


3. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy that has not been duly evaluated and must abstain from the current procurement activity.

Participant name:

Signature:

Chris Legge-Wilkinson



31/5/2013

Date



CONFLICT OF INTERESTS / STANDING DISCLOSURE NOTICE

A new online process for declaring conflicts of interests as required by the [External Interests Policy 2010](#) is under development. In the interim, this form is to be used for declaring conflicts of interests. Information on declaring and managing conflicts of interests is available on the [HR website](#).

Surname: LEGGE-WILKINSON First Name/s: CHRIS
Position: HERITAGE ARCHITECT Ext: 13839
Faculty/School/Unit: CAMPUS INFRASTRUCTURE SERVICES.

I am declaring a conflict of interests which is: (select 1 of the 3 below)

ACTUAL ☐ POTENTIAL ☐ PERCEIVED ☒

and/or a:

CLOSE PERSONAL RELATIONSHIP ☐

FINANCIAL INTEREST ☐

EXTERNAL INTEREST ☐

Please outline briefly the nature of the conflict/interest

AM CURRENTLY WORKING WITH THE FOLLOWING
ARCHITECTS ON UNIVERSITY COMMISSIONS.

- TANNER KIBBLE DENTON.
- ANCHOR MORTLOCK AND WOOLLEY.
- OCP ARCHITECTS

Please outline proposed arrangements for eliminating or managing the conflict/interest (attach separately if appropriate).

- REVIEW BY STEERING COMMITTEE/ PROJECT MANAGEMENT.

I agree:

- (i) to update this disclosure on an annual basis or until such time as the conflict of interest ceases to exist;
- (ii) to cooperate in the development of a conflict of interest management plan, if applicable; and
- (iii) to comply with any conditions or restrictions imposed by the University in order to eliminate or manage the conflict of interest.

Signed: _____



Date: _____

4/6/2013

APPROVAL BY EXECUTIVE SUPERVISOR (The Executive Supervisor is the relevant Dean, Director or other chief officer of an administrative unit, Deputy Vice Chancellor or Vice Chancellor).

I have reviewed this disclosure and:

- ☐ I do not believe that the staff member, external appointee or Director has a material personal, financial or external interest that creates a conflict of interest;
- ☐ I do not believe that the conflict of interest has the capacity (or might by a dispassionate observer be seen as having the capacity) to influence the conduct of the staff member, external appointee or Director;
- ☐ I believe that it will be possible to develop and execute a conflict of interest management plan to eliminate or manage the conflict of interest;
- ☐ I have approved the following required action:

Name of Executive Supervisor: _____

Signed: _____

Date: _____

Original to relevant University file

Copy to staff member, external appointee or Director concerned

Copy to General Counsel for inclusion on the conflict of interest register (where applicable)

TENDER EVALUATION COMMITTEE MEMBER DECLARATION

Project name: Specialist Consultant Services Panel
RFT number: eRFT/2013/
Project Manager: Kevin Duffy (Operations Manager, Corporate Services, CIS)

I understand:

- that all communication regarding University procurement projects, implied or explicit, with respondents, internal University staff members and any other party is to be directed solely by the Project Manager;
- that I will not provide any party with information as to the RFT process, status, progress or outcome and that all queries received must be directed to the Project Manager;
- the announcement of successful and unsuccessful Respondents may only be made by the Project Manager;
- that any violation of these provisions may constitute a breach of Tendering Procedures, Procurement Policy and the Code of Conduct and may result in disciplinary measures;
- that all RFT responses must be evaluated only on the information provided in the responses;
- that the recommendation of the Tender Evaluation Committee must be endorsed by the University Tender Board before it can be considered finalised; and
- that the Project Manager is obliged to report any perceived contravention to the Director, Audit and Risk Management.

Participant name:
Signature:

Gareth Williams

Signature

31 / 5 / 13

Date



CONFLICT OF INTERESTS / STANDING DISCLOSURE NOTICE

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Surname: Williams

First Name/s: Gareth

Position: Senior Project Manager_ Ext: 1510

Faculty/School/Unit: Campus Infrastructure Services

I am declaring a conflict of interests which is: (select 1 of the 3 below)

ACTUAL ☐

POTENTIAL ☐

PERCEIVED ☒

and/or a:

CLOSE PERSONAL RELATIONSHIP ☐

FINANCIAL INTEREST ☐

EXTERNAL INTEREST ☒

Please outline briefly the nature of the conflict/interest

NSW Public Works, Gray Puksand, Geyer, Scientific Interiors, DTW Suters & Budden Nangle Michael Hudson are all either currently working on project, have recently completed projects or are potentially quoting on projects being directly managed by myself. Whilst this is not a direct conflict of interest, it could be perceived that these tenderers could be biased either favourably or poorly as a result of this direct contact.

Please outline proposed arrangements for eliminating or managing the conflict/interest (attach separately if appropriate).

Steering committee are to review the potential conflict of interest and confirm acceptance

I agree:

- (i) to update this disclosure on an annual basis or until such time as the conflict of interest ceases to exist;
- (ii) to cooperate in the development of a conflict of interest management plan, if applicable; and

(iii) to comply with any conditions or restrictions imposed by the University in order to eliminate or manage the conflict of interest.

Signed: _____

Gareth Williams

Date: _____

4/6/2013

APPROVAL BY EXECUTIVE SUPERVISOR (The Executive Supervisor is the relevant Dean, Director or other chief officer of an administrative unit, Deputy Vice Chancellor or Vice Chancellor).

I have reviewed this disclosure and:

- ☐ I do not believe that the staff member, external appointee or Director has a material personal, financial or external interest that creates a conflict of interest;
- ☐ I do not believe that the conflict of interest has the capacity (or might by a dispassionate observer be seen as having the capacity) to influence the conduct of the staff member, external appointee or Director;
- ☐ I believe that it will be possible to develop and execute a conflict of interest management plan to eliminate or manage the conflict of interest;
- ☐ I have approved the following required action:

Name of Executive Supervisor: _____

Signed: _____ Date: _____

Original to relevant University file

Copy to staff member, external appointee or Director concerned

Copy to General Counsel for inclusion on the conflict of interest register (where applicable)

TENDER EVALUATION COMMITTEE MEMBER DECLARATION

Project name: *Architecture* Specialist Consultant Services Panel
RFT number: eRFT/2013/
Project Manager: Kevin Duffy (Operations Manager, Corporate Services, CIS)

I understand:

- that all communication regarding University procurement projects, implied or explicit, with respondents, internal University staff members and any other party is to be directed solely by the Project Manager;
- that I will not provide any party with information as to the RFT process, status, progress or outcome and that all queries received must be directed to the Project Manager;
- the announcement of successful and unsuccessful Respondents may only be made by the Project Manager;
- that any violation of these provisions may constitute a breach of Tendering Procedures, Procurement Policy and the Code of Conduct and may result in disciplinary measures;
- that all RFT responses must be evaluated only on the information provided in the responses;
- that the recommendation of the Tender Evaluation Committee must be endorsed by the University Tender Board before it can be considered finalised; and
- that the Project Manager is obliged to report any perceived contravention to the Director, Audit and Risk Management.

Participant name:
Signature:

Juliette Churchill,



31/5/13

Signature

Date

EXTERNAL INTERESTS DECLARATION (AD HOC)

Project name: Specialist Consultant Services Panel
RFT number:: eRFT/2013/
Project Manager: Kevin Duffy (Operations Manager, Corporate Services, CIS)

I have read and understood The University of Sydney's External Interests Policy (the Policy), which is available here: http://sydney.edu.au/hr/policydev/external_interests_policy.pdf

I have (tick only one of the following options below):

- ☐ ☐ 1. Not submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, as I do not have any actual, potential or perceived conflicts of interest as defined in the conflict of interest rule.
-
- ☒ 2. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, that has been duly evaluated and:
- a. the conflict is being managed by an External Interests Conflict Management Plan; or
- ☐ b. I must abstain from the current procurement activity.
-
- ☐ 3. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy that has not been duly evaluated and must abstain from the current procurement activity.

Participant name:
Signature:

 04/06/13.

Signature Date



CONFLICT OF INTERESTS / STANDING DISCLOSURE NOTICE

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Surname: CHURCHILL First Name/s: JULIETTE

Position: CAMPUS PLANNING MANAGER Ext: _____

Faculty/School/Unit: CIS .

I am declaring a conflict of interests which is: (select 1 of the 3 below)

ACTUAL ☐ POTENTIAL ☐ PERCEIVED ☒

and/or a:

CLOSE PERSONAL RELATIONSHIP ☐

FINANCIAL INTEREST ☐

EXTERNAL INTEREST ☒

Please outline briefly the nature of the conflict/interest

> WOODHEAD WAS A PREVIOUS EMPLOYER PRIOR TO 2013.
> CURRENTLY WORKING WITH HSO ON A UNIVERSITY
PROJECT.

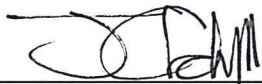
Please outline proposed arrangements for eliminating or managing the conflict/interest (attach separately if appropriate).

PROJECT MANAGEMENT TO REVIEW

I agree:

- (i) to update this disclosure on an annual basis or until such time as the conflict of interest ceases to exist;
- (ii) to cooperate in the development of a conflict of interest management plan, if applicable; and
- (iii) to comply with any conditions or restrictions imposed by the University in order to eliminate or manage the conflict of interest.

Signed: _____



Date: _____

01/06/13.

APPROVAL BY EXECUTIVE SUPERVISOR (The Executive Supervisor is the relevant Dean, Director or other chief officer of an administrative unit, Deputy Vice Chancellor or Vice Chancellor).

I have reviewed this disclosure and:

- ☐ I do not believe that the staff member, external appointee or Director has a material personal, financial or external interest that creates a conflict of interest;
- ☐ I do not believe that the conflict of interest has the capacity (or might by a dispassionate observer be seen as having the capacity) to influence the conduct of the staff member, external appointee or Director;
- ☐ I believe that it will be possible to develop and execute a conflict of interest management plan to eliminate or manage the conflict of interest;
- ☐ I have approved the following required action:

Name of Executive Supervisor: _____

Signed: _____

Date: _____

Original to relevant University file

Copy to staff member, external appointee or Director concerned

Copy to General Counsel for inclusion on the conflict of interest register (where applicable)

TENDER EVALUATION COMMITTEE MEMBER DECLARATION

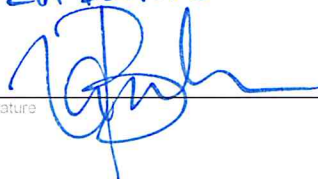
Project name: Specialist Consultant Services Panel
RFT number: eRFT/2013/
Project Manager: Kevin Duffy (Operations Manager, Corporate Services, CIS)

I understand:

- that all communication regarding University procurement projects, implied or explicit, with respondents, internal University staff members and any other party is to be directed solely by the Project Manager;
- that I will not provide any party with information as to the RFT process, status, progress or outcome and that all queries received must be directed to the Project Manager;
- the announcement of successful and unsuccessful Respondents may only be made by the Project Manager;
- that any violation of these provisions may constitute a breach of Tendering Procedures, Procurement Policy and the Code of Conduct and may result in disciplinary measures;
- that all RFT responses must be evaluated only on the information provided in the responses;
- that the recommendation of the Tender Evaluation Committee must be endorsed by the University Tender Board before it can be considered finalised; and
- that the Project Manager is obliged to report any perceived contravention to the Director, Audit and Risk Management.

Participant name:

Signature:

VICTORIA BOUTON


4/6/2013

Date



EXTERNAL INTERESTS DECLARATION (AD HOC)

Project name: Specialist Consultant Services Panel
RFT number: eRFT/2013/
Project Manager: Kevin Duffy (Operations Manager, Corporate Services, CIS)

(ARCHITECTURE)

I have read and understood The University of Sydney's External Interests Policy (the Policy), which is available here: http://sydney.edu.au/hr/policydev/external_interests_policy.pdf

I have (tick only one of the following options below):

- ☐ ☐ 1. Not submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, as I do not have any actual, potential or perceived conflicts of interest as defined in the conflict of interest rule.
-
- ☒ 2. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, that has been duly evaluated and:
- a. the conflict is being managed by an External Interests Conflict Management Plan; or
- ☐ b. I must abstain from the current procurement activity.
-
- ☐ 3. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy that has not been duly evaluated and must abstain from the current procurement activity.

Participant name:
Signature:

VICTORIA BOLTON

4 / 6 / 2013

Signature

Date



CONFLICT OF INTERESTS / STANDING DISCLOSURE NOTICE

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Surname: BOLTON First Name/s: VICTORIA
Position: SENIOR ARCHITECT Ext: 13532
Faculty/School/Unit: _____

I am declaring a conflict of interests which is: (select 1 of the 3 below)

ACTUAL ☐ POTENTIAL ☐ PERCEIVED ☒

and/or a:

CLOSE PERSONAL RELATIONSHIP ☐

FINANCIAL INTEREST ☐

EXTERNAL INTEREST ☒

Please outline briefly the nature of the conflict/interest

WOODHEAD P/L - WERE MY PREVIOUS EMPLOYER.
FOR 5 YEARS FROM 2007 - 2013.

IN ADDITION I WAS SECONDED TO ARINA CONSULTING,
NOW PART OF HAYBALL

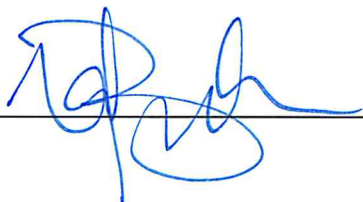
Please outline proposed arrangements for eliminating or managing the conflict/interest (attach separately if appropriate).

PROJECT MANAGEMENT ~~WILL~~ WILL REVIEW.

I agree:

- (i) to update this disclosure on an annual basis or until such time as the conflict of interest ceases to exist;
- (ii) to cooperate in the development of a conflict of interest management plan, if applicable; and
- (iii) to comply with any conditions or restrictions imposed by the University in order to eliminate or manage the conflict of interest.

Signed: _____



Date: _____

4.6.2013.

APPROVAL BY EXECUTIVE SUPERVISOR (The Executive Supervisor is the relevant Dean, Director or other chief officer of an administrative unit, Deputy Vice Chancellor or Vice Chancellor).

I have reviewed this disclosure and:

- ☐ I do not believe that the staff member, external appointee or Director has a material personal, financial or external interest that creates a conflict of interest;
- ☐ I do not believe that the conflict of interest has the capacity (or might by a dispassionate observer be seen as having the capacity) to influence the conduct of the staff member, external appointee or Director;
- ☐ I believe that it will be possible to develop and execute a conflict of interest management plan to eliminate or manage the conflict of interest;
- ☐ I have approved the following required action:

Name of Executive Supervisor: _____

Signed: _____

Date: _____

Original to relevant University file

Copy to staff member, external appointee or Director concerned

Copy to General Counsel for inclusion on the conflict of interest register (where applicable)

TENDER EVALUATION COMMITTEE MEMBER DECLARATION

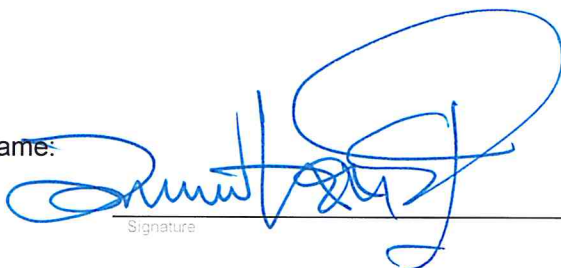
Project name: Specialist Consultant Services Panel
RFT number: eRFT/2013/
Project Manager: Kevin Duffy (Operations Manager, Corporate Services, CIS)

I understand:

- that all communication regarding University procurement projects, implied or explicit, with respondents, internal University staff members and any other party is to be directed solely by the Project Manager;
- that I will not provide any party with information as to the RFT process, status, progress or outcome and that all queries received must be directed to the Project Manager;
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- that all RFT responses must be evaluated only on the information provided in the responses;
- that the recommendation of the Tender Evaluation Committee must be endorsed by the University Tender Board before it can be considered finalised; and
- that the Project Manager is obliged to report any perceived contravention to the Director, Audit and Risk Management.

Participant name:

Signature:


Signature

4 / 6 / 2013

Date



EXTERNAL INTERESTS DECLARATION (AD HOC)

Project name: Specialist Consultant Services Panel
RFT number:: eRFT/2013/
Project Manager: Kevin Duffy (Operations Manager, Corporate Services, CIS)

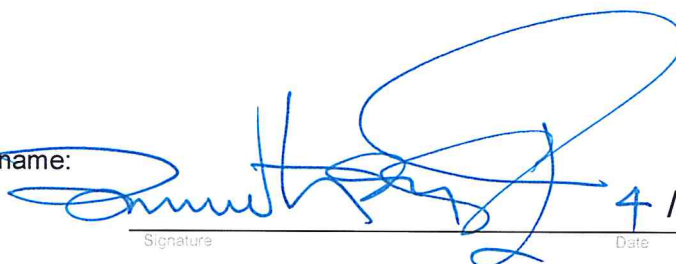
I have read and understood The University of Sydney's External Interests Policy (the Policy), which is available here: http://sydney.edu.au/hr/policydev/external_interests_policy.pdf

I have (tick only one of the following options below):

- ☐ ☐ 1. Not submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, as I do not have any actual, potential or perceived conflicts of interest as defined in the conflict of interest rule.
-
- ☒ 2. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, that has been duly evaluated and:
- a. the conflict is being managed by an External Interests Conflict Management Plan; or
- b. I must abstain from the current procurement activity.
-
- ☐ 3. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy that has not been duly evaluated and must abstain from the current procurement activity.

Participant name:

Signature:

 4/6/2013

Signature Date



CONFLICT OF INTERESTS / STANDING DISCLOSURE NOTICE

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Surname: HOWELLS First Name/s: TREVOR JOHN
Position: DIRECTOR GRADUATE HERITAGE Ext: 13473
CONSERVATION PROGRAM
Faculty/School/Unit: FACULTY OF ARCHITECTURE, DESIGN & PLANNING

I am declaring a conflict of interests which is: (select 1 of the 3 below)

ACTUAL ☐

POTENTIAL ☐

PERCEIVED ☒

and/or a:

CLOSE PERSONAL RELATIONSHIP ☒

FINANCIAL INTEREST ☒

EXTERNAL INTEREST ☒

Please outline briefly the nature of the conflict/interest

I have had a number previous dealings the list of
tenders. This will not affect my judgement
as part of this committee.

Please outline proposed arrangements for eliminating or managing the conflict/interest (attach separately if appropriate).

This will be reviewed by the steering committee
the TEC and the project management.

PROSPECTIVE TENDER
03/06/2013 03:

Tender Details

Reference #: eRFT/2013/231
Title: Architecture & Heritage Specialist Consultant Services Panel
Close Date: 27/05/2013 05:00 PM
Total Registered Interest: 90
Total Tenders Received: 82

Company Name	Registration Time	Phone Number	ABN/ACN
Tanner Kibble Denton Architects	08/05/2013 09:05 AM	02 9281 4399	77001209392
PTW Architects	08/05/2013 09:20 AM	02 9232 5877	23 000 454 62
Stephanie Licciardo Architects Pty Ltd	08/05/2013 10:36 AM	0415547187	63163326887
Foran Design Pty Ltd	08/05/2013 10:45 AM	02 9879 0152	22 074 159 48
Hames Sharley	08/05/2013 11:02 AM	08 9381 9877	42 009 073 56
Ani Smits Pty Ltd	08/05/2013 11:52 AM	0427004009	47 056 071 84
Hector Abrahams Architects Pty Ltd	08/05/2013 12:01 PM	0292997959	95 160 116 031
Scott Carver Pty Ltd	08/05/2013 12:40 PM	0299573988	38 002570854
Westbury Constructions	08/05/2013 12:49 PM	0488 251 265	53155351518
fitzpatrick+partners	08/05/2013 01:52 PM	0282748200	19 081 636 90
Gardner Wetherill Associates	08/05/2013 01:58 PM	99296777	94733941604
HBO+EMTB Architects	08/05/2013 02:13 PM	02 8226 2143	
IA Group Pty. Limited	08/05/2013 02:18 PM	02 9562 9740	29075871813
Burtenshaw Scoufis	08/05/2013 02:20 PM	9700 7041	33003578925
HASSELL	08/05/2013 02:34 PM	0291012000	
Architectus Group Pty Ltd	08/05/2013 02:48 PM	02 82528400	90131245684
RPS	08/05/2013 02:54 PM	02 8270 8300	
dwp/sutlers	08/05/2013 04:12 PM	85695000	83129614713
Geolyse Pty Ltd	08/05/2013 04:20 PM	02 6393 5000	73492152535
Lahz Nimmo Architects	08/05/2013 04:40 PM	0295505200	33 075 924 09
NSW Public Works	08/05/2013 05:04 PM	93727268	
NBRSPARTNERS	08/05/2013 05:16 PM	+612 9922 2344	16002247565
Urbis	08/05/2013 05:41 PM	02 8233 9985	
Gran Associates Australia PL	08/05/2013 06:32 PM	02 9818 8437	46 115 243 07
Jackson Teece Chesterman Willis	09/05/2013 08:42 AM	02 9290 2722	ABN 15 083 8
Francis-Jones Morehen Thorp Pty Ltd	09/05/2013 08:47 AM	02 9251 7077	28101197219
Clive Lucas Stapleton and Partners	09/05/2013 09:02 AM	0293574811	60763960154
Rappoport Pty Ltd	09/05/2013 09:13 AM	02 9693 1788	02 9693 1788
CCG Architects	09/05/2013 09:14 AM	0293193077	39157777065
Brewster Hjorth Architects	09/05/2013 09:40 AM	0282317100	
Godden Mackay Logan	09/05/2013 09:41 AM	02 9319 4811	
Cullinan Ivanov Partnership Pty Ltd	09/05/2013 10:17 AM	0280903320	23151728264
Building Studio Operations Pty Ltd	09/05/2013 10:37 AM	0292996690	55154718555
Baker Kavanagh Architects	09/05/2013 10:39 AM	9318 9200	88 081 700 35
EJE Architecture	09/05/2013 10:56 AM	02 49 292 353	ABN 82 644 64
Cox Richardson Architects + Planners	09/05/2013 10:59 AM	0292679599	78 426 372 64
JDH Architects	09/05/2013 11:07 AM	0425 223 666	27 110 978 80
Group GSA Pty Ltd	09/05/2013 11:16 AM	02 9361 4144	76002113779
Malone Campbell-Alien Pty Ltd	09/05/2013 11:39 AM	02 9436 3711	56 369 153 70
FORM architects	09/05/2013 12:17 PM	9630 1355	
Gray Puksand	09/05/2013 12:55 PM	02 9247 9422	12 051 320 97
Hayball	09/05/2013 02:40 PM	0396993644	
Geyer	09/05/2013 03:55 PM	92483237	
PMDL Architecture + Design	09/05/2013 06:09 PM	02 8458 5500	58062961317
nettleton tribe	10/05/2013 12:06 PM	612 9431 6431	58161683122
DTB ARCHITECTS PTY LTD	10/05/2013 12:36 PM	02 9565 5300	76 074 688 28
Bates Smart Pty Ltd	10/05/2013 01:36 PM	02 8354 5100	70 004 999 40
David Scobie Architects Pty Ltd	10/05/2013 04:23 PM	0299672426	64079683079
Conybears Morrison International	13/05/2013 10:23 AM	02 8244 8888	50 055 972 24
Nordon Jago Architects	13/05/2013 10:37 AM	0295648810	36050045755
Maico Property Services Pty Ltd	13/05/2013 11:12 AM	02 8801 2600	51 141 789 31
Noxon Giffen	13/05/2013 11:18 AM	0292629066	54 109 252 36
Figgis Jefferson	13/05/2013 02:24 PM	(02) 9438 5555	(02) 9438 5555
CHROFI	13/05/2013 02:45 PM	02 8096 8500	ABN 22 365 25
Smith and Tzannes Pty Ltd	13/05/2013 03:10 PM	02 9516 2022	96 142 020 69
Tzannes Associates	13/05/2013 03:16 PM	93193744	54069785655
Conrad Gargett Pty Ltd	13/05/2013 03:49 PM	0732293555	49325121350
Sinclair Knight Merz Pty Ltd	13/05/2013 04:17 PM	(02) 9032 1840	37 001 024 09
Bijl Architecture	13/05/2013 04:48 PM	61425264283	22 154 347 86
Greenbox Architecture	14/05/2013 08:56 AM	80698930	79 139 779 09
Daryl Jackson Robin Dyke Architects	14/05/2013 10:14 AM	93192955	48942921969
Kennedy Consultants Pty Ltd T/A	14/05/2013 02:41 PM	02 9557 6466	ABN 90 093 05
Nicholas Associates Architects Pty Ltd	15/05/2013 10:51 AM	612 9369 3546	69073774071
DesignInc Sydney	15/05/2013 11:24 AM	02 8509 7100	
Warren and Mahoney Architects	15/05/2013 01:21 PM	6499165690	1437879
E H Stonemasonry Services Pty Ltd	15/05/2013 03:14 PM	02 43 697555	47003258142
Woodhead	16/05/2013 12:00 PM	61 2 9964 9500	
JPAD Australia Pty Ltd	16/05/2013 01:03 PM	92112212	32 100 865 585
Graphite Architects	16/05/2013 05:04 PM	02 8011 0710	ABN 42113751
TompkinsMDA Architects	17/05/2013 12:31 PM	0292626277	89104211412
Beraldo Design	20/05/2013 01:18 PM	02 92816177	02 92816177
Perumal Pedavoli Pty Ltd	20/05/2013 02:23 PM	02 9291 0000	39 000 971 924
Kann Finch Group Pty Ltd	20/05/2013 05:59 PM	0410 474 939	251139614798
Ancher Mortlock & Woolley	21/05/2013 10:29 AM	0282189100	
T+E Architects Pty Ltd	21/05/2013 10:49 AM	02 9416 6606	60053389629
Cant Didden Pty Ltd	21/05/2013 12:23 PM	61 2 94188633	41 508 959 551
Scientific Interiors	21/05/2013 02:26 PM	02 9554 9957	11 070 741 543
Custance	21/05/2013 04:03 PM	02 9339 4700	80091448752
Budden Nangle Michael Hudson	21/05/2013 08:04 PM	02 9906 599	
Graham Brooks and Associates Pty Ltd	22/05/2013 09:45 AM	+61 02 92998600	56073802730
H2o architects Pty Ltd	22/05/2013 10:59 AM	9417 0900	63088273929
OCP Architects	22/05/2013 11:11 AM	02 9552 3800	41002474035
Archmed PL TA David Fleeting Architects	22/05/2013 11:22 AM	0407414755	265051627662
peckvonhartel	22/05/2013 11:45 AM	0292326969	59453647626
DEM (Aust) Pty Ltd	22/05/2013 11:46 AM	02 8966 6000	ABN 92 085 486
Allen Jack+Cottier Architects	23/05/2013 10:34 AM	0293118222	53003782250
Davenport Campbell	23/05/2013 12:24 PM	82335600	33099216841
Billard Leece Partnership	23/05/2013 12:57 PM	03 9656 5024	
Architectural Projects	27/05/2013 08:43 AM	02 93191122	78003526823
Angel Mahchut Pty Ltd	27/05/2013 10:54 AM	02 9901 3999	02 9901 3999

TENDER EVALUATION COMMITTEE MEMBER DECLARATION

Project name: Specialist Consultant Services Panel
RFT number: eRFT/2013/
Project Manager: Kevin Duffy (Operations Manager, Corporate Services, CIS)

I understand:

- that all communication regarding University procurement projects, implied or explicit, with respondents, internal University staff members and any other party is to be directed solely by the Project Manager;
- that I will not provide any party with information as to the RFT process, status, progress or outcome and that all queries received must be directed to the Project Manager;
- the announcement of successful and unsuccessful Respondents may only be made by the Project Manager;
- that any violation of these provisions may constitute a breach of Tendering Procedures, Procurement Policy and the Code of Conduct and may result in disciplinary measures;
- that all RFT responses must be evaluated only on the information provided in the responses;
- that the recommendation of the Tender Evaluation Committee must be endorsed by the University Tender Board before it can be considered finalised; and
- that the Project Manager is obliged to report any perceived contravention to the Director, Audit and Risk Management.

Participant name:

Signature:

ZOE DAVIS


Signature

4/6/13

Date

EXTERNAL INTERESTS DECLARATION (AD HOC)

Project name: Specialist Consultant Services Panel
RFT number:: eRFT/2013/
Project Manager: Kevin Duffy (Operations Manager, Corporate Services, CIS)

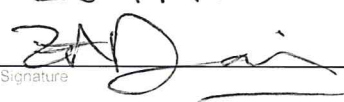
I have read and understood The University of Sydney's External Interests Policy (the Policy), which is available here: http://sydney.edu.au/hr/policydev/external_interests_policy.pdf

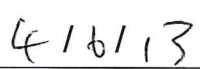
I have (tick only one of the following options below):

- ☒ 1. Not submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, as I do not have any actual, potential or perceived conflicts of interest as defined in the conflict of interest rule.
-
- ☐ 2. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, that has been duly evaluated and:
- ☐ a. the conflict is being managed by an External Interests Conflict Management Plan; or
- ☐ b. I must abstain from the current procurement activity.
-
- ☐ 3. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy that has not been duly evaluated and must abstain from the current procurement activity.

Participant name:

Signature:

ZOE DAVIS

Signature

4/6/13

Date



CONFLICT OF INTERESTS / STANDING DISCLOSURE NOTICE

A new online process for declaring conflicts of interests as required by the [External Interests Policy 2010](#) is under development. In the interim, this form is to be used for declaring conflicts of interests. Information on declaring and managing conflicts of interests is available on the [HR website](#).

Surname: TAWA First Name/s: MICHAEL

Position: PROFESSOR OF ARCHITECTURE Ext: 0402 914 785

Faculty/School/Unit: ARCHITECTURE, DESIGN AND PLANNING

I am declaring a conflict of interests which is: (select 1 of the 3 below)

ACTUAL ☐ POTENTIAL ☐ PERCEIVED ☒

and/or a:

CLOSE PERSONAL RELATIONSHIP ☐

FINANCIAL INTEREST ☐

EXTERNAL INTEREST ☐

Please outline briefly the nature of the conflict/interest

THERE MAY BE PERCEIVED CONFLICT OF INTEREST INVOLVING THREE OF THE LISTED FIRMS:
CHROFI, LAHZ NIMMO ARCHITECTS AND NSW PUBLIC WORKS

THE GROUNDS BEING THAT OCCASIONALLY, PRINCIPALS OF THOSE FIRMS MAY BE INVOLVED IN
TEACHING INTO THE ARCHITECTURE PROGRAM UNDER MY COORDINATION.

FOR INSTANCE, JOHN CHOI (CHROFI), ANDREW NIMMO (LAHZ NIMMO) AND DILLON KOMBUMERRI
(NSW GOVERNMENT ARCHITECT) HAVE OFFERED AND TAUGHT ARCHITECTURAL DESIGN STUDIO
PROJECTS UNDER MY DIRECTION TO THE MARCH STUDENTS

Please outline proposed arrangements for eliminating or managing the conflict/interest (attach separately if appropriate).

STEERING COMMITTEE /PROJECT MANAGER TO REVIEW

I agree:

- (i) to update this disclosure on an annual basis or until such time as the conflict of interest ceases to exist;
- (ii) to cooperate in the development of a conflict of interest management plan, if applicable; and
- (iii) to comply with any conditions or restrictions imposed by the University in order to eliminate or manage the conflict of interest.

Signed:

Date: 14/06/2013

APPROVAL BY EXECUTIVE SUPERVISOR (The Executive Supervisor is the relevant Dean, Director or other chief officer of an administrative unit, Deputy Vice Chancellor or Vice Chancellor).

I have reviewed this disclosure and:

- ☐ I do not believe that the staff member, external appointee or Director has a material personal, financial or external interest that creates a conflict of interest;
- ☐ I do not believe that the conflict of interest has the capacity (or might by a dispassionate observer be seen as having the capacity) to influence the conduct of the staff member, external appointee or Director;
- ☐ I believe that it will be possible to develop and execute a conflict of interest management plan to eliminate or manage the conflict of interest;
- ☐ I have approved the following required action:

Name of Executive Supervisor: _____

Signed: _____ **Date:** _____

Original to relevant University file

Copy to staff member, external appointee or Director concerned

Copy to General Counsel for inclusion on the conflict of interest register (where applicable)



EXTERNAL INTERESTS DECLARATION (AD HOC)

Project name: ARCHITECTURE CONSULTANT SERVICES PANEL

RFx number: erft/2013/231

Project Manager: KEVIN DUFFY

I have read and understood The University of Sydney's External Interests Policy (the Policy), which is available here: http://sydney.edu.au/hr/policydev/external_interests_policy.pdf

I have (tick only one of the following options below):

- ☐ 1. Not submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, as I do not have any actual, potential or perceived conflicts of interest as defined in the conflict of interest rule.
-
- ☐ 2. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, that has been duly evaluated and:
- X a. the conflict is being managed by an External Interests Conflict Management Plan; or
- ☐ b. I must abstain from the current procurement activity.
-
- ☐ 3. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy that has not been duly evaluated and must abstain from the current procurement activity.

Participant name: PROFESSOR MICHAEL TAWA

Signature:

14 / 06 / 2013

Signature

Date

External Interests Declaration (ad hoc)

TENDER EVALUATION COMMITTEE MEMBER DECLARATION

Project name: ARCHITECTURE CONSULTANT SERVICES PANEL
RFx number: erf/2013/231
Project Manager: KEVIN DUFFY

I understand:

- that all communication regarding University procurement projects, implied or explicit, with respondents, internal University staff members and any other party is to be directed solely by the Project Manager;
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- the announcement of successful and unsuccessful Respondents may only be made by the Project Manager;
- that any violation of these provisions may constitute a breach of Tendering Procedures, Procurement Policy and the Code of Conduct and may result in disciplinary measures;
- that all RFT responses must be evaluated only on the information provided in the responses;
- that the recommendation of the Tender Evaluation Committee must be endorsed by the University Tender Board before it can be considered finalised; and
- that the Project Manager is obliged to report any perceived contravention to the Director, Audit and Risk Management.

Participant name: PROFESSOR MICHAEL TAWA



Signature:

14/ 06 /2013

Signature

Date

File Note:-

As a result of extensive conflicts of interest in this procurement process, Trevor Howells has been removed as a TEC member for this procurement process (eRFT/2013/231).

Records of his conflicts are enclosed along with the updated Tender Evaluation Plan.

This decision was made upon advice from the assigned probity advisor and the steering committee in this process.

As the tenders have not yet been released to the TEC, this change will have no effect upon the rest of the evaluation process.

Michael Tawa has replaced Trevor Howells as a representative from the School of Architecture, Planning and Design. He has been appointed as a technical advisor and is also subject to the same conflicts investigations.

Signed



AARON HOLMES | External Procurement Specialist
Campus Infrastructure & Services

THE UNIVERSITY OF SYDNEY

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T +61 2 9351 2053 | F +61 2 9036 5386

E aaron.holmes@sydney.edu.au | W <http://sydney.edu.au>

EXTERNAL INTERESTS DECLARATION (AD HOC)

Project name: Specialist Consultant Services Panel
RFT number:: eRFT/2013/
Project Manager: Kevin Duffy (Operations Manager, Corporate Services, CIS)

I have read and understood The University of Sydney's External Interests Policy (the Policy), which is available here: http://sydney.edu.au/hr/policydev/external_interests_policy.pdf

I have (tick only one of the following options below):

- ☐ ☐ 1. Not submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, as I do not have any actual, potential or perceived conflicts of interest as defined in the conflict of interest rule.
-
2. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy, that has been duly evaluated and:
- ☐ a. the conflict is being managed by an External Interests Conflict Management Plan; or
- ☐ b. I must abstain from the current procurement activity.
-
- ☐ 3. Submitted an External Interests Disclosure Notice (ad hoc) under the External Interests Policy that has not been duly evaluated and must abstain from the current procurement activity.

Participant name:
Signature:

Kevin Duffy
CIS OPERATIONS

17/6/13

Signature

Date

TENDER EVALUATION COMMITTEE MEMBER DECLARATION

Project name: Specialist Consultant Services Panel
RFT number: eRFT/2013/
Project Manager: Kevin Duffy (Operations Manager, Corporate Services, CIS)

I understand:

- that all communication regarding University procurement projects, implied or explicit, with respondents, internal University staff members and any other party is to be directed solely by the Project Manager;
- that I will not provide any party with information as to the RFT process, status, progress or outcome and that all queries received must be directed to the Project Manager;
- the announcement of successful and unsuccessful Respondents may only be made by the Project Manager;
- that any violation of these provisions may constitute a breach of Tendering Procedures, Procurement Policy and the Code of Conduct and may result in disciplinary measures;
- that all RFT responses must be evaluated only on the information provided in the responses;
- that the recommendation of the Tender Evaluation Committee must be endorsed by the University Tender Board before it can be considered finalised; and
- that the Project Manager is obliged to report any perceived contravention to the Director, Audit and Risk Management.

Participant name:
Signature:

Kevin Duffy
CIS OPERATIONS


Signature Date 17/6/13

First Name	Last Name	Panel	Name of tenderer	Summary of declared interests	Actions taken to manage the interests	Status	Steering Committee Notified Y/N
Gareth	Williams	Architecture	NSW Public Works, Gray Puksand, Geyer, Scientific Interiors, DYW Suters & Budden Interiors, DYW Suters & Budden Nangle and Michael Hudson.	Currently managing projects being undertaken at the University by a number of respondents to the Architecture RFT - NSW Public Works, Gray Puksand, Geyer, Scientific Interiors, DYW Suters & Budden Nangle and Michael Hudson.	The associations have been disclosed on the Conflict of Interest disclosure and have been notified to the Procurement Specialist, the Probity Advisor and the Steering Committee. No further action appears warranted other than recording and monitoring the associations. ✓	Monitor perceived conflict and flag any probity issues with advisor if/ as they arise. ✓	Y
Chris	Legge-Wilkinson	Architecture	Tanner Kibble Denton, Anchor Mortloke and Wolley and OCP Architects.	Currently managing projects being undertaken at the University by a number of respondents to the Architecture RFT - Tanner Kibble Denton, Anchor Mortloke and Wolley and OCP Architects.	The associations have been disclosed on the Conflict of Interest disclosure and have been notified to the Procurement Specialist, the Probity Advisor and the Steering Committee. No further action appears warranted other than recording and monitoring the associations. ✓	Monitor perceived conflict and flag any probity issues with advisor if/ as they arise. ✓	Y
Juliette	Churchill	Architecture	Woodhead, HBO	Juliette has disclosed that she was previously employed by one of the respondents to the Architecture RFT prior to 2013. She has also disclosed that she is currently managing a project being undertaken at the University by HBO who has responded to the Architecture RFT.	In relation to the previous employment by Woodhead, Juliette should provide further information in relation to the dates of the previous employment, information on her role at this agency, whether she was involved in a decision making capacity, whether she was involved in preparing the tender response, whether she has had any ongoing discussions with individuals at the agency in relation to the tender response, what the nature of her leaving the organisation was etc which may create a perception of bias in relation to her assessment of this agency in the tender evaluation. <i>Note Applies WD.</i>	Awaiting further information at this stage.	Y
Juliette	Churchill	Architecture	Woodhead	Juliet has disclosed that she was the Associate Director at Woodhead and was involved in a decision making capacity prior to joining the university and prior to the tender being released. She was not involved in Woodheads tender response for this process and has not had any ongoing discussions with the agency relating to this. Juliette resigned this organisation to join the university. This will not bias her decision.	Juliette Churchill will no longer submit an evaluation score for Woodhead.	Still an active TEC member, will not score for Woodhead	Y
Victoria	Bolton	Architecture	Woodhead,	Victoria has disclosed that Woodhead were a previous employer from 2007 to 2013 who responded to the RFT. In addition, Victoria has disclosed that she was seconded to Arina Consulting who are now part of Hayball who also responded to the RFT. • My role included architectural design, room utilization studies and writing reports. I was not involved in business decisions. • ARINA Consulting separated from Woodhead and became a part of Hayball in 2012. • I was not involved with the preparation of this tender response. • I have not had any conversations in regards to this tender response. • I have maintained contact with people from the firm, but this is of a social not professional nature.	Further information would need to be obtained from Victoria in relation to her previous employment at Woodhead such as information at this stage. involved in a decision making capacity, whether she was involved in preparing the tender response, whether she has had any ongoing discussions with individuals at the agency in relation to the tender response, what the nature of her leaving the organisation was etc which may create a perception os bias in relation to her assessment of this agency in the tender evaluation.	Awaiting further information at this stage.	Y
Victoria	Bolton	Architecture	Woodhead,	Woodhead: • I was employed by Woodhead from September 23 2007 – May 15 2013 • I was employed as a Graduate of Architecture in 2007 and became a registered architect in 2010. Throughout this time I worked in the Design Team and not involved in business decisions. • I left Woodhead because I was offered a job at the University of Sydney. • Note: I had not worked at the office since December 18 2012 as I was on sabbatical for 5 months in Tokyo. • I was not involved with the preparation of this tender response. • I have not had any conversations in regards to this tender response. • I have maintained contact with people from the firm, but this is of a social not professional nature.	Victoria Bolton will no longer submit an evaluation score for Woodhead or Hayball.	Still an active TEC member, will not score for Woodhead or Hayball.	Y
Micheal	Tawa	Architecture	CHROFI, LAHZ NIMMO ARCHITECTS AND NSW PUBLIC WORKS	OCCASIONALLY, PRINCIPALS OF THOSE FIRMS MAY BE INVOLVED IN TEACHING INTO THE ARCHITECTURE PROGRAM UNDER MY COORDINATION. FOR INSTANCE, JOHN CHOI (CHROFI), ANDREW NIMMO (LAHZ NIMMO) AND DILLON KOMBUMERRI (NSW GOVERNMENT ARCHITECT) HAVE OFFERED AND TAUGHT ARCHITECTURAL DESIGN STUDIO PROJECTS UNDER MY DIRECTION TO THE MARCH STUDENTS	The associations have been disclosed on the Conflict of Interest disclosure and have been notified to the Procurement Specialist, the Probity Advisor and the Steering Committee. No further action appears warranted other than recording and monitoring the associations.	Monitor perceived conflict and flag any probity issues with advisor if/ as they arise.	Y
Trevor	Howells	Architecture	Unknown	Trevor has advised that he has had previous dealings with some of the respondents to the Architecture RFT and has indicated on the form that this is on the basis of 'close personal relationship', 'financial interest' and 'external interest' but does not specify which interest relates to which tenderer.	Further information would be required in relation to the nature of the close personal relationship and the financial interests in order to determine the impact of this on the evaluation prior to determining the appropriate management strategy for the associations. Trevor should be asked to specifically identify these interests including the name of the tenderers and the nature of the interests. <i>Note Applies WD.</i>	Awaiting further information at this stage.	Y
Trevor	Howells	Architecture	Alexander Tzannes Associates	"acted as a paid consultant for a period of about 15 years. Alec Tzannes also provided unpaid architectural services to me as the architect of the additions and alterations to my previous house in Darlinghurst and in return I provide free consulting services to him for his house in Surry Hills."	This TEC member has been removed from this process.	No longer a TEC member	Y
Trevor	Howells	Architecture	Tanner Kimble Denton	"Personal friend of principal Howard Tanner; no monetary gain involved"	This TEC member has been removed from this process.	No longer a TEC member	Y
Trevor	Howells	Architecture	Stephane Licciardo	"Advising Stephanie on what to do with an historic family portrait, no monetary gain involved"	This TEC member has been removed from this process.	No longer a TEC member	Y
Trevor	Howells	Architecture	Hector Abrahams	"Have employed Hector Abrahams as a part-time occasional lecturer to teach in my postgraduate Heritage Conservation Program – standard University fee paid"	This TEC member has been removed from this process.	No longer a TEC member	Y
Trevor	Howells	Architecture	HBO	"Have recommended graduate students for employment; no monetary gain involved"	This TEC member has been removed from this process.	No longer a TEC member	Y

Trevor	Howells	Architecture	Geolyse Pty Ltd	"Gina Scheer, manager of Heritage branch is a current completing student, will access her thesis this week; no monetary gain involved"	This TEC member has been removed from this process.	No longer a TEC member	Y
Trevor	Howells	Architecture	Urbis	"Personal friend of principal Stephen Davies, Manager of Urbis Heritage, have recommended many of my current & former staff for employment; no monetary gain involved"	This TEC member has been removed from this process.	No longer a TEC member	Y
Trevor	Howells	Architecture	Jackson Teece	"Have acted as a paid consultant over 25 years ago; one of their senior staff gives free lectures in my Program"	This TEC member has been removed from this process.	No longer a TEC member	Y
Trevor	Howells	Architecture	Francis-Jones Morehen	"Have been paid to provide professional advice to Richard Francis-Jones, have written about the Law School for a fee and his staff have provided free lectures to my Program"	This TEC member has been removed from this process.	No longer a TEC member	Y
Trevor	Howells	Architecture	Clive Lucas	"Have employed directors Clive Lucas and Ian Stapleton as a part-time occasional lecturers to teach in my postgraduate Heritage Conservation Program – standard University fee paid"	This TEC member has been removed from this process.	No longer a TEC member	Y
Trevor	Howells	Architecture	Rappoport Pty Ltd	"I think I have acted as a paid consultant over 20 years ago"	This TEC member has been removed from this process.	No longer a TEC member	Y
Trevor	Howells	Architecture	Godden Mackay	"Have employed various staff members as a part-time occasional lecturers to teach in my postgraduate Heritage Conservation Program – standard University fee paid; have recommended various current and previous postgraduate students and graduates for employment"	This TEC member has been removed from this process.	No longer a TEC member	Y
Trevor	Howells	Architecture	Cox Richardson	"Director John Richardson is a member of the executive of Paddington Society who may or may not commission me to write a history of Paddington for a fee"	This TEC member has been removed from this process.	No longer a TEC member	Y
Trevor	Howells	Architecture	Conybeare	"Have acted as a paid consultant over 25 years ago;"	This TEC member has been removed from this process.	No longer a TEC member	Y
Trevor	Howells	Architecture	Smith and Tzannes	"Have acted as a paid consultant over 10 years ago;"	This TEC member has been removed from this process.	No longer a TEC member	Y
Trevor	Howells	Architecture	Ancher Mortlock	"Have interviewed Ken Woolley for University Archives and have participated in public seminar, all unpaid, about his buildings on campus"	This TEC member has been removed from this process.	No longer a TEC member	Y
Trevor	Howells	Architecture	Graham Brooks	"Have recommended many past postgraduate students for employment"	This TEC member has been removed from this process.	No longer a TEC member	Y
Trevor	Howells	Architecture	OCP Architects	"Otto Csherhalmi has provided unpaid lectures to my Program"	This TEC member has been removed from this process.	No longer a TEC member	Y
Trevor	Howells	Architecture	Allen Jack+Cottier	"Was commissioned for a fee to write a book to celebrate their 50th anniversary."	This TEC member has been removed from this process.	No longer a TEC member	Y

APPENDIX C – TRANSFORMATIONAL PROJECTS (DESIGN COMPETITION) EVALUATION PLAN

To be provided upon request due to the commercial sensitivity of the information contained, as evaluations have not yet been finalized.