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TRIM No.: D/2016/270761

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NSW Police Force
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**QUOTATION,
EVALUATION AND
USER GUIDE
FOR PROCUREMENT ACTIVITIES UP TO \$150,000
(QE)**

NSW Police Force (NSWPF)

**RFQ: Consultation on the NSW Police Force Community
Engagement Framework**

COMMAND: Operational Programs

Request for Quote – 001233

Invited Vendors
Dr Nicole Asquith - Western Sydney University & University of Tasmania
Professor Murray Lee - University of Sydney & Western Sydney University
Dr Derek Dalton - Flinders University Team

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PURPOSE

OBJECTIVES

The aim of this Quotation and Evaluation User Guide (QE) is to describe the procedures and the methods to be used for the evaluation of quotations received in response to the Request for Quote (RFQ) and the engagement of a preferred vendor for purchases up to \$150,000 in value. Please note that the amounts listed are AUD and are **exclusive of GST**.

The evaluation of quotes must be carried out with the following objectives:

- select the vendor which satisfies requirements and represents best value-for-money;
- select the vendor within a framework of probity and fair dealing in a rational and defensible manner which is fair and seems to be fair, to all respondents.

This QE will provide the framework within which the Quotation Evaluation Committee (QEC) will determine and recommend the best value-for-money quote which meets NSW Police Force's (NSWPF) requirements as set out in the RFQ.

HOW TO USE THIS DOCUMENT

This document, in its entirety will constitute

- preparation of the RFQ,
- the quotation evaluation review,
- evaluation of responses, and
- approval to enter into contract

Note: Each Table found in this document must be filled out.

Note: The information in each table can be hand written or can be done electronically. This document must be available upon request for a period of up to 7 years.

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1 QUOTATION SETUP

QUOTATION PROCESS TIMELINE

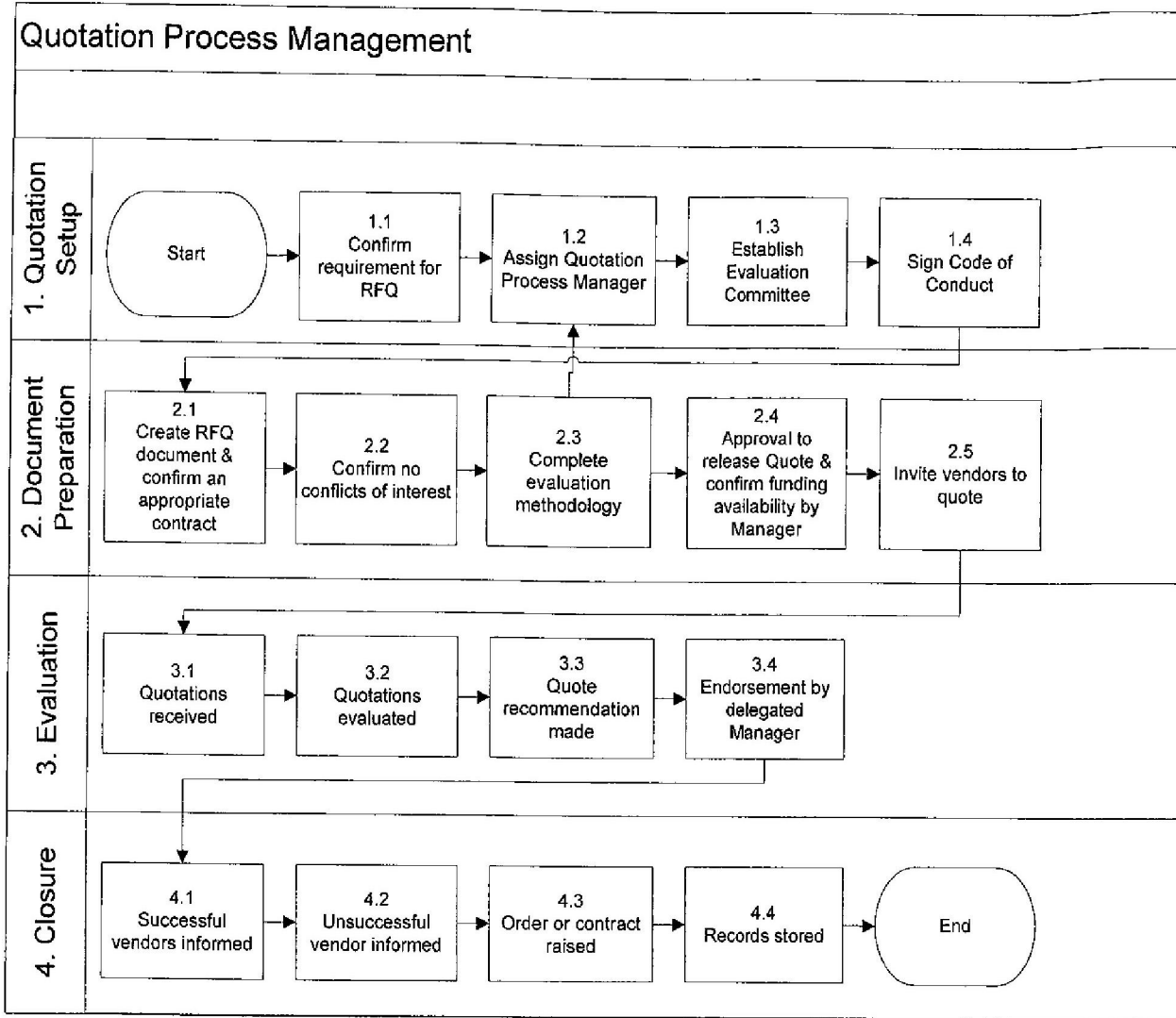
The time taken to complete a RFQ can vary, based on the availability of resources, complexity of the requirement and vendor compliance. A reasonable timeframe would be from one to two months from approval to inviting vendors to the completion of the RFQ process. This is made up of:

- 2 weeks to prepare the RFQ document.
- 2 weeks to allow the vendors time to respond. *(Note that this is a minimum time frame).*
- 1 week to complete the evaluation.
- 1 week to complete the contract, if required.

QUOTATION PROCESS FLOW

The process should follow the flow represented here:

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1.1 CONFIRM REQUIREMENT FOR RFQ

Prior to considering the release of a quotation, confirmation of the requirement to undertake a quote should occur. The NSWPF is obligated to where possible use whole of government agreements. These agreements have been created by the NSW Department of Finance, Services and Innovation (DFSI) and cover a variety of goods and services.

Prior to the preparation of a RFQ or seeking quotation, confirmation that a whole of government contract does not exist for your requirement should occur.

To see a comprehensive list of all whole of government contracts, please visit:

<https://www.procurepoint.nsw.gov.au/before-you-buy/user-guides-nsw-government-arrangements>

If the goods and/or services are not available in the whole of government contracts, please contact Strategic Procurement & Fleet Services (SP&FS) for assistance. SP&FS will check if the goods and/or services are available for purchase under an existing NSWPF contract. Business will initiate the quotation process if there is no existing contract or supply agreement.

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1.2 ASSIGN QUOTATION MANAGER

The management of the quotation process, that is, the preparation of the quote, including documentation and the engagement of the local market will be done by the Command/Department with assistance from a representative from SP&FS.

Approval to proceed with the Quotation Process will be granted by the officer with appropriate general financial delegations (reference to NSWPF Financial Delegations) of the Command/Department and the General Manager, Strategic Procurement & Fleet Services.

Upon approval to proceed to RFQ, the officer with appropriate general financial delegation of the Command/Department must nominate a local resource to act as the Quotation Manager (QM). The responsibilities of the QM are as follows:

1. Prepare the RFQ documentation.
2. Contact SP&FS to obtain the RFQ number.
3. Undertake market research to highlight potential vendors to respond to the RFQ.
4. Prepare the Issue Paper seeking approval to award.
5. Formally invite the vendors to submit a quote response.
6. Manage the evaluation process with assistance from SP&FS.
7. Prepare the evaluation report with assistance from SP&FS.
8. Liaise with SP&FS for any amendment to the terms and conditions of the contract. Changes to terms and conditions of the contract requires approval from the General Manager, SP&FS.
9. Provide contract details to SP&FS for record purpose (SP&FS will enter contract details into ContractMax).
10. Coordinate with the new vendors to deliver the required goods or services.

NOTE: The QM will be required to manage the process from start to finish.

The details of the QM tasked with managing the RFQ are to be included in Table 1:

Table 1 – Quotation Manager (QM) Details	
Name	Title, Department
Jacqueline Braw	Senior Policy Officer, Operational Programs

1.3 ESTABLISHMENT OF A QUOTATION EVALUATION COMMITTEE (QEC)

Prior to the receipt of the quotation responses, a QEC must be established.

The role of the QEC is to represent the contract user(s), provide technical input and review probity aspects throughout the procurement process. In particular, the QEC's role includes:

- Endorse the Quotation, Evaluation and User Guide (QE), including relative weightings given to the evaluation criteria listed in the quote document,
- Undertake an initial assessment of each submission,
- Evaluate the quotation responses in accordance with all relevant criteria, Invite respondents to make detailed presentations, if necessary,
- Identify clarifications required from the respondents,
- Review responses to clarification questions, advisors' analysis, undertake reference checks if required,
- Hold meetings with respondents for clarification purposes, where required,
- Score all submissions against criteria as per agreed methodology,

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- Summarise the assessment results and recommend the respondent or respondents with whom NSWPF/ Procurement should proceed to negotiate a contract,
- Recommend, if appropriate, terms and conditions relating to negotiating with a respondent/s, and

The QEC may utilise the services of technical advisors for elements of the quote. These technical advisors will provide input as required.

The individual(s) that will be tasked with undertaking the QEC should be nominated in Table 2. The QEC must consist of at least two (2) members. The QM should not evaluate the quotation responses and score submissions.

Member Name	Title, Department
Shobha Sharma	Manager, Program Development Team, Operational Programs
Supt Tony Crandell	Corporate Sponsor, Sexuality & Gender Diversity
Dr Chris Devery	Manager, Research Coordination Unit, Education & Training Command

1.4 SIGN CODE OF CONDUCT

To ensure that the Request for Quotation is done in an equitable and ethical manner with integrity and honesty, all members of the Quotation Evaluation Committee needs to read the document and sign Table 3 – Quotation Evaluation Committee Agreement Sign-off.

If there are any issues associated with the requirements to participate in the Quotation Evaluation Process, liaise with the Strategic Procurement & Fleet Services representative.

The following Code of Conduct requirements must be adhered to:

1.4.1 Application

This Code applies to all persons involved in performing functions for the assessment and acceptance of quotes. It is complementary to, not a substitute for, other codes of conduct or ethics with which you may have a responsibility to comply with when performing other roles or functions.

NSWPF quoting processes aim to ensure that the most suitable contractor is selected. The processes are based on three principles: - PROBITY, FAIRNESS and VALUE FOR MONEY. This Code is designed to assist people involved in the assessment and acceptance of quotes to behave with honesty, make their decisions or recommendations fairly and ensure that the NSWPF selects its vendor on the basis of value for money.

1.4.2 Conflicts of interest

The need for the utmost impartiality cannot be overemphasised. QEC members must disclose to the General Manager of Strategic Procurement & Fleet Services their awareness of any possible or actual conflict of interest or incompatibility between their quote evaluation duties and their personal or private lives. Depending on the significance of your interest you may not be able to take further part in the quoting process.

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1.4.3 Use of confidential information

QEC members are advised that all information contained in the supplied quotation responses must be treated as commercial-in-confidence. Such information must be kept secure and is not to be disclosed to any other vendor or third party or to any person in the public sector who has no official interest in the quote assessment or selection process. A breach of confidentiality may be unlawful and may have serious consequences. The requirement for confidentiality will not cease with award of the agreements.

Members of the QEC should seek advice from the SP&FS Representative when clarification of quote responses may be required.

DECLARATION OF AGREEMENT TO THE QE AND THE CODE OF CONDUCT

Prior to undertaking the RFQ, each member of the QEC is required to review this whole document prior to signing below. Each QEC member must sign in Table 3 that they endorse the QE and will abide by the Code of Conduct.

Table 3 - Quotation Evaluation Committee Agreement Sign-off			
<i>I endorse this QE for use and declare that I have read the above Code of Conduct in Section 1.4, understand what it means and agree to always behave as it directs when performing functions relating to the subject quoting processes. I will contact SP&FS if I do not understand the details of the Code of Conduct or have concerns about breaches of the Code of Conduct.</i>			
Name:	Role	Signature	Date
Jacqueline Braw	Quotation Manager & Evaluation Member	[Redacted]	19/7/16
Shobha Sharma	Evaluation Member	[Redacted]	19/7/16
Supt Tony Crandell	Evaluation Member	[Redacted]	18/7/16
Dr Chris Devery	Evaluation Member	[Redacted]	22/7/16
Supt Brad Shepherd	Commander/ Approver	[Redacted]	20.7.16

MAINTENANCE OF RECORDS

The QM will be responsible for documenting all necessary auditable evaluation and decision-making information and correspondence.

The Command/Department and Strategic Procurement & Fleet Services will retain one (1) copy each of all information relevant to the quote evaluation process. The information is required to be maintained in accordance with procurement policy and commercial requirements.

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2 PREPARING THE RFQ DOCUMENT

RFQ templates have been created by Strategic Procurement & Fleet Services. Only these templates can be used for the RFQ Process.

The templates are as follows:

1. NSWPF RFQ Template.doc
2. Supply Agreement suitable for low risk value projects (or another contract based on advice from SP&FS)

These templates will be supplied by the SP&FS representative. The SP&FS representative will assist in preparing the required documents with the QM.

2.1 CREATE RFQ DOCUMENT & CONFIRMING AN APPROPRIATE CONTRACT

If there is any doubt about the process or the activities required to invite quotation responses, please contact the SP&FS nominated resource for assistance. Advice should be sought from SP&FS in relation to the requirement for a contract. The contract template should be included in the quotation documentation that will be provided to vendors.

2.2 CONFLICTS OF INTEREST WITH THE INVITED VENDORS

To ensure complete transparency of the RFQ process, each QEC member is required to supply information about any non-work related engagements or relationships that they may have with potential / actual Respondents. Areas of focus should be personal relationships (family member, friends), business relationships (either directly related to the Respondent company or other businesses) and any associations that a QEC member and the Respondent may be members of.

If there is a potential or actual conflict of interest, seek advice from the SP&FS representative on how to proceed. The Conflict of Interest should also be recorded in Table 4 – Conflicts of Interest. In most instances, it will result in the QEC member being removed or another Respondent being invited. If there is no known conflict of interest, a NIL entry should be made.

Member Name	Vendor Name	Conflicts of Interest	Signature
Jacqueline Braw	NIL	NIL	
Shobha Sharma	NIL	NIL	
Supt Tony Crandell	NIL.	NIL.	
Dr Chris Devery	NIL	NIL	

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2.3 EVALUATION METHODOLOGY

Evaluation on Request for Quotation Compliance

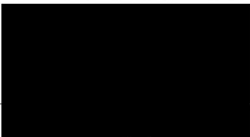
A review of their quotation response should take place. To complete this, an evaluation criteria based on the table below should be completed. The Table 5 – Evaluation Criteria should be prepared by Evaluation Members, with endorsement from the Commander/Manager prior to the expiry of the quotation validity period. The Raw Score will be scored from 1 to 5. (1 = poor, 2 = substandard, 3 acceptable, 4 = good, 5 = excellent).

Table 5 - EVALUATION CRITERIA				
CRITERIA	WEIGHTING	RAW SCORE	WEIGHTED SCORE	COMMENTS
Proposed solution meets requirement of RFQ 001286	10%			
Demonstrated capability to provide services, including support, of comparable complexity and size	20%			
Demonstrated experience in supply of similar services within Australia	30%			
Demonstrated objectivity to ensure an independent evaluation is conducted	20%			
Value for money	10%			
Capacity to obtain and maintain a security clearance as determined by the NSW Police Force at the level appropriate to the position held and/or information/data accessed	10%			

2.4 COMMANDER/MANAGER APPROVAL TO RELEASE THE RFQ AND CONFIRM FUNDING AVAILABILITY

Prior to the release of the RFQ to the market, the Commander/Manager is required to endorse the documentation that has been prepared. The Commander/Manager has to confirm that funding is available for the procurement of goods or services. The endorsement acknowledges that the RFQ reflects the requirements of the Command/Department for the engagement of a vendor and confirms funding availability.

The Commander/Manager is required to sign Table 6 – Commander/Manager RFQ endorsement prior to releasing the RFQ document.

Table 6 – Commander/Manager RFQ endorsement		
I have reviewed and endorsed the RFQ, QE documentation and the Simple RFQ Evaluation of Response Template that have been prepared and confirmed that they are an appropriate reflection of the requirements this Command/Department has in the engagement of a vendor. I confirm that funding is available for the procurement of goods or services.		
Commander/Manager Name:	Commander/Manager Signature:	Date:
Ch Supt Brad Shepherd		20.7.16

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1.9 VENDORS INVITED TO SUBMIT A QUOTATION RESPONSE

To comply with NSW Government procurement best practice, there is a requirement to invite at least three vendors to submit a quote response.

Ensure that you record the names, addresses and contact phone numbers of the vendor(s) that you have invited in Table 7 – Invited Vendor(s) List.

Prior to the release of the RFQ, you will be required to undertake a Conflicts of Interest Review, as outlined in Table 4.

When the RFQ has been prepared and is ready for release, contact the vendor and inform them that they have been invited to submit a Quotation Response. Obtain confirmation of their intention to response to the RFQ.

A copy of the Quotation documentation must be supplied to the vendor. This can only be done by emailing a soft copy. Ensure that you maintain an email record (archive the sent email).

The RFQ documentation is emailed to each vendor at the same time. Send the e-mail to yourself in the 'To' section and ensure that the vendors' email addresses are in the **BCC** section, so that the vendors cannot see who else has been invited to submit a quotation response.

No.	Vendor Name	Address	Phone Number & email	Vendor Contact	Date RFQ supplied
1	Western Sydney University & University of Tasmania	Western Sydney University	N.Asquith@westernsydney.edu.au Angela.Dwyer@UTAS.edu.au 02 9772 6102	Dr Nicole Asquith	22/7/16
2	University of Sydney & Western Sydney University	Sydney Law School, University of Sydney	Murray.Lee@sydney.edu.au [REDACTED]	Professor Murray Lee	22/7/16
3	Flinders University Team	Flinders University	Narmon Tulsi Narmon.tulsi@flinders.edu.au 08 8201 5285 (for Dr Derek Dalton)	Narmon.tulsi@flinders.edu.au	22/7/16

When you have contacted the vendor, make sure that you document the date that you contacted them and who you spoke to.

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2 QUOTATION PROCESS CLOSURE

The evaluation of the RFQ responses can commence once the Quotation closure date has been met. Prior to commencing Quotation Evaluations, ensure that you record in Table 7 – Quotations Received, which vendor responded and on what date.

No	Vendor Name	Quotation Received (Yes or No)	Date Received
1.	Western Sydney University & University of Tasmania	Yes	5/8/16
2.	University of Sydney & Western Sydney University	Yes	5/8/16
3.	Flinders University Team	Yes	4/8/16

If a vendor delivers a Quotation Response past the due date, then there is no obligation on the QEC to review the response. Contact the nominated SP&FS person and seek advice on how to proceed.

All vendor(s) requests to amend the standard terms and conditions of the agreement must be referred to SP&FS Representative for review and endorsement before making recommendations to award the contract.

Recommendations, Acceptance and Notification

The QM will finalise all the documents located in the Appendix and will supply the document, with the recommendation from the Quotation Evaluation Process to the SP&FS Representative for review and endorsement. Once that endorsement has been offered, the Commander/Manager will sign off in agreement to the recommendation.

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QEC RECOMMENDATION

Based on the information supplied within this document, the vendor nominated in Table 8 - Preferred Vendor is the successful vendor.

Table 8 - Preferred Vendor
Flinders University Team
Reason for Selection
This RFQ was amongst the most comprehensive and detailed, provided very good value for money and provided the highest level of assurance of objectivity in completing the project.

This decision is endorsed by the members of the QEC as outlined in Table 9- Endorsement.

Table 9 - QEC Endorsement			
Name:	Role	Signature	Date
Jacqueline Braw	Quotation Manager & Evaluation Member	[REDACTED]	22/8/16
Shobha Sharma	Evaluation Member	[REDACTED]	22/8/16
Supt Tony Crandell	Evaluation Member	[REDACTED]	22/8/16
Dr Chris Devery	Evaluation Member	[REDACTED]	22/8/16

This decision is supported by the Commander/Manager of the QEC as outlined in Table 10 - Supported. Approval is also granted to enter into contract with the preferred vendor.

Table 10 - Commander/Manager Endorsement/Approval to enter into contract			
Name:	Role	Signature	Date
Chief Supt Bradley Shepherd	Commander	[REDACTED]	22.8.16

Contract Execution

Once approval has been granted to proceed to contract preparation, Strategic Procurement & Fleet Services will prepare the Agreement. Upon execution of the Agreement, a copy will be supplied to the Command/Department and to the successful vendor.

Following approval of contract award, the QM will notify all unsuccessful vendors of the outcome of the quote.

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APPENDIX A – QUOTATION PROCESS CHECKLIST

QUOTATION PROCESS CHECK SHEET

Prior to the release of the quotation, ensure that all activities highlighted in the checklist have been completed. Use Table 11 as guide to ensure that all required activities are completed.

Table 11 – Quotation Process Check Sheet			
Quotation process Check Sheet			
No.	Activity to be completed	Action	Completed
1.	The QE document must be traceable and is able to access by any relevant Command/Department/SP&FS.	Command/Department to obtain a TRIM number for the QE document.	<input checked="" type="checkbox"/>
2.	RFQ Template documents to be supplied to Command/Department for preparation of specific information including Service Level Review and the relevant contractual agreement.	Command/Department to contact SP&FS requesting template documents and the RFQ number (generated from ContractMax).	<input checked="" type="checkbox"/>
3.	Undertake research to nominate three (minimum) vendors that can be invited to supply a quote.	Department/Command to nominate three (minimum) vendors.	<input checked="" type="checkbox"/>
4.	Review of final RFQ which include Command/Department specific information	Command/Department to provide to SP&FS for review and approval.	<input checked="" type="checkbox"/>
5.	Approval from the Commander/Manager for release of the final RFQ document and confirm funding availability.	Endorsement by the Commander/Manager to release the RFQ and confirm funding availability.	<input checked="" type="checkbox"/>
6.	Supply of RFQ document to nominated vendors	QM to supply copies of RFQ documents to vendors.	<input checked="" type="checkbox"/>
7.	Contact vendor to confirm receipt of RFQ document	QM to contact vendors	<input checked="" type="checkbox"/>
8.	Vendor clarifications (if required)	QM to provide a response to any queries that the vendor has.	<input checked="" type="checkbox"/>
9.	Receive RFQ submissions from the invited vendors	QM to receive submissions.	<input checked="" type="checkbox"/>
10.	The vendors' responses are evaluated.	QM to coordinate with the QEC to evaluate the vendor responses.	<input checked="" type="checkbox"/>
11.	Based on the results of the evaluation, the QEC will recommend the preferred vendor.	QEC to recommend the preferred vendor and the decision will be endorsed by the QEC, QM, Commander/Manager and General Manager SP&FS.	<input checked="" type="checkbox"/>
12.	The contract will be executed as soon as the decision is fully endorsed by the relevant parties.	QM to contact SP&FS to prepare the Agreement. QM will notify the unsuccessful vendors on the results of the RFQ.	<input type="checkbox"/>

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Murray et al				
CRITERIA	WEIGHTING	RAW SCORE	WEIGHTED SCORE	COMMENTS
Proposed solution meets requirement of RFQ	10%	2.5	5	Application was threadbare and contained too much information we already provided. The detail of the proposal was unclear.
Demonstrated capability to provide services, including support, of comparable complexity and size	20%	5	20	Lead researcher is a criminologist and there are legal qualifications in the team. Tomsen is most well known researcher in this area.
Demonstrated experience in supply of similar services within Australia	30%	5	30	Yes.
Demonstrated objectivity to ensure an independent evaluation is conducted	20%	2	8	There is an association with Sydney University and NSWPF. One of the team – Tomsen – has an undisclosed association. There is no evidence in the RFQ declaring and dealing with this association.
Value for money	10%	4	8	Whilst this RFQ seems to represent good value for money there is very little detail describing what tasks will take place making it very difficult to assess value for money.
Capacity to obtain and maintain a security clearance as determined by NSWPF at the appropriate level	10%	5	10	Yes.
TOTALS	100%	23.5	81	

Asquith et al				
CRITERIA	WEIGHTING	RAW SCORE	WEIGHTED SCORE	COMMENTS
Proposed solution meets requirement of RFQ	10%	5	10	Application is detailed and substantial.
Demonstrated capability to provide services, including support, of comparable complexity and size	20%	5	20	The team detailed is capable of providing required services.
Demonstrated experience in supply of similar services within Australia	30%	5	30	Yes.
Demonstrated objectivity to ensure an independent evaluation is conducted	20%	4	16	One University – Western Sydney – does work for NSWPF. This association and a potential association/conflict dating some years back were declared and dealt with in the application.
Value for money	10%	2	4	This RFQ was significantly more costly than the other two RFQs received. Comparing this RFQ with at least one other, there does not seem to be a justification for the additional cost. Therefore, this RFQ is less value for money.
Capacity to obtain and maintain a security clearance as determined by NSWPF at the appropriate level	10%	5	10	Yes.
TOTALS	100%	26	90	

Dalton et al				
CRITERIA	WEIGHTING	RAW SCORE	WEIGHTED SCORE	COMMENTS
Proposed solution meets requirement of RFQ	10%	5	10	Application is detailed and substantial.
Demonstrated capability to provide services, including support, of comparable complexity and size	20%	5	20	The team detailed is highly credible and capable of providing required services, includes a legally trained member, enhancing the capability to deal with all legal aspects.
Demonstrated experience in supply of similar services within Australia	30%	5	30	Yes.
Demonstrated objectivity to ensure an independent evaluation is conducted	20%	5	20	This team is from outside NSW and demonstrates the most objectivity of all RFQs.
Value for money	10%	5	10	Very good value for money given the span of research (which is longer) and the stated generous discount.
Capacity to obtain and maintain a security clearance as determined by NSWPF at the appropriate level	10%	5	10	Yes.
TOTALS	100%	30	100	

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