



**ACT**  
Government

Chief Minister, Treasury and  
Economic Development

## Freedom of Information Publication Coversheet

The following information is provided pursuant to section 28 of the *Freedom of Information Act 2016*.

FOI Reference: CMTEDDFOI 2022-251

Information to be published	Status
1. Access application	Published
2. Decision notice	Published
3. Documents and schedule	Published
4. Additional information identified	No
5. Fees	Waived
6. Processing time (in working days)	209
7. Decision made by Ombudsman	N/A
8. Additional information identified by Ombudsman	N/A
9. Decision made by ACAT	N/A
10. Additional information identified by ACAT	N/A

**From:** [REDACTED]  
**To:** [CMTEDD.FOI](#)  
**Cc:** [REDACTED]  
**Subject:** FOI Request | Tender Documents  
**Date:** Monday, 15 August 2022 4:01:59 PM

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Good Afternoon,

**RE: FOI REQUEST – TENDER DOCUMENTS**

I write to request under the *Freedom of Information Act 2016* a copy of any tender documents including but not limited to tender evaluation reports and or/approvals, business cases, and tender response relating to tender: **ATN 28499**

For further clarification, you can find the tender here: [Display ATN 28499 \(act.gov.au\)](#)

I would like my request to include any Ministerial briefs, including attachments, and Ministerial correspondence including emails and letters.

I ask that my request be transferred to other entities that may hold relevant information. Duplicate documents may be excluded.

Should you require any further information or clarification about my request, please contact [REDACTED]

Best,





**ACT**  
Government

Chief Minister, Treasury and  
Economic Development

Our ref: CMTED 2022-251



## FREEDOM OF INFORMATION REQUEST

I refer to your application under section 30 of the *Freedom of Information Act 2016* (the Act), received by the Chief Minister, Treasury and Economic Development Directorate (CMTEDD) on 15 August 2022, in which you sought access to:

*I write to request under the Freedom of Information Act 2016 a copy of any tender documents including but not limited to tender evaluation reports and or/approvals, business cases, and tender response relating to tender: ATN 28499 For further clarification, you can find the tender here: [Display ATN 28499 \(act.gov.au\)](#)*

*I would like my request to include any Ministerial briefs, including attachments, and Ministerial correspondence including emails and letters.*

On 6 October 2022, given the volume of documents you agreed to a staged release.

On 7 February 2023, you agreed to a rescope of the request to:

*Documents relating to the evaluation of short-listed companies for tender 28499.*

### Authority

I am an Information Officer appointed by the Director-General under section 18 of the Act to deal with access applications made under Part 5 of the Act.

### Timeframes

In accordance with section 40 of the Act, CMTEDD was required to provide a decision on your access application by 4 October 2022, unless otherwise negotiated. On 6 October 2022, following consultation with you a staged approach to the release of the information was agreed within the time frame of the Act being not more than 12 Months.

### Decision on access

Searches were completed for relevant documents and 20,770 pages across 9 Folios were identified that fall within the scope of your request.

I have included as **Attachment A** to this decision the schedule of relevant documents. This provides a description of each document that falls within the scope of your request and the access decision for each of those documents.

I have decided to refuse access to Folios 2-9 and components of Folio 1 as I consider them to be:

- contrary to the public interest information under schedule 1; or
- information that would, on balance, be contrary to the public interest to disclose under the test set out in section 17 of the Act.

My access decisions are detailed further in the following statement of reasons and the documents released to you are provided as **Attachment B** to this letter.

In accordance with section 54(2) of the Act a statement of reasons outlining my decisions is below.

### **Statement of Reasons**

In reaching my access decisions, I have taken the following into account:

- the Act;
- the content of the documents that fall within the scope of your request;
- the views of third parties consulted;
- *ACT Ombudsman Freedom of Information (Volume 4 - Considering the public interest) Guidelines 2020* ([NI2020-371](#));
- the *Information Privacy Act 2014*;
- the *Human Rights Act 2004*; and,
- information already publicly available:
  - <https://www.tenders.act.gov.au/contract/view?id=173365>

### **Exemptions claimed**

My reasons for deciding not to grant access to the identified documents and components of these documents are as follows:

#### Public Interest

In *Hogan v Hinch* (2011) 243 CLR 506, [31] French CJ stated that when ‘used in a statute, the term [public interest] derives its content from “the subject matter and the scope and purpose” of the enactment in which [public interest] appears’. Section 17(1) of the Act sets out the test, to be applied to determine whether disclosure of information would be contrary to the public interest. These factors are found in subsection 17(2) and Schedule 2 of the Act. Taking into consideration the information contained in the documents found to be within the scope of your request, I have identified that the following public interest factors are relevant to determine if release of the information contained within these documents is within the ‘public interest’.

The Act has a presumption in favour of disclosure. As a decision maker I am required to decide where, on balance, public interest lies. As part of this process, I must consider factors favouring disclosure and nondisclosure.

Section 17(1) of the Act sets out the test, to be applied to determine whether disclosure of information would be contrary to the public interest. These factors are found in subsection 17(2) and Schedule 2 of the Act.

Taking into consideration the information contained in the documents found to be within the scope of your request, I have identified that the following public interest factors are relevant to determine if release of the information contained within these documents is within the 'public interest'.

Factors favouring disclosure in the public interest under Schedule 2 s2.1:

*(a) disclosure of the information could reasonably be expected to do any of the following:*

*(ii) promote open discussion of public affairs and enhance the government's accountability.*

*(iii) contribute to positive and informed debate on important issues or matters of public interest.*

*(iv) ensure effective oversight of expenditure of public funds.*

This information concerns the procurement of services. I consider release of this information could reasonably be expected to promote discussion of public affairs and the government's accountability regarding the expenditure of public funds. Accordingly, I weight these factors for disclosure highly.

I am satisfied that there is public interest in this tender process and the release of this information would help to stimulate positive and informed debate on issues of importance to the public in addition to promoting due diligence of the tender process.

I note the Act has an express pro-disclosure bias which reflects the importance of public access to government information for the proper working of a representative democracy. This concept is promoted through the objects of the Act. I have considered this overarching concept in making my decision in relation to access.

Factors favouring nondisclosure in the public interest Schedule 2 s2.2:

*(a) disclosure of the information could reasonably be expected to do any of the following:*

*(ii) prejudice the protection of an individual's right to privacy or any other right under the Human Rights Act 2004.*

*(xi) prejudice trade secrets, business affairs or research of an agency or person.*

*(xii) prejudice an agency's ability to obtain confidential information.*

*(xiii) prejudice the competitive commercial activities of an agency.*

I consider that the protection of an individual's right to privacy, especially during business with the ACT Government is a significant factor as the parties involved have provided their personal contact information for the purposes of working with the ACT Government. I have considered this information and in my opinion the protection of these individuals' personal details (such as names of consultants and personal details which may not be publicly available) outweighs the benefit which may be derived from releasing them. I consider that these individuals are entitled to expect that the personal information they have supplied to the ACT Government will be dealt with in a manner that protects their privacy.

I have also considered the impact of disclosing information which relates to business affairs. In the case of *Re Mangan and The Treasury [2005] AATA 898* the term 'business affairs' was interpreted as meaning 'the totality of the money-making affairs of an organisation or undertaking as distinct from its private or internal affairs'. Schedule 2 section 2.2(a)(xi) allows for government information to be withheld from release if disclosure of the information could reasonably be expected to prejudice the trade secrets, business affairs or research of an agency or person.

This includes documents provided by companies containing commercially sensitive information involving pricing models, business methodologies, processes as well as the assessments completed on those companies that participated in the request for proposal, the contents of which is not in the public interest.

I consider release of this information could unreasonably cause harm to the businesses involved by providing commercial information to competitors. I am satisfied that release of this information would, or could, have significant impact on the business affairs of an entity identified as this information is not publicly available.

The parties involved in this procurement have done so with the expectation of confidentiality, trusting that the ACT Government will not disclose their tender submission details. This trust, if broken, would, or could, reasonably be expected to prejudice an agency's ability to obtain confidential information from private sector suppliers of goods and services to the ACT Government.

Additionally, revealing the weighting percentages of criteria in a tender would, or could lead to misleading responses of future potential candidates, prejudicing the commercial activities of an agency in obtaining the best offer available for the ACT.

Having applied the test outlined in section 17 of the Act and deciding that release of personal and business information contained in the documents is not in the public interest to release, I have chosen to redact this specific information in accordance with section 50(2). Noting the pro-disclosure intent of the Act, I am satisfied that redacting only the information that I believe is not in the public interest to release will ensure that the intent of the Act is met.

Folios 2 to 9 of the identified documents contain information that I consider, on balance, to be contrary to the public interest to disclose under the test set out in section 17 of the Act.

### **Charges**

Fees for this access application are waived under section 107(2)(e) of the Act.

### **Online publishing – Disclosure Log**

Under section 28 of the Act, CMTEDD maintains an online record of access applications called a disclosure log. Your original access application, my decision and documents released to you in response to your access application will be published in the CMTEDD disclosure log after 23 June 2023. Your personal contact details will not be published.

You may view CMTEDD disclosure log at  
<https://www.cmtedd.act.gov.au/functions/foi/disclosure-log-2023>.

### **Ombudsman Review**

My decision on your access request is a reviewable decision as identified in Schedule 3 of the Act. You have the right to seek Ombudsman review of this outcome under section 73 of the Act within 20 working days from the day that my decision is published in CMTEDD disclosure log, or a longer period allowed by the Ombudsman.

We recommend using this form [Applying for an Ombudsman Review](#) to ensure you provide all of the required information. Alternatively, you may write to the Ombudsman at:

The ACT Ombudsman  
GPO Box 442  
CANBERRA ACT 2601

Via email: [actfoi@ombudsman.gov.au](mailto:actfoi@ombudsman.gov.au)

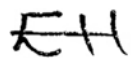
### **ACT Civil and Administrative Tribunal (ACAT) Review**

Under section 84 of the Act, if a decision is made under section 82(1) on an Ombudsman review, you may apply to the ACAT for review of the Ombudsman decision. Further information may be obtained from the ACAT at:

ACT Civil and Administrative Tribunal  
15 Constitution Avenue  
GPO Box 370  
Canberra City ACT 2601  
Telephone: (02) 6207 1740  
<http://www.acat.act.gov.au/>

Should you have any queries in relation to your request please contact me by telephone on 6207 7754 or email [CMTEDDFOI@act.gov.au](mailto:CMTEDDFOI@act.gov.au).

Yours sincerely



Emma Hotham  
Information Officer  
Information Access Team  
Chief Minister, Treasury and Economic Development Directorate

20 June 2023



**ACT**  
Government

Chief Minister, Treasury and  
Economic Development

## FREEDOM OF INFORMATION REQUEST SCHEDULE

WHAT ARE THE PARAMETERS OF THE REQUEST	Reference NO.
Evaluation Documentation related to RFP 28499. 112	2022-251

Folio no	Page number	Description	Date	Status	Reason for Exemption	Online Release Status
1		Evaluation report				
	1	Attachment A - Proposal Evaluation Report	24/8/2018	Partial	Sch 2 s2.2 (a)(ii) Sch 2 s2.2 (a)(xi) Sch 2 s2.2 (a)(xii) Sch 2 s2.2 (a)(xiii)	Yes
	28	Attachment A - Proposal Evaluation Report -SIGNED	24/8/2018- 31/8/2018	Partial	Sch 2 s2.2 (a)(ii) Sch 2 s2.2 (a)(xi) Sch 2 s2.2 (a)(xii) Sch 2 s2.2 (a)(xiii)	Yes
	54	Attachment A - Proposal Evaluation Report -Signed by UT	18/9/2018	Partial	Sch 2 s2.2 (a)(ii) Sch 2 s2.2 (a)(xi) Sch 2 s2.2 (a)(xii) Sch 2 s2.2 (a)(xiii)	Yes
	84	Attachment A - Proposal Evaluation Report - Attachment A - Procurement Plan Minute	3/8/2017	Partial	Sch 2 s2.2 (a)(ii) Sch 2 s2.2 (a)(xiii)	Yes
	90	Attachment A - Proposal Evaluation Report - Attachment B - Response HRIMS RFP	24/1/2018	Partial	Sch 2 s2.2 (a)(ii) Sch 2 s2.2 (a)(xi)	Yes
	91	Attachment A - Proposal Evaluation Report - Attachment C - Evaluation Plan	-	Partial	Sch 2 s2.2 (a)(ii) Sch 2 s2.2 (a)(xiii)	Yes
	109	Attachment A - Proposal Evaluation Report - Attachment D - Evaluation Plan Re-alignment	1/3/2018	Partial	Sch 2 s2.2 (a)(ii)	Yes
	115	Attachment A - Proposal Evaluation Report - Attachment E - Compliance and Conformance Report	2/2/2018	Partial	Sch 2 s2.2 (a)(ii) Sch 2 s2.2 (a)(xiii)	Yes
	118	Attachment A - Proposal Evaluation Report - Attachment F - LIPP Evaluation Worksheet	-	Partial	Sch 2 s2.2 (a)(xi) Sch 2 s2.2 (a)(xiii)	Yes
	138	Attachment A - Proposal Evaluation Report - Attachment G - HRIMS Procurement Risk Management Plan	-	Partial	Sch 2 s2.2 (a)(xiii)	Yes
	173	Attachment A - Proposal Evaluation Report - Attachment H - Demonstration Agenda	23/4/2018	Full		Yes



	175	Attachment A - Proposal Evaluation Report - Attachment I - Demonstration Notice - HRIMS	23/3/2018	Partial	Sch 2 s2.2 (a)(ii) Sch 2 s2.2 (a)(xi)	Yes
	179	Attachment A - Proposal Evaluation Report - Attachment J - HRIMS User Stories - 230318	23/3/2018	Partial	Sch 2 s2.2 (a)(xiii)	Yes
	270	Attachment A - Proposal Evaluation Report - Attachment K - RFP_28499.112 Risk register v0.22	-	Exempt	Sch 2 s2.2 (a)(xi) Sch 2 s2.2 (a)(xiii)	No
	306	Attachment A - Proposal Evaluation Report - Attachment L - Supplementary Demonstration Agenda	3/7/2018	Full		Yes
	307	Attachment A - Proposal Evaluation Report - Attachment M - Supplementary Demonstration Notice	19/6/2018	Partial	Sch 2 s2.2 (a)(ii) Sch 2 s2.2 (a)(xi)	Yes
	310	Attachment A - Proposal Evaluation Report - Attachment N - Supplementary User Stories - 180618	18/6/2018	Partial	Sch 2 s2.2 (a)(xiii)	Yes
	340	Attachment A - Proposal Evaluation Report - Attachment O - Reference Check Template	-	Partial	Sch 2 s2.2 (a)(xi)	Yes
	347	Attachment A - Proposal Evaluation Report - Attachment P - Qualitative Assessment	-	Partial	Sch 2 s2.2 (a)(ii) Sch 2 s2.2 (a)(xiii)	Yes
	401	Attachment A - Proposal Evaluation Report - Attachment Q - Draft Schedule Contract Negotiation	-	Exempt	Sch 2 s2.2 (a)(xiii)	No
	445	Attachment B - HRIMS Risk Register	-	Partial	Sch 2 s2.2 (a)(xiii)	Yes
	480	Attachment C - Approach to market approved by UT	7/8/2017	Partial	Sch 2 s2.2 (a)(ii) Sch s 2.2(a)(xiii)	Yes
	482	HRIMS Program – Approach to Market - Phase 2 -Minute -draft	24/8/2018	Partial	Sch 2 s2.2 (a)(ii)	Yes
	485	HRIMS Program – Approach to Market - Phase 2 -Minute -Signed	17/9/2018	Partial	Sch 2 s2.2 (a)(ii)	Yes
	488-490	HRIMS Program – Approach to Market - Phase 2 -Minute -Signed by UT	18/9/2018	Partial	Sch 2 s2.2 (a)(ii)	Yes
2	Combined analysis of all tenderers from evaluation panel					
	1	Comparative AssessmentV1(2)-cost comparison		Exempt	Sch 2 s2.2 (a)(xi) Sch 2 s2.2 (a)(xii) Sch 2 s2.2 (a)(xiii)	No
	2	Comparative AssessmentV1(2)-pricing matrix		Exempt	Sch 2 s2.2 (a)(xi) Sch 2 s2.2 (a)(xii)	No
	4	Consolidated consensus results tables		Exempt	Sch 2 s2.2 (a)(xi) Sch 2 s2.2 (a)(xii)	No
	9	HRIM-1stpass-Risks		Exempt	Sch 2 s2.2 (a)(xi) Sch 2 s2.2 (a)(xii)	No
	12	Risk		Exempt	Sch 2 s2.2 (a)(xi) Sch 2 s2.2 (a)(xii)	No
	13	SCORE BOOK BINDER- All tenderers		Exempt	Sch 2 s2.2 (a)(xii)	No

	251-514	WIRE - TRSY18-35652 Consensus Evaluation Worksheets Binder		Exempt	Sch 2 s2.2 (a)(xi) Sch 2 s2.2 (a)(xii)	No
Documents pertaining to individual tenderers						
3	Tenderer #1					
3a	1-944	Combined binder of tenderer supplied documents		Exempt	Sch 2 s2.2 (a)(xi)	No
3b	1-2710	Scoring binder - Combined binder of evaluation panel documents specific to this tenderer including per panel member analysis of submission, notes and follow up questions		Exempt	Sch 2 s2.2 (a)(xi) Sch 2 s2.2 (a)(xii) Sch 2 s2.2 (a)(xiii)	No
3c	1-14	Tender supplied document which is protected and not able to be included in main binder Appendix Schedule 2 Appendix - SAP SF End User System Req		Exempt	Sch 2 s2.2 (a)(xi)	No
4	Tenderer #2					
4a	1-676	Combined Binder of tenderer supplied documents		Exempt	Sch 2 s2.2 (a)(xi)	No
4b	1-1906	Scoring binder - Combined binder of evaluation panel documents specific to this tenderer including analysis of submission, notes and follow up questions		Exempt	Sch 2 s2.2 (a)(xi) Sch 2 s2.2 (a)(xii) Sch 2 s2.2 (a)(xiii)	No
5	Tenderer #3					
5a	1-724	Combined Binder of tenderer supplied documents		Exempt	Sch 2 s2.2 (a)(xi)	No
5b	1-1262	Scoring binder - Combined binder of evaluation panel documents specific to this tenderer including per panel member analysis of submission, notes and follow up questions		Exempt	Sch 2 s2.2 (a)(xi) Sch 2 s2.2 (a)(xii) Sch 2 s2.2 (a)(xiii)	No
6	Tenderer #4					
6a	1-104	Combined Binder of tenderer supplied documents		Exempt	Sch 2 s2.2 (a)(xi)	No
6b	1-1725	Scoring binder - Combined binder of evaluation panel documents specific to this tenderer including per panel member analysis of submission, notes and follow up questions		Exempt	Sch 2 s2.2 (a)(xi) Sch 2 s2.2 (a)(xii) Sch 2 s2.2 (a)(xiii)	No
7	Tenderer #5					
7a	1-728	Combined Binder of tenderer supplied documents		Exempt	Sch 2 s2.2 (a)(xi)	No
7b	1-3397	Scoring binder - Combined binder of evaluation panel documents specific to this tenderer including per panel member analysis of submission, notes and follow up questions		Exempt	Sch 2 s2.2 (a)(xi) Sch 2 s2.2 (a)(xii) Sch 2 s2.2 (a)(xiii)	No

8	Tenderer #6					
8a	1-693	Combined Binder of tenderer supplied documents		Exempt	Sch 2 s2.2 (a)(xi)	No
8b	1-2018	Scoring binder - Combined binder of evaluation panel documents specific to this tenderer including per panel member analysis of submission, notes and follow up questions		Exempt	Sch 2 s2.2 (a)(xi) Sch 2 s2.2 (a)(xii) Sch 2 s2.2 (a)(xiii)	No
8c	1	Tender supplied document which is protected and not able to be included in main binder  RFP_28499.112_COC Workcover VIC		Exempt	Sch 2 s2.2 (a)(xi)	No
9	Tenderer #7					
9a	1-999	Combined Binder of tenderer supplied documents		Exempt	Sch 2 s2.2 (a)(xi)	No
9b	1-1795	Scoring binder - Combined binder of evaluation panel documents specific to this tenderer including per panel member analysis of submission, notes and follow up questions		Exempt	Sch 2 s2.2 (a)(xi) Sch 2 s2.2 (a)(xii) Sch 2 s2.2 (a)(xiii)	No
9c	1-26	Tender supplied document which is protected and not able to be included in main binder  Schedule 2 Appendix 1 - PLT SSO Admin en		Exempt	Sch 2 s2.2 (a)(xi)	No
9d	1-28	Tender supplied document which is protected and not able to be included in main binder  Schedule 2_Appendix 2 - Integr SuccessFactors Employee with MS Directory Integration Guide		Exempt	Sch 2 s2.2 (a)(xi)	No
9e	1-14	Tender supplied document which is protected and not able to be included in main binder  Schedule 2 Appendix 3 - HCM Suite End User - System Requirements		Exempt	Sch 2 s2.2 (a)(xi)	No

**REQUEST FOR PROPOSAL No. 2899112**



**EVALUATION REPORT**

**Procurement and Implementation of a Human  
Resource Information Management Solution (HRIMS)**

**ON BEHALF OF THE  
Chief Minister, Treasury and Economic Development  
Directorate**

**DATE: FINAL V1\_240818**

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## ATTACHMENTS

- A. Procurement Plan Minute
- B. Sch 2.2(a)(xiii) Response – HRIMS RFP
- C. Evaluation Plan
- D. Evaluation Plan Re-alignment
- E. Compliance and Conformation Report
- F. LIPP Evaluation Worksheet
- G. HRIMS Risk Management Plan
- H. Demonstration Agenda
- I. Demonstration Notice – HRIMS
- J. HRIMS User Stories – 230318
- K. RFP\_28499.112 Risk Register v0.22
- L. Supplementary Demonstration Agenda
- M. Supplementary Demonstration Notice
- N. Supplementary User Stories – 180618
- O. Reference Check Template
- P. Qualitative Assessment
- Q. Draft Schedule Contract Negotiations

## 1. PURPOSE

The purpose of this Evaluation Report is to report on Phase 2 of the approved two-phased approach to market, including the process and outcomes of the consideration of responses to the Procurement and Implementation of a HRIMS Program, Request for Proposal (RFP) 28499.112.

The report, outlines the Evaluation Team's (ET) recommendation to seek delegate approval of:

- Plaut IT Australia as the Preferred Implementation Partner to deliver implementation of the HRIMS; and
- Commence contract negotiations with Plaut IT Australia.

## 2. PROJECT BACKGROUND

The HRIMS Program was endorsed by Cabinet in June 2017. The approved two-phased approach to market was endorsed by the Government Procurement Board (GPB) on 20 June 2017 and approved by yourself, as the Delegate, on 17 August 2017.

The Consideration Report for Phase 1 – Request for Expression of Interest process was provided to you as the Delegate on 15 November 2017 and subsequently approved by you on 20 November 2017, accepting the recommendation to proceed to Phase 2 – RFP by selectively inviting eight (8) shortlisted organisations.

A Procurement Review was presented and endorsed by the GPB on 5 December 2017. The submission provided an update on the outcomes of Phase 1 of the endorsed two-phased approach and approval to approach the market in Phase 2. The HRIMS Program submitted the RFP to market on 14 December 2017. An industry briefing was conducted on 19 December 2017 with submissions for the RFP closing on 1 February 2018.

As outlined in the Procurement Plan Minute (refer to Attachment A) the procurement of a new HRIMS will enable a contemporary solution to support efficient Whole of Government (WhoG) payroll and HR services. Broadly, the outcomes sought include:

- a) A stable, accurate and efficient transactional processing environment.
- b) A modern, scalable and de-risked technical environment.
- c) A fully inclusive, digital first, self-service environment for all ACT Public Service employees, delivering higher employee engagement with HR processes through process standardisation, process automation and user accountability.
- d) Integrated and aligned data utilising a single entry point and creating a single source of truth.
- e) A comprehensive talent management platform providing a focus on the development of capabilities required to meet the strategic goals of the Territory and Directorates.
- f) Advanced reporting, analytics and workforce assessment providing cross directorate talent management and mobility.

### 3. PROJECT DETAILS

#### Program

The following proposed timetable applies to the Procurement:

No	Tasks	Date
1.	RFP advertised	14/12/2017
2.	Proposals closed	1/2/2018
3.	Delegate approval	14/09/2018
4.	Award contract	/12/2018

#### Funding

Treasury funding to the value of Sch 2.2(a)(xiii) for the Program has been granted. Funds have been identified for the Program within cost centre 28809.

Upon completion of the proposed contract negotiations the Program will return to Government via a Stage Gate submission. The purpose of the Stage Gate submission is to confirm with Government the affordability of the Program to proceed with the acquisition and WhoG implementation of the HRIMS.

The initial pricing analysis indicates that the Preferred Respondent proposal will fit within the funding approved by Cabinet. Contract negotiations will be focused on the need to reduce the cost to Government.

### 4. PROBITY, DISCLOSURE OF CONFLICTS OF INTEREST & CONFIDENTIALITY

A number of Probity Briefings were conducted by the Program's Probity Advisor, Ms Sanaz Mirzabegian, ACT Government Solicitor's Office (GSO), in early to mid-September 2017. All members of the ET attended the Probity Briefings and were asked to disclose any conflict of interest or association they might have with the Respondents for the Program. No member disclosed that he or she has a conflict of interest or association with any of the Respondents.

Ahead of the conduct of the RFP, the ET and ET Working Groups were reminded in writing of their probity obligations and requested to disclose any conflict of interest, association (real or perceived) they might have with the Respondents for the Program.

Sch 2.2(a)(ii)

# Sch 2.2(a)(ii)

No other members of the ET disclosed that he or she has a perceived or actual conflict of interest or association with any of the Respondents.

The Chair of the ET utilised the services of the Probity Advisor to understand any implications by providing the price range of the proposals received to the Delegate. The advice provided stated that it is generally open to the Delegate to request and be provided with a price range. To minimise the risk it was suggested that the Procurement Officer compile the pricing information that would be provided as this is a two-envelop evaluation process. The raw pricing information was provided to the Delegate as requested.

All documents and proceedings of the ET have been treated as confidential.

## 5. EVALUATION TEAM MEMBERS

Members of the ET were personally appointed based on their skills, experience and competency required to complete the evaluation of Proposals relating to the requirements of this RFP.

The Members of the ET have been designated to evaluate criteria that is relevant for their skills and area of competency as detailed below:

Name	Area of Assessment	Directorates
Mr Graham Tanton (Chair)	Corporate Capability and Capacity	CMTEDD
Mrs Karen Giovinazzo (Deputy Chair)	Corporate Capability and Capacity	CMTEDD
Mr John Reis	Functional Capabilities	CMTEDD
Sch 2.2(a)(ii)	Technical Capabilities & Integration/Interface	Independent
Ms Judi Childs	Corporate Capability and Capacity	CMTEDD
Mr Steven Wright	Corporate Capability and Capacity	TCCS
Ms Debbie Arsego	Functional Capabilities	HD
Ms Michelle Caulfield	Functional Capabilities	CMTEDD
Mr Jonathan Owen	Technical Capabilities & Integration/Interface	CMTEDD
Mr Bren Hanson	Technical Capabilities & Integration/Interface	CMTEDD
Mr Andrew Husking	Technical Capabilities & Integration/Interface	CMTEDD
Mr Ross Burton	Pricing	CMTEDD
Ms Clare Vincent	Pricing	CMTEDD
Mr Shiva Saptoka	Pricing	CMTEDD



## 6. PROBITY AUDITOR/ADVISOR OR SPECIALIST ADVISORS

A Probity Advisor, Ms Sanaz Mirzabegian from the GSO was engaged to provide probity advice on both Phase 1 and Phase 2 of the approach to market.

The Evaluation Plan identified the following Specialist Advisors who were appointed to support the ET.

Name	Role (Non-Voting)	Directorate
Mr Mat Rogers	Business Advisor	CMTEDD
Mr Calvin Robinson	Business Advisor	CMTEDD
Sch 2.2(a)(ii)	Specialist Technical Advisor	GARTNER
Mr Darren Hengst	Specialist Technical Advisor	CMTEDD
Mr Damian Grovenor	Contracts and Licensing Advisor	CMTEDD
Mr Rick Hyslop	Contracts and Licensing Advisor	CMTEDD
Ms Caroline Marsh	Legal Advisor	GSO
Mr Nathan Hancock	Special Counsel	GSO

## 7. PROPOSALS RECEIVED

Proposals were received from the following organisations (in alphabetical order):

Sch 2.2(a)(xiii)

Prior to the closure of the submission period shortlisted respondent <sup>Sch 2.2(a)(xiii)</sup> advised the Territory in writing of their formal withdrawal (refer to Attachment B) from the procurement process; leaving seven (7) remaining.

The Proposal submitted by <sup>Sch 2.2(a)(xiii)</sup> commenced at 1:50pm on 1 February 2018. At 2:33 pm an email was received by Tenders ACT with details that the tenders box showed an internal server error message. A late tender box was created to allow for the submission to be completed. When the submission originally received was compared to the submission in the late tender box they were the same. The original submission was acknowledged as being received in full and deemed to be lodged on time.

The Tender Opening Report and Proposal Responses are filed in TRIM container number TRSY2018/1324.

## 8. EVALUATION

Proposals were evaluated in accordance with the Procurement Review Submission endorsed by the GPB including applicable procurement guidelines and the approved evaluation methodology/assessment criteria.

### Assessment Criteria

The following assessment criteria was published in the RFP.

<b>Threshold Criteria</b>	<b>Pass/Fail</b>
Attendance at mandatory Industry Briefing Session	Pass / Fail
The Respondent, if other than the Product Vendor, shall submit with the proposal evidence that the Respondent is a current member of the Product Vendor's Partner Network and an authorised distributor, dealer or service representative and is authorised to sell the Product Vendor's products. This includes the certification to license the product and service, maintenance, technical training assistance, and warranty services, including availability of spare parts and replacement units if applicable.	Pass / Fail
Provide a solution that includes a minimum of the following functional modules that are compliant to the Territory's ICT Security Environment Standard and Policies: <ul style="list-style-type: none"> <li>a) Workforce Planning and Strategy</li> <li>b) Recruiting</li> <li>c) Core HR</li> <li>d) Time and Payroll</li> <li>e) Learning and Development</li> <li>f) Performance Management</li> <li>g) Talent Planning and Strategy</li> <li>h) Employee Health and Well-Being</li> <li>i) Measure and Report</li> </ul>	Pass / Fail
<b>Weighted Criteria</b>	<b>Weighting</b>
<b>Functional Requirements</b> <ul style="list-style-type: none"> <li>a) Workforce Planning and Strategy</li> <li>b) Recruiting</li> <li>c) Core HR</li> <li>d) Time and Payroll</li> <li>e) Learning and Development</li> <li>f) Performance Management</li> <li>g) Talent Planning and Strategy</li> <li>h) Employee Health and Wellbeing</li> <li>i) Measure &amp; Report</li> </ul>	20%

<p><b>Non-Functional / Technical Requirements</b></p> <ul style="list-style-type: none"> <li>a) Availability and Accessibility</li> <li>b) Business Contingency Planning</li> <li>c) Capacity and Performance</li> <li>d) Data Migration and Management</li> <li>e) Defect Management</li> <li>f) Help Desk and Support</li> <li>g) Hosting and Maintenance</li> <li>h) Non-Functional</li> <li>i) Security and Compliance</li> <li>j) Testing</li> </ul>	20%
<p><b>Integrations and Interfaces</b></p> <ul style="list-style-type: none"> <li>a) Functional Integration</li> <li>b) Solution Integration</li> </ul>	15%
<p><b>Corporate Capability and Capacity</b></p> <ul style="list-style-type: none"> <li>a) Change Management</li> <li>b) Corporate Experience</li> <li>c) Deliverables and Implementation</li> <li>d) Program Management</li> <li>e) Resourcing and Relationship Management</li> <li>f) Training</li> </ul>	35%
<p><b>Local Industry Participation Part 2</b></p> <p>Respondents must complete and submit an Economic Contribution Test (ECT). The ECT requires Respondents to provide information on how both their proposal and business contribute to the economic benefit of the Canberra Region by providing the following information:</p> <ul style="list-style-type: none"> <li>a) current business presence in the Canberra Region, including relevant capital investment history and/or new commitments;</li> <li>b) how the Respondent will identify and utilise products and capabilities provided by local businesses;</li> <li>c) the estimated number of labour hours associated with the head contract and the labour hours of local subcontractors within the head contract;</li> <li>d) additional undertakings by the Respondent to benefit the Canberra Region economy; and</li> <li>e) approach to workforce skilling and utilisation of local skills (e.g. through supply chain or local subcontractors).</li> </ul>	10%
<b>TOTAL</b>	<b>100%</b>

<b>Non-Weighted Criteria</b>
------------------------------

Consortium Structure
Sub-Contractor Arrangements
Pricing
Assumptions
Draft Contract Review
Referees

Sub-level criteria weightings were applied for the criteria assessed by the Evaluation Working Groups (EWG). Sub-level weightings were not published in the RFP and are provided in the table below:

Sch 2.2(a)(xiii)

Number	Criteria (Heading Level)	Sub Criteria (3 to 5 Word Summary)
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1.5	Functional Requirements	Learning & Development
1.6	Functional Requirements	Performance Management
1.7	Functional Requirements	Talent Management
1.8	Functional Requirements	Employee Health and Wellbeing
1.9	Functional Requirements	Measure & Report
<b>Functional Requirements Total</b>		
2.1	Non-Functional / Technical Requirements	Availability & Accessibility
2.2	Non-Functional / Technical Requirements	Business Contingency Planning
2.3	Non-Functional / Technical Requirements	Capacity & Performance
2.4	Non-Functional / Technical Requirements	Data Migration & Management
2.5	Non-Functional / Technical Requirements	Help Desk & Support
2.6	Non-Functional / Technical Requirements	Hosting & Maintenance
2.7	Non-Functional / Technical Requirements	Non-Functional
2.8	Non-Functional / Technical Requirements	Security & Compliance
<b>Non-Functional / Technical Requirements Total</b>		
3.1	Integration & Interfaces	Functional Integration
3.2	Integration & Interfaces	Solution Integration
<b>Integration &amp; Interfaces Total</b>		
2.1.1	Corporate Capability & Capacity	Corporate Experience
2.1.2	Corporate Capability & Capacity	Program Management
2.1.3	Corporate Capability & Capacity	Resourcing & Relationship Management
2.2.1	Corporate Capability & Capacity	Deliverables & Implementation
2.2.2	Corporate Capability & Capacity	Change Management
2.2.3	Corporate Capability & Capacity	Training
2.2.4	Corporate Capability & Capacity	Testing
<b>Corporate Capability &amp; Capacity Total</b>		

**Evaluation Methodology**

The evaluation of all proposals was undertaken in accordance with the approved Evaluation Plan (Refer to Attachment C). A re-alignment of assessment areas for the ET was facilitated due to capacity issues experienced by the ET Members due to the volume and complexity of submissions. The purpose of the re-alignment was to allow each of the members of the ET to focus on areas of expertise.

The re-alignment of the assessment areas was approved by the Delegate on 1 March 2018 (refer Attachment D), following consultation with the HRIMS Program Board, Senior Procurement Officer, Probity Advisor and the Government Solicitor.

**Stage 1 – Conformance and Compliance Assessment**

Goods and Services Procurement Branch within Procurement ACT undertook a conformance and compliance assessment on all lodged proposals (Refer to Attachment E).

Anomalies identified against the Threshold Criteria were reported to the Chair and Deputy Chair for consideration and action as summarised below.

Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)

All tender responses were provided to the EWG for Stage 2.

### **Stage 2 – Technical Assessment (Weighted Criteria)**

The established EWG's as detailed in the approved Evaluation Plan completed technical assessment of the following evaluation criteria:

- a) Non-Functional & Technical Capabilities;
- b) Integration/Interface;
- c) Functional Capabilities; and
- d) Corporate Capability and Capacity.

Each Evaluation Working Group (Chaired by a member of the ET) met to complete consensus scoring for their technical assessment area. A summary of the evaluation working group findings are provided below for each proposal.

# Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

The technical assessment consensus scoring by each Evaluation Working Group for the proposals is provided in the tables below. Further detailed information relating to the assessment of each proposal can be provided upon request.

## **Non-Functional & Technical Capabilities**

# Sch 2.2(a)(xiii)

Integration/Interface

Sch 2.2(a)(xiii)

Sch 2.2(a)(xiii)

Corporate Capability and Capacity

Sch 2.2(a)(xiii)

During the assessment, EWG members identified clarification, risk, negotiation, contract or project issue. Commentary flagged as clarification was consolidated for the ET. Risks identified from each EWG were incorporated into the risk register for risk profiling at the risk evaluation stage.

Sch 2.2(a)(xiii)

The table below details the consolidated score and total weighted score as a percentage.  
The ET accepted collectively the scores from the EWG.

Sch 2.2(a)(xiii)

**Ranking**

Sch 2.2(a)(xiii)

### **Pricing Analysis**

Pricing analysis was completed independently and concurrently by the Pricing Evaluation Working Group (PEWG) and presented to the ET at the consensus meeting (Stage 2).

The PEWG provided a qualitative assessment against the SaaS pricing matrix provided by the appointed specialist adviser, Gartner. The qualitative assessment (Refer to Attachment P) considered the following matrix categories:

- a) simplicity;
- b) transparency;
- c) measurability; and
- d) controllability.

The qualitative assessment incorporated proposed contract departures by Respondents and identified further matters for consideration by the ET.

The table below demonstrates the cost modelling analysis identifying the total cost of ownership over the 10 year contract period.

#### **Pricing Comparison**

Sch 2.2(a)(xiii)

The following graphs represent the detailed findings of the cost modeling.

Sch 2.2(a)(xiii)

A large grey rectangular area redacting the content of the first graph.

Sch 2.2(a)(xiii)

A large grey rectangular area redacting the content of the second graph.



Sch 2.2(a)(xiii)

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

A number of pricing variables and unknown factors identified by the PEW were included in the risk Register for risk profiling at the risk evaluation stage.

# Sch 2.2(a)(xiii)

**Risk Assessment**

### **Presentations/Demonstrations**

An invitation to provide a demonstration of their proposed solution was issued to the three shortlisted Respondents by the HRIMS Program Procurement advisor on 23 March 2018.

The demonstrations were held over the period 23 – 27 April 2018 and attended by all ET and Working Group members. The demonstrations were filmed with permission of the shortlisted Respondents.

Shortlisted Respondents were issued with an agenda and comprehensive instructions (refer Attachment H, I & J) outlining how to structure their demonstration and provided with a set of user stories against which to demonstrate how their proposed solution would meet the Territory's requirements.

The ET and Working Group members captured risk and points requiring clarification through-out the demonstrations.

Following the demonstrations the ET issued a series of additional clarification questions to each of the shortlisted Respondents. The purpose of the clarification questions was to probe potential areas of weakness and risk highlighted and captured during their demonstration.

The ET met in person with each of the shortlisted Respondents over the period 16 -17 May 2018 to discuss their response in an attempt to clarify and mitigate any outstanding risks not addressed through their written response.

The ET met on 29 May 2018 to discuss the risk profile for each of the proposal's with a view of transitioning to the contract negotiation phase. The ET agreed, however, that some further clarification was required before a decision to set aside any of the Respondents could be made.

Supplementary demonstrations were held on 10 and 11 July 2018. Shortlisted Respondents were issued with an agenda and comprehensive instructions (refer Attachment L, M, N) outlining how to structure their demonstration and provided with a set of user stories for four key functional requirements of Concurrent Employment, Time off in Lieu, Flextime and Long Service Leave.

### **Referee Checks**

Sch 2.2(a)(xiii), Sch 2.2(a)(xii)

Sch 2.2(a)(xiii), Sch 2.2(a)(xii)

Sch 2.2(a)(xiii)

**Final Risk Assessment**

Sch 2.2(a)(xiii)

Value for Money

# Sch 2.2(a)(xiii)

**9. WORKPLACE GENDER EQUALITY ACT 2012 (CTH)**

The Evaluation Team confirms that the preferred Respondent is not listed on the Workplace Gender Equality website: <http://www.wgea.gov.au/>.

**10. DEBRIEFING OF UNSUCCESSFUL RESPONDENTS**

Following approval of the Evaluation Report by the Delegate, letters will be sent to the unsuccessful Respondents and will include:

- appreciation for submitting an offer;
- regret that they were unsuccessful on this occasion;
- advice of public notification on the “Contracts Register” which is available from the Shared Services Procurement Website at [www.procurement.act.gov.au](http://www.procurement.act.gov.au);
- an offer to debrief; and
- the encouragement to submit offers in the future.

**11. RECOMMENDATION**

The Evaluation Team recommends that Plaut IT Australia be nominated as the preferred Respondent, and that the Evaluation Team is authorised to enter into contract negotiations. The draft schedule for contract negotiations is provided at Attachment Q.

<hr style="width: 100%;"/> <b>Graham Tanton</b> Chairperson /08/2018	<hr style="width: 100%;"/> <b>Karen Giovinazzo</b> Member /08/2018	<hr style="width: 100%;"/> <b>John Reis</b> Member /08/2018	<div style="background-color: #cccccc; padding: 2px;">Sch 2.2(a)(ii)</div> <hr style="width: 100%;"/> <div style="background-color: #cccccc; width: 100%; height: 20px;"></div> Member /08/2018
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**12. DELEGATE APPROVAL****Recommendation**

The Evaluation Team recommendation is **Approved** and the Evaluation Team is authorised to:

1.	Enter into contract negotiations with the preferred Respondent within the parameters outlined in their recommendation.	<input type="checkbox"/>
2a.	Arrange for PCW GOODS & SERVICES BRANCH to prepare a contract between the Territory and the preferred Respondent, provided the outcomes of the contract negotiations are successful as outlined in the Evaluation Team recommendation.	<input type="checkbox"/>
	<b>OR</b>	
2b.	Report the outcomes of the contract negotiation back to me for approval prior to arranging for a contract to be prepared between the Territory and the preferred Respondent.	<input type="checkbox"/>
3.	Arrange public announcement (as applicable) following contract execution.	<input type="checkbox"/>
4.	Provide a debriefing to unsuccessful Respondents following contract execution.	<input type="checkbox"/>

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name: David NicolPosition: Under Treasurer

**REQUEST FOR PROPOSAL No. 28499.112**



**EVALUATION REPORT**

**Procurement and Implementation of a Human Resource  
Information Management Solution (HRIMS)**

**ON BEHALF OF THE  
Chief Minister, Treasury and Economic Development  
Directorate**

**DATE: FINAL V1\_240818**

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## ATTACHMENTS

- A. Procurement Plan Minute
- B. [REDACTED] Response – HRIMS RFP
- C. Evaluation Plan
- D. Evaluation Plan Re-alignment
- E. Compliance and Conformation Report
- F. LIPP Evaluation Worksheet
- G. HRIMS Risk Management Plan
- H. Demonstration Agenda
- I. Demonstration Notice – HRIMS
- J. HRIMS User Stories – 230318
- K. RFP\_28499.112 Risk Register v0.22
- L. Supplementary Demonstration Agenda
- M. Supplementary Demonstration Notice
- N. Supplementary User Stories – 180618
- O. Reference Check Template
- P. Qualitative Assessment



## 1. PURPOSE

The purpose of this Evaluation Report (ER) is to report on Phase 2 of the approved two-phased approach to market, including the process and outcomes of the consideration of responses to the Procurement and Implementation of a Human Resource Information Management Solution (HRIMS) Program, Request for Proposal (RFP) 28499.112.

The report, outlines the Evaluation Team's (ET) recommendation to seek delegate approval of:

- Plaut IT Australia as the Preferred Implementation Partner to deliver implementation of the HRIMS; and
- Commence contract negotiations with Plaut IT Australia.

## 2. PROJECT BACKGROUND

The HRIMS Program was endorsed by Cabinet in June 2017. The approved two-phased approach to market was endorsed by the Government Procurement Board (GPB) on 20 June 2017 and approved by yourself, as the Delegate, on 17 August 2017.

The Consideration Report for Phase 1- Request for Expression of Interest (REOI) process, was provided to you as the Delegate on 15 November 2017 and subsequently approved by you on the 20 November 2017 accepting the recommendation to proceed to Phase 2 –RFP by selectively inviting eight (8) short listed organisations.

A Procurement Review was presented and endorsed by the GPB on 5 December 2017. The submission provided an update on the outcomes of Phase 1 of the endorsed two-phased approach and approval to approach the market in Phase 2. The HRIMS Program submitted the RFP to market on 14 December 2017. An industry briefing was conducted on 19 December with submissions for the RFP closing on 1 February 2018.

As outlined in the Procurement Plan Minute (refer to Attachment A) the procurement of a new HRIMS will enable a contemporary solution to support efficient whole of government payroll and HR services. Broadly, the outcomes sought include:

- a) A stable, accurate and efficient transactional processing environment.
- b) A modern, scalable and de-risked technical environment.
- c) A fully inclusive, digital first, self-service environment for all ACT PS employees, delivering higher employee engagement with HR processes through process standardisation, process automation and user accountability.
- d) Integrated and aligned data utilising a single entry point and creating a single source of truth.
- e) A comprehensive talent management platform providing a focus on the development of capabilities required to meet the strategic goals of the Territory and Directorates.
- f) Advanced reporting, analytics and workforce assessment providing cross directorate talent management and mobility.

### 3. PROJECT DETAILS

#### Program

The following proposed timetable applies to the Procurement.

No	Tasks	Date
1.	RFP advertised	14/12/2017
2.	Proposals closed	1/2/2018
3.	Delegate approval	14/09/2018
4.	Award contract	/12/2018

#### Funding

Treasury funding to the value of **Sch 2.2(a)(xiii)** for the Program has been granted. Funds have been identified for the Program within Cost Centre 28809.

Upon completion of the proposed contract negotiations, the Program will return to Government via a Stage Gate Submission. The purpose of the Stage Gate submission is to confirm with Government the affordability of the Program to proceed with the acquisition and Whole-of-Government (WHoG) implementation of the HRIMS.

The initial pricing analysis indicates that the Preferred Respondent proposal will fit within the funding approved by Cabinet. Contract negotiations will be focused on the need to reduce the cost to Government.

### 4. PROBITY, DISCLOSURE OF CONFLICTS OF INTEREST & CONFIDENTIALITY

A number of Probity Briefings were conducted by the Program's Probity Advisor, Ms Sanaz Mirzabegian, ACT Government Solicitor's Office (GSO), in early to mid-September 2017. All members of the ET attended the Probity Briefings and were asked to disclose any conflict of interest or association they might have with the Respondents for the Program. No member disclosed that he or she has a conflict of interest or association with any of the Respondents.

Ahead of the conduct of the RFP, the Evaluation Team and Evaluation Team Working Groups were reminded in writing of their probity obligations and requested to disclose any conflict of interest, association (real or perceived) they might have with the Respondents for the Program.

**Sch 2.2(a)(ii)**

## Sch 2.2(a)(ii)

The perceived conflict was considered low risk and it was identified through the Tenderers Declaration that the Change Management Lead was not the contact person for the Tenderer or authorised in any capacity of the tender response from Plaut IT Australia.

No other members of the ET disclosed that he or she has a perceived or actual conflict of interest or association with any of the Respondents.

The Chair of the ET utilised the services of the Probitry Advisor to understand any implications by providing the price range of the proposals received to the Delegate. The advice provided, stated that it is generally open to the Delegate to request and be provided with a price range. To minimise the risk, it was suggested that the Procurement Officer compile the pricing information that would be provided as this is a two-envelop evaluation process. The raw pricing information was provided to the Delegate as requested.

All documents and proceedings of the ET have been treated as confidential.

### 5. EVALUATION TEAM MEMBERS

Members of the Evaluation Team were personally appointed based on their skills, experience and competency required to complete the evaluation of Proposals relating to the requirements of this RFP.

The Members of the ET have been designated to evaluate criteria that is relevant for their skills and area of competency as detailed below:

Name	Area of Assessment	Directorates
Mr Graham Tanton (Chair)	Corporate Capability and Capacity	CMTEDD
Mrs Karen Giovinazzo (Deputy Chair) Mr John Reis	Corporate Capability and Capacity Functional Capabilities Technical Capabilities & Integration/Interface	CMTEDD CMTEDD Independent
Ms Judi Childs	Corporate Capability and Capacity	CMTEDD
Mr Steven Wright	Corporate Capability and Capacity	TCCS
Ms Debbie Arsego Ms Michelle Caulfield	Functional Capabilities	HD CMTEDD
Mr Jonathan Owen	Technical Capabilities & Integration/Interface	CMTEDD
Mr Bren Hanson	Technical Capabilities & Integration/Interface	CMTEDD
Mr Andrew Husking	Technical Capabilities & Integration/Interface	CMTEDD
Mr Ross Burton	Pricing	CMTEDD

Name	Area of Assessment	Directorates
Ms Clare Vincent	Pricing	
Mr Shiva Saptoka	Pricing	CMTEDD

## 6. PROBITY AUDITOR/ADVISOR OR SPECIALIST ADVISORS

A Probity Advisor, Ms Sanaz Mirzabegian from the ACT Government Solicitors Officer was engaged to provide probity advice on both Phase 1 and Phase 2 of the approach to market.

The Evaluation Plan identified the following Specialist Advisors who were appointed to support the ET.

Name	Role (Non-Voting)	Directorate
Mr Mat Rogers	Business Advisor	CMTEDD
Mr Calvin Robinson	Business Advisor	CMTEDD
Sch 2.2(a)(ii)	Specialist Technical Advisor	GARTNER
Mr Darren Hengst	Specialist Technical Advisor	CMTEDD
Mr Damian Grovenor	Contracts and Licensing Advisor	CMTEDD
Mr Rick Hyslop	Contracts and Licensing Advisor	CMTEDD
Ms Caroline Marsh	Legal Advisor	ACT Government Solicitor
Mr Nathan Hancock	Special Counsel	ACT Government Solicitor

## 7. PROPOSALS RECEIVED

Proposals were received from the following organisations (in alphabetical order):

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The Proposal submitted by Sch 2.2(a)(xiii) commenced at 1:50pm on 1 February 2018. At 2:33 pm an email was received by Tenders ACT with details that the tenders box showed an internal server error message. A late tender box was created to allow for the submission to be completed. When the submission originally received was compared to the submission in the late tender box they were the same. The original submission was acknowledged as being received in full and deemed to be lodged on time.

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Provide a solution that includes a minimum of the following functional modules that are compliant to the Territory's ICT Security Environment Standard and Policies at <b>Attachment 6</b> : a) Workforce Planning and Strategy b) Recruiting c) Core HR d) Time and Payroll e) Learning and Development f) Performance Management g) Talent Planning and Strategy h) Employee Health and Well-Being i) Measure and Report	Pass / Fail
WEIGHTED CRITERIA	WEIGHTING
<b>Functional Requirements</b> a) Workforce Planning and Strategy b) Recruiting c) Core HR d) Time and Payroll e) Learning and Development	20%

<ul style="list-style-type: none"> <li>f) Performance Management</li> <li>g) Talent Planning and Strategy</li> <li>h) Employee Health and Wellbeing</li> <li>i) Measure &amp; Report</li> </ul>	
<p><b>Non-Functional / Technical Requirements</b></p> <ul style="list-style-type: none"> <li>a) Availability and Accessibility</li> <li>b) Business Contingency Planning</li> <li>c) Capacity and Performance</li> <li>d) Data Migration and Management</li> <li>e) Defect Management</li> <li>f) Help Desk and Support</li> <li>g) Hosting and Maintenance</li> <li>h) Non-Functional</li> <li>i) Security and Compliance</li> <li>j) Testing</li> </ul>	20%
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<b>Local Industry Participation Part 2</b>	
<p>Respondents must complete and submit an Economic Contribution Test (ECT). The ECT requires Respondents to provide information on how both their proposal and business contribute to the economic benefit of the Canberra Region by providing the following information:</p> <ul style="list-style-type: none"> <li>a) Current business presence in the Canberra Region, including relevant capital investment history and/or new commitments;</li> <li>b) How the Respondent will identify and utilise products and capabilities provided by local businesses;</li> <li>c) The estimated number of labour hours associated with the head contract and the labour hours of local subcontractors within the head contract;</li> <li>d) Additional undertakings by the Respondent to benefit the Canberra Region economy; and</li> <li>e) Approach to workforce skilling and utilisation of local skills (e.g. through supply chain or local subcontractors).</li> </ul>	10%
<b>TOTAL</b>	<b>100%</b>

<b>NON-WEIGHTED CRITERIA</b>
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Sub-contractor arrangements
Pricing
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2.2.2	Corporate Capability & Capacity	Change Management
2.2.3	Corporate Capability & Capacity	Training
2.2.4	Corporate Capability & Capacity	Testing
<b>Corporate Capability &amp; Capacity Total</b>		

### Evaluation Methodology

The evaluation of all proposals was undertaken in accordance with the approved Evaluation Plan (Refer to Attachment C). A re-alignment of assessment areas for the Evaluation Team was facilitated due to capacity issues experienced by the Evaluation Team Members due to the volume and complexity of submissions. The purpose of the re-alignment was to allow each of the members of the Evaluation Team to focus on areas of expertise.



The re-alignment of the assessment areas was approved by the Delegate on 1 March 2018 (refer Attachment D), following consultation with the HRIMS Program Board, Senior Procurement Officer, Probity Advisor and the Government Solicitor.

#### **Stage 1 – Conformance and Compliance Assessment**

Procurement, Property and Venues Goods and Services Branch undertook a conformance and compliance assessment on all lodged proposals (Refer to Attachment E).

Anomalies identified against the Threshold Criteria were reported to the Chair and Deputy Chair for consideration and action as summarised below.

Organisation	Anomaly	Consideration/Action
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Sch 2.2(a)(xiii)

All tender responses were provided to the Evaluation Working Groups (EWG) for Stage 2

**Stage 2 – Technical Assessment (Weighted Criteria)**

The established EWG's as detailed in the approved Evaluation Plan completed technical assessment of the following evaluation criteria:

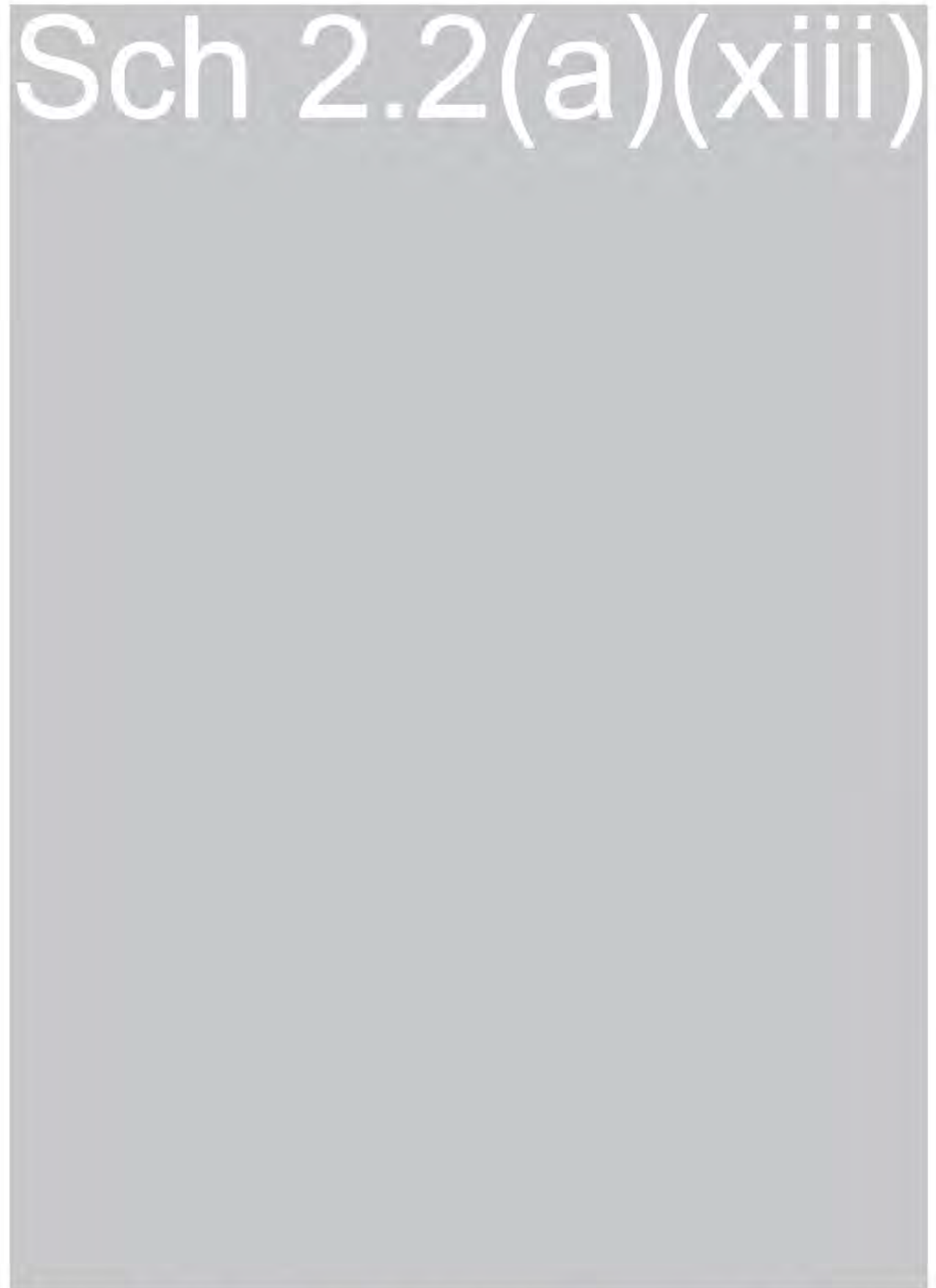
- a) Non-Functional & Technical Capabilities;
- b) Integration/Interface;
- c) Functional Capabilities; and
- d) Corporate Capability and Capacity.

Each Evaluation Working Group (Chaired by a member of the ET) met to complete consensus scoring for their technical assessment area. A summary of the evaluation working group findings are provided below for each proposal.

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

The technical assessment consensus scoring by each Evaluation Working Group for the proposals is provided in the tables below. Further detailed information relating to the assessment of each proposal can be provided upon request.

# Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)

During the assessment, EWG members identified clarification, risk, negotiation, contract or project issue. Commentary flagged as clarification was consolidated for the ET. Risks identified from each EWG were incorporated into the risk Register for risk profiling at the risk evaluation stage.

# Sch 2.2(a)(xiii)

Responses to the Economic Contribution Test as the second component of the Local Industry Participation Plan (LIPP) Criteria in this RFP were evaluated. The ET applied scores using the LIPP evaluation tool (refer to Attachment F). The final LIP score was included in the weighted criteria assessment.

The table below details the consolidated score and total weighted score as a percentage. The ET accepted collectively the scores from the EWG.

Sch 2.2(a)(xiii)

Sch 2.2(a)(xiii)



### **Pricing Analysis**

Pricing analysis was completed independently and concurrently by the Pricing EWG and presented to the ET at the consensus meeting (Stage 2).

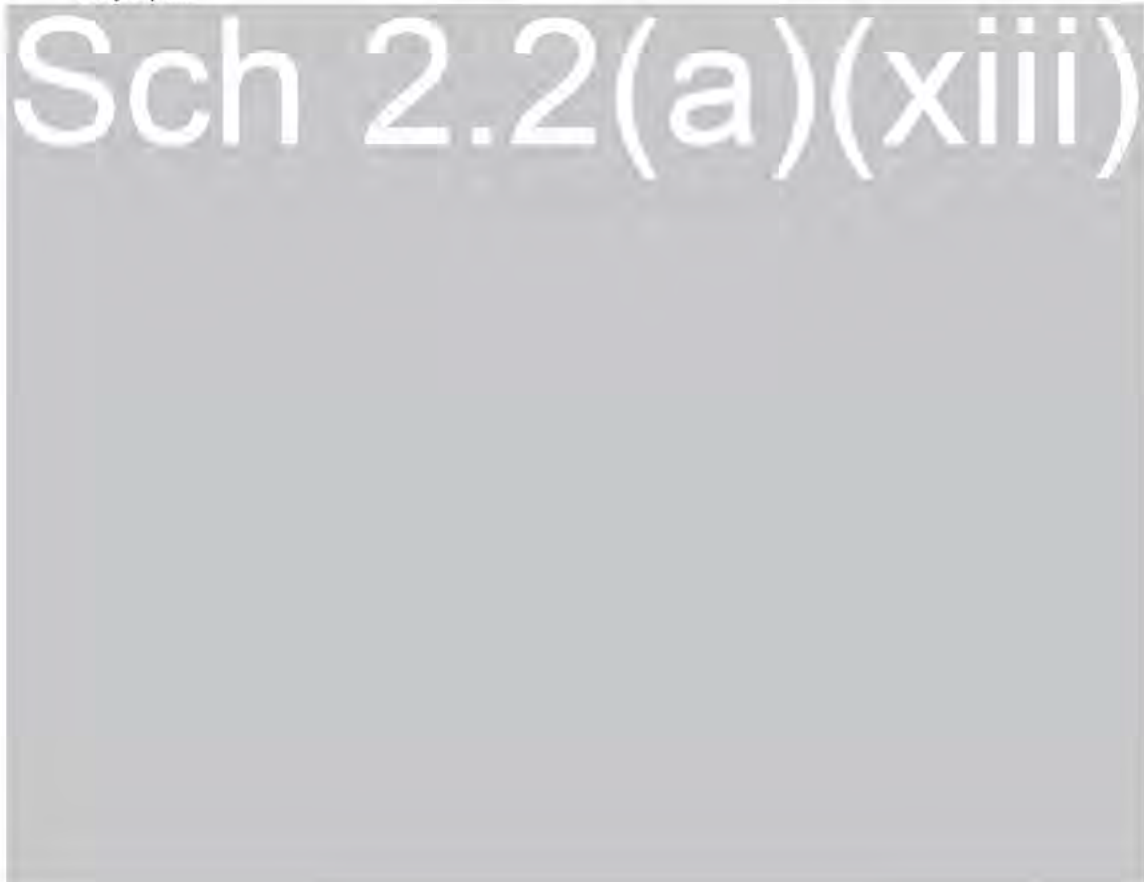
The Pricing EWG provided a qualitative assessment against the SaaS pricing matrix provided by the appointed specialist adviser, Gartner. The qualitative assessment (Refer to Attachment P) considered the following matrix categories:

- a) simplicity;
- b) transparency;
- c) measurability; and
- d) controllability.

The qualitative assessment incorporated proposed contract departures by Respondents and identified further matters for consideration by the ET.

The table below demonstrates the cost modelling analysis identifying the total cost of ownership over the 10 year contract period.

Pricing Comparison



The following graphs represent the detailed findings of the cost modeling.



# Sch 2.2(a)(xiii)

Sch 2.2(a)(xiii)

A number of pricing variables and unknown factors identified by the Pricing EWG were included in the risk Register for risk profiling at the risk evaluation stage.

Sch 2.2(a)(xiii)

## Sch 2.2(a)(xiii)

### Presentations/Demonstrations

An invitation to provide a demonstration of their proposed solution was issued to the three shortlisted Respondents by the HRIMS Program Procurement advisor on 23 March 2018.

The demonstrations were held over the period 23 – 27 April 2018 and attended by all Evaluation Team and Working Group members. The demonstrations were filmed with permission of the shortlisted Respondents.

Shortlisted Respondents were issued with an agenda and comprehensive instructions (refer Attachment H, I & J) outlining how to structure their demonstration and provided with a set of user stories against which to demonstrate how their proposed solution would meet the Territory's requirements.

The Evaluation Team and Working Group members captured risk and points requiring clarification through-out the demonstrations.

Following the demonstrations the Evaluation Team issued a series of additional clarification questions to each of the shortlisted Respondents. The purpose of the clarification questions was to probe potential areas of weakness and risk highlighted and captured during their demonstration.


The Evaluation Team met in person with each of the shortlisted Respondents over the period 16 -17 May 2018 to discuss their response in an attempt to clarify and mitigate any outstanding risks not addressed through their written response.

The Evaluation Team met on 29 May to discuss the risk profile for each of the proposal with a view of transitioning to the contract negotiation phase. The Evaluation Team agreed, however, that some further clarification was required before a decision to set aside any of the Respondents could be made.

Supplementary demonstrations were held on 10 and 11 July 2018. Shortlisted Respondents were issued with an agenda and comprehensive instructions (refer Attachment L, M, N) outlining how to structure their demonstration and provided with a set of user stories for four key functional requirements of Concurrent Employment, Time off in Lieu, Flextime and Long Service Leave.


### Referee Checks

Sch 2.2(a)(xiii), Sch 2.2(a)(xii)



**Final Risk Assessment**

Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii), Sch 2.2(a)(xii)

## 9. WORKPLACE GENDER EQUALITY ACT 2012 (CTH)

The Evaluation Team confirms that the preferred Respondent is not listed on the following website: <http://www.wgea.gov.au/>

## 10. DEBRIEFING OF UNSUCCESSFUL RESPONDENTS

Following approval of the Evaluation Report by the Delegate, letters will be sent to the unsuccessful Respondents and will include:

- appreciation for submitting an offer
- regret that they were unsuccessful on this occasion;
- advice of public notification on the “Contracts Register” which is available from the Shared Services Procurement Website at [www.procurement.act.gov.au](http://www.procurement.act.gov.au);
- an offer to debrief; and
- the encouragement to submit offers in the future.

## 11. RECOMMENDATION

The Evaluation Team recommends that Plaut IT Australia be nominated as the preferred Respondent, and that the Evaluation Team is authorised to enter into contract negotiations. The draft schedule for contract negotiations is provided at Attachment XX.

# Sch 2.2(a)(ii)

Chairperson  
31 /08/2018

Member  
24 /08/2018

Member  
27/08/2018

27/08/2018

## 12. DELEGATE APPROVAL

**Recommendation**

The Evaluation Team recommendation is **Approved** and the Evaluation Team is authorised to:

1.	Enter into contract negotiations with the preferred Respondent within the parameters outlined in their recommendation.	<input type="checkbox"/>
2a.	Arrange for PCW GOODS & SERVICES BRANCH to prepare a contract between the Territory and the preferred Respondent, provided the outcomes of the contract negotiations are successful as outlined in the Evaluation Team recommendation.	<input type="checkbox"/>
	<b>OR</b>	
2b.	Report the outcomes of the contract negotiation back to me for approval prior to arranging for a contract to be prepared between the Territory and the preferred Respondent.	<input type="checkbox"/>
3.	Arrange public announcement (as applicable) following contract execution.	<input type="checkbox"/>
4.	Provide a debriefing to unsuccessful Respondents following contract execution.	<input type="checkbox"/>

Signature  
:

Date:

Name:

Position:



**REQUEST FOR PROPOSAL No. 28499.112**



**EVALUATION REPORT**

**Procurement and Implementation of a Human Resource  
Information Management Solution (HRIMS)**

**ON BEHALF OF THE  
Chief Minister, Treasury and Economic Development  
Directorate**

**DATE: FINAL V1\_240818**

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## ATTACHMENTS

- A. Procurement Plan Minute
- B. [REDACTED] Response – HRIMS RFP
- C. Evaluation Plan
- D. Evaluation Plan Re-alignment
- E. Compliance and Conformation Report
- F. LIPP Evaluation Worksheet
- G. HRIMS Risk Management Plan
- H. Demonstration Agenda
- I. Demonstration Notice – HRIMS
- J. HRIMS User Stories – 230318
- K. RFP\_28499.112 Risk Register v0.22
- L. Supplementary Demonstration Agenda
- M. Supplementary Demonstration Notice
- N. Supplementary User Stories – 180618
- O. Reference Check Template
- P. Qualitative Assessment
- Q. Draft Schedule Contract Negotiations

## 1. PURPOSE

The purpose of this Evaluation Report is to report on Phase 2 of the approved two-phased approach to market, including the process and outcomes of the consideration of responses to the Procurement and Implementation of a HRIMS Program, Request for Proposal (RFP) 28499.112.

The report, outlines the Evaluation Team's (ET) recommendation to seek delegate approval of:

- Plaut IT Australia as the Preferred Implementation Partner to deliver implementation of the HRIMS; and
- Commence contract negotiations with Plaut IT Australia.

## 2. PROJECT BACKGROUND

The HRIMS Program was endorsed by Cabinet in June 2017. The approved two-phased approach to market was endorsed by the Government Procurement Board (GPB) on 20 June 2017 and approved by yourself, as the Delegate, on 17 August 2017.

The Consideration Report for Phase 1 – Request for Expression of Interest process was provided to you as the Delegate on 15 November 2017 and subsequently approved by you on 20 November 2017, accepting the recommendation to proceed to Phase 2 – RFP by selectively inviting eight (8) shortlisted organisations.

A Procurement Review was presented and endorsed by the GPB on 5 December 2017. The submission provided an update on the outcomes of Phase 1 of the endorsed two-phased approach and approval to approach the market in Phase 2. The HRIMS Program submitted the RFP to market on 14 December 2017. An industry briefing was conducted on 19 December 2017 with submissions for the RFP closing on 1 February 2018.

As outlined in the Procurement Plan Minute (refer to Attachment A) the procurement of a new HRIMS will enable a contemporary solution to support efficient Whole of Government (WhoG) payroll and HR services. Broadly, the outcomes sought include:

- a) A stable, accurate and efficient transactional processing environment.
- b) A modern, scalable and de-risked technical environment.
- c) A fully inclusive, digital first, self-service environment for all ACT Public Service employees, delivering higher employee engagement with HR processes through process standardisation, process automation and user accountability.
- d) Integrated and aligned data utilising a single entry point and creating a single source of truth.
- e) A comprehensive talent management platform providing a focus on the development of capabilities required to meet the strategic goals of the Territory and Directorates.
- f) Advanced reporting, analytics and workforce assessment providing cross directorate talent management and mobility.

### 3. PROJECT DETAILS

#### Program

The following proposed timetable applies to the Procurement:

No	Tasks	Date
1.	RFP advertised	14/12/2017
2.	Proposals closed	1/2/2018
3.	Delegate approval	14/09/2018
4.	Award contract	/12/2018

#### Funding

Treasury funding to the value of Sch 2.2(a)(xiii) for the Program has been granted. Funds have been identified for the Program within cost centre 28809.

Upon completion of the proposed contract negotiations the Program will return to Government via a Stage Gate submission. The purpose of the Stage Gate submission is to confirm with Government the affordability of the Program to proceed with the acquisition and WhoG implementation of the HRIMS.

The initial pricing analysis indicates that the Preferred Respondent proposal will fit within the funding approved by Cabinet. Contract negotiations will be focused on the need to reduce the cost to Government.

### 4. PROBITY, DISCLOSURE OF CONFLICTS OF INTEREST & CONFIDENTIALITY

A number of Probity Briefings were conducted by the Program's Probity Advisor, Ms Sanaz Mirzabegian, ACT Government Solicitor's Office (GSO), in early to mid-September 2017. All members of the ET attended the Probity Briefings and were asked to disclose any conflict of interest or association they might have with the Respondents for the Program. No member disclosed that he or she has a conflict of interest or association with any of the Respondents.

Ahead of the conduct of the RFP, the ET and ET Working Groups were reminded in writing of their probity obligations and requested to disclose any conflict of interest, association (real or perceived) they might have with the Respondents for the Program.

Sch 2.2(a)(ii)

# Sch 2.2(a)(ii)

No other members of the ET disclosed that he or she has a perceived or actual conflict of interest or association with any of the Respondents.

The Chair of the ET utilised the services of the Probity Advisor to understand any implications by providing the price range of the proposals received to the Delegate. The advice provided stated that it is generally open to the Delegate to request and be provided with a price range. To minimise the risk it was suggested that the Procurement Officer compile the pricing information that would be provided as this is a two-envelop evaluation process. The raw pricing information was provided to the Delegate as requested.

All documents and proceedings of the ET have been treated as confidential.

## 5. EVALUATION TEAM MEMBERS

Members of the ET were personally appointed based on their skills, experience and competency required to complete the evaluation of Proposals relating to the requirements of this RFP.

The Members of the ET have been designated to evaluate criteria that is relevant for their skills and area of competency as detailed below:

Name	Area of Assessment	Directorates
Mr Graham Tanton (Chair)	Corporate Capability and Capacity	CMTEDD
Mrs Karen Giovinazzo (Deputy Chair)	Corporate Capability and Capacity	CMTEDD
Mr John Reis	Functional Capabilities	CMTEDD
Sch 2.2(a)(ii)	Technical Capabilities & Integration/Interface	Independent
Ms Judi Childs	Corporate Capability and Capacity	CMTEDD
Mr Steven Wright	Corporate Capability and Capacity	TCCS
Ms Debbie Arsego	Functional Capabilities	HD
Ms Michelle Caulfield	Functional Capabilities	CMTEDD
Mr Jonathan Owen	Technical Capabilities & Integration/Interface	CMTEDD
Mr Bren Hanson	Technical Capabilities & Integration/Interface	CMTEDD
Mr Andrew Husking	Technical Capabilities & Integration/Interface	CMTEDD
Mr Ross Burton	Pricing	CMTEDD
Ms Clare Vincent	Pricing	CMTEDD
Mr Shiva Saptoka	Pricing	CMTEDD

## 6. PROBITY AUDITOR/ADVISOR OR SPECIALIST ADVISORS

A Probity Advisor, Ms Sanaz Mirzabegian from the GSO was engaged to provide probity advice on both Phase 1 and Phase 2 of the approach to market.

The Evaluation Plan identified the following Specialist Advisors who were appointed to support the ET.

Name	Role (Non-Voting)	Directorate
Mr Mat Rogers	Business Advisor	CMTEDD
Mr Calvin Robinson	Business Advisor	CMTEDD
Sch 2.2(a)(ii)	Specialist Technical Advisor	GARTNER
Mr Darren Hengst	Specialist Technical Advisor	CMTEDD
Mr Damian Grovenor	Contracts and Licensing Advisor	CMTEDD
Mr Rick Hyslop	Contracts and Licensing Advisor	CMTEDD
Ms Caroline Marsh	Legal Advisor	GSO
Mr Nathan Hancock	Special Counsel	GSO

## 7. PROPOSALS RECEIVED

Proposals were received from the following organisations (in alphabetical order):

Sch 2.2(a)(xiii)

Prior to the closure of the submission period shortlisted responder [redacted] advised the Territory in writing of their formal withdrawal (refer to Attachment B) from the procurement process; leaving seven (7) remaining.

The Proposal submitted by Sch 2.2(a)(xiii) [redacted] commenced at 1:50pm on 1 February 2018. At 2:33 pm an email was received by Tenders ACT with details that the tenders box showed an internal server error message. A late tender box was created to allow for the submission to be completed. When the submission originally received was compared to the submission in the late tender box they were the same. The original submission was acknowledged as being received in full and deemed to be lodged on time.

The Tender Opening Report and Proposal Responses are filed in TRIM container number TRSY2018/1324.

## 8. EVALUATION

Proposals were evaluated in accordance with the Procurement Review Submission endorsed by the GPB including applicable procurement guidelines and the approved evaluation methodology/assessment criteria.

### Assessment Criteria

The following assessment criteria was published in the RFP.

Threshold Criteria	Pass/Fail
Attendance at mandatory Industry Briefing Session	Pass / Fail
The Respondent, if other than the Product Vendor, shall submit with the proposal evidence that the Respondent is a current member of the Product Vendor's Partner Network and an authorised distributor, dealer or service representative and is authorised to sell the Product Vendor's products. This includes the certification to license the product and service, maintenance, technical training assistance, and warranty services, including availability of spare parts and replacement units if applicable.	Pass / Fail
Provide a solution that includes a minimum of the following functional modules that are compliant to the Territory's ICT Security Environment Standard and Policies: <ul style="list-style-type: none"> <li>a) Workforce Planning and Strategy</li> <li>b) Recruiting</li> <li>c) Core HR</li> <li>d) Time and Payroll</li> <li>e) Learning and Development</li> <li>f) Performance Management</li> <li>g) Talent Planning and Strategy</li> <li>h) Employee Health and Well-Being</li> <li>i) Measure and Report</li> </ul>	Pass / Fail
Weighted Criteria	Weighting
<b>Functional Requirements</b> <ul style="list-style-type: none"> <li>a) Workforce Planning and Strategy</li> <li>b) Recruiting</li> <li>c) Core HR</li> <li>d) Time and Payroll</li> <li>e) Learning and Development</li> <li>f) Performance Management</li> <li>g) Talent Planning and Strategy</li> <li>h) Employee Health and Wellbeing</li> <li>i) Measure &amp; Report</li> </ul>	20%

<p><b>Non-Functional / Technical Requirements</b></p> <ul style="list-style-type: none"> <li>a) Availability and Accessibility</li> <li>b) Business Contingency Planning</li> <li>c) Capacity and Performance</li> <li>d) Data Migration and Management</li> <li>e) Defect Management</li> <li>f) Help Desk and Support</li> <li>g) Hosting and Maintenance</li> <li>h) Non-Functional</li> <li>i) Security and Compliance</li> <li>j) Testing</li> </ul>	20%
<p><b>Integrations and Interfaces</b></p> <ul style="list-style-type: none"> <li>a) Functional Integration</li> <li>b) Solution Integration</li> </ul>	15%
<p><b>Corporate Capability and Capacity</b></p> <ul style="list-style-type: none"> <li>a) Change Management</li> <li>b) Corporate Experience</li> <li>c) Deliverables and Implementation</li> <li>d) Program Management</li> <li>e) Resourcing and Relationship Management</li> <li>f) Training</li> </ul>	35%
<p><b>Local Industry Participation Part 2</b></p> <p>Respondents must complete and submit an Economic Contribution Test (ECT). The ECT requires Respondents to provide information on how both their proposal and business contribute to the economic benefit of the Canberra Region by providing the following information:</p> <ul style="list-style-type: none"> <li>a) current business presence in the Canberra Region, including relevant capital investment history and/or new commitments;</li> <li>b) how the Respondent will identify and utilise products and capabilities provided by local businesses;</li> <li>c) the estimated number of labour hours associated with the head contract and the labour hours of local subcontractors within the head contract;</li> <li>d) additional undertakings by the Respondent to benefit the Canberra Region economy; and</li> <li>e) approach to workforce skilling and utilisation of local skills (e.g. through supply chain or local subcontractors).</li> </ul>	10%
<b>TOTAL</b>	<b>100%</b>



Non-Weighted Criteria
Consortium Structure
Sub-Contractor Arrangements
Pricing
Assumptions
Draft Contract Review
Referees

Sub-level criteria weightings were applied for the criteria assessed by the Evaluation Working Groups (EWG). Sub-level weightings were not published in the RFP and are provided in the table below:

Sch 2 2(a)(xiii)

Number	Criteria (Heading Level)	Sub Criteria (3 to 5 Word Summary)
1.1	Functional Requirements	Workforce Planning & Strategy
1.2	Functional Requirements	Recruiting
1.3	Functional Requirements	Core HR
1.4	Functional Requirements	Time & Payroll
1.5	Functional Requirements	Learning & Development
1.6	Functional Requirements	Performance Management
1.7	Functional Requirements	Talent Management
1.8	Functional Requirements	Employee Health and Wellbeing
1.9	Functional Requirements	Measure & Report
<b>Functional Requirements Total</b>		
2.1	Non-Functional / Technical Requirements	Availability & Accessibility
2.2	Non-Functional / Technical Requirements	Business Contingency Planning
2.3	Non-Functional / Technical Requirements	Capacity & Performance
2.4	Non-Functional / Technical Requirements	Data Migration & Management
2.5	Non-Functional / Technical Requirements	Help Desk & Support
2.6	Non-Functional / Technical Requirements	Hosting & Maintenance
2.7	Non-Functional / Technical Requirements	Non-Functional
2.8	Non-Functional / Technical Requirements	Security & Compliance
<b>Non-Functional / Technical Requirements Total</b>		
3.1	Integration & Interfaces	Functional Integration
3.2	Integration & Interfaces	Solution Integration
<b>Integration &amp; Interfaces Total</b>		
2.1.1	Corporate Capability & Capacity	Corporate Experience
2.1.2	Corporate Capability & Capacity	Program Management
2.1.3	Corporate Capability & Capacity	Resourcing & Relationship Management
2.2.1	Corporate Capability & Capacity	Deliverables & Implementation
2.2.2	Corporate Capability & Capacity	Change Management
2.2.3	Corporate Capability & Capacity	Training
2.2.4	Corporate Capability & Capacity	Testing
<b>Corporate Capability &amp; Capacity Total</b>		

### **Evaluation Methodology**

The evaluation of all proposals was undertaken in accordance with the approved Evaluation Plan (Refer to Attachment C). A re-alignment of assessment areas for the ET was facilitated due to capacity issues experienced by the ET Members due to the volume and complexity of submissions. The purpose of the re-alignment was to allow each of the members of the ET to focus on areas of expertise.

The re-alignment of the assessment areas was approved by the Delegate on 1 March 2018 (refer Attachment D), following consultation with the HRIMS Program Board, Senior Procurement Officer, Probity Advisor and the Government Solicitor.

### **Stage 1 – Conformance and Compliance Assessment**

Goods and Services Procurement Branch within Procurement ACT undertook a conformance and compliance assessment on all lodged proposals (Refer to Attachment E).

Anomalies identified against the Threshold Criteria were reported to the Chair and Deputy Chair for consideration and action as summarised below.

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

All tender responses were provided to the EWG for Stage 2.

## **Stage 2 – Technical Assessment (Weighted Criteria)**

The established EWG's as detailed in the approved Evaluation Plan completed technical assessment of the following evaluation criteria:

- a) Non-Functional & Technical Capabilities;
- b) Integration/Interface;
- c) Functional Capabilities; and
- d) Corporate Capability and Capacity.

Each Evaluation Working Group (Chaired by a member of the ET) met to complete consensus scoring for their technical assessment area. A summary of the evaluation working group findings are provided below for each proposal.

# Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

The technical assessment consensus scoring by each Evaluation Working Group for the proposals is provided in the tables below. Further detailed information relating to the assessment of each proposal can be provided upon request.

## Non-Functional & Technical Capabilities

# Sch 2.2(a)(xiii)



Integration/Interface

Sch 2.2(a)(xiii)

Functional Capabilities

Sch 2.2(a)(xiii)

Corporate Capability and Capacity

Sch 2.2(a)(xiii)

During the assessment, EWG members identified clarification, risk, negotiation, contract or project issue. Commentary flagged as clarification was consolidated for the ET. Risks identified from each EWG were incorporated into the risk register for risk profiling at the risk evaluation stage.

Sch 2.2(a)(xiii)

The table below details the consolidated score and total weighted score as a percentage. The ET accepted collectively the scores from the EWG.

Sch 2.2(a)(xiii)

#### Ranking

The respondents are listed below ranked in order of total weighted score:

Sch 2.2(a)(xiii)

Commentary provided by the EWG's requesting clarification were reviewed, the ET agreed that clarifications requested were minor and would not impact the applied scores.

The ET agreed to proceed with the presentation from the independent Pricing EWG. All respondents were considered for the pricing analysis.

### **Pricing Analysis**

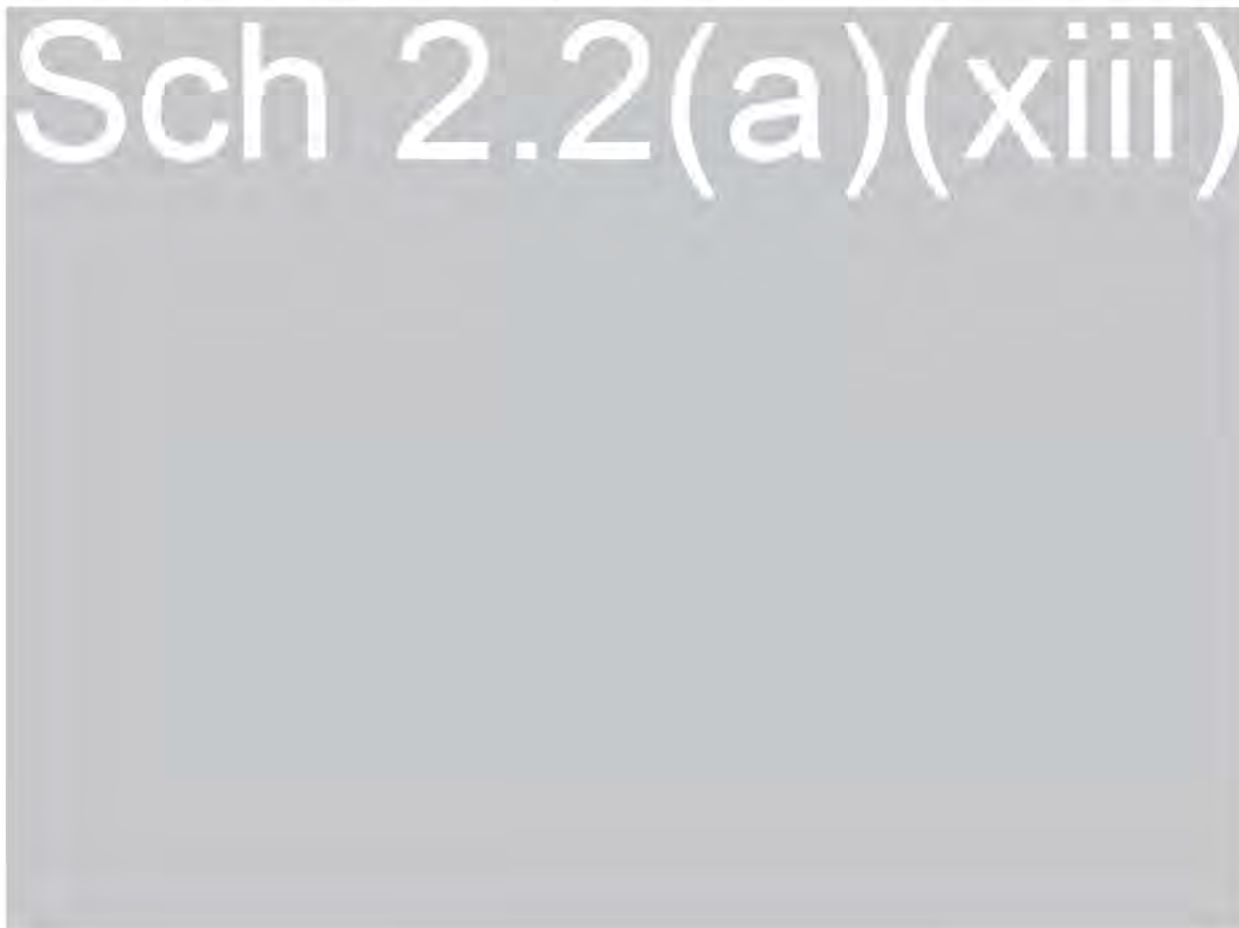
Pricing analysis was completed independently and concurrently by the Pricing Evaluation Working Group (PEWG) and presented to the ET at the consensus meeting (Stage 2).

The PEWG provided a qualitative assessment against the SaaS pricing matrix provided by the appointed specialist adviser, Gartner. The qualitative assessment (Refer to Attachment P) considered the following matrix categories:

- a) simplicity;
- b) transparency;
- c) measurability; and
- d) controllability.

The qualitative assessment incorporated proposed contract departures by Respondents and identified further matters for consideration by the ET.

The table below demonstrates the cost modelling analysis identifying the total cost of ownership over the 10 year contract period.



The following graphs represent the detailed findings of the cost modeling.



# Sch 2.2(a)(xiii)

Sch 2.2(a)(xiii)

A number of pricing variables and unknown factors identified by the PEWG were included in the risk Register for risk profiling at the risk evaluation stage.

Sch 2.2(a)(xiii)

### **Presentations/Demonstrations**

An invitation to provide a demonstration of their proposed solution was issued to the three shortlisted Respondents by the HRIMS Program Procurement advisor on 23 March 2018.

The demonstrations were held over the period 23 – 27 April 2018 and attended by all ET and Working Group members. The demonstrations were filmed with permission of the shortlisted Respondents.

Shortlisted Respondents were issued with an agenda and comprehensive instructions (refer Attachment H, I & J) outlining how to structure their demonstration and provided with a set of user stories against which to demonstrate how their proposed solution would meet the Territory's requirements.

The ET and Working Group members captured risk and points requiring clarification through-out the demonstrations.

Following the demonstrations the ET issued a series of additional clarification questions to each of the shortlisted Respondents. The purpose of the clarification questions was to probe potential areas of weakness and risk highlighted and captured during their demonstration.

The ET met in person with each of the shortlisted Respondents over the period 16 -17 May 2018 to discuss their response in an attempt to clarify and mitigate any outstanding risks not addressed through their written response.

The ET met on 29 May 2018 to discuss the risk profile for each of the proposal's with a view of transitioning to the contract negotiation phase. The ET agreed, however, that some further clarification was required before a decision to set aside any of the Respondents could be made.

Supplementary demonstrations were held on 10 and 11 July 2018. Shortlisted Respondents were issued with an agenda and comprehensive instructions (refer Attachment L, M, N) outlining how to structure their demonstration and provided with a set of user stories for four key functional requirements of Concurrent Employment, Time off in Lieu, Flextime and Long Service Leave.

### **Referee Checks**

Referee Checks were conducted for each of the shortlisted Respondents. A Reference Check template (refer to Attachment O) was issued to the Referees. Referees were invited to complete the template and/or discuss via an interview with members of the ET.

Sch 2.2(a)(xiii), Sch 2.2(a)(xii)



Sch 2.2(a)(xiii), Sch 2.2(a)(xii)

Sch 2.2(a)(xiii)

**Final Risk Assessment**



**Value for Money****Sch 2.2(a)(xiii)****9. WORKPLACE GENDER EQUALITY ACT 2012 (CTH)**

The Evaluation Team confirms that the preferred Respondent is not listed on the Workplace Gender Equality website: <http://www.wgea.gov.au/>.

**10. DEBRIEFING OF UNSUCCESSFUL RESPONDENTS**

Following approval of the Evaluation Report by the Delegate, letters will be sent to the unsuccessful Respondents and will include:

- appreciation for submitting an offer;
- regret that they were unsuccessful on this occasion;
- advice of public notification on the “Contracts Register” which is available from the Shared Services Procurement Website at [www.procurement.act.gov.au/](http://www.procurement.act.gov.au/);
- an offer to debrief; and
- the encouragement to submit offers in the future.

**11. RECOMMENDATION**

The Evaluation Team recommends that Plaut IT Australia be nominated as the preferred Respondent, and that the Evaluation Team is authorised to enter into contract negotiations. The draft schedule for contract negotiations is provided at Attachment Q.

Graham  
Tanton  
Chairperson  
/08/2018

Karen  
Giovinazzo  
Member  
/08/2018

John Reis  
Member  
/08/2018

Sch 2.2(a)(ii)  
Member  
/08/2018



### Value for Money

Value for Money considerations will be determined as part of the contract negotiation phase with the Preferred Respondent Plaut IT. Should the Territory not be able to achieve a value for money outcome, the Territory, upon the termination of the negotiation process with the Preferred Respondent, reserves the right to enter into negotiations with the second ranked Respondent SAP Australia Pty Ltd.

### **9. WORKPLACE GENDER EQUALITY ACT 2012 (CTH)**

The Evaluation Team confirms that the preferred Respondent is not listed on the following website: <http://www.wgea.gov.au/>

### **10. DEBRIEFING OF UNSUCCESSFUL RESPONDENTS**

Following approval of the Evaluation Report by the Delegate, letters will be sent to the unsuccessful Respondents and will include:

- appreciation for submitting an offer
- regret that they were unsuccessful on this occasion;
- advice of public notification on the “Contracts Register” which is available from the Shared Services Procurement Website at [www.procurement.act.gov.au](http://www.procurement.act.gov.au);
- an offer to debrief; and
- the encouragement to submit offers in the future.

### **11. RECOMMENDATION**

The Evaluation Team recommends that Plaut IT Australia be nominated as the preferred Respondent, and that the Evaluation Team is authorised to enter into contract negotiations. The draft schedule for contract negotiations is provided at Attachment XX.

Sch 2.2(a)(ii)

<small>Chairperson</small> Chairperson 31/08/2018	<small>Member</small> Member 24/08/2018	<small>Member</small> Member 27/08/2018	<small>Member</small> Member 27/08/2018
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### **12. DELEGATE APPROVAL**

**Recommendation**

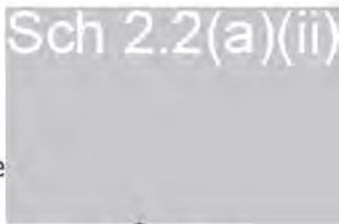
**12. DELEGATE APPROVAL****Recommendation**

The Evaluation Team recommendation is **Approved** and the Evaluation Team is authorised to:

1.	Enter into contract negotiations with the preferred Respondent within the parameters outlined in their recommendation.	<input checked="" type="checkbox"/>
2a.	Arrange for PCW GOODS & SERVICES BRANCH to prepare a contract between the Territory and the preferred Respondent, provided the outcomes of the contract negotiations are successful as outlined in the Evaluation Team recommendation.	<input type="checkbox"/>
	<b>OR</b>	
2b.	Report the outcomes of the contract negotiation back to me for approval prior to arranging for a contract to be prepared between the Territory and the preferred Respondent.	<input checked="" type="checkbox"/>
3.	Arrange public announcement (as applicable) following contract execution.	<input type="checkbox"/>
4.	Provide a debriefing to unsuccessful Respondents following contract execution.	<input type="checkbox"/>

Sch 2.2(a)(ii)

Signature



Date:

18/9/18

Name:

David Nicol

Position:

Under Treasurer





## Procurement Plan Minute

PROCUREMENT OVERVIEW	
To	David Nicol Under Treasurer, CMTEDD
Name of Project	Human Resource Information Management Solution (HRIMS)
Project Number	67894
RfX Number/s	Stage 1 (REQ) – 28499.111 Stage 2 (RFP) – 28499.112
Subject Type	Consultancy, Goods and Services
Procurement Methodology	<p>It is proposed that a two-staged approach to market will facilitate this procurement, comprising:</p> <ol style="list-style-type: none"> <li>1. Stage 1: Request for Expression of Interest (REQ) advertised publicly via Tenders ACT; and</li> <li>2. Stage 2: Limited Request for Proposal (RFP) to select vendors shortlisted in Stage 1.</li> </ol> <p>The outcome of the REQ will allow the Territory to validate the availability of solutions against the options outlined, providing a basis for shortlisting of solutions and vendors for the second stage of the procurement. The REQ will include a high-level Statement of Requirements (SoR [refer to Schedule 1]) and request indicative implementation timeframes for each solution offered.</p> <p>The RFP will provide the opportunity to consider in detail the proposed solutions from the selected respondents and to validate initial cost/benefit estimates.</p>
Purpose	This minute seeks your agreement to pursue the procurement and implementation of a vendor managed Software as a Service (SaaS) Cloud based ICT solution that optimises payroll services' integration with effective Human Capital Management (HCM) for the ACT Government through a two-staged approach to market.
Estimated value (\$) inclusive of GST	<p>The HRIMS Program, was endorsed by the Budget Committee of Cabinet in June 2017, with an associated funding allocation of Sch 2.2(a)(xiii)</p> <p>High-level vendor implementation, licensing and ongoing operational cost estimates for environments with similar size and complexity of ACT Shared Services have been obtained. The average of these, along with a forecast of internal effort, has been used to estimate implementation costs and ongoing costs as follows:</p> <p style="text-align: center; font-size: 2em; background-color: #cccccc; padding: 10px;">Sch 2.2(a)(xiii)</p>

# Sch 2.2(a)(xiii)

The cost estimates will be further refined during the proposed two-staged procurement approach. Any revisions to the original estimates are subject to a Stage Gate process following the completion of the RFP.

<b>Timing/urgency</b>	<p>Indicative timeframe:</p> <table border="1" data-bbox="513 649 1402 1187"> <thead> <tr> <th data-bbox="513 649 1117 694">Item</th> <th data-bbox="1117 649 1402 694">Completion Date</th> </tr> </thead> <tbody> <tr> <td data-bbox="513 694 1117 728">GPB First Pass</td> <td data-bbox="1117 694 1402 728">20/06/2017</td> </tr> <tr> <td data-bbox="513 728 1117 761">REOI Advertised</td> <td data-bbox="1117 728 1402 761">08/08/2017</td> </tr> <tr> <td data-bbox="513 761 1117 795">REOI Closes</td> <td data-bbox="1117 761 1402 795">06/09/2017</td> </tr> <tr> <td data-bbox="513 795 1117 873">Approval of Consideration Report, RFP SoR and RFP Evaluation Plan</td> <td data-bbox="1117 795 1402 873">05/10/2017</td> </tr> <tr> <td data-bbox="513 873 1117 907">GPB Second Pass</td> <td data-bbox="1117 873 1402 907">Mid-late Oct 2017</td> </tr> <tr> <td data-bbox="513 907 1117 940">RFP Released to Select Vendors</td> <td data-bbox="1117 907 1402 940">Mid-late Oct 2017</td> </tr> <tr> <td data-bbox="513 940 1117 974">RFP Closes</td> <td data-bbox="1117 940 1402 974">Late Nov 2017</td> </tr> <tr> <td data-bbox="513 974 1117 1052">Approval of RFP Evaluation Report and RFP Negotiation Plan</td> <td data-bbox="1117 974 1402 1052">Dec 2017</td> </tr> <tr> <td data-bbox="513 1052 1117 1086">Contract Negotiations Commence</td> <td data-bbox="1117 1052 1402 1086">Mid Jan</td> </tr> <tr> <td data-bbox="513 1086 1117 1120">Stage Gate</td> <td data-bbox="1117 1086 1402 1120">Mar 2018</td> </tr> <tr> <td data-bbox="513 1120 1117 1187">Contract Execution</td> <td data-bbox="1117 1120 1402 1187">Apr-Jun 2017</td> </tr> </tbody> </table> <p>(Note: timings are indicative and may change after the Procurement Plan is signed)</p>	Item	Completion Date	GPB First Pass	20/06/2017	REOI Advertised	08/08/2017	REOI Closes	06/09/2017	Approval of Consideration Report, RFP SoR and RFP Evaluation Plan	05/10/2017	GPB Second Pass	Mid-late Oct 2017	RFP Released to Select Vendors	Mid-late Oct 2017	RFP Closes	Late Nov 2017	Approval of RFP Evaluation Report and RFP Negotiation Plan	Dec 2017	Contract Negotiations Commence	Mid Jan	Stage Gate	Mar 2018	Contract Execution	Apr-Jun 2017
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Contract Negotiations Commence	Mid Jan																								
Stage Gate	Mar 2018																								
Contract Execution	Apr-Jun 2017																								
<b>Is Government Procurement Board sign off required?</b>	Yes. The Strategic Review Submission (First-Pass) was endorsed by the Board on 20/06/2017. A Second-Pass review is scheduled for early-mid October 2017.																								
<b>Is ACT Government Solicitor (ACTGS) consultation required?</b>	Yes. Caroline March, Principal Solicitor (ACT GSO) has been appointed as legal advisor for the Program. Special Counsel, Procurement and Contracting - Sanaz Mirzabegian (ACT GSO) has been appointed as Probity advisor for the Program.																								
<b>PROCUREMENT REQUIREMENTS</b>																									
<b>Scope of works or services to be provided</b>	<p>The procurement of a new HRIMS will enable a contemporary solution to support efficient whole of government payroll and HR services. Broadly, the scope of works includes:</p> <ul style="list-style-type: none"> <li>- A stable, accurate and efficient transactional processing environment.</li> <li>- A modern, scalable and de-risked technical environment.</li> <li>- A fully inclusive, digital first, self-service environment for all ACT PS employees, delivering higher employee engagement with HR processes through process standardisation, process automation and user accountability.</li> <li>- Integrated and aligned data utilising a single entry point and creating</li> </ul>																								



	<p>a single source of truth.</p> <ul style="list-style-type: none"> <li>- A comprehensive talent management platform providing a focus on the development of capabilities required to meet the strategic goals of the Territory and Directorates.</li> <li>- Advanced reporting, analytics and workforce assessment providing cross directorate talent management and mobility.</li> </ul> <p>Refer to the Statement of Requirements (SoR) for REOI at <b>Schedule 1</b>, The scope of works will be further enhanced through the RFP process,</p>
<b>Funding</b>	<p>The HRIMS Business Case was endorsed by Cabinet in June 2017. Treasury funding to the value of <b>Sch 2.2(a)(xiii)</b> It is anticipated that there will be several productivity and efficiency dividends from the implementation of an integrated HCM and Payroll solution.</p>
<b>Site</b>	Not applicable
<b>Consultation (including pre tender)</b>	<p>The procurement of the HRIMS is aimed at providing a whole-of-government solution and will be implemented across all Territory Directorates. Consultation with key stakeholders to date has been progressed via established governance forums. These include:</p> <ul style="list-style-type: none"> <li>- Customer Council</li> <li>- HRIMS Program Board</li> <li>- HRIMS Steering Committee</li> <li>- Finance Collaboration Forum</li> <li>- HR Collaboration Forum</li> <li>- ICT Collaboration Forum</li> <li>- Government Procurement Board</li> </ul> <p>Approval to establish, including membership for the HRIMS Functional Working Groups was provided by the HRIMS Program Board on 19 July 2017. The functional based Working Groups have been established to support the people side of change – including:</p> <ul style="list-style-type: none"> <li>- harmonisation and standardisation of business processes, systems and technology</li> <li>- coordinating change management across business areas involved in and affected by HRIMS</li> <li>- Job roles and organisation structures</li> </ul> <p>Territory subject matter experts have been engaged extensively in a number of planning activities including:</p> <ul style="list-style-type: none"> <li>- future state vision workshops.</li> <li>- HR Service Baseline data collection</li> <li>- Baseline Data Review and Future Goal Setting Workshops</li> <li>- Statement of Requirements</li> </ul> <p>The HRIMS Feasibility Study completed by The Hackett Group in September 2016 articulates a HRIMS Strategy for the Territory. The feasibility study was developed through a comprehensive consultation process with Directorates. The consultation and stakeholder engagement will be significant and high touch through the life of the Program.</p>

PROCUREMENT POLICIES AND PRACTICES	
Canberra Region Local Industry Participation Policy (LIPP)	Local Industry Participation Plan (LIPP) applies. The REOI will be open to all vendors, including those in the Local Industry. Vendors shortlisted during the REOI will be required to respond to the Territory's LIPP criterion as part of the RFP process.
Sustainable Procurement  What are the key sustainability risks and opportunities that will be addressed through this procurement?	Not applicable
Social Procurement Is this suitable to be a Social Procurement?	No. This procurement seeks to engage specialised services and as such is not suitable for Social Procurement.
Indigenous Procurement  Is there a Canberra Region Indigenous supplier potentially able to meet requirement?	Not applicable
PROCUREMENT RISK	
Risk	One or more of the Risks associated with this procurement are Extreme, Refer to the Risk Management Plan at Schedule 2.
EVALUATION METHODOLOGY	
Evaluation Methodology and Criteria	While this procurement comprises two key stages (REOI and RFP), the PPM is presented to the Delegate inclusive of the proposed REOI Consideration Plan only. Refer to Schedule 3.  The Program Team will provide the Delegate the proposed RFP SoR and RFP Evaluation Plan for approval at completion of the REOI consideration process. Accordingly, the proposed RFP SoR and RFP Evaluation Plan will be provided to the Delegate for approval along with the REOI Consideration Report.
CONTRACT MANAGEMENT	
Number and form of contract	It is anticipated that one SaaS agreement will be entered into with the preferred vendor.
Contract management	Given the likely nature of the contract (SaaS), Shared Services ICT will manage this contract.
Period of contract(s)	The length of the contract sought will be determined based on the preferred solution and subject to contract negotiations.
AUSTRALIAN FREE TRADE AGREEMENTS (FTAs)	
Does the AUSFTA / Australia-Chile FTA	Yes. This procurement is in the magnitude of <b>Sch 2.2(a)(xiii)</b> Therefore, the AUSFTA/Australia-Chile FTA threshold (A\$614,000 for goods

apply?	and services) applies.
<b>AUSTRALIAN GOVERNMENT FUNDING</b>	
Is there Australian Government funding attached to this procurement?	No.
<b>EXEMPTIONS</b>	
Exemption	No.
Reason for Exemption	Not applicable.

<b>GOODS AND SERVICES PROCUREMENT RECOMMENDATION</b>		
Procurement Officer	Hannah Gill	Signature and Date
		Phone Number
Senior Manager	Amy Phillips	Signature and Date
Director	Dave Purser	Signature and Date
Executive Director	Daniel Bailey	Signature and Date

Sch 2.2(a)(ii)

<b>PROGRAM DIRECTOR ENDORSEMENT</b>			
Name	Karen Giovinazzo	Phone Number	620 50980
Position	HRIMS Project Director		
Signature	Sch 2.2(a)(ii)	Date	28/7/17

<b>DIRECTOR STRATEGIC BUSINESS ENDORSEMENT</b>			
Name	Mat Rogers	Phone Number	620 58432
Position	Director, Strategic Business, CMTEDD		
Signature	Sch 2.2(a)(ii)	Date	01/8/17
<b>DIRECTOR FINANCE AND PAYROLL ENDORSEMENT</b>			
Name	Calvin Robinson	Phone Number	620 53819
Position	Director, Finance and Payroll Services, CMTEDD		
Signature	Sch 2.2(a)(ii)	Date	3/8/17

ED SS ICT ENDORSEMENT			
Name	Gary Davis	Phone Number	620 76489
Position	Executive Director, Shared Services ICT, CMTEDD		
Signature	Sch 2.2(a)(ii)	Date	3/8/17
ED SS ENDORSEMENT			
Name	Graham Tanton	Phone Number	620 75757
Position	Sch 2.2(a)(ii) Services, CMTEDD		
Signature	Sch 2.2(a)(ii)	Date	28/07/2017
DEPUTY UNDER TREASURER ENDORSEMENT			
Name	Andrew Kefford	Phone Number	620 74583
Position	Deputy Under Treasurer		
Signature		Date	
DELEGATE APPROVAL			
Name	David Nicol		
Position	Under Treasurer, CMTEDD		
Statement	The Procurement Plan and attachments are approved.		
Signature		Date	

**Schedules:**

Schedule 1 – Statement of Requirements for REOI

Schedule 2 – Risk Management Plan

Schedule 3 – REOI Consideration Plan

## Out Of Scope

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**From:** Sch 2.2(a)(ii)  
**Sent:** Wednesday, 24 January 2018 4:54 PM  
**To:** Cleary, Kylie  
**Cc:** Sch 2.2(a)(ii)  
**Subject:** Sch 2.2(a)(xi): ACT Human Resource Information Management Solution

**Follow Up Flag:** Follow up  
**Flag Status:** Completed

Hello Kylie,

Thank you for the opportunity to respond to RFX 28499.112 *Procurement and Implementation of a Human Resource Information Management Solution (HRIMS)*.

After serious consideration I wish to advise that Sch 2.2(a)(xi) will not be submitting a proposal in response to your RFT. Our decision has been based on a more detailed analysis of the scope of work following the submission of our team's EOI on 12 Sept 2017. We do however wish you every success in the implementation of the HRIMS and would be happy to discuss how we could support this important project from an assurance perspective. Should you wish to discuss further, please do not hesitate to contact me directly on Sch 2.2(a)(ii)

I have also left a brief message on your desk phone late last week.

Sch 2.2(a)(xi)

\*\*\*\*\*

**Request for Proposal (RFP) NO. 28499.112**



**PROCUREMENT AND IMPLEMENTATION OF A HUMAN  
RESOURCE INFORMATION MANAGEMENT SOLUTION  
(HRIMS)**

**on behalf of the**

**Chief Minister Treasury and Economic Development  
Directorate (CMTEDD)**

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**PROPOSAL EVALUATION PLAN**

## **EVALUATION PLAN**

### **1. Aim**

This Evaluation Plan (Plan) details the Evaluation Team (ET), comprising an Evaluation Team (ET) and one established Evaluation Working Group (EWG) as detailed below, their responsibilities and the methodology and criteria by which Proposals received in response to the Provision and Implementation of a Human Resource Information Management Solution (HRIMS) Request for Proposal (RFP) will be evaluated.

### **2. Governance**

#### **2.1 Evaluation Team**

##### **General Role of ET**

The ET detailed below has been formed to evaluate the Proposals for the above Program. All members of the ET are aware of their responsibilities and obligation to demonstrate impartiality and equity to all respondents.

The ET will be responsible for:

- a) maintaining probity;
- b) evaluating the responses in accordance with the criteria and methodology;
- c) documenting the evaluation process;
- d) preparing an Evaluation Report for the Delegate, including a recommendation of a preferred platform/Respondent/s if appropriate and seeking Delegate approval to proceed to contract with the preferred Respondent/s as appropriate; and
- e) debriefing unsuccessful respondents.

##### **ET Chair**

The ET Chair is responsible for:

- a) ensuring the proposal evaluation process is conducted in an objective, fair and ethical manner;
- b) approving correspondence with Respondent/s for transmission through the contact officer;
- c) overseeing the debriefing of unsuccessful Respondent/s; and
- d) leading the evaluation process and overseeing the preparation and finalisation of the Evaluation Report in accordance with Section 7 of this Plan.

##### **ET Members**

Members appointed to the ET as detailed below have been selected to evaluate all Proposals to the point where the Delegate makes a decision to either accept or reject the ET's recommendations.

The role of ET members includes the following responsibilities:

- a) notify the contact officer of any submissions that require clarifications;
- b) assess the technical worth as identified and score proposal responses;

- c) review reports provided by any evaluation working groups as part of Proposal evaluations;
- d) conduct a risk analysis of Proposal responses;
- e) attend presentations; and
- f) make Proposal recommendations.

Members of the ET are personally appointed and will not be withdrawn or replaced without prior approval of the Chair of the Evaluation Team or Delegate. Where a member is replaced, the new member is to have the appropriate skills and competency required to complete the evaluation of Proposals relating to the requirements of this RFP.

Each TET member has been nominated on the basis of their technical, procurement and/or contract management experience in the subject area. All members of the TET are aware of their responsibilities and the need to demonstrate impartiality and equity to the Respondents.

<b>Evaluation Team</b>
Mr Graham Tanton (Chair)
Mrs Karen Giovinazzo
Mr John Reis
Sch 2.2(a)(ii)

## 2.2 Evaluation Working Groups

The following evaluation working groups have been established to provide detailed evaluation and/or analysis to the Evaluation Team as part of the evaluation process.

All documentation relating to each evaluation working group is to be recorded and retained.

Evaluation working group members are required to complete a Confidentiality and Conflict Disclosure Deed prior to obtaining access to any proposal responses.

The evaluation working groups are responsible for recording their evaluation and presenting assessment report including any identified risks to the ET.



The following Evaluation Working Group's comprised of the following members as detailed:

Working Group	Name	Role	Directorate
Technical Capabilities, Integration/Interface	Sch 2.2(a)(ii)	TCIEWG Chair	Independent
Technical Capabilities, Integration/Interface	Jonathan Owen	TCIEWG Member	CMTEDD
Technical Capabilities, Integration/Interface	Bren Hanson	TCIEWG Member	CMTEDD
Technical Capabilities, Integration/Interface	Andrew Husking	TCIEWG Member	CMTEDD
Technical Capabilities, Integration/Interface	John Reis	TCIEWG Member	CMTEDD

Working Group	Name	Role	Directorate
Functional Capabilities	Karen Giovinazzo	FCEWG Chair	CMTEDD
Functional Capabilities	Debbie Arsego	FCEWG Member	HEALTH
Functional Capabilities	Judi Childs	FCEWG Member	CMTEDD
Functional Capabilities	Michelle Caulfield	FCEWG Member	CMTEDD
Functional Capabilities	Sch 2.2(a)(ii)	FCEWG Member	Independent

Working Group	Name	Role	Directorate
Corporate Capability and Capacity	John Reis	CCCEWG Chair	CMTEDD
Corporate Capability and Capacity	Graham Tanton	CCCEWG Member	CMTEDD
Corporate Capability and Capacity	Karen Giovinazzo	CCCEWG Member	CMTEDD
Corporate Capability and Capacity	Judi Childs	CCCEWG Member	CMTEDD
Corporate Capability and Capacity	Sch 2.2(a)(ii)	CCCEWG Member	CMTEDD

Corporate Capability and Capacity	Steven Wright	CCCEWG Member	CMTEDD
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Working Group	Name	Role	Directorate
Pricing	Mr Ross Burton	PEWG Chair	CMTEDD
Pricing	Mr Shiva Sapkota	Member	CMTEDD
Pricing	Clare Vincent	Member	TREASURY

### 2.3 Specialist Advice and Support

The ET may, as required, utilise specialist advice to assist in the evaluation process.

The areas of experience may include:

- a) technical analysis, including advice from Consultants and Procurement Goods and Services Directors/Managers;
- b) past performance, including advice from officers within ACT Government;
- c) financial assessment;
- d) assessment of Work Health and Safety;
- e) assessment of the Local Industry Participation;
- f) probity and technical procurement advice, including from the ACT Government Solicitor and Procurement, Property & Venues Goods and Services Procurement Directors/Managers (such advice may include, but not be limited to, technical drafting advice and review of draft Evaluation Reports for clarity and consistency with the Government Procurement Act 2001 (ACT) and the RFP); and
- g) legal issues, including advice from the ACT Government Solicitor.

### 2.4 Advisors

The following named Advisors may be requested through the ET Chair to provide input or feedback with regard to assessment areas of RFP responses to the ET. The ET Chair will also provide the timeframe for these responses from the Advisors.

Name	Role (Non Voting)	Directorate
Mr Mat Rogers	Business Advisor	CMTEDD
Mr Calvin Robinson	Business Advisor	CMTEDD
TBA	Specialist Technical Advisor	GARTNER
Mr Darren Hengst	Specialist Technical Advisor	CMTEDD
Mr Damian Grovenor	Contracts and Licensing Advisor	CMTEDD
Mr Rick Hyslop	Contracts and Licensing Advisor	CMTEDD
Ms Caroline Marsh	Legal Advisor	ACT Government Solicitor

Mr Nathan Hancock	Special Counsel	ACT Government Solicitor
Ms Sanaz Mirzabegian	Probity Advisor	ACT Government Solicitor

#### Procurement Advisors

Name	Role	Directorate
Mr Phil Slater	Procurement Advisor	CMTEDD
Mr Kylie Cleary	Procurement Advisor <ul style="list-style-type: none"> <li>- Conduct Conformance and Compliance Assessment</li> <li>- Provide initial draft Evaluation Report soon after completing Conformance and Compliance Assessment</li> <li>- Manage the request for clarification process</li> <li>- Manage all correspondence between the ET and respondents during the approach to market and evaluation processes</li> </ul>	CMTEDD

### 3. Evaluation Process

#### Inconsistency of Documentation

The ET will assess responses in accordance with the provisions of the published RFP and this Evaluation Plan. If there is any inconsistency between the requirements of the published RFP and this Evaluation Plan, the published RFP prevails to the extent of the inconsistency.

#### Request for Clarifications

Requesting further information or clarification from a respondent about their proposed solution, as part of the evaluation process, must only be done in accordance with the *Standard Conditions of Proposal – Services, Section 5 – Further Information, Clarifications and Enquiries*.

Clarification of information provided in a response that is unclear, ambiguous or inconsistent is permitted to ensure an accurate evaluation of the response. Respondents must be informed that the request for clarification is not an opportunity to materially amend their Response.

Clarification must be sought from a respondent via email through the Procurement Advisor, and the questions must be cleared in advance by the ET Chair and/or the Probity Advisor as appropriate. The ET Chair may require that the return responses by respondents be reviewed by the ACT Government Solicitor and/or Probity Advisor prior to the release of answers to the ET.

Flexibility to direct clarification requests to one or more of the respondents but not routinely to all will be undertaken in accordance with the above stated procedure.

Requests for clarification must specifically identify the aspects (e.g. compliance items, Weighted Criteria, Pricing) of the response that require clarification and can be sought at any stage in the evaluation process.

Respondents will be advised that if they do not respond to clarification questions within a specified timeframe, the sections of the response in respect of which clarification is sought may not be taken into consideration as part of the ET deliberations.

#### Detailed Response Evaluation

All responses will be considered in a staged process as follows:

##### STAGE 1: Conformance and Compliance Assessment:

The Procurement Advisor(s) will check all responses to ensure each response meets the Mandatory Criteria using RFP Attachment 3 – Returnable Schedules.

A Response may be deemed non-conforming if it is:

- a) at variance with or does not respond to or does not fully comply with any requirement of the RFP; or
- b) is incomplete, cannot be read or decrypted; or
- c) potentially contains any virus, malicious code or anything else that might compromise the integrity or security of Tenders ACT and/or the Territory's ICT environment.

The Territory may, at its absolute discretion, in respect of a response that is non-conforming or which has been deemed by the Territory to be non-conforming having regard to any conditions of the RFP:

- a) reject and not further consider the response;
- b) ignore any non-conformance in the response and assess the response against the Assessment Criteria; or
- c) if it is possible to correct the non-conformance without affecting the probity of the consideration process, permit the respondent to do so.

Late Responses will be registered separately and may be admitted to assessment at the absolute discretion of the Territory. In deciding whether to admit a Late Response to consideration, factors that may be considered include:

- a) whether the respondent is likely to have had an opportunity to obtain some unfair advantage from late submission of the response;
- b) how late the response is, the reasons and evidence given for lateness;
- c) whether the response was mishandled by the Territory; and
- d) evidence of unfair practices.

If a response is not compliant with the Mandatory (Threshold) Criteria, it will be set aside from further assessment in the evaluation process. Responses that are found to comply with all Mandatory Criteria will be evaluated against the Assessment Criteria.

On completion of the Conformance and Compliance Assessment, the Procurement Advisor(s) will write a brief report to the Chair of the ET, for consideration before the first ET meeting.

Identified risks for each Proposal will be progressively added to the Risk Register for risk profiling at the risk evaluation stage.

## **STAGE 2: Evaluation**

All conforming and compliant Proposals will be evaluated against the weighted evaluation criteria including the Economic Contribution Test (ECT) as part of the Local Industry Participation Policy (LIPP).

A quantitative score out of 10 and qualitative comment will be made against each of the Weighted Criterion (excluding the ECT) (refer to **Appendix A** - Table 1 for the Technical Scoring Regime).

Raw scores for each Weighted Criterion will be summed and divided by the total number of evaluators per criterion resulting in an average raw score (excluding the ECT) in accordance with the weightings at **Appendix B** – Proposal Evaluation Criteria.

The ECT will be evaluated using the Local Industry Participation Evaluation Worksheets. The final score produced by the scoring and sub-criteria weighting against LIPP categories will be incorporated into the Technical worth evaluation score sheets.

The weighted average scores for each Criterion will be summed to obtain a Total Technical Weighted Score for each Proposal.

The ET will discuss and substantiate any discrepancies between the raw scores and will note any issues or risks identified during this stage of evaluation for further consideration and the Risk Register will be updated.

Issues requiring clarification will be documented and followed up with the relevant Respondent Clarification responses will be considered and scores may be adjusted to finalise a criterion average weighted score.

Identified risks for each Proposal will be progressively added to the Risk Register for risk profiling at the risk evaluation stage.

Any result that demonstrates a significant gap, which would reduce the likelihood of achieving the stated objectives of the program may be set aside from further evaluation at this stage.

Qualitative comments are to be documented for audit review purposes.

### **STAGE 3: Pricing Evaluation**

This Stage 3 will be conducted in parallel to Stage 2 (above) by the established PEWG who will open Respondent/s separate electronic pricing files.

Each Proposal Price (Pricing) for any remaining proposal responses will be evaluated by the PEWG Members through a cost modelling analysis to determine the total cost of ownership for the program over a 10 year period.

The PEWG will also identify any risks associated with proposal pricing such as variations, unknown pricing factors, pricing too low or high which may be a misalignment of the requirements.

The PEWG will present their cost modelling to the ET for consideration in the evaluation process.

Identified pricing risks will be added to the Risk Register for risk profiling at the risk evaluation stage.

Proposals which are not deemed to be cost-effective may be set aside from further evaluation at this stage. Qualitative comments are to be documented for audit review purposes.

### **STAGE 4: Relative Risk Evaluation**

The risk evaluation **must** include consideration of any risks identified during the preceding evaluation stages as well as all other evaluation criteria incorporated in the following:

- a) **Technical** – e.g. departures from requirements, capability gaps, experience and past performance and any assumptions.
- b) **Contractual** – e.g. departures from Conditions of Contract, contractual assumptions, insurance values.
- c) **Response offer** – e.g. departures from Conditions of Proposal, implementation, change management, training organisation validity, Respondent declaration, sub-contractor and/or partnership/consortium arrangements.
- d) **Financial** – e.g. pricing integrity, sustainability, reliability, reasonableness, pricing assumptions, financial capacity to enter into contract.

A risk evaluation will include the level of overall residual risk with each qualifying Respondent response as well as risk transferred to the Territory. Other matters which may be relevant to evaluating the costs associated with provision of the procurement and the impact upon achieving overall value for money.

Any Respondent demonstrating an unacceptable risk, which would reduce the likelihood of achieving a value for money outcome may be set aside from further evaluation at this stage. Qualitative comments are to be documented for audit review purposes.

#### **STAGE 5: Presentations/Demonstrations:**

Respondents who demonstrate their capacity, ability, and capability to meet the Territory's requirements will be determined within the competitive range and selected on the shortlist of Respondents to progress to the next round of evaluation.

The ET will invite the remaining Respondents to present their proposed approach and solution being offered. This will include demonstrating to the Territory the functionality of their SaaS Solution as described in the proposal response and according to their due diligence findings.

Presentations will provide Respondent/s with an opportunity to demonstrate their proposed solution to the ET, with a view to enhancing their understanding and appreciation.

The presentations will include pre-defined user scenarios. The presentations are to be conducted in a manner which provides the Territory the ability to interact with the Respondent across all areas of the assessment criteria and proposed solution. All presentations will be conducted at the Territory's locations.

The ET (through the Chair) will create and transmit presentation invitations and agendas providing governance on the process in accordance with the Probity Plan during this stage of evaluation. Presentations are not intended to provide Respondent/s with an opportunity to amend their proposed solutions from what was set out in their written Proposal.

Upon conclusion of the presentations, the ET will provide qualitative comments on the information presented and update the Risk Register as necessary.

Any presentation that does not validate the Respondent's claims (and therefore reduces the likelihood of achieving the objectives of the Program) may be set aside from further evaluation at this stage. Qualitative comments are to be documented for audit review purposes.

#### **STAGE 6: Referee Checks**

During **any stage** in the evaluation process, the ET Chair may decide whether or not to seek initial or additional referee comments or to seek referee comments from referees who have not been nominated by the Respondent/s.

If the ET conducts referee checks, they must ensure that the same set of questions are asked for each referee and that all questions and responses are documented.

Referee checks must only be used to verify the claims made by a Respondent in their Proposal to the RFP. Referee checks must not be used to introduce new or additional information, not included in a Proposal, into the evaluation process.

To reflect information received from referees, the ET may revisit, and adjust if necessary, the comments and/or scores from the evaluation to date.

If referee comments are sought, the Risk Register will be updated as appropriate and the ET may decide to shortlist Respondent/s based on the analysis of referee comments.

#### **STAGE 7: Financial Viability**

A financial viability assessment will be required for the preferred Respondent/s if the ET deems it necessary.

If financial viability checks are sought the Risk Register will be updated as appropriate and any risks identified will be considered in Stage 8 Value for Money.

#### **STAGE 8: Value for Money**

Value for Money (VFM) is a comprehensive assessment that takes into account Total Weighted Score (Technical Worth), a competitive cost (Total Cost of Ownership) and an assessment of the level of risk a preferred respondent is likely to offer the Territory.

The ET, as a whole, must evaluate the VFM taking into account the preceding evaluation outcomes, including referee responses and financial viability assessments (if undertaken). The best potential VFM will be represented by the Respondent/s which has a relatively high weighted technical score, at a reasonable price with acceptable levels of relative risks.

The ET should, in the first instance, seek to reach consensus by discussion. In the event that consensus cannot be reached, the selection of a preferred Respondent will be by majority vote with the ET Chair having an additional casting vote, if necessary.

The overall VFM assessment for each remaining Proposal **must** be documented as part of the Evaluation Report.

#### **4. Best and Final Offers**

Where the Proposal Process involves an outcome where there are two or more preferred Respondents, then the ET (through the Chair) may invite the preferred Respondents to submit a best and final offer in relation to all or certain aspects of their respective Proposals. The ET is under no obligation to give Respondents the opportunity to submit a best and final offer.

## 5. Program Board

The recommendations and report of the ET will be provided to the Program Board. The HRIMS Program Board will be responsible for endorsing the final recommendations of the ET.

The Program Board comprises:

Position	Name	Title	Directorate
Chair	Nicole Feely	Director General	Health Directorate (HD)
Member	Shaun Strachan	Deputy Under Treasurer	Chief Minister, Treasury and Economic Development Directorate (CMTEDD)
Member	Judi Childs	Director - Public Sector Management	Chief Minister, Treasury and Economic Development Directorate (CMTEDD)
Member	Sue Hall	Executive Director – Corporate	Chief Minister, Treasury and Economic Development Directorate (CMTEDD)
Member	Christine Murray	Director - People Management	Community Services Directorate (CSD)
Member	Chris Hodgson	Director - People and Performance	Education Directorate (ED)
Member	Peter O'Halloran	Chief Information Officer	Health Directorate (HD)
Member	Virginia Hayward	Acting Chief Human Resources Officer	Justice and Community Safety Directorate (JACS)
Member	Ian McGlinn	Director - Public Transport Operations	Transport Canberra and City Services (TCCS)
Member	Chris Reynolds	Executive Director - Program, Governance, Risk and PST	Environment, Planning and Sustainable Development Directorate (EPSDD)
Member	Graham Tanton	Executive Director - Shared Services	Chief Minister, Treasury and Economic Development Directorate (CMTEDD)



## 6. Post Proposal (Contract) Negotiations (if required)

Following Delegate approval, a nominated group of experts will undertake negotiations, in accordance with the recommendation(s) in the Proposal Evaluation Report (PER) or as instructed by the Delegate.

The designated Negotiation Team comprises:

Name	Role	Directorate
Mr Mat Rogers	Director, Strategic Business	CMTEDD
Ms Karen Giovinazzo	HRIMS Program Director	CMTEDD
Mr Damian Grovenor	Senior Manager, ICT Contracts and Licensing	CMTEDD
Ms Elita Barrett	Manager, ICT Contracts and Licensing	CMTEDD
Mr Rick Hyslop	ICT Contracts and Licensing	CMTEDD
Ms Caroline Marsh	Principal Solicitor	ACT Government Solicitor

Members of the Negotiation Team are personally appointed and should not be withdrawn or replaced without prior approval of the Chair of the Evaluation Team or Delegate. Where a member is replaced, the new member is to have the appropriate skills and competency required to undertake the required negotiations

A Negotiation Plan has been included at Attachment A.

## 7. Evaluation Report and Letters of Decline/Debriefings

### Evaluation Report

The Procurement Advisor will prepare the following information for consideration with the Evaluation Report.

- a) background to the process;
- b) the evaluation process, including comments and scores against each criteria;
- c) the order of preference of proposals;
- d) value for money;
- e) proposed methods for management of risks;
- f) identification of any issues which should be resolved by negotiation; and
- g) recommendations to the Director General or approving delegate.

### Letters of Decline / Debriefings

Letters of decline will be sent to all unsuccessful respondents from both Stage 1 Request for Expression of Interest (REOI) and Stage 2 Request for Proposal (RFP). Letters of decline and debriefings will comply with the requirements outlined in Procurement Circular 2007/05 *Debriefing Unsuccessful Respondents*.

## APPENDIX A - Scoring Regime Table for Responses: Technical Worth

The ET will use a numerical scoring scale (see Table 1 below) against which each team member will assess their designated Weighted Criteria to derive a raw score.

**Table 1**

Descriptor	Sample Commentary	Rating
Superior	Highly convincing and credible. Response demonstrates superior capability, capacity and experience relevant to, or understanding of, the requirements of the Evaluation Criterion. Comprehensively documented with all claims fully substantiated.	10
Outstanding	Highly convincing and credible. Response demonstrates outstanding capability, capacity and experience relevant to, or understanding of, the requirements of the Evaluation Criterion. Documentation provides complete details. All claims adequately demonstrated and substantiated.	9
Excellent	Response complies, is convincing and credible. Response demonstrates excellent capability, capacity and experience relevant to, or understanding of, the requirements of the Evaluation Criterion. Some minor lack of substantiation but the Tenderer's overall claim is supported.	8
Very Good	Response complies, is convincing and credible. Response demonstrates very good capability, capacity and experience, relevant to, or understanding of, the requirements of the Evaluation Criterion. Minor uncertainties and shortcomings in the Tenderer's claims or documentation.	7
Good	Response complies and is credible but not completely convincing. Response demonstrates adequate capability, capacity and experience, relevant to, or understanding of, the requirements of the Evaluation Criterion. Tenderer's claims have some gaps.	6
Adequate	Response has minor omissions. Credible but barely convincing. Response demonstrates only a marginal capability, capacity and experience relevant to, or understanding of, the requirements of the Evaluation Criterion.	5
Reservations	Barely convincing. Response has shortcomings and deficiencies in demonstrating the Tenderer's capability, capacity and experience relevant to, or understanding of, the requirements of the Evaluation Criterion.	4
Poor	Unconvincing. Response has significant flaws in demonstrating the Tenderer's capability, capacity and experience relevant to, or understanding of, the requirements of the Evaluation Criterion.	3
Very Poor	Unconvincing. Response is significantly flawed and fundamental details are lacking. Minimal information has been provided to demonstrate the Tenderer's capability, capacity and experience relevant to, or understanding of, the requirements of the Evaluation Criterion.	2

Inadequate	Response is totally unconvincing and requirements have not been met. Response has inadequate information to demonstrate the Tenderer's capability, capacity and experience relevant to, or understanding of, the requirements of the Evaluation Criterion.	1
Not Acceptable	Tenderer was not evaluated as it did not provide any requested information and/or contravened nominated restrictions.	0

## APPENDIX B - Evaluation Criteria

The table below shows the criteria that will be used to assess responses.

THRESHOLD CRITERIA	PASS/FAIL
Attendance at mandatory Industry Briefing Session	Pass / Fail
The Respondent, if other than the Product Vendor, shall submit with the proposal evidence that the Respondent is a current member of the Product Vendor's Partner Network and an authorised distributor, dealer or service representative and is authorised to sell the Product Vendor's products. This includes the certification to license the product and service, maintenance, technical training assistance, and warranty services, including availability of spare parts and replacement units if applicable.	Pass / Fail
Provide a solution that includes a minimum of the following functional modules that are compliant to the Territory's ICT Security Environment Standard and Policies at <b>Attachment 6</b> : <ul style="list-style-type: none"> <li>a) Workforce Planning and Strategy</li> <li>b) Recruiting</li> <li>c) Core HR</li> <li>d) Time and Payroll</li> <li>e) Learning and Development</li> <li>f) Performance Management</li> <li>g) Talent Planning and Strategy</li> <li>h) Employee Health and Well-Being</li> <li>i) Measure and Report</li> </ul>	Pass / Fail
WEIGHTED CRITERIA	WEIGHTING
<b>Functional Requirements</b> <ul style="list-style-type: none"> <li>a) Workforce Planning and Strategy</li> <li>b) Recruiting</li> <li>c) Core HR</li> <li>d) Time and Payroll</li> <li>e) Learning and Development</li> <li>f) Performance Management</li> <li>g) Talent Planning and Strategy</li> <li>h) Employee Health and Wellbeing</li> <li>i) Measure &amp; Report</li> </ul>	Sch 2.2(a)(xiii)

<p><b>Non-Functional / Technical Requirements</b></p> <ul style="list-style-type: none"> <li>a) Availability and Accessibility</li> <li>b) Business Contingency Planning</li> <li>c) Capacity and Performance</li> <li>d) Data Migration and Management</li> <li>e) Defect Management</li> <li>f) Help Desk and Support</li> <li>g) Hosting and Maintenance</li> <li>h) Non-Functional</li> <li>i) Security and Compliance</li> <li>j) Testing</li> </ul>	Sch 2.2(a)(xiii)
<p><b>Integrations and Interfaces</b></p> <ul style="list-style-type: none"> <li>a) Functional Integration</li> <li>b) Solution Integration</li> </ul>	
<p><b>Corporate Capability and Capacity</b></p> <ul style="list-style-type: none"> <li>a) Change Management</li> <li>b) Corporate Experience</li> <li>c) Deliverables and Implementation</li> <li>d) Program Management</li> <li>e) Resourcing and Relationship Management</li> <li>f) Training</li> </ul>	
<p><b>Local Industry Participation Part 2</b></p> <p>Respondents must complete and submit an Economic Contribution Test (ECT). The ECT requires Respondents to provide information on how both their proposal and business contribute to the economic benefit of the Canberra Region by providing the following information:</p> <ul style="list-style-type: none"> <li>a) Current business presence in the Canberra Region, including relevant capital investment history and/or new commitments;</li> <li>b) How the Respondent will identify and utilise products and capabilities provided by local businesses;</li> </ul>	

<p>c) The estimated number of labour hours associated with the head contract and the labour hours of local subcontractors within the head contract;</p> <p>d) Additional undertakings by the Respondent to benefit the Canberra Region economy; and</p> <p>e) Approach to workforce skilling and utilisation of local skills (e.g. through supply chain or local subcontractors).</p>	
<b>TOTAL</b>	<b>100%</b>

<b>NON-WEIGHTED CRITERIA</b>
Consortium Structure
Sub-contractor arrangements
Pricing
Assumptions
Draft Contract Review
Referees

**ATTACHMENT A - Negotiation Plan**

Refer to separate Evaluation Plan document (RFP 28499.112 Evaluation Plan **Attachment A – HRIMS Negotiation Plan**)

## MINUTE



**ACT**  
Government

Chief Minister, Treasury and  
Economic Development

Date	28 February 2018	TRIM No: CMTEDD2018/1085
		File No:
To	Under Treasurer	
	<ul style="list-style-type: none"> <li>• Deputy Under Treasurer, Commercial Services &amp; Infrastructure</li> </ul>	
From	Executive Director, Shared Services	
Subject	HR Information Management Solution (HRIMS) Evaluation Re-alignment	

### Critical date and reason

1. **1 March 2018.** To ensure the first evaluation milestone for the HRIMS is achieved on 6 March 2018 as currently scheduled.

### Recommendations

2. That you:
  - Support the proposed re-alignment of the assessment areas for each member to allow the Evaluation Team to focus on areas of expertise, and;
  - Endorse the revision of the Evaluation Plan **Sch 2.2(a)(ii)** change.

David Nicol.....

**AGREED/NO**

..... 1/3/2018

...../PLEASE DISCUSS



## Background

3. The period for evaluation of the HRIMS Program Request for Proposal (**RFP**) is scheduled as follows:

Milestone / Activity	Dates
<ul style="list-style-type: none"> <li>• Scoring books completed</li> <li>• Pricing analysis completed</li> </ul>	6 March 2018
<ul style="list-style-type: none"> <li>• Consensus scoring</li> <li>• Pricing presentation</li> <li>• VFM Shortlisting</li> </ul>	9 March 2018
<ul style="list-style-type: none"> <li>• Vendor presentations</li> </ul>	3 April - 12 April 2018

4. The HRIMS Program schedule features a number of key activities that are dependent on the evaluation schedule and therefore, it is not advisable that the evaluation be extended due to the risk of delaying contingent activities.
5. The RFP Respondents (**Respondents**) have also been briefed on the evaluation timeline at the time of the Industry Briefing and these expectations need to be managed.
6. All the RFP responses (**Responses**) have met the compliance and conformance checks.

## Issues

7. Members of the Evaluation Team have expressed time and commitment challenges in completing the evaluation of Responses due to volume, complexity and competing priorities with their business as usual activities.
8. The HRIMS Program Team has taken steps to ease the burden on the Evaluation Team, namely by:
- a. developing a tool that assists evaluators to undertake the assessment of compliance with functional requirements in a more timely manner; and
  - b. organising a series of checkpoints meetings which provide additional assistance.
9. Recent feedback suggests that, while helpful, these adjustments have not been sufficient to ease the pressure on the Evaluation Team.
10. Consequently the following changes are proposed:

Name	Current Area of focus for Assessment	Proposed Area of focus for Assessment
Mr Graham Tanton (Chair)	All	Corporate Capability and Capacity
Mrs Karen Giovinazzo (Deputy Chair)	All	All
Mr John Reis	All	All
Sch 2.2(a)(ii)	All	All
Ms Judi Childs	Business Capabilities & Integration/Interface & Corporate Capability and Capacity	Corporate Capability and Capacity
Mr Steven Wright	Business Capabilities & Integration/Interface & Corporate Capability and Capacity	Corporate Capability and Capacity
Ms Debbie Arsego Ms Michelle Caulfield	Business Capabilities & Integration/Interface & Corporate Capability and Capacity	Business Capabilities
Mr Jonathan Owen	Technical Capabilities & Integration/Interface & Corporate Capability and Capacity	Technical Capabilities & Integration/Interface
Mr Bren Hanson	Technical Capabilities & Integration/Interface & Corporate Capability and Capacity	Technical Capabilities & Integration/Interface
Mr Andrew Husking	Technical Capabilities & Integration/Interface & Corporate Capability and Capacity	Technical Capabilities & Integration/Interface

11. The proposed changes reflect the knowledge domains and relative strengths of individual members and will serve to greatly streamline the assessment process, without compromising quality/coverage as a whole. Notably, a number of Evaluation Team members retain focus on all areas of assessment.
12. The Evaluation Team understands that each Evaluation Team member will also retain their accountability in relation to the value for money assessment of a Response. They will be afforded a number of opportunities to come together as a group and discuss the Responses in their totality, so as to ensure that individual members hold an appropriately balanced and holistic view of the Responses to inform the Evaluation Team's value for money recommendations.

### **Consultation**

13. The HRIMS Program Board was notified of the time pressures at the meeting held on 22 February 2018 and expressed the collective view that all possible steps should be taken to alleviate pressure on the Evaluation Team, as long as the evaluation outcome was not compromised as a result.
14. The Program's Senior Procurement Officer (CMTEDD) has been consulted and has advised that the proposed course of action is appropriate.
15. The Program's Probity Advisor has been consulted and has advised that it is open to the Territory to reallocate areas of focus for individual Evaluation Team members so long as each Evaluation Team member will also retain their accountability in relation to the value for money assessment of a Response.
16. In all circumstances, the Territory needs to have sufficient evidence that it has duly considered all Responses in a consistent manner and that it is able to reach a value for money position.
17. The Government Solicitor's Office (GSO) was consulted and have provided input ([Attachment B](#)).

### **Work Health and Safety**

18. Nil.

### **Financial**

19. Nil.

### **Risks/ Sensitivities**

20. There is a risk that, if no adjustment is made, the Evaluation Team will not be able to achieve the first evaluation milestone and put the following evaluation activities at risk to schedule slippage.
21. To mitigate this risk, it is proposed that the Evaluation Plan is amended to reflect a more targeted assessment focus for some Evaluation Team members (refer [Attachment A](#)).

**Media**

22. Nil.

Mr Graham Tanton

Executive Director, Shared Services

Action Officer: Karen Giovinazzo

Phone: (02) 6205 0980



# Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

Legen

28499.112

REP - HRIMS

Tender submitted on Time
Conforms with format & scope requirements
Response Schedule 1 - received and complete
Is response a consortium bid?
Consortium members (if applicable)
Is response noting sub-contractors?
Sub-contractor ABN Valid? (if applicable)
Value of sub-contract work (if applicable)
Threshold criteria 1 - Attended Mandatory Briefing Session
Threshold criteria 2 - Product vendor partner network evidence (if applicable)
Threshold criteria 3 - Solution provided is compliant to the functional modules and compliant to the ICT Security Environment
Response Schedule 2 - Requirements compliance received and complete
Response Schedule 3 - LIP received and complete
Response Schedule 4 - Pricing received and complete
Response Schedule 5 - Referees received and complete
Response Schedule 6 - Confidential text form received
Response Schedule 7 - Draft contract review received
Response Schedule 7 - Contract departures (if any)

tion to be completed by PCW Officer



# Sch 2.2(a)(xiii)

Response Schedule 8 - Assumptions received
Response Schedule 8 - Assumptions made (if any)
Response Schedule 9 - Declaration received and complete (signed)
Response Schedule 9 - Any liability upper limit cap?
Listed on WGEA
ACN / ABN Check
Legal Entity as identified from ABN Check
Trading name
Phone
Fax
Email
Postal Address
Contact Name
Comments
Threshold criteria 1 - Attended mandatory Briefing Session
Threshold criteria 2 - Product vendor partner network evidence (if applicable)
Threshold criteria 3 - Solution provided is compliant to the functional modules and compliant to the ICT Security Environment
Legal entity is clear and suitable for purposes of possible future contract
Comments

This sec



### Tender Compliance / Conformity Checklist

Completed by PWC Officer  
Completed by TET Deputy Chair

Name: Kylie Cleary  
Name: Karen Giovinazo

Date:  
Date:

02/02/2018  
02/02/2018



## Local Industry Participation Evaluation Worksheet - Summary (REOI)

Version 1.0  
Version Date Thursday, 26 October 2017

**Ensure you have enabled macros for this worksheet**

### **INSTRUCTIONS FOR GNS OFFICERS - COMPLETE THE LIGHT BLUE BOXES**

**STEP 1** Enter in the **Project Details** and **Contract Value**. Select whether the Tenderers are submitting an **ECT or Local IP Plan?** Select the **Stage**. If appropriate for this project, adjust the **Category Weighting** from the dropdown menu.

**STEP 2** Click the "**Add a Tenderer**" Button and enter in a Tenderer's Name into the pop-up box.

**STEP 3** Repeat **STEP 2** until you have added all Tenderers to the workbook.

**STEP 4** Go to each **Tenderer's tab**, Facilitate the Tender Evaluation Team's evaluation by filling in all the **LIGHT BLUE BOXES**.

**STEP 5** Once the Evaluation Report is signed by the Delegate, return to this **LIPP Evaluation Summary tab** note the **Successful Tenderer** and click the "**Send Results to GNS for Reporting**". After one moment a "Results sent successfully" box is shown.

#### **STEP 1**

Sch 2.2(a)(xiii)

Sch 2.2(a)(xiii)

<b>PROJECT DETAILS</b>	
Project Number (5 Digits)	Extension
29466	.112
Project Name	
HRMIS	
ECT or Local IP Plan?	ECT
Stage 2	Stage 2

<b>CATEGORIES</b>
REGIONAL EMPLOYMENT
LOCAL SUPPLIERS
REGIONAL SKILLS DEVELOPMENT
REGIONAL INVESTMENT
FINAL PERCENTAGE (out of 10%)

If appropriate Category Weighting can be adjusted to tailor the evaluation to the Categories tenderers can best participate in the economy. Select from the dropdown menu below.  
See [FAQ](#)

#### **STEP 2 & STEP 3**

#### **STEP 4**

#### **STEP 5**

Go to each **Tenderer's tab** and complete the evaluation.

**Send Results to GNS for Reporting**

#### **ADD A RESPONSE**

**Default**

Stage 1 LIPP Scores

TENDERER NAME	REGIONAL	LOCAL SUPPLIERS	REGIONAL SKILLS	REGIONAL	FINAL SCORE
---------------	----------	-----------------	-----------------	----------	-------------

Sch 2.2(a)(xiii)

Stage 2 LIPP Scores

TENDERER NAME	REGIONAL EMPLOYMENT	LOCAL SUPPLIERS	REGIONAL SKILLS DEVELOPMENT	REGIONAL INVESTMENT	FINAL SCORE
---------------	---------------------	-----------------	-----------------------------	---------------------	-------------

Sch 2.2(a)(xiii)

Stage 2 Economic Contribution

TENDERER NAME	REGIONAL EMPLOYMENT	LOCAL SUPPLIERS	REGIONAL SKILLS DEVELOPMENT	REGIONAL INVESTMENT	FINAL CONTRIBUTION	SUCCESSFUL TENDERER
---------------	---------------------	-----------------	-----------------------------	---------------------	--------------------	---------------------

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

**Local Industry Participation Evaluation Worksheet - Supplier Response**

**STEP 4 - Fill in all the LIGHT BLUE BOXES**

CATEGORY SCORE
REGIONAL EMPLOYMENT
LOCAL SUPPLIERS
REGIONAL SKILLS DEVELOPMENT
REGIONAL INVESTMENT

Stage 2

INSTRUCTIONS
Fill in all the LIGHT BLUE BOXES by entering in the \$values provided by the Supplier. The Prequalification Scores for each Supplier are Prepopulated and moderate the percentage values to generate a raw score.
Go to Next Supplier - The Evaluation Sheet then auto-calculates the final score and populates the Summary.

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

CATEGORY SCORES
REGIONAL EMPLOYMENT
LOCAL SUPPLIERS
REGIONAL SKILLS DEVELOPMENT
REGIONAL INVESTMENT

# Sch 2.2(a)(xiii)

**STEP 5 - Return to LIPP Evaluation Summary tab once all Suppliers are evaluated.**

**SCORING METHODOLOGY**    Refer to Evaluation Plan



## Local Industry Participation Evaluation Worksheet - Supplier Response

## STEP 4 - Fill in all the LIGHT BLUE BOXES

CATEGORY SCORES
REGIONAL EMPLOYMENT
LOCAL SUPPLIERS
REGIONAL SKILLS DEVELOPMENT
REGIONAL INVESTMENT

Stage 2

## INSTRUCTIONS

Fill in all the LIGHT BLUE BOXES by entering in the \$values provided by the Supplier. The Prequalification Scores for each Supplier are Prepopulated and moderate the percentage values to generate a raw score.

Go to Next Supplier - The Evaluation Sheet then auto-calculates the final score and populates the Summary.

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

CATEGORY SCORES
REGIONAL EMPLOYMENT
LOCAL SUPPLIERS
REGIONAL SKILLS DEVELOPMENT
REGIONAL INVESTMENT

# Sch 2.2(a)(xiii)

**STEP 5 - Return to LIPP Evaluation Summary tab once all Suppliers are evaluated.**

**SCORING METHODOLOGY**    Refer to Evaluation Plan

## Local Industry Participation Evaluation Worksheet - Supplier Response

## STEP 4 - Fill in all the LIGHT BLUE BOXES

CATEGORY SCORE
REGIONAL EMPLOYMENT
LOCAL SUPPLIERS
REGIONAL SKILLS DEVELOPMENT
REGIONAL INVESTMENT

Sch 2.2(a)(xiii)

## INSTRUCTIONS

Fill in all the LIGHT BLUE BOXES by entering in the \$values provided by the Supplier. The Prequalification Scores for each Supplier are Prepopulated and moderate the percentage values to generate a raw score.

Go to Next Supplier - The Evaluation Sheet then auto-calculates the final score and populates the Summary.

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

CATEGORY SCORES
REGIONAL EMPLOYMENT
LOCAL SUPPLIERS
REGIONAL SKILLS DEVELOPMENT
REGIONAL INVESTMENT

# Sch 2.2(a)(xiii)

**STEP 5 - Return to LIPP Evaluation Summary tab once all Suppliers are evaluated.**

**SCORING METHODOLOGY**    Refer to Evaluation Plan

**Local Industry Participation Evaluation Worksheet - Supplier Response**

**STEP 4 - Fill in all the LIGHT BLUE BOXES**

CATEGORY SCORES
REGIONAL EMPLOYMENT
LOCAL SUPPLIERS
REGIONAL SKILLS DEVELOPMENT
REGIONAL INVESTMENT

**INSTRUCTIONS**

Fill in all the LIGHT BLUE BOXES by entering in the \$values provided by the Supplier. The Prequalification Scores for each Supplier are Prepopulated and moderate the percentage values to generate a raw score.

Go to Next Supplier - The Evaluation Sheet then auto-calculates the final score and populates the Summary.

Sch 2.2(a)(xiii)

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

CATEGORY SCORES

- REGIONAL EMPLOYMENT
- LOCAL SUPPLIERS
- REGIONAL SKILLS DEVELOPMENT
- REGIONAL INVESTMENT

# Sch 2.2(a)(xiii)

**STEP 5 - Return to LIPP Evaluation Summary tab once all Suppliers are evaluated.**

**SCORING METHODOLOGY**    Refer to Evaluation Plan

**Local Industry Participation Evaluation Worksheet - Supplier Response**

**STEP 4 - Fill in all the LIGHT BLUE BOXES**

CATEGORY SCORES
REGIONAL EMPLOYMENT
LOCAL SUPPLIERS
REGIONAL SKILLS DEVELOPMENT
REGIONAL INVESTMENT

Stage 2

**INSTRUCTIONS**

Fill in all the LIGHT BLUE BOXES by entering in the \$values provided by the Supplier. The Prequalification Scores for each Supplier are Prepopulated and moderate the percentage values to generate a raw score.

Go to Next Supplier - The Evaluation Sheet then auto-calculates the final score and populates the Summary.

Sch 2.2(a)(xiii)

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

CATEGORY SCORES

- REGIONAL EMPLOYMENT
- LOCAL SUPPLIERS
- REGIONAL SKILLS DEVELOPMENT
- REGIONAL INVESTMENT

# Sch 2.2(a)(xiii)

**STEP 5 - Return to LIPP Evaluation Summary tab once all Suppliers are evaluated.**

**SCORING METHODOLOGY**    Refer to Evaluation Plan



**Local Industry Participation Evaluation Worksheet - Supplier Response**

**STEP 4 - Fill in all the LIGHT BLUE BOXES**

CATEGORY SCORES
REGIONAL EMPLOYMENT
LOCAL SUPPLIERS
REGIONAL SKILLS DEVELOPMENT
REGIONAL INVESTMENT

Stage 2

INSTRUCTIONS
Fill in all the LIGHT BLUE BOXES by entering in the \$values provided by the Supplier. The Prequalification Scores for each Supplier are Prepopulated and moderate the percentage values to generate a raw score.
Go to Next Supplier - The Evaluation Sheet then auto-calculates the final score and populates the Summary.

Sch 2.2(a)(xiii)

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

CATEGORY SCORES

- REGIONAL EMPLOYMENT
- LOCAL SUPPLIERS
- REGIONAL SKILLS DEVELOPMENT
- REGIONAL INVESTMENT

# Sch 2.2(a)(xiii)

**STEP 5 - Return to LIPP Evaluation Summary tab once all Suppliers are evaluated.**

**SCORING METHODOLOGY**    Refer to Evaluation Plan

**Local Industry Participation Evaluation Worksheet - Supplier Response**

**STEP 4 - Fill in all the LIGHT BLUE BOXES**

CATEGORY SCORES
REGIONAL EMPLOYMENT
LOCAL SUPPLIERS
REGIONAL SKILLS DEVELOPMENT
REGIONAL INVESTMENT

Sch 2.2(a)(xiii)

**INSTRUCTIONS**

Fill in all the LIGHT BLUE BOXES by entering in the \$values provided by the Supplier. The Prequalification Scores for each Supplier are Prepopulated and moderate the percentage values to generate a raw score.

Go to Next Supplier - The Evaluation Sheet then auto-calculates the final score and populates the Summary.

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

CATEGORY SCORES
REGIONAL EMPLOYMENT
LOCAL SUPPLIERS
REGIONAL SKILLS DEVELOPMENT
REGIONAL INVESTMENT

# Sch 2.2(a)(xiii)

**STEP 5 - Return to LIPP Evaluation Summary tab once all Suppliers are evaluated.**

**SCORING METHODOLOGY**    Refer to Evaluation Plan

**Directorate:**  
 CMTEDD

**Branch / Event:**  
 Shared Services ICT

**Risk Assessment Undertaken By:**

Date Completed:  
 Local Version Control: 48  
 Next Review Date:

**Manager Responsible:** Anna Cyran

**Details**  
**Topic of the Risk Assessment to be Carried Out**  
 E.g : Directorate / Agency / Business Unit level or for a specific event project or undertaking

CHIEF MINISTER, TREASURY AND ECONOMIC DEVELOPMENT DIRECTORATE  
 Human Resource Information Management Solution (HRIMS)

**Define Risk Activity:**  
 Provide a summary of the activity including business objectives. What are the key performance indicators, objectives or aims? What do we hope to achieve through the management of risk?

The goal of this risk register which is part of the HRIMS Program's risk management plan is to facilitate risk monitoring throughout the lifecycle of the HRIMS Program. It will allow the HRIMS Program team and stakeholders to maintain risks within acceptable levels for the type of project and risk appetite of the Territory.

**Scope:**  
 Set the parameters of the risk management process which includes specifics of the activities to be carried out – what is to be included and what is not to be included or considered in this plan

The risk management process will include risk workshop with Senior Leadership to assess strategic risks, evaluation of tactical level risks with other stakeholders, and the continuous evaluation of new risks that may arise at different points in time.

**Risk Appetite**  
 Include information with regards to the amount and type of risk which is able to be accepted and of any conditions where the tolerance of risk might be limited



**Note:**  
When identifying, analysing and rating risk consideration should be given, but not necessarily limited to, the attached categories of risk and the suggested consequences.

**Hint:**  
To help make an assessment of consequence and likelihood ask yourself the following questions.  
1. What is the consequence that the risk would take in the most normal form should it eventuate  
2. What is the likelihood of that consequence

Assets	Insignificant Loss or destruction of assets up to 2,000	Minor Loss or destruction of assets 2,000 to 10,000	Moderate Loss or destruction of assets 10,000 to 5M	Major Loss or destruction of assets 100,000 to 5M	Catastrophic Loss or destruction of assets greater than 5M
Compliance/regulation	Non-compliance with work policy and standard operating procedures which are not legislated or regulated	Numerous instances of non-compliance with work policy and standard operating procedures which are not legislated or regulated	Non-compliance with work policy and standard operating procedures which require self reporting to the appropriate regulator and immediate rectification.	Restriction of business operations by regulator due to non-compliance with relevant guidelines and or significant non-compliance with policy and procedures which threaten business delivery.	Operations shut down by regulator or failing to comply with relevant guidelines and or significant non-compliance with internal procedures could result in failure to provide business outcomes and service delivery.
People	Injuries or ailments not requiring medical treatment.	Minor injury or First Aid Treatment Case.	Serious injury causing hospitalisation or multiple medical treatment cases.	Life threatening injury or multiple serious injuries causing hospitalisation.	Death or multiple life threatening injuries.
Environment	Limited effect to something of low significance	Transient, minor effects	Moderate, short-term environmental harm	Significant, medium-term environmental harm	Long term environmental harm
Financial	1 of Budget or 5K	2.5 of Budget or 50K	5 of Budget or 500K	10 of Budget or 5M	25 of Budget or 5M
Products and Services	No disruption to services	Minor disruption to services for up to 1 month	Total cessation of services for up to 1 days and subsequent disruption of 1 to 2 months	Total cessation of services for up to 7 days and subsequent disruption of 2 to 3 months	Total cessation of services for more than 1 week and disruption over subsequent months involving a ma or facility
Technology	Interruption to electronic records and data access less than day.	Interruption to electronic records and data access to 1 day	Significant interruption but not permanent loss to data and electronic records access, lasting 1 day to 1 week	Complete, permanent loss of some electronic records and or data, or loss of access for more than one week	Complete, permanent loss of all electronic records and data
Reputation & Image	Internal Review	Scrutiny required by internal committees or internal audit to prevent escalation.	Scrutiny required by external committees or ACT Auditor General's Office, or Inquest, etc.	Intense public, political and media scrutiny. E.g.: front page headlines, TV, etc.	Assembly inquiry or Commission of Inquiry or adverse national media.
Cultural & Heritage	Low-level repairable damage to commonplace structures	Mostly repairable damage	Permanent damage to items of cultural significance	Significant damage to structures or items of cultural significance	Irreparable damage to highly valued items of cultural significance
Business Process & Systems	Minor errors in systems or processes requiring corrective action, or minor delay without impact on overall schedule.	Policy procedural rule occasionally not met or services do not fully meet needs.	One or more key accountability requirements not met. Inconvenient but not client welfare threatening.	Strategies not consistent with Government's agenda. Trends show service is degraded.	Critical system failure, bad policy advice or ongoing non-compliance. Business severely affected.

Frequency	1	2	3	4	5
Almost Certain	Medium	High	High	Extreme	Extreme
Likely	Medium	Medium	High	High	Extreme
Possible	Low	Medium	Medium	High	Extreme
Unlikely	Low	Medium	Medium	High	High *
Rare	Low	Low	Medium	Medium	High *

Priority	Suggested Timing of Treatment	Authority for continued tolerance of risk	Risk Control Effectiveness
Extreme	Short term -- normally within one month Detailed action plan required	Director-General	<p><b>Control Effectiveness</b></p> <p>Nothing more to be done except review and monitor the existing controls. Controls are well designed for the risk, are largely preventative and address the root causes and Management believes that they are effective and reliable at all times. Reactive controls only support preventative controls.</p> <p><b>Room for Improvement</b></p> <p>Most controls are designed correctly and are in place and effective however there are some controls that are either not correctly designed or are not very effective. There may be an over-reliance on reactive controls. Some more work to be done to improve operating effectiveness or Management has doubts about operational effectiveness and reliability.</p>
High	Medium term -- normally within three months Needs senior management attention	Senior Executive	<p><b>Control Effectiveness</b></p> <p>Significant control gaps or no credible control. Either controls do not treat root causes or they do not operate at all effectively. Controls, if they exist are not reactive. Management has no confidence that any degree of control is being achieved due to poor control design and or very limited operational effectiveness.</p>
Medium	Normally within 1 year Specify management responsibility	Managers	<p><b>Control Effectiveness</b></p> <p>Priority for attention - Action</p> <p>Every care should be taken to act as soon as possible to implement risk control measures wherever possible or to take action to fix the problem. <b>Extreme and High risk especially where the risk relates to people and personal injury</b> require us to act immediately to take steps to fix the problem.</p>
Low	Ongoing control as part of a management system Manage by routine procedures	All staff	<p><b>Control Effectiveness</b></p> <p>The suggested timing of treatment does not mean that immediate action ought not be taken or that the timing can not be completed sooner than suggested.</p>

## ACT Government Risk Register Tip Sheet

### Sheet One: Title Page – Setting the Context of the risk management plan

The title page sets the context for the risk management process. (Refer to Section 6.3 AS/NZS ISO 31000:2009).

Information to be completed includes the ACT Government Directorate that the risk management plan belongs to. Identify whether the risk management plan relates to the whole Directorate or has been carried out at the Agency, Business Unit or Divisional Level by naming level the plan relates to. Complete the fields for the date the risk assessment was completed and when the next review is to be completed.

#### Details of the Risk Assessment to be carried out:

This field allows free text to be entered to identify the details of the risk assessment to be carried out. Is the risk assessment a Business Unit risk assessment plan? Alternatively, is the risk assessment for an event to be managed by your business unit? Directorates and their Business Units carry out a number of activities on a day to day basis which will require us to actively be managing risk in order to achieve our business objectives. Activities such as management of a procurement process; introduction of a new policy/procedure; delivering an essential service and delivery of a project may all be the subject matter of a risk assessment plan.

#### Define the activity:

Provide a summary of the activity including business objectives. What are the key performance indicators, objectives or aims? What do we hope to achieve through the management of risk? Begin with the end in mind. Management of risk is going to be a lot easier if we know what the objectives are, that could be affected by an event should it occur.

#### Scope / Boundaries:

This is a free form text field that sets the parameters of the risk management process including specifics of the activities to be carried out and the time frames to do so - what is to be included and what is not to be included or considered in this plan. For example a risk assessment to manage risks associated with policy around natural disasters may chose to exclude consideration of “man-made” disasters such as arson.

#### Risk Appetite:

Risk Appetite is a freeform text field which will enable specific considerations to be given in relation to the amount and type of risk which is able to be accepted. It may be that there are special conditions where the tolerance of risk may be limited such as those relating to people risks and workplace injury.

There may also be examples where the acceptance of a risk or the priority for attention is significantly different to standard practice for ACT Government business risk. As an example policy implementation regarding the protection of young people at risk may have an internal policy requirement (based on legislation) not to accept any risk relating to young people over the risk level of medium.

## ACT Government Risk Register Tip Sheet

### Sheet two: Risk Register

#### Risk Reference Number

Each risk requires a risk reference number – the easiest and most effective numbering system is 1, 2,3,4,5 etc.



The risk reference number will be used to cross reference corresponding photographic evidence, risk treatment plans and cost / benefit analysis which are on different sheets of the workbook if and when required.

#### Risk Category

There is a drop down box to select the appropriate category of risk to which the risk identified relates. Categorising risk often helps ensure that we identify all relevant risks. It is a useful tool to assist us to identify risks and for grouping similar risks together. Please note that this is a guide and whilst consideration should be given to the categories of risk it should not be limited to the attached categories. If there are risks that do not fit the categories provided – they are still risks and can be placed in the “other” category.

#### Hazard

A hazard category is only required to be identified for **people risks**. People risks include Work, Health and Safety Risks, injury to staff/employees, contractors and third parties. The available hazard categories have been included and can be picked from a drop down menu. There is an “other” category to assist where an identified hazard may not fit the list of hazards provided.

#### Risk Description

A description of the risk, what can happen?

Language is important. Legislation is not in itself a risk – the risk is better defined as “breach of legislation.” Likewise a building is not a risk: risks relating to a building may be: “damage to building,” “failure of building integrity / collapse of building” etc.

Examples of appropriate language include:

- Failure of
- Failure to
- Breach of
- Damage to
- Loss of
- Exceeding (authority, delegations, contract price etc.)

#### Source

This is a free text field which identifies the driver to the risk. How the risk comes about – what causes the risk?

For example:

The source of the risk **damage to building** could be:

- Natural disasters
- Flood
- Fire
- Earthquake



## ACT Government Risk Register Tip Sheet

### Impact from the event happening

This is the result of if what can happen does happen. Essentially, this is the consequence of the risk. If there is no consequence then what has been described is not a risk.

It is important to remember that the consequence described should be the consequence in its most normal form and not the extreme form. For Example: the consequence of a paper cut in its most likely form is: injury/small cut not requiring first aid treatment. The consequence in its most extreme form would be injury small cut, resulting in infection and blood poisoning resulting in death. Using the extreme form of the consequence does not add value to the process as all risks would end up in the “extreme” and “high” levels of risk which would make it difficult to prioritise risk treatment plans and further action where required.

### Risk Controls which are currently in place

This is a free text field which allows you to summarise all the things that we are already doing to manage the risk. An example of things which, we may have in place to manage risk includes but is not limited to the following:

- o Personal Protective Equipment (PPE)
- o Policies, codes of practice, guidance materials such as “standard operating procedures” etc.
- o Mechanical devices or processes

### Risk Rating

The risk is rated with current controls that are all ready in place to modify and manage the risk. Refer also to the risk matrix found on sheet six.

### Consequence

We have defined the most likely consequence from the risk in the field “impact from event happening,” with consideration to the controls which are currently in place the consequence is rated from 1-5

- 1- Insignificant
- 2 – minor
- 3 – moderate
- 4 – major
- 5 - catastrophic

The risk matrix page provides some examples of what may constitute an **insignificant, minor, moderate, major, and catastrophic** risk. This is primarily a guide and may need to be adjusted as you rate risks to more accurately reflect your business unit projects, activities, business process or business undertakings which may be the subject matter of the risk management plan. For example an **insignificant** financial consequence at a Directorate level might be \$20,000 or 1% of budget. For a project team that has a total operating budget of \$20,000, the loss of \$20,000 would be a **catastrophic** consequence – without further funding the project could not continue.

The important thing to remember is that at one end of the scale an **insignificant** consequence will have a limited impact on achieving your objectives and at the other end of the spectrum a **catastrophic** consequence may mean that you will not achieve your objectives at all.

## ACT Government Risk Register Tip Sheet

### Likelihood

Now that the consequence has been defined and measured the next question to be answered on the risk register is: **How likely is that consequence to occur?** This is entered as a numeral 1-5.

- 1 – rare
- 2 – unlikely
- 3 – Possible
- 4 – likely
- 5 – almost certain

Likelihood	Level	Example Criteria	
	Almost certain	Is expected to occur in most circumstances	Once a quarter or more >1 in 10
	Likely	Will probably occur	Once a year or more 1 in 10 – 1 in 100
	Possible	Might occur at some time in the future	Once every 1-5 years 1 in 100 -1,000
	Unlikely	Could occur but doubtful	Once every 5-20 years 1 in 1,000 – 10,000
Rare	May occur but only in exceptional circumstances	Once every 20-100 years 1 in 10,000 – 100,000	

The criteria for measuring likelihood are varied – there is no right or wrong method so long as the method chosen is consistent.

### Inherent Risk Rating and Residual Risk Rating

#### Level of Risk

The level of risk is a field that is automatically calculated by the risk register. The level of risk is the combination of Consequence X Likelihood. For example a **Moderate** risk with a likelihood rating of **Possible** will produce a level of risk of: **Medium**.

An **inherent risk rating** is the level of risk that we currently have right now. The **residual risk rating** is the risk rating that we are left with after we have applied all additional risk treatments.

#### Control Effectiveness Rating

How effective are the current controls in managing the risk? This is a drop down menu where the rating can be measured as adequate, room for improvement, or inadequate. The full definition can be found on the Risk Matrix page on sheet six.

If the rating is room for improvement, or inadequate then the next field **action to be taken** will need to be completed.

#### Action to be taken:

This is a free form text field. It is not required to be completed where the risks control rating is adequate. Information entered can include further risk treatment strategies (with reference to the risk treatment plan where appropriate) and /or a summary of the rationale behind taking no further action (with a reference to a cost benefit analysis if appropriate) where the risk control effectiveness rating is “room for improvement” or “inadequate.”

#### Monitoring and Reviewing

This is a compulsory field. The officer responsible for monitoring the risk and risk treatments needs to be identified. Additionally, the date that the next review is scheduled to occur should be entered in this field.

## ACT Government Risk Register Tip Sheet

**Sheet three: Photo Evidence**

This is not a compulsory sheet. It may not be relevant to the type of risk management plan that you are producing. The inclusion of the photographic evidence and location address can add value to the risk plan and aid understanding for staff and managers alike with visual representations and/or specific locations of risk.

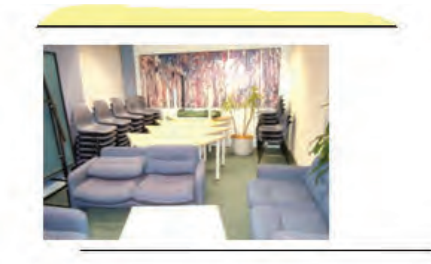
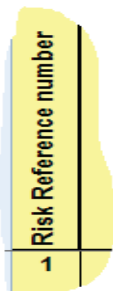
**Step one:** Key in the risk reference number from sheet two: The Risk Register.

The computer will now automatically populate the risk description field with the data from sheet two: the risk register.

**Step two:** Paste a copy of the relevant photo in the second field and resize the cell height to fit.

**Step Three:** Location

Key in the physical location of the risk, for example: Canberra Nara Centre, Level 3 Meeting Room.



## ACT Government Risk Register Tip Sheet

**Sheet four: ACT Government Risk Treatment Plan**

An ACT Government Risk Treatment Plan is not required to be completed for all risks. It should only be completed where the inherent risk has been given a risk control effectiveness rating of “inadequate” or “room for improvement.” Details required to be included are: a strategy to reduce the risk and the actions required to occur in order to implement the strategy.

**Step one:** Insert the risk reference number from sheet two: The Risk Register. This is a manual process.

The image shows a screenshot of a risk treatment plan form. On the left, there is a field labeled 'Risk Reference Number' with a text input area below it. On the right, there is a field labeled 'Current Treatments:' with a dropdown menu showing the number '1'. Below this is a 'New Treatment' button.

**Step two:** Provide a summary of the risk to be treated.

**Step three:** Treatment Strategy – this is the strategy identified to treat the risk.

For example in a risk management plan for an event which is a fun run, a treatment strategy for the risk Injury or death of participant(s) caused by a traffic incident could be:

- o Lane closures of Major arterial road
- o Road closure of some main roads and
- o Use of trained “traffic wardens”

**Step four:** Implementation - this is the action that is required to be taken in order to implement the treatment strategy devised to treat the risks.

In the above example implementation/actions arising from the strategy may include:

- Contact Roads ACT with regards to road closure and provision of trained traffic wardens.
- Allow time to complete Traffic Management Plans and any other documentation that may be required.
- Contact ACT Policing to advise of event and to determine what further action and paperwork will be required to be completed etc.

**Step Five:** Action officer – there needs to be an officer who is identified to manage the implementation of the treatment strategies implementation.

**Step Six:** Due Date – this is the date the implementation action is required to be taken.

**Step Seven:** Date Finished - this is the actual date that the action was completed and will need updating throughout the life of the risk management plan.

**Step eight:** Comments – this is a free text field which enables you to provide a commentary surrounding any further action, delays encountered (if any) and any other relevant information pertaining to the implementation of the risk treatment strategies.

**Step Nine:** Adding a new Treatment plan: At the top of the sheet there is a button which can be pressed to add a new treatment plan. In this way treatment plans will only be produced for the risks which require further treatments and not all risks. The current treatments field lists the number of current treatment plans. In the example below there is only one current treatment plan.

## ACT Government Risk Register Tip Sheet

### Sheet five: Cost / Benefit Analysis

The cost benefit analysis is a tool which can help to support decisions to use certain treatment options or not to implement certain treatment options as the case may be.

This sheet is the evidence of the reasoning behind why a particular course of action has been chosen or why a decision has been made.

Risk reference number
7

Again it is important to carry across the risk reference number so that it is clearly identified which risk the cost benefit analysis relates to.

#### Costs:

The costs field is a series of nine rows of freeform text to use to enter the information. It is suggested that the top line be a statement about the action that the costs are been identified for.

Costs are all of the direct and indirect costs associated with the business, operations, project, undertaking or action. Costs can include: capital costs, tax, fees, outsourcing fees, overheads, utilities and time in addition to non-financial costs such as: loss of reputation, breach of policy, the effect it may have on other projects or further risks which may arise out of the action taken.

#### Benefits:

The Benefits field is a series of nine rows of freeform text to use to enter the information. It is suggested that the top line be a statement about the action that the benefits are been identified for.

Benefits can include increased output, reduced costs, reduced labour costs, reduced taxes, and reduced number of incidents, increase in reputation, opportunities for further potentials and reduction of risk across other projects and/or business units.

### Sheet Six: ACT Government Risk Matrix

This page is locked. The risk matrix sets the context as to how the ACT Government manages risk – the consequence ratings, likelihood ratings, which determines the level of risk and risk control effectiveness ratings. In addition the Matrix includes the priority for attention table.

### Sheet Seven: Calculations

This page is locked. This page includes the information which is used for drop down boxes and automatic calculations.

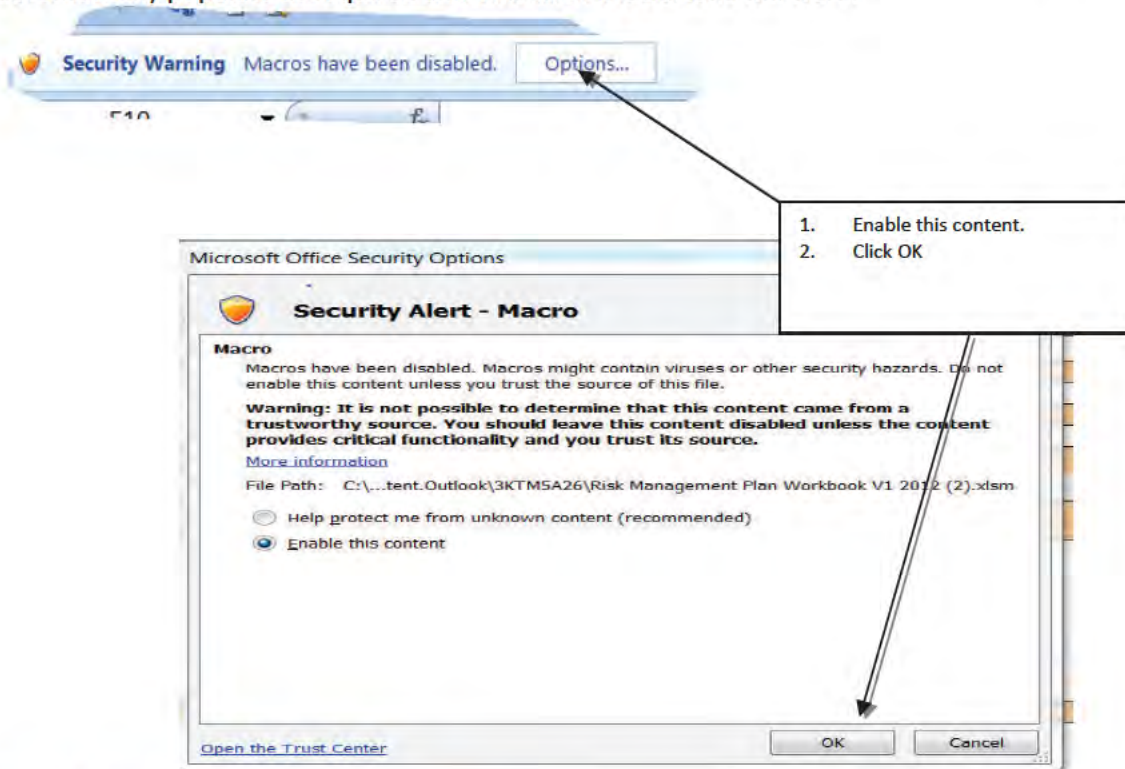
## ACT Government Risk Register Tip Sheet

### Tip Sheet – Important Information

#### Enabling Macros

This is a Macro enabled workbook. A security alert will be issued every time that the document is opened.

It is important to enable the content so that the macros will work. This will ensure that data will automatically populate as required and that all of the buttons will work.



#### Using the Macro Buttons on Each Sheet



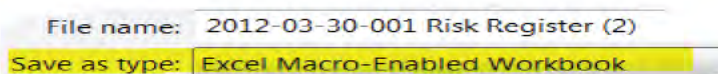
**Preview Page** – There is a preview page button on each sheet which will allow you to print preview the worksheet that you are working on.

**Print Page** – there is a print page on each sheet which will allow you to print the sheet that you are working on.

**Print all** – The print all button will print the entire work book.

#### Important Information: Saving this document

Please note that this excel workbook contains Macros. Please ensure that when saving that this document is saved as an **Excel Macro-Enabled Workbook**. Saving in any other format is likely to cause corruption of the data.



## ACT Government Risk Register Tip Sheet

### Important Information: Version Control

Risk management is a process of continual improvement. We are never done, there will always be something that happens which will require us to re-think how we are managing our risks: change in political environment, changes in operating environment, a change in the scope of the project we are managing, the identification of emerging risks etc.

It is important to save the original risk management plan and to save a different version for each update. The plan may be updated as risk treatments are worked on and completed, as new risks are identified and at the review date. Record keeping and audit trails are essential to show how risk is being managed. Your Directorate will have a policy regarding records management and will have a standard for saving electronic files as per the *Territory Records Act 2002*.

An example of how versions may be saved is:

**File Name:** ACTIA Risk Management Plan Renewal 2012 V1

**Action Taken:** Original Assessment

**File Name:** ACTIA Risk Management Plan Renewal 2012 V1.1

**Action Taken:** Updated to action a risk treatment plan

**File Name:** ACTIA RISK Management Plan Renewal 2012 V2

**Action Taken:** Review conducted as per file review date

## ACT Government Risk Register Tip Sheet

**How to edit or navigate in a cell.**

To get a "line break"

Hit <Alt><Enter>

To navigate the cursor within a cell (1)

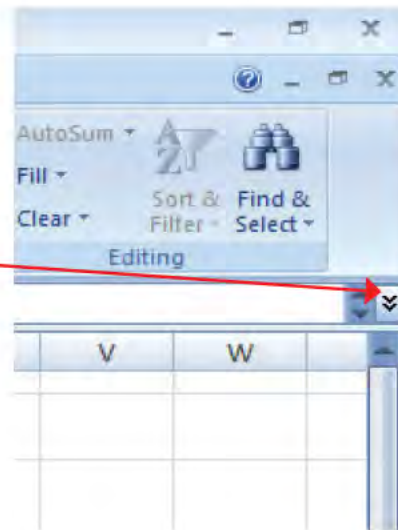
Hit <F2> and use the arrow keys to move the cursor around within the cell.

To navigate the cursor within a cell (2)

When there is too much text to fit in the formula bar, click this button to open the formula bar up to display all text.

Click again to close.

Shortcut; <Ctrl><Shift><U>





## ACT Government Risk Register Glossary

<a href="#">Consequence[i]</a>	Outcome of event affecting objectives. <i>Note: an event can lead to a range of consequences.</i>						
<a href="#">Control[ii]</a>	Measure that is modifying risk. <i>Note 1: Controls include any processes, policy, device, practice or other actions which</i> <i>Note 2: Controls may not always exert the intended or assumed modifying effect.</i>						
<a href="#">Event[iii]</a>	Occurrence or change of a particular set of circumstances <i>Note 1: An event can be one or more occurrences and can have several causes.</i> <i>Note 2: An event can consist of something not happening.</i> <i>Note 3: An event can sometimes be referred to as an “incident” or an “accident.”</i>						
<a href="#">Hazard[iv]</a>	Source of potential harm. <i>Note: Hazard can be a risk source</i>  <a href="#">Hazard[v]</a> means a situation or thing that has the potential to harm a person. Hazards at the workplace						
Inherent Risk	The current or original risk rating which considers current controls prior to the addition of risk treatments.						
<a href="#">Level of Risk[vi]</a>	Magnitude of a risk or combination of risks expressed in terms of the combination of consequences and their likelihood.						
<a href="#">Likelihood[vii]</a>	Chance of something happening						
<a href="#">Risk[viii]</a>	Effect of uncertainty on objectives.						
<a href="#">Risk Appetite[ix]</a>	Amount and type of risk that an organisation is willing to pursue or retain.						
Risk Control Effectiveness Rating	This is a measure that defines how effectively the risk management controls are managing  Additionally, this rating is used to measure how effective further risk treatments have been  The measurement used are: <table border="1" data-bbox="475 1339 1514 1998"> <tr> <td>Adequate</td> <td>Nothing more to be done except review and monitor the existing controls. Controls are well designed for the risk, are largely preventative and address the root causes and Management believes that they are effective and reliable at all times. Reactive controls only support preventative controls.</td> </tr> <tr> <td>Room for improvement</td> <td>Most controls are designed correctly and are in place and effective however there are some controls that are either not correctly designed or are not very effective. There may be an over-reliance on reactive controls. Some more work to be done to improve operating effectiveness or Management has doubts about operational effectiveness and reliability.</td> </tr> <tr> <td>Inadequate</td> <td>Significant control gaps or no credible control. Either controls do not treat root causes or they do not operate at all effectively.  Controls, if they exist are just reactive. Management has no confidence that any degree of control is being achieved due to poor control design and/or very limited operational effectiveness.</td> </tr> </table>	Adequate	Nothing more to be done except review and monitor the existing controls. Controls are well designed for the risk, are largely preventative and address the root causes and Management believes that they are effective and reliable at all times. Reactive controls only support preventative controls.	Room for improvement	Most controls are designed correctly and are in place and effective however there are some controls that are either not correctly designed or are not very effective. There may be an over-reliance on reactive controls. Some more work to be done to improve operating effectiveness or Management has doubts about operational effectiveness and reliability.	Inadequate	Significant control gaps or no credible control. Either controls do not treat root causes or they do not operate at all effectively.  Controls, if they exist are just reactive. Management has no confidence that any degree of control is being achieved due to poor control design and/or very limited operational effectiveness.
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Room for improvement	Most controls are designed correctly and are in place and effective however there are some controls that are either not correctly designed or are not very effective. There may be an over-reliance on reactive controls. Some more work to be done to improve operating effectiveness or Management has doubts about operational effectiveness and reliability.						
Inadequate	Significant control gaps or no credible control. Either controls do not treat root causes or they do not operate at all effectively.  Controls, if they exist are just reactive. Management has no confidence that any degree of control is being achieved due to poor control design and/or very limited operational effectiveness.						
<a href="#">Risk Description[x]</a>	Structured statement of risk usually containing four elements: sources, events, causes and						

## ACT Government Risk Register Glossary

<a href="#">Residual Risk[xi]</a>	Risk remaining after risk treatment. <i>Note: Residual risk can be known as “retained risk”</i>
<a href="#">Risk Identification[xii]</a>	Process of finding, recognising and describing risks.
<a href="#">Risk Matrix[xiii]</a>	Tool for ranking and displaying risks by defining ranges for consequence and likelihood.
<a href="#">Risk Owner[xiv]</a>	Person or entity with the accountability and authority to manage risk.  In the ACT Government context this is the officer/manager who has the authority to
<a href="#">Risk Register[xv]</a>	Record of information about identified risks.
<a href="#">Risk Source[xvi]</a>	Element which alone or in combination has the intrinsic potential to give rise to risk.
<a href="#">Risk Treatment[xvii]</a>	Process to modify risk <i>Note: Risk treatment can involve:</i> <ul style="list-style-type: none"> <li>- <i>Avoiding the risk by deciding not to start or continue with the activity that</i></li> <li>- <i>Taking or increasing risk in order to pursue an opportunity;</i></li> <li>- <i>Removing the risk source;</i></li> <li>- <i>Changing the likelihood;</i></li> <li>- <i>Changing the consequence;</i></li> <li>- <i>Sharing the risk with another party or parties (including contracts and risk</i></li> <li>- <i>Retaining the risk by informed decision.</i></li> </ul> <p><a href="#">In Work Health and Safety risk treatment is defined as: Risk control[xviii] means taking</a></p> <p><b>** A hazard is a source of the risk. With no hazard and/or not source there is no risk.</b></p>
Risk Treatment Owner	The officer/manager responsible for managing the treatment of risks. This includes  The risk treatment owner is not always (will be in some cases) the risk owner.

[\[i\] ISO Guide 73:2009](#)

[\[ii\] ISO Guide 73:2009](#)

[\[iii\] ISO Guide 73:2009](#)

[\[iv\] ISO Guide 73:2009](#)

[\[v\] Work Health and Safety \(How to Manage Work Health and Safety Risks\) Code of Practice 2011](#)

[\[vi\] ISO Guide 73:2009](#)

[\[vii\] ISO Guide 73:2009](#)

[\[viii\] ISO Guide 73:2009](#)

[\[ix\] ISO Guide 73:2009](#)

[\[x\] ISO Guide 73:2009](#)

[\[xi\] ISO Guide 73:2009](#)

[\[xii\] ISO Guide 73:2009](#)

[\[xiii\] ISO Guide 73:2009](#)

[\[xiv\] ISO Guide 73:2009](#)

[\[xv\] ISO Guide 73:2009](#)

[\[xvi\] ISO Guide 73:2009](#)

[\[xvii\] ISO Guide 73:2009](#)

[\[xviii\] Work Health and Safety \(How to Manage Work Health and Safety Risks\) Code of Practice 2011](#)

**Hazard category for People Risks**

Animal, Insect  
Asbestos  
Biohazards: Cleaning  
Biohazards: Laundry  
Biohazards: Used Needles  
Biological Biohazards  
Boilers and Pressure Vessels  
Bullying and Harassment  
Burns  
Cash Transport and Delivery  
Chemical Exposure  
Confined Spaces  
Dangerous Goods & Hazardous Substances  
Electrical  
Environmental Physical Safety  
Fire Safety  
Food Safety  
Forklifts  
Heat Stress  
Knives  
Lifts  
Machinery and Appliances  
Manual Handling  
Mechanical  
Noise  
Occupational Overuse Syndrome OOS  
Occupational Violence  
Office Ergonomics  
Office Safety  
Physical  
Plant & Equipment Plant Safety  
Psychological Physical  
Public Events  
Road Bikes  
Radiation  
Scaffolding  
Security  
Slips, Trips & Falls  
Smoking in the Workplace  
Working at Height  
Working Outdoors  
Other



# Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)





<b>Total Risks:</b>	<b>33</b>
---------------------	-----------

<b>Inherent Effectiveness</b>	
Adequate	0
Has Room for improvement	0
Inadequate	0
	<b>0</b>

<b>Residual Effectiveness</b>	
Adequate	0
Has Room for improvement	0
Inadequate	0
	<b>0</b>

<b>Inherent Rating</b>	
Low	0
Medium	0
High	0
Extreme	0
	<b>0</b>

<b>Residual Rating</b>	
Low	0
Medium	0
High	0
Extreme	0
	<b>0</b>

<b>Inherent Consequence</b>	
1	0
2	0
3	10
4	5
5	1
	<b>16</b>

<b>Residual Consequence</b>	
1	0
2	0
3	0
4	0
5	0
	<b>0</b>

**Project Contingency Costs**

Total	\$0.00
Weighted	\$0.00
Actual Recommended	\$0.00



Total Risks:	33
--------------	----

Risk Categories	
Assets	0
Business Processes and Systems	3
Commercial	1
Compliance Regulation	0
Contractual	0
Cultural Heritage	0
Environment	0
Financial	2
Fraud	0
General Management Activities	0
Operational	0
Legislation	0
People	0
Products and Services	0
Project	0
Records Management	0
Reputation and Image	2
Security	0
Stakeholder Management	1
Strategic	1
Technology	2
Other	0
	12

Hazard category for People Risks	
Animal, Insect	0
Asbestos	0
Biohazards: Cleaning	0
Biohazards: Laundry	0
Biohazards: Used Needles	0
Biological Biohazards	0
Boilers and Pressure Vessels	0
Bullying and Harrasment	0
Burns	0
Cash Transport and Delivery	0
Chemical Exposure	0
Confined Spaces	0
Dangerous Goods & Hazardous Substances	0
Electrical	0
Environmental Physical Safety	0
Fire Safety	0
Food Safety	0
Forklifts	0
Heat Stress	0
Knives	0
Lifts	0
Machinery and Appliances	0
Manual Handling	0
Mechanical	0
Noise	0
Occupational Overuse Syndrome OOS	0
Occupational Violence	0
Office Ergonomics	0
Office Safety	0
Physical	0
Plant & Equipment Plant Safety	0
Psychological Physical	0
Public Events	0
Quad Bikes	0
Radiation	0
Scaffolding	0
Security	0
Slips, Trips & Falls	0
Smoking in the Workplace	0
Working at Height	0
Working Outdoors	0
Other	0
	0



# Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)





# Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)

Sch 2.2(a)(xiii)



Risk Treatment Strategy Action Plan					
Treatment	Directorate:	Branch / Event:			
01	CMTEDD	Shared Services ICT			
Risk Reference Number:	Identified Risk		Inherent Risk Rating with Current Controls		Residual Risk Rating to be achieved on completion of action plan
Treatment Strategy:					
Strategy 1					
Strategy 2					
Strategy 3					
Strategy 4					
Strategy 5					
Implementation:					
Actions to be undertaken in order to implement the risk treatment strategy:					
Action 1		Action Officer	Due Date	Date Finished	Comments
Action 2					
Action 3					
Action 4					
Action 5					



Sch 2.2(a)(xiii)


**ACT**  
 Government

 Chief Minister, Treasury and  
 Economic Development

## AGENDA

### HRIMS RFP Evaluation - Solution Demonstrations

23-27 April 2018

 Ground floor, Kubbadang Meeting Room  
 Winyu House, 125 Gungahlin Place, Gungahlin, ACT

Meeting to open – 9:00 am

#### Agenda Topics

Item	Time	Issues/Key Discussion	Lead
1	9:00 – 9:10	<b>Welcome and introductions</b>	Evaluation Team Chair
2	9:10 – 9:30	<b>Overview of the Solution:</b> <ul style="list-style-type: none"> <li>▪ Business Outcomes</li> <li>▪ Business Needs</li> <li>▪ Technical Configuration</li> <li>▪ Value Proposition</li> <li>▪ Challenges</li> </ul>	Tenderer
3 – Part 1	9:30 – 10:20	<b>Solution Demonstration: Employee Life Cycle – Part 1</b> <ul style="list-style-type: none"> <li>▪ Workforce Planning &amp; Strategy</li> <li>▪ Recruitment*               <ul style="list-style-type: none"> <li>○ Search and Apply for Job</li> <li>○ Applicant Auto-Screening</li> <li>○ Applicant Profile Match</li> <li>○ Applicant Selection Workflow</li> <li>○ Employee On-Boarding</li> </ul> </li> </ul>	Tenderer
<i>Morning Tea &amp; Questions (15 mins)</i>			
3 – Part 2	10:35 – 11:25	<b>Solution Demonstration: Employee Life Cycle – Part 2</b> <ul style="list-style-type: none"> <li>▪ Core HR*               <ul style="list-style-type: none"> <li>○ Concurrent Employment</li> <li>○ Probation</li> <li>○ Separation</li> <li>○ Higher Duties</li> </ul> </li> <li>▪ Time, Absence &amp; Payroll*               <ul style="list-style-type: none"> <li>○ Payroll Processing</li> <li>○ Long Service Leave</li> </ul> </li> </ul>	Tenderer
<i>Question Time (10 mins)</i>			
3 – Part 3	11:35 – 12:25	<b>Solution Demonstration: Employee Life Cycle – Part 3</b>	Tenderer

\* Note: there is a requirement to present both a general and specific demonstration for this module (as per instructions).



Item	Time	Issues/Key Discussion	Lead
		<ul style="list-style-type: none"> <li>▪ Learning &amp; Development</li> </ul>	
<i>Question Time (10 mins)</i>			
<i>Lunch (40 mins)</i>			
<b>3 – Part 4</b>	<b>13:15 – 14:05</b>	<b>Solution Demonstration: Employee Life Cycle – Part 4</b> <ul style="list-style-type: none"> <li>▪ Performance Management</li> <li>▪ Talent Planning &amp; Strategy</li> <li>▪ Profile Management: <ul style="list-style-type: none"> <li>○ Update Person Profile</li> <li>○ Profile Monitoring</li> <li>○ Update Job Profile</li> </ul> </li> </ul>	Tenderer
<i>Question Time (10 mins)</i>			
<b>3 – Part 5</b>	<b>14:15 – 15:05</b>	<b>Solution Demonstration: Employee Life Cycle – Part 5</b> <ul style="list-style-type: none"> <li>▪ Employee Health &amp; Wellbeing</li> <li>▪ Measure &amp; Report* <ul style="list-style-type: none"> <li>○ Create and Run Ad-Hoc Report</li> <li>○ Create and Publish Pivot Report to Dashboards</li> </ul> </li> <li>▪ Self-service – “The User Experience”</li> </ul>	Tenderer
<i>Question Time (10 mins)</i>			
<b>4</b>	<b>15:15 – 16:05</b>	<b>Implementation Plan</b> <ul style="list-style-type: none"> <li>▪ Partnership Approach</li> <li>▪ Resourcing</li> <li>▪ Implementation Approach</li> <li>▪ Change Management &amp; Training</li> <li>▪ Project Management</li> </ul>	Tenderer
<i>Afternoon Tea (10 mins)</i>			
<b>5</b>	<b>16:15 – 17:05</b>	<b>Other (Technical) Considerations</b> <ul style="list-style-type: none"> <li>▪ Data, privacy &amp; security</li> <li>▪ Platform &amp; hosting environment</li> <li>▪ Licensing model</li> <li>▪ Upgrades / Updates</li> <li>▪ Integrations</li> <li>▪ Customisations</li> <li>▪ Support model</li> </ul>	Tenderer
<b>6</b>	<b>17:05 – 17:25</b>	<b>Final remarks &amp; close</b>	

Meeting to close by – 5:30 pm



## IMPORTANT NOTICE

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**REQUEST FOR PROPOSAL NO. 28499.112****PROCUREMENT AND IMPLEMENTATION OF A HUMAN RESOURCE INFORMATION MANAGEMENT SOLUTION (HRIMS)**

Sch 2.2(a)(xi)  
**Sch 2.2(a)(ii)**

**REQUEST TO PROVIDE A DEMONSTRATION TO THE TERRITORY**

---

Please note the following information for the above Request for Proposal:

1. The Territory is inviting respondents to provide a one (1) day demonstration of their proposed solution in Canberra, in the period **Monday 23 April 2018 – Friday 27 April 2018**. The Territory will nominate a day and advise you separately of when the demonstration is to take place. See **Attachment 1 'Presentation Agenda'** for further details.
2. You are requested to email your confirmation to:  
[Kylie.Cleary@act.gov.au](mailto:Kylie.Cleary@act.gov.au) by COB **Tuesday 3 April 2018** at the latest to confirm attendance.
3. In confirming your attendance, you are also required to provide a list of all representatives who will be present on the day (including name, position title and contact information). Please contact Kylie Cleary on (02) 6205 4594 if you have any inquiries.

I would like to thank you for your interest to date and look forward to meeting you and your representatives.

Please note that we are planning to issue clarification questions separately. These will be forwarded under a separate request for clarification in the coming weeks.

Kind regards

Sch 2.2(a)(ii)

Kylie Cleary,  
Goods and Services Procurement  
Procurement, Property and Venues

23 March 2018

**REQUEST FOR TENDER NO. 28499.112- HUMAN RESOURCE INFORMATION MANAGEMENT SOLUTION**

---

**Enclosure 1 – Demonstration Agenda and Guidelines**

**Date:** 23/04/2018 – 27/04/2018

**Time:** 9am – 5:30pm

**Location:** Ground floor, Kubbadang Meeting Room  
Winyu House, 125 Gungahlin Place, Gungahlin, ACT

**Demonstration Guidance:**

In preparation for the demonstration, please consider the following:

1. Nominate a liaison from your team to manage logistics with Territory coordinators.
2. Consider any special audio/visual requirements you may have.
3. Consider how you will configure the room for the presentation.
4. Please notify us if you would like to:
  - demonstrate the solution via the ACT Government ICT network, and we will ensure appropriate access is available.
  - make use of a conference room on the premises up to one (1) day ahead of your demonstration.
5. Confirm that your demonstration addresses the Agenda and instructions provided.
6. Confirm that the duration of your demonstration does not exceed the time allocation, while also allowing time for audience clarifications.
7. Prepare a demonstration of your proposed solution based on the Employee Life Cycle and 'User Stories' (provided as **Attachment 2 & 3** respectively) on a live system that is running the latest 'released' version of all modules of the proposed Solution.
8. DO NOT introduce any new material to that which was included in your RFP response, unless specifically requested by the Territory. The solution demonstrated must be the same as that proposed in the response to the RFP.

**Note:** The preferred approach to question taking is that the audience reserves complex and exploratory questions for the designated time.

The Territory will video record the demonstration for future reference/use. The Territory also requests copies of any presentation materials used for the same purpose.

**Instructions**

For this demonstration, please address the following:

1. State the names of key personnel and their roles as part of introductions.

**Note:** These should be key personnel who would be expected to have continued involvement in the Program, if the proposal is selected.

- a) Provide an overview of the technical and business aspects of the proposed solution, with reference to:
- b) How the solution will meet the business needs of, and achieve the business outcomes sought by, the Territory;

**REQUEST FOR TENDER NO. 28499.112- HUMAN RESOURCE INFORMATION MANAGEMENT SOLUTION**

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- c) The overall technical configuration of the proposed solution;
  - d) The key points of value or benefit that your proposed solution will deliver to the Territory, and;
  - e) The major challenges you foresee in delivering the Program.
2. A demonstration of the solution (all modules as per Statement of Requirements) following, in sequential order, the ACT Government's **Employee Life Cycle** (refer **Attachment 2**). A general demonstration is acceptable for all seven (7) modules.
3. In addition, an overview of the User Experience (i.e. self-service functionality) is also required – this should take the form of “A day in the life of – an employee/manager/payroll processor/HR Payroll Officer.”
4. A number of functional areas have been identified as exhibiting greater process complexity than others and described as ‘**User Stories**’ (refer to **Attachment 3**). Using the information provided, it is expected that a set of specific demonstrations will be prepared, for the following:
- a) Recruitment: Search and Apply for Job; Applicant Auto-Screening; Applicant Profile Match; Applicant Selection Workflow, and; Employee On-Boarding.
  - b) Core HR: Concurrent Employment; Probation; Separation, and Higher Duties.
  - c) Payroll: Long Service Leave, and; Payroll Processing.
  - d) Profile Management: Update Person Profile; Profile Monitoring, and; Update Job Profile.
  - e) Measure & Report: Create and Run Ad-Hoc Report, and; Create and Publish Pivot Report to Dashboards

Refer to **Attachment 1 – Presentation Agenda** for details of the order, coverage and duration of specific agenda items.

Note: Integration between the HCM and Payroll modules is a key criterion for this demonstration and is expected to be fully functioning. If there are any steps that the solution cannot perform, the presenter should stipulate what they are during the demonstration, and then resume with the next step.

Similarly, the presenter should advise if there are elements of the User Stories that will not be demonstrated via a system and would consist of mock-ups with an appropriate explanation to provide the Territory confidence that a solution exists.

Finally, if certain functions are provided by third-party software, this must be made clear in the presentation.

5. Provide an overview of your Implementation Plan for delivering the tendered solution, including:
- a) The proposed partnership approach with the Territory;
  - b) Your expectations, in terms of dependencies or resources that you will require to be supplied by the Territory;
  - c) The recommended implementation methodology or approach;

**REQUEST FOR TENDER NO. 28499.112- HUMAN RESOURCE INFORMATION MANAGEMENT SOLUTION**

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- d) Change management and training;
  - e) The implementation timeline & phasing;
  - f) The major risks to the project;
  - g) Any assumptions that should be highlighted; and
  - h) How you will manage scope, quality and budget.
6. Provide an explanation of how the technical and other aspects of the solution will be managed, addressing the following considerations:
- a) How data sovereignty, privacy and security issues will be approached and managed;
  - b) The platform/infrastructure that will be used;
  - c) The hosting environment (single/multiple tenancy);
  - d) The proposed licensing/pricing model, in particular, the cost/process of adding users;
  - e) The approach to upgrades/updates, including testing and release cycles;
  - f) How integrations are managed, in particular, what is the supported middleware and who are the proprietors of all system components; and
  - g) How software customisations are managed and what is included in the customisation costing model.
  - h) The proposed support model for managed services, post-implementation.
7. Opportunity to provide any final remarks and closing statements.



# HRIMS

*One Service • One Solution*



**ACT**  
Government

# HRIMS Program

## User Stories for Demonstrations

23 March 2018

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## Introduction

The purpose of this User Story document is to describe a range of key functions users will be required to perform within the proposed Solution.

The User Stories provide a step-by-step description for the purpose of demonstrating how the proposed solution will be used by its actors to achieve the planned outcome. The level of detail in User Stories will vary depending on the size and complexity of the business process being described.

The key functions covered in user stories in this document are as follows:

1. Recruitment
2. Profile Management
3. Probation
4. Concurrent Employment
5. Higher Duties
6. Long Service Leave
7. Payroll
8. Separations
9. Measure and Report

# Recruiting

## 1. SCOPE

The scope of the User Story is limited to key functions within the to-be Recruiting Solution. The scope does not include end-to-end business processes and all functions required by the Territory within the to-be Recruiting Solution.

User Stories listed below are based on a preliminary design which may vary greatly as the HRIMS Program progresses. These User Stories should not be treated as the final solution or business process design in any context.

## 2. LIST OF USER STORIES

The User Stories for the purpose of demonstrating the to-be Recruiting Solution are listed below.

User Story ID	User Story Name
RCR_UC_01	Search and Apply for Job from Career Portal (Internal/External Candidate Gateway).
RCR_UC_02	Applicant Auto-Screening.
RCR_UC_03	Applicant Profile Match.
RCR_UC_04	Candidate Selection Workflow.
RCR_UC_05	Employee On-Boarding.

### 2.1 RCR\_UC\_01 – SEARCH AND APPLY FOR JOB FROM CAREER PORTAL

Sch 2.2(a)(xiii)

### 2.1.1 User Story Description

User Story ID: -	RCR_UC_01.
User Story Name: -	Search and Apply for Job from Career Portal.
Actors: -	Applicant.
Trigger: -	Applicant Performs Job Search on the ACT Government's External/Internal Career Portal.
Pre-Conditions: -	<ul style="list-style-type: none"> <li>- Applicant has a laptop/desktop/hand-held device with a compatible operating platform.</li> <li>- Applicant has a compatible web browser installed on their laptop/desktop/hand-held device.</li> <li>- Applicant has obtained the correct URL/link for the Territory's Internal/External Career Portal.</li> </ul>

Sch 2.2(a)(xiii)

Normal Flow: -	Refer to <a href="#">Process Flow Diagram</a>
Alternative Flow: -	Refer to <a href="#">Process Flow Diagram</a>

# Sch 2.2(a)(xiii)



### 2.1.3 Process Flow Diagram

Sch 2.2(a)(xiii)

### 2.1.4 Exceptions

Sch 2.2(a)(xiii)

### 2.1.5 Business Rules

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

## 2.1.6 Special Requirements

# Sch 2.2(a)(xiii)

## 2.1.7 Assumptions

Sch 2.2(a)(xiii)

## 2.2 RCR\_UC\_02 – APPLICANT AUTO-SCREENING

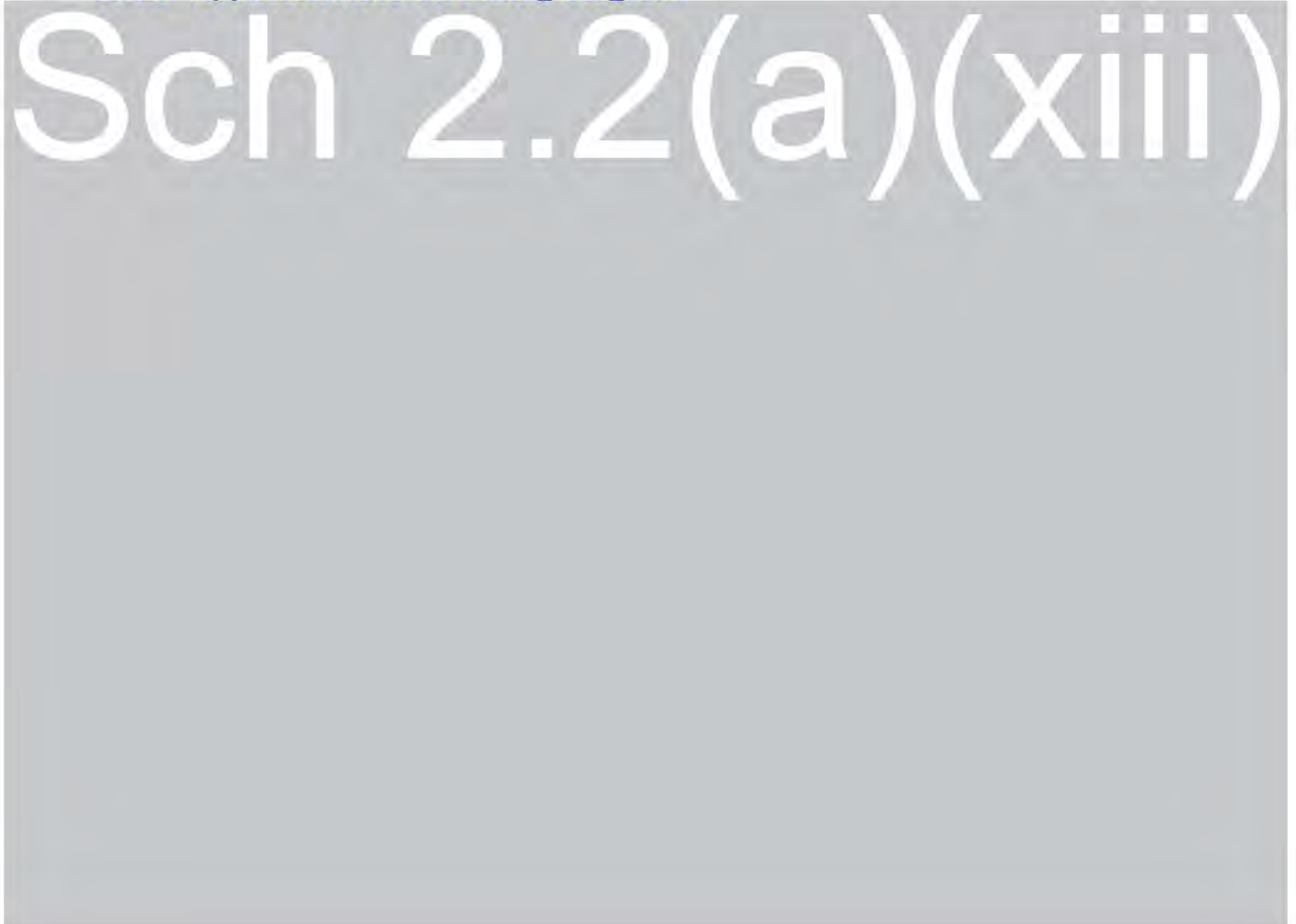
# Sch 2.2(a)(xiii)

### 2.2.1 User Story Description

<b>User Story ID: -</b>	RCR_UC_02.
<b>User Story Name: -</b>	Applicant Auto-Screening.
<b>Actors: -</b>	Applicant.
<b>Trigger: -</b>	Applicants answer pre-screening questions as part of their job application and submits their application.
<b>Pre-Conditions: -</b>	<ul style="list-style-type: none"> <li>- Job opening has been setup with pre-screening questions.</li> <li>- Non-descriptive pre-screening questions have been mapped with acceptable answers and their respective score.</li> <li>- Minimum qualifying score for each non-descriptive pre-screening questions has been setup against the job opening.</li> </ul>

User Story ID: -	RCR_UC_02.
<h1>Sch 2.2(a)(xiii)</h1>	
Normal Flow: -	Refer to <a href="#">Process Flow Diagram</a>
Alternative Flow: -	Refer to <a href="#">Process Flow Diagram</a>

### 2.2.2 Applicant Auto Screening Diagram



### 2.2.3 Process Flow Diagram

Sch 2.2(a)(xiii)

### 2.2.4 Exceptions

Sch 2.2(a)(xiii)

Sch 2.2(a)(xiii)

**2.2.5 Business Rules**

Sch 2.2(a)(xiii)

**2.2.6 Special Requirements**

Sch 2.2(a)(xiii)

**2.2.7 Assumptions**

Sch 2.2(a)(xiii)

**2.3 RCR\_UC\_03 – APPLICANT PROFILE MATCH**

Sch 2.2(a)(xiii)

### 2.3.1 User Story Description

User Story ID: -	RCR_UC_03.
User Story Name: -	Applicant Profile Match.
Actors: -	Recruiter, Hiring Manager.
Trigger: -	Recruiter or Hiring Manager initiates an applicant search.
Pre-Conditions: -	<ul style="list-style-type: none"> <li>- There is at least one or more applicant in the applicant database.</li> <li>- Profile is accurately setup for the candidate.</li> <li>- Profile is accurately setup for profile matching parameter to be selected (e.g.: Employee Profile, Candidate Profile, Job Profile, Job Requisition Profile etc.).</li> </ul>

Sch 2.2(a)(xiii)

Normal Flow: -	Refer to <a href="#">Process Flow Diagram</a>
Alternative Flow: -	Refer to <a href="#">Process Flow Diagram</a>

### 2.3.2 Applicant Profile Match Diagram

# Sch 2.2(a)(xiii)

**2.3.3 Process Flow Diagram**

Sch 2.2(a)(xiii)

**2.3.4 Exceptions**

Sch 2.2(a)(xiii)



**2.3.5 Business Rules**

Sch 2.2(a)(xiii)

**2.3.6 Special Requirements**

Sch 2.2(a)(xiii)

**2.3.7 Assumptions**

Sch 2.2(a)(xiii)

**2.4 RCR\_UC\_04 – CANDIDATE SELECTION WORKFLOW**

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

## 2.4.1 User Story Description

User Story ID: -	RCR_UC_04.
User Story Name: -	Candidate Selection Workflow.
Actors: -	Recruiter, Candidate, Hiring Manager, Approver/s.
Trigger: -	Recruiter initiates the applicant screening process.
Pre-Conditions: -	<ul style="list-style-type: none"> <li>- Job requisition has been setup with the primary Recruiter.</li> <li>- Job requisition has been setup with the correct Hiring Manager.</li> <li>- Job requisition has been setup with members of the Selection Advisory Committee.</li> <li>- Job requisition has been setup with the correct Approver to authorise the selection of primary and secondary candidates.</li> <li>- Job requisition has been setup with selection criteria.</li> <li>- Job opening is published to the Territory's internal/external career website and one or more applicants have submitted their complete job application.</li> </ul>

User Story ID: -

RCR\_UC\_04.

# Sch 2.2(a)(xiii)

Normal Flow: -

Refer to [Process Flow Diagram](#)

Alternative Flow: -

Refer to [Process Flow Diagram](#)

# Sch 2.2(a)(xiii)

### 2.4.3 Process Flow Diagram

Sch 2.2(a)(xiii)

### 2.4.4 Exceptions

Sch 2.2(a)(xiii)

### 2.4.5 Business Rules

Sch 2.2(a)(xiii)

### 2.4.6 Special Requirements

Sch 2.2(a)(xiii)

### 2.4.7 Assumptions

Sch 2.2(a)(xiii)

## 2.5 RCR\_UC\_05 – EMPLOYEE ON-BOARDING

Sch 2.2(a)(xiii)

### 2.5.1 User Story Description

User Story ID: -	RCR_UC_05.
User Story Name: -	Employee On-Boarding.
Actors: -	Employee.
Trigger: -	Employee initiates their on-boarding activities.

User Story ID: -	RCR_UC_05.
Pre-Conditions: -	<ul style="list-style-type: none"><li>- Employee must be setup in HRIMS with the correct job information.</li><li>- Employee's user account must be created in HRIMS.</li><li>- Employee must have their credentials to be able to log into HRIMS.</li></ul>

# Sch 2.2(a)(xiii)

Normal Flow: -	Refer to <a href="#">Process Flow Diagram</a>
Alternative Flow: -	Refer to <a href="#">Process Flow Diagram</a>

## 2.5.2 Employee On-Boarding Diagram

# Sch 2.2(a)(xiii)

### 2.5.3 Process Flow Diagram

Sch 2.2(a)(xiii)

### 2.5.4 Exceptions

Sch 2.2(a)(xiii)



**2.5.5 Business Rules**

Sch 2.2(a)(xiii)

**2.5.6 Special Requirements**

Sch 2.2(a)(xiii)

**2.5.7 Assumptions**

Sch 2.2(a)(xiii)

# Profile Management

## 1. SCOPE

The scope of this User Story document is limited to key functions within the to-be Profile Management Solution. The scope of this document is not to document end-to-end business process and all functions required by the Territory within the to-be Profile Management Solution.

User Stories listed in this document is based on preliminary design which may vary greatly as the HRIMS Program progresses further. These User Stories should not be treated as final solution or business process design in any context.

## 2. LIST OF USER STORIES

The User Stories for the purpose of demonstrating Profile Management are listed below.

User Story ID	User Story Name
<a href="#">PRF_UC_01</a>	Update Person Profile.
<a href="#">PRF_UC_02</a>	Person Profile Monitoring.
<a href="#">PRF_UC_03</a>	Update Job Profile.

### 2.1 PRF\_UC\_01 – UPDATE PERSON PROFILE

Sch 2.2(a)(xiii)

### 2.1.1 User Story Description

User Story ID: -	PRF_UC_01.
User Story Name: -	Update Person Profile.
Actors: -	Employee, Manager, Administrator.
Trigger: -	Employee, Manager, or Administrator initiates Person Profile Update for Employee.
Pre-Conditions: -	<ul style="list-style-type: none"> <li>- Appropriate access must be granted to the user.</li> <li>- Profile Content Items are setup correctly with attachment requirement.</li> <li>- Profile Content Items are setup correctly with approval requirement.</li> </ul>

Sch 2.2(a)(xiii)

Normal Flow: -	Refer to <a href="#">Process Flow Diagram</a>
Alternative Flow: -	Refer to <a href="#">Process Flow Diagram</a>

**2.1.2 Update Person Profile Diagram**

# Sch 2.2(a)(xiii)

Sch 2.2(a)(xiii)

**2.1.4 Exceptions**

Sch 2.2(a)(xiii)

### 2.1.5 Business Rules

Sch 2.2(a)(xiii)

### 2.1.6 Special Requirements

Sch 2.2(a)(xiii)

### 2.1.7 Assumptions

Sch 2.2(a)(xiii)

## 2.2 PRF\_UC\_02 – PERSON PROFILE MONITORING

Sch 2.2(a)(xiii)

### 2.2.1 User Story Description

User Story ID: -	PRF_UC_02.
User Story Name: -	Person Profile Monitoring.
Actors: -	HRIMS.
Trigger: -	Pre-Defined Schedule.
Pre-Conditions: -	<ul style="list-style-type: none"> <li>- All Job Profiles are setup accurately and completely.</li> <li>- Schedule for initiating Profile Monitoring is setup correctly.</li> </ul>

User Story ID: -	PRF_UC_02.
<h1>Sch 2.2(a)(xiii)</h1>	
Normal Flow: -	Refer to <a href="#">Process Flow Diagram</a>
Alternative Flow: -	Refer to <a href="#">Process Flow Diagram</a>

**2.2.2 Profile Monitoring Diagram**

Sch 2.2(a)(xiii)



### 2.2.3 Process Flow Diagram

Sch 2.2(a)(xiii)

### 2.2.4 Exceptions

Sch 2.2(a)(xiii)

### 2.2.5 Business Rules

Sch 2.2(a)(xiii)

### 2.2.6 Special Requirements

Sch 2.2(a)(xiii)

### 2.2.7 Assumptions

Sch 2.2(a)(xiii)

## 2.3 PRF\_UC\_03 – UPDATE JOB PROFILE

Sch 2.2(a)(xiii)

### 2.3.1 User Story Description

User Story ID: -	PRF_UC_03.
User Story Name: -	Update Job Profile.
Actors: -	Hiring Manager, Administrator.
Trigger: -	Hiring Manager, or Administrator initiates Job Profile Update for specific Job.
Pre-Conditions: -	<ul style="list-style-type: none"> <li>- Appropriate access must be granted to the user.</li> <li>- Profile Content Items are setup correctly with attachment requirement.</li> <li>- Profile Content Items are setup correctly with approval requirement.</li> </ul>

User Story ID: -

PRF\_UC\_03.

# Sch 2.2(a)(xiii)

Normal Flow: -

Refer to [Process Flow Diagram](#)

Alternative Flow: -

Refer to [Process Flow Diagram](#)

**2.3.2 Update Job Profile Diagram**

# Sch 2.2(a)(xiii)

### 2.3.3 Process Flow Diagram

Sch 2.2(a)(xiii)

### 2.3.4 Exceptions

Sch 2.2(a)(xiii)

### 2.3.5 Business Rules

Sch 2.2(a)(xiii)

### 2.3.6 Special Requirements

Sch 2.2(a)(xiii)

### 2.3.7 Assumptions

Sch 2.2(a)(xiii)

## Probation

### 1. SCOPE

The scope of this User Story document is limited to providing an outline of the types of user interactions with the system functionality for Probation Reviews. It is not to document the end-to-end business process and will not cover all elements of business requirements of the Territory in detail.

This User Story should not be treated as a final solution or business process design in any context and are only for the purposes of assessing functionality in the vendor demonstration.

### 2. LIST OF USER STORIES

The User Stories for the purpose of demonstrating Probation Management are listed below.

User Story ID	User Story Name
<a href="#">CHR_UC_01</a>	Probation

#### 2.1 CHR\_UC\_01 - PROBATION

Sch 2.2(a)(xiii)

### 2.1.1 User Story Description

<b>User Story ID: -</b>	CHR_UC_01.
<b>User Story Name: -</b>	Probation.
<b>Actors: -</b>	Manager, New Employee, Delegate, Recruiter, HR Officer, Payroll Officer.
<b>Trigger: -</b>	The new employee has a probation end date and review dates are set.
<b>Preceding User Story:</b>	- RCR_UC_04 Recruitment, PRF_UC_01 Profile Management.
<b>Pre-Conditions: -</b>	<ul style="list-style-type: none"> <li>- User can enter the probation period end date when the employee has been hired.</li> <li>- User can record the review dates for the probation period.</li> <li>- System generates reminder notifications to conduct the reviews to the Manager and Employee.</li> <li>- User has access to employee training records</li> <li>- User is able to access and update the probation record for the employee via Manager Self Service.</li> </ul>



User Story ID: -

CHR\_UC\_01.

# Sch 2.2(a)(xiii)

Normal Flow: -

Refer to [Probation Process Flow](#)

Alternative Flow:-

Refer to [Probation Process Flow](#)

## 2.1.2 Probation Diagram

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

### 2.1.3 Process Flow Diagram

Sch 2.2(a)(xiii)

### 2.1.4 Exceptions

Sch 2.2(a)(xiii)

Sch 2.2(a)(xiii)

#### 2.1.5 Business Rules

Sch 2.2(a)(xiii)

#### 2.1.6 Special Requirements

Sch 2.2(a)(xiii)

#### 2.1.7 Assumptions

Sch 2.2(a)(xiii)

## Concurrent Employment

### 1. SCOPE

The scope of this User Story document is limited to providing an outline of the types of user interactions with the system functionality for Concurrent Employment. It is not to document the end-to-end business process and will not cover all elements of business requirements of the Territory in detail.

This User Story should not be treated as a final solution or business process design in any context and are only for the purposes of assessing functionality in the vendor demonstration.

### 2. CONCURRENT EMPLOYMENT

The Territory provides the opportunity for employees to hold more than one job concurrently within the organisation. This provides both flexibility and opportunity in employment options and can contribute to employee attraction, retention and development.

### 3. LIST OF USER STORIES

The User Stories for the purpose of demonstrating Concurrent Employment are listed below.

User Story ID	User Story Name
<a href="#">CHR_UC_02</a>	Concurrency in Payroll, Time & Attendance and Absence.
<a href="#">CHR_UC_02a</a>	Concurrency in Self Service.

#### 3.1 CHR\_UC\_02\_CONCURRENCY IN PAYROLL, TIME & ATTENDANCE AND ABSENCE

Sch 2.2(a)(xiii)

### 3.1.1 User Story Description

User Story ID: -	CHR_UC_02.
User Story Name: -	Concurrency in Payroll, TA and Absence.
Actors: -	Payroll Officer, HR / Recruitment Officer, Employee, Manager.
Trigger: -	Employee Hired to Concurrent Assignment
Pre-Conditions: -	<ul style="list-style-type: none"> <li>- Concurrent Assignment Payroll record has been created.</li> <li>- Users can view a complete employment record for employee and each of the employee's concurrent job records.</li> </ul>

Sch 2.2(a)(xiii)

Normal Flow: -	Refer to <a href="#">Process Flow Diagram</a>
Alternative Flow: -	Not applicable.

### 3.1.2 Concurrent Employment in Payroll, T&A and Absence Diagram

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)



### 3.1.3 Process Flow Diagram

Sch 2.2(a)(xiii)

### 3.1.4 Business Rules

Sch 2.2(a)(xiii)

### 3.1.5 Special Requirements

### 3.1.6 Assumptions

Sch 2.2(a)(xiii)

### 3.1.7 Exceptions

Sch 2.2(a)(xiii)

### 3.2 CHR\_UC\_02A CONCURRENCY IN SELF SERVICE

# Sch 2.2(a)(xiii)

#### 3.2.1 User Story Description

User Story ID: -	CHR_UC_2a.
User Story Name: -	Concurrent Employment in Manager and Employee Self Service.
Actors: -	Employee, Manager.
Trigger: -	Employee has Concurrent Jobs
Pre-Conditions: -	<ul style="list-style-type: none"> <li>- User is able to view, edit and update their Employee information</li> <li>- User is able to access Self Service functions associated for the relevant concurrent job. (For e.g. applying for leave)</li> </ul>
Normal Flow: -	Refer to <a href="#">Process Flow Diagram</a>
Alternative Flow: -	Refer to <a href="#">Process Flow Diagram</a>

### 3.2.2 Concurrent Employment - Employee Self Service Diagram

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

### 3.2.3 Process Flow Diagram

# Sch 2.2(a)(xiii)

### 3.2.4 Business Rules

## Sch 2.2(a)(xiii)

### 3.2.5 Special Requirements

## Sch 2.2(a)(xiii)

### 3.2.7 Exceptions

## Sch 2.2(a)(xiii)

# Higher Duties Management

## 1. SCOPE

The scope of this User Story document is limited to providing an outline of the types of user interactions with the system functionality for Higher Duties. It is not to document end-to-end business process and will not cover all elements of business requirements of the Territory in detail.

These User Stories should not be treated as a final solution or business process design in any context and are only for the purposes of assessing functionality in the vendor demonstration.

## 2. LIST OF USER STORIES: HIGHER DUTIES ASSIGNMENTS

The User Stories for the purpose of demonstrating Higher Duties Assignment are listed below.

User Story ID	User Story Name
<a href="#">CHR_UC_03</a>	Higher Duties Assignment including Self Service

### 2.1 CHR\_UC\_03\_CORE HR- HIGHER DUTIES ASSIGNMENT INCLUDING SELF SERVICE

#### 2.1.1 User Story Description

User Story ID: -	CHR_UC_03.
User Story Name: -	Higher Duties Assignments.
Actors: -	Manager, Delegate, HR Officer, Payroll Officer, Employee.
Trigger: -	Operational need for a Higher Duties Assignment.

User Story ID: -	CHR_UC_03.
Pre-Conditions: -	<ul style="list-style-type: none"> <li>- User can view position details and initiate Higher Duties Assignments via Manager Self Service</li> <li>- System will validate that the position data entered aligns with system record of the acting position (e.g. classification, hours, current occupancy).</li> <li>- User can approve requests for Higher Duties Assignment via Self Service</li> <li>- User can enter a percentage or partial performance (e.g. at a different salary point) for the higher duties assignment classification if required.</li> <li>- User can enter begin and end date for the assignment.</li> <li>- Higher Duties assignments initiated via Self Service will be validated before submitting for processing and return warnings to fix errors in inp</li> <li>- User can reassign workflow approval delegations to another manager.</li> </ul>
<h1>Sch 2.2(a)(xiii)</h1>	
Normal Flow: -	Refer to <a href="#">Process Flow Diagram</a>
Alternative Flow: -	Refer to <a href="#">Process Flow Diagram</a>

# Sch 2.2(a)(xiii)



### 2.1.3 Process Flow Diagram

Sch 2.2(a)(xiii)

### 2.1.4 Exceptions

Sch 2.2(a)(xiii)

### 2.1.5 Business Rules

# Sch 2.2(a)(xiii)

## 2.1.6 Special Requirements

# Sch 2.2(a)(xiii)

## 2.1.7 Assumptions

# Sch 2.2(a)(xiii)

# Long Service Leave

## 1. SCOPE

The scope of this User Story document is limited to providing an outline of the types of user interactions with the system functionality for Long Service Leave. It is not to document the end-to-end business process and will not cover all elements of business requirements of the Territory in detail.

These User Stories should not be treated as a final solution or business process design in any context and are only for the purposes of assessing functionality in the vendor demonstration.

## 2. LIST OF USER STORIES: LONG SERVICE LEAVE

The User Stories for the purpose of demonstrating Long Service Leave are listed below.

User Story ID	User Story Name
<a href="#">PAY_UC_01</a>	Manage Complexity of the Territory's Long Service Leave Entitlement
<a href="#">PAY_UC_01a</a>	Taking or Cashing Out Long Service Leave

### 2.1 PAY\_UC\_01 MANAGE COMPLEXITY OF THE TERRITORY'S LONG SERVICE LEAVE ENTITLEMENTS

#### 2.1.1 User Story Description

Use Story ID: -	PAY_UC_01.
User Story Name: -	Manage Complexity of the Territory's LSL Entitlement
Actors: -	Employee, Manager, HR Officer, Payroll Officer.
Trigger: -	System calculates Long Service Leave Service Balances

<b>Use Story ID: -</b>	<b>PAY_UC_01.</b>
<b>Pre-Conditions: -</b>	<ul style="list-style-type: none"> <li>- Solution contains a full service history for each employee.</li> </ul> <p>Full Service history includes but is not limited to:</p> <ul style="list-style-type: none"> <li>- Employment type and duration e.g. Part time, Full Time, Casual.</li> <li>- Recognised prior service periods.</li> <li>- Average hours payable per week for Long Service Leave purposes.</li> <li>- Periods of leave not to count as service for Long Service Leave purposes e.g. Leave Without Pay.</li> <li>- Total length of time in Service to count for Long Service Leave purposes.</li> <li>- Solution can calculate service duration from Date Joined ACT Government, Recognised Prior Service Begin Date, and preclude breaks in service to establish when the employee will reach an anniversary of 7 years.</li> <li>- HRIMS accumulates Leave Without Pay types taken and can apply threshold rules before treating the period of Leave without pay and affecting service duration.</li> <li>- HRIMS can calculate service duration from Date Joined ACT Government, Recognised Prior Service Begin Date, and preclude breaks in service to establish when the employee will reach an anniversary of 7 years.</li> <li>- HRIMS can publish the Adjusted Service Date for crediting the entitlements via Employee Self Service for the employee to view.</li> <li>- HRIMS can calculate the balance as Pro Rata or Entitlement depending on whether the employee has reached their service anniversary date of 7 years and each yearly anniversary thereafter.</li> <li>- HRIMS calculates the average hours per week payable for Long Service Leave when taken by employees with a Part Time service balance.</li> </ul>

Use Story ID: -

PAY\_UC\_01.

# Sch 2.2(a)(xiii)

Normal Flow: -

Refer to [Process Flow Diagram](#)

Alternative Flow:

-

Refer to [Process Flow Diagram](#)

## 2.1.2 User Story Diagram

# Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

## 2.1.4 Exceptions

# Sch 2.2(a)(xiii)

## 2.1.5 Business Rules

Sch 2.2(a)(xiii)

**2.1.6 Special Requirements**

Sch 2.2(a)(xiii)

**2.1.7 Assumptions**

Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)

## 2.2 PAY\_UC\_01A TAKING OR CASHING OUT LONG SERVICE LEAVE

### 2.2.1 User Story Description

Below is a description of the User Story for Taking or Cashing-Out Long Service Leave.

<b>User Story ID: -</b>	PAY_UC_01a.
<b>User Story Name: -</b>	Taking or Cashing Out Long Service Leave.
<b>Actors: -</b>	HRIMS, Employee, Manager, Delegate, Payroll Officer.
<b>Trigger: -</b>	Employee applies to take or cash out Long Service Leave.
<b>Pre-Conditions: -</b>	<ul style="list-style-type: none"> <li>- User has access to Self Service.</li> <li>- User can view Long Service Leave balances via Self Service for themselves and their direct reports.</li> <li>- User can apply to take or cash out Long Service Leave from Self Service.</li> <li>- User can approve requests to take or cash out Long Service Leave.</li> <li>- User has access via Self Service to view the employee's complete Service History.</li> <li>- User has access to view the balances and service history converted for the employee and can reconcile accrual if needed.</li> <li>- User can access a link from Self Service to policy or procedure that explains how Long Service Leave is calculated and can be taken or cashed out.</li> </ul>

User Story ID: -	PAY_UC_01a.
------------------	-------------

# Sch 2.2(a)(xiii)

Normal Flow: -	Refer to <a href="#">Process Flow Diagram</a>
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Alternative Flow: -	Refer to <a href="#">Process Flow Diagram</a>
------------------------	---

**2.2.2 Taking or Cashing Out Long Service Leave Diagram**

Sch 2.2(a)(xiii)

**2.2.3 Process Flow Diagram**

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

## **2.2.4 Exceptions**

### Sch 2.2(a)(xiii)

## **2.2.5 Business Rules**

Sch 2.2(a)(xiii)

**2.2.6 Assumptions**

Sch 2.2(a)(xiii)

**2.2.7 Future State:**

Sch 2.2(a)(xiii)

# Payroll Processing

## 1. SCOPE

The scope of this User Story document is limited to providing an outline of the types of user interactions with the system and within the system itself for Payroll Processing. It is not to document end-to-end business process and will not cover all elements of the payroll process of the Territory in detail.

This User Story should not be treated as a final solution or business process design in any context and are only for the purposes of assessing functionality in the vendor demonstration.

## 2. LIST OF USER STORIES:

The User Story covered in this document for the purpose of demonstrating Payroll Processing is below.

User Story ID	User Story Name
<a href="#">PAY_UC_02</a>	Process On-Cycle Payroll

### 2.1 PAY\_UC\_02 PROCESS ON-CYCLE PAYROLL

#### 2.1.1 User Story: User Story Description

User Story ID: -	PAY_UC_02
User Story Name: -	Process On-Cycle Payroll
Actors: -	Payroll Administrator
Trigger: -	Payroll Administrator Initiates On-Cycle Payroll Processing.
Pre-Conditions: -	<ul style="list-style-type: none"> <li>- All previous on-cycle and off-cycle Payroll has been confirmed/finalized and there are no open payroll period.</li> <li>- User has access to generate Pre-Payroll Reports.</li> <li>- User has access to Calculate On-Cycle Payroll.</li> <li>- User has access to generate Post-Payroll Report.</li> <li>- User has access to review and correct Payroll Calculation Errors and Exceptions.</li> <li>- All data entry/transaction processing is complete for the pay period to be calculated.</li> <li>- All pre-payroll in-bound and out-bound interfaces are successfully processed.</li> </ul>

User Story ID: -	PAY_UC_02
<h1>Sch 2.2(a)(xiii)</h1>	
Normal Flow: -	Refer to <a href="#">Process Flow Diagram</a>
Alternative Flow: -	Refer to <a href="#">Process Flow Diagram</a>

### 2.1.2 On-Cycle Payroll Diagram

# Sch 2.2(a)(xiii)



**2.1.3 Process Flow Diagram**

# Sch 2.2(a)(xiii)

**2.1.4 Exceptions**

# Sch 2.2(a)(xiii)

**2.1.5 Business Rules**

# Sch 2.2(a)(xiii)

### 2.1.6 Special Requirements

Sch 2.2(a)(xiii)

### 2.1.7 Assumptions

Sch 2.2(a)(xiii)

# Separations

## 1. SCOPE

The scope of this User Story document is limited to providing an outline of the types of user interactions with the system functionality for Separations. It is not to document the end-to-end business process and will not cover all elements of business requirements of the Territory in detail nor will it seek to specify the payment rules for each type of termination in depth.

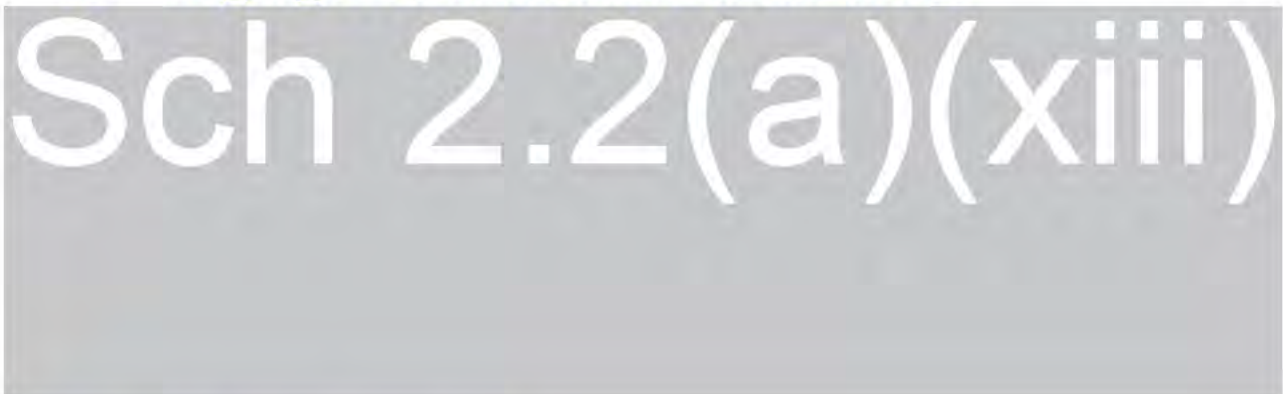
These User Stories should not be treated as a final solution or business process design in any context and are only for the purposes of assessing functionality in the vendor demonstration.

## 2. LIST OF USER STORIES

The User Story for the purpose of demonstrating Separations is listed below.

User Story ID	User Story Name
<a href="#">SEP_UC_01</a>	Resignations & Retirements.

### 2.1 SEP\_UC\_01 - RESIGNATIONS & RETIREMENTS.



#### 2.1.1 User Story Description:

User Story ID: -	SEP_UC_01.
User Story Name: -	Resignations and Retirements.
Actors: -	Employee, Manager, Delegate, HR Officer, Payroll Officer.
Trigger: -	Employee submits a resignation or retirement notification to their Manager via Self Service.

User Story ID: -	SEP_UC_01.
Pre-Conditions: -	<ul style="list-style-type: none"> <li>- User has access to Self Service to submit notification to separate and the reason for their separation.</li> <li>- Users who are required to supply a notice period are warned if the minimum notice period is not being given based on the intended date of separation. These are stipulated in EBAs.</li> <li>- User has access to generate and view estimation quotes of separation payments</li> <li>- User can receive separation payment estimates as a PDF format.</li> <li>- User can access, complete and upload forms if required for the type of separation. (e.g.: forms for Superannuation Fund elections and notifications)</li> </ul>

Sch 2.2(a)(xiii)

Normal Flow: -	Refer to <a href="#">Process Flow Diagram</a>
Alternative Flow: -	Refer to <a href="#">Process Flow Diagram</a>

## 2.1.2 Voluntary Separations – Resignation and Retirement Diagram

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

Sch 2.2(a)(xiii)

**2.1.4 Exceptions**

Sch 2.2(a)(xiii)

Sch 2.2(a)(xiii)

**2.1.5 Business Rules**

Sch 2.2(a)(xiii)

**2.1.6 Special Requirements**

Sch 2.2(a)(xiii)

**2.1.7 Assumptions**

Sch 2.2(a)(xiii)



## Measure & Report

### 1. SCOPE

The scope of this User Story document is limited to key functions within the to-be Measurement and Reporting Solution for the Territory. The scope of this document is not to document end-to-end business process and all functions required by the Territory within the to-be Measurement & Reporting Solution.

User Stories listed in this document is based on preliminary design which may vary greatly as the HRIMS Program progresses further. These User Stories should not be treated as final solution or business process design in any context.

### 2. LIST OF USER STORIES

The User Stories for the purpose of demonstrating Long Service Leave are listed below.

User Story ID	User Story Name
<a href="#">MRT_UC_01</a>	Create and Run Ad-Hoc Report.
<a href="#">MRT_UC_02</a>	Create and Publish Pivot Report to Dashboards.

#### 2.1 MRT\_UC\_01 – CREATE AND RUN AD-HOC REPORT

# Sch 2.2(a)(xiii)

### 2.1.1 User Story Description

User Story ID: -	MRT_UC_01
User Story Name: -	Create and Run Ad-Hoc Report
Actors: -	HR/Payroll Administrator
Trigger: -	HR/Payroll Administrator Initiates Creation of Ad-Hoc Report.
Pre-Conditions: -	<ul style="list-style-type: none"> <li>- HRIMS Reporting Solution access must be granted to the Administrator.</li> <li>- Appropriate data access must be granted to the Administrator.</li> </ul>

Sch 2.2(a)(xiii)

Normal Flow: -	Refer to <a href="#">Process Flow Diagram</a>
Alternative Flow: -	Refer to <a href="#">Process Flow Diagram</a>

### 2.1.2 Create and run Ad-Hoc Report Diagram

Sch 2.2(a)(xiii)

### 2.1.3 Process Flow Diagram

Sch 2.2(a)(xiii)

#### 2.1.4 Exceptions

Sch 2.2(a)(xiii)

#### 2.1.5 Business Rules

Sch 2.2(a)(xiii)

#### 2.1.6 Special Requirements

Sch 2.2(a)(xiii)

#### 2.1.7 Assumptions

Sch 2.2(a)(xiii)

### 2.2 MRT\_UC\_02 – CREATE AND PUBLISH PIVOT REPORT TO DASHBOARDS

Sch 2.2(a)(xiii)

### 2.2.1 User Story Description

User Story ID: -	MRT_UC_02
User Story Name: -	Create and Publish Pivot Report to Dashboards
Actors: -	Administrator, Manager
Trigger: -	Administrator Initiates Creation of Pivot Report.
Pre-Conditions: -	<ul style="list-style-type: none"> <li>- HRIMS Reporting Solution access must be granted to the Administrator.</li> <li>- Appropriate data access must be granted to the Administrator.</li> </ul>

Sch 2.2(a)(xiii)

Normal Flow: -	Refer to <a href="#">Process Flow Diagram</a>
Alternative Flow: -	Refer to <a href="#">Process Flow Diagram</a>

### 2.2.2 Create and Publish Pivot to Dashboard Diagram

Sch 2.2(a)(xiii)

### 2.2.3 Process Flow Diagram

Sch 2.2(a)(xiii)

**2.2.4 Exceptions**

Sch 2.2(a)(xiii)

**2.2.5 Business Rules**

Sch 2.2(a)(xiii)

**2.2.6 Special Requirements**

Sch 2.2(a)(xiii)

**2.2.7 Assumptions**

Sch 2.2(a)(xiii)



23 March 2018



Sch 2.2(a)(xi), Sch 2.2(a)(xiii)

Sch 2.2(a)(xi), Sch 2.2(a)(xiii)

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Sch 2.2(a)(xi), Sch 2.2(a)(xiii)

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Sch 2.2(a)(xi), Sch 2.2(a)(xiii)



Sch 2.2(a)(xi), Sch 2.2(a)(xiii)

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Sch 2.2(a)(xi), Sch 2.2(a)(xiii)

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Sch 2.2(a)(xi), Sch 2.2(a)(xiii)

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Sch 2.2(a)(xi), Sch 2.2(a)(xiii)

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Sch 2.2(a)(xi), Sch 2.2(a)(xiii)

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Sch 2.2(a)(xi), Sch 2.2(a)(xiii)



**ACT**  
Government

Chief Minister, Treasury and  
Economic Development

## AGENDA

### HRIMS Solution Demonstrations

03-06 July 2018

Ground floor, Kubbadang G.05 Meeting Room  
or

Dyirraggan 1.24 Board Room  
Winyu House, 125 Gungahlin Place, Gungahlin, ACT

Meeting to open – TBC

Agenda Topics

Item	Time	Issues/Key Discussion	Lead
1	10 Minutes TBC	Welcome and introductions	Evaluation Team Chair
2 – Part 1	50 Minutes TBC	<b>Solution Demonstration:</b> <ul style="list-style-type: none"> <li>▪ Concurrent Employment</li> <li>▪ Long Service Leave</li> </ul>	Tenderer
<i>Morning Tea &amp; Questions (15 mins)</i>			
3 – Part 2	50 Minutes TBC	<b>Solution Demonstration: Part 1</b> <ul style="list-style-type: none"> <li>▪ Flextime</li> <li>▪ Time Off in Lieu</li> </ul>	Tenderer
4	15 Minutes TBC	Final remarks & close	Evaluation Team Chair

Meeting to close by – TBC

**IMPORTANT NOTICE**

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**REQUEST FOR PROPOSAL NO. 28499.112****PROCUREMENT AND IMPLEMENTATION OF A HUMAN RESOURCE INFORMATION MANAGEMENT SOLUTION (HRIMS)**

Sch 2.2(a)(xi)

**Sch 2.2(a)(ii)****REQUEST TO PROVIDE A DEMONSTRATION TO THE TERRITORY**

---

Please note the following information for the above Request for Proposal:

1. The Territory is inviting respondents to provide a further demonstration of their proposed solution in Canberra, in the period **Tuesday 3 July 2018 – Friday 6 July 2018**. The Territory will nominate a time and advise you separately of when the demonstration is to take place. See **Attachment 1 'Presentation Agenda'** for further details.
2. You are requested to email your confirmation to:  
[Kylie.Cleary@act.gov.au](mailto:Kylie.Cleary@act.gov.au) by COB **Tuesday 26 June 2018** at the latest to confirm attendance.
3. In confirming your attendance, you are also required to provide a list of all representatives who will be present on the day (including name, position title and contact information). Please contact Kylie Cleary on (02) 6205 4594 if you have any inquiries.

I would like to thank you for your ongoing cooperation and look forward to meeting with you and your representatives once again.

Kind regards

Sch 2.2(a)(ii)

Kylie Cleary,  
ICT Procurement  
Procurement, Property and Venues

19 June 2018

**REQUEST FOR TENDER NO. 28499.112- HUMAN RESOURCE INFORMATION MANAGEMENT SOLUTION**

---

**Enclosure 1 – Demonstration Agenda and Guidelines**

**Date:** 03/07/2018 – 06/07/2018

**Time:** TBC Approximately 2.5 hours

**Location:** TBA  
Winyu House, 125 Gungahlin Place, Gungahlin, ACT

**Demonstration Guidance:**

In preparation for the demonstration, please consider the following:

1. Nominate a liaison from your team to manage logistics with Territory coordinators.
2. Consider any special audio/visual requirements you may have.
3. Consider how you will configure the room for the presentation.
4. Please notify us if you would like to:
  - demonstrate the solution via the ACT Government ICT network, and we will ensure appropriate access is available.
  - make use of a conference room on the premises up to one (1) day ahead of your demonstration.
5. Confirm that your demonstration addresses the Agenda and instructions provided.
6. Confirm that the duration of your demonstration does not exceed the time allocation, while also allowing time for audience clarifications.
7. Prepare a demonstration of your proposed solution based on the 'User Stories' provided as **Attachment 2** on a live system that is running the latest 'released' version of the proposed software.
8. Refer to **Attachment 1 – Presentation Agenda** for details of the order, coverage and duration of specific agenda items.
9. DO NOT introduce any new material to that which was included in your RFP response, unless specifically requested by the Territory. The solution demonstrated must be the same as that proposed in the response to the RFP.

Note: The preferred approach to question taking is that the audience reserves complex and exploratory questions for the designated time.

**Instructions**

For this demonstration, please address the following:

1. State the names of key personnel and their roles as part of introductions.

Note: These should be key personnel who would be expected to have continued involvement in the Program, if the proposal is selected.

- a) Provide an overview of the technical and business aspects of the proposed functionality, with reference to:

**REQUEST FOR TENDER NO. 28499.112- HUMAN RESOURCE INFORMATION MANAGEMENT  
SOLUTION**

---

- b) How the solution will meet the business needs of, and achieve the business outcomes sought by, the Territory;
- c) The overall technical configuration of the proposed solution;
- d) The key points of value or benefit that your proposed solution will deliver to the Territory, and;
- e) The major challenges you foresee in delivering the required functionality.





# HRIMS

*One Service • One Solution*

310 of 490



**ACT**  
Government

# HRIMS Program

## User Stories for Demonstrations

18 June 2018

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## Introduction

The purpose of this User Story document is to describe a range of key functions users will be required to perform within the proposed Solution.

The User Stories provide a step-by-step description for the purpose of demonstrating how the proposed solution will be used by its actors to achieve the planned outcome. The level of detail in User Stories will vary depending on the size and complexity of the business process being described.

The key functions covered in user stories in this document are as follows:

1. Concurrent Employment
2. Long Service Leave
3. Flextime
4. Time Off in Lieu (TOIL)

# Concurrent Employment

## 1. SCOPE

The scope of this User Story document is limited to providing an outline of the types of user interactions with the system functionality for Concurrent Employment. It is not to document the end-to-end business process and will not cover all elements of business requirements of the Territory in detail.

This User Story should not be treated as a final solution or business process design in any context and are only for the purposes of assessing functionality in the vendor demonstration.

## 2. CONCURRENT EMPLOYMENT

The Territory provides the opportunity for employees to hold more than one job concurrently within the organisation. This provides both flexibility and opportunity in employment options and can contribute to employee attraction, retention and development.

## 3. LIST OF USER STORIES

The User Stories for the purpose of demonstrating Concurrent Employment are listed below.

User Story ID	User Story Name
<a href="#">CHR_UC_02</a>	Concurrency in Payroll, Time & Attendance and Absence.
<a href="#">CHR_UC_02a</a>	Concurrency in Self Service.

### 3.1 CHR\_UC\_02\_CONCURRENCY IN PAYROLL, TIME & ATTENDANCE AND ABSENCE

Sch 2.2(a)(xiii)

### 3.1.1 User Story Description

User Story ID: -	CHR_UC_02.
User Story Name: -	Concurrency in Payroll, TA and Absence.
Actors: -	Payroll Officer, HR / Recruitment Officer, Employee, Manager.
Trigger: -	Employee Hired to Concurrent Assignment
Pre-Conditions: -	<ul style="list-style-type: none"> <li>- Concurrent Assignment Payroll record has been created.</li> <li>- Users can view a complete employment record for employee and each of the employee's concurrent job records.</li> </ul>

Sch 2.2(a)(xiii)

Normal Flow: -	Refer to <a href="#">Process Flow Diagram</a>
Alternative Flow: -	Not applicable.

### 3.1.2 Concurrent Employment in Payroll, T&A and Absence Diagram

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

**3.1.3 Process Flow Diagram**

Sch 2.2(a)(xiii)

**3.1.4 Business Rules**

Sch 2.2(a)(xiii)

**3.1.5 Special Requirements**

**3.1.6 Assumptions**

Sch 2.2(a)(xiii)

**3.1.7 Exceptions**

Sch 2.2(a)(xiii)



## 3.2 CHR\_UC\_02A CONCURRENCY IN SELF SERVICE

# Sch 2.2(a)(xiii)

### 3.2.1 User Story Description

User Story ID: -	CHR_UC_2a.
User Story Name: -	Concurrent Employment in Manager and Employee Self Service.
Actors: -	Employee, Manager.
Trigger: -	Employee has Concurrent Jobs
Pre-Conditions: -	<ul style="list-style-type: none"> <li>- User is able to view, edit and update their Employee information</li> <li>- User is able to access Self Service functions associated for the relevant concurrent job. (For e.g. applying for leave)</li> </ul>
Normal Flow: -	Refer to <a href="#">Process Flow Diagram</a>
Alternative Flow: -	Refer to <a href="#">Process Flow Diagram</a>

**3.2.2 Concurrent Employment - Employee Self Service Diagram**

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

**3.2.3 Process Flow Diagram**

Sch 2.2(a)(xiii)

**3.2.4 Business Rules**

Sch 2.2(a)(xiii)

**3.2.5 Special Requirements**

**3.2.6 Assumptions**

Sch 2.2(a)(xiii)

**3.2.7 Exceptions**

Sch 2.2(a)(xiii)

# Long Service Leave

## 1. SCOPE

The scope of this User Story document is limited to providing an outline of the types of user interactions with the system functionality for Long Service Leave. It is not to document the end-to-end business process and will not cover all elements of business requirements of the Territory in detail.

These User Stories should not be treated as a final solution or business process design in any context and are only for the purposes of assessing functionality in the vendor demonstration.

## 2. LIST OF USER STORIES: LONG SERVICE LEAVE

The User Stories for the purpose of demonstrating Long Service Leave are listed below.

User Story ID	User Story Name
<a href="#">PAY_UC_01</a>	Manage Complexity of the Territory's Long Service Leave Entitlement
<a href="#">PAY_UC_01a</a>	Taking or Cashing Out Long Service Leave

### 2.1 PAY\_UC\_01 MANAGE COMPLEXITY OF THE TERRITORY'S LONG SERVICE LEAVE ENTITLEMENTS

#### 2.1.1 User Story Description

Use Story ID: -	PAY_UC_01.
User Story Name: -	Manage Complexity of the Territory's LSL Entitlement
Actors: -	Employee, Manager, HR Officer, Payroll Officer.
Trigger: -	System calculates Long Service Leave Service Balances

Use Story ID: -	PAY_UC_01.
Pre-Conditions: -	<ul style="list-style-type: none"> <li>- Solution contains a full service history for each employee.</li> </ul> <p>Full Service history includes but is not limited to:</p> <ul style="list-style-type: none"> <li>- Employment type and duration e.g. Part time, Full Time, Casual.</li> <li>- Recognised prior service periods.</li> <li>- Average hours payable per week for Long Service Leave purposes.</li> <li>- Periods of leave not to count as service for Long Service Leave purposes e.g. Leave Without Pay.</li> <li>- Total length of time in Service to count for Long Service Leave purposes.</li> <li>- Solution can calculate service duration from Date Joined ACT Government, Recognised Prior Service Begin Date, and preclude breaks in service to establish when the employee will reach an anniversary of 7 years.</li> <li>- HRIMS accumulates Leave Without Pay types taken and can apply threshold rules before treating the period of Leave without pay and affecting service duration.</li> <li>- HRIMS can calculate service duration from Date Joined ACT Government, Recognised Prior Service Begin Date, and preclude breaks in service to establish when the employee will reach an anniversary of 7 years.</li> <li>- HRIMS can publish the Adjusted Service Date for crediting the entitlements via Employee Self Service for the employee to view.</li> <li>- HRIMS can calculate the balance as Pro Rata or Entitlement depending on whether the employee has reached their service anniversary date of 7 years and each yearly anniversary thereafter.</li> <li>- HRIMS calculates the average hours per week payable for Long Service Leave when taken by employees with a Part Time service balance.</li> </ul>

Use Story ID: -

PAY\_UC\_01.

# Sch 2.2(a)(xiii)

Normal Flow: -

Refer to [Process Flow Diagram](#)

Alternative Flow:

-

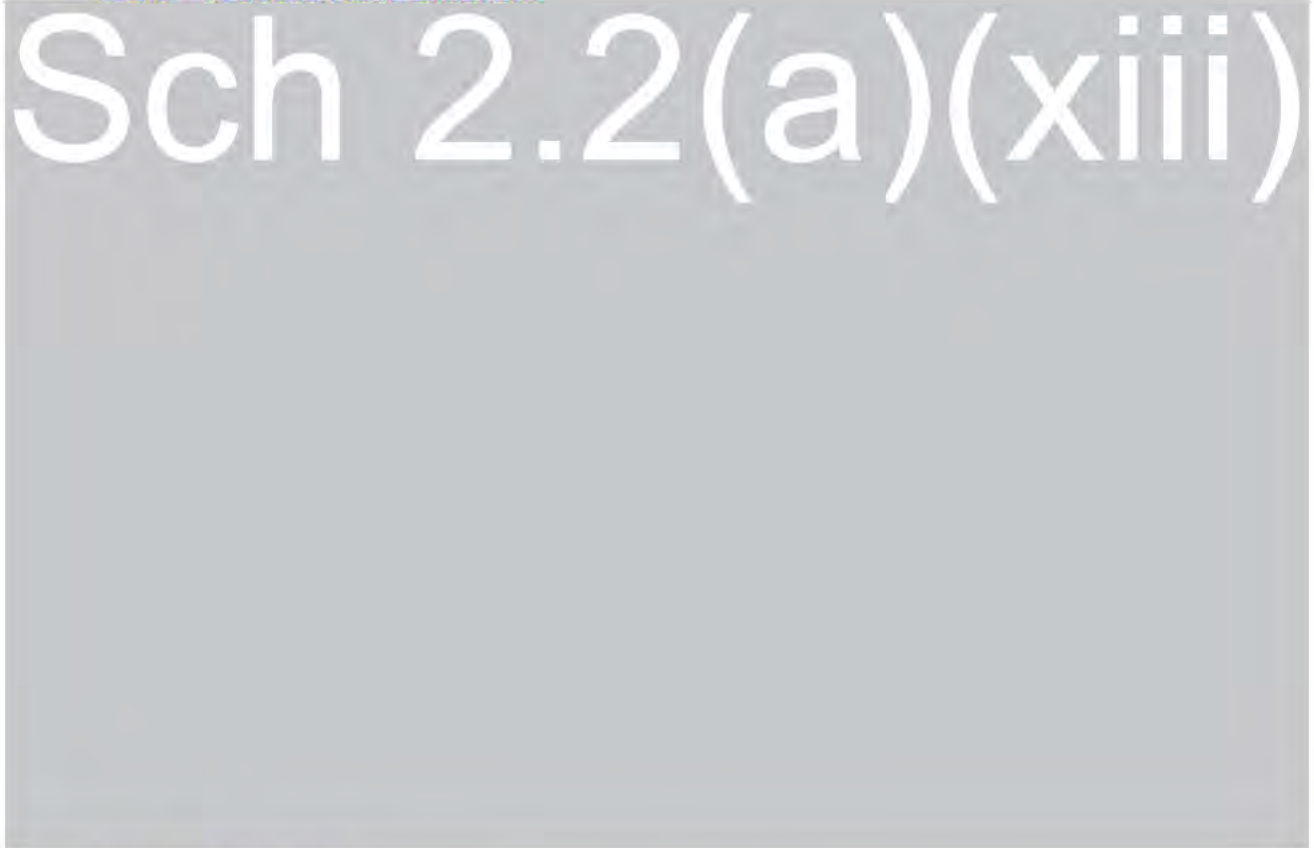
Refer to [Process Flow Diagram](#)

**2.1.2 User Story Diagram**

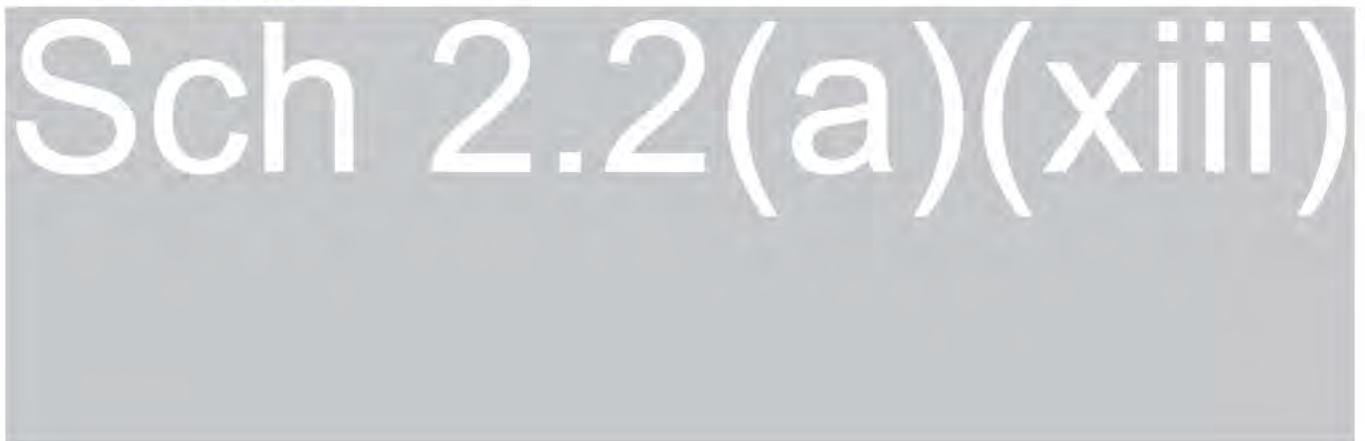
Sch 2.2(a)(xiii)



**2.1.3 Process Flow Diagram**



**2.1.4 Exceptions**



**2.1.5 Business Rules**

Sch 2.2(a)(xiii)

**2.1.6 Special Requirements**

Sch 2.2(a)(xiii)

**2.1.7 Assumptions**

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

## 2.2 PAY\_UC\_01A TAKING OR CASHING OUT LONG SERVICE LEAVE

### 2.2.1 User Story Description

Below is a description of the User Story for Taking or Cashing-Out Long Service Leave.

User Story ID: -	PAY_UC_01a.
User Story Name: -	Taking or Cashing Out Long Service Leave.
Actors: -	HRIMS, Employee, Manager, Delegate, Payroll Officer.
Trigger: -	Employee applies to take or cash out Long Service Leave.
Pre-Conditions: -	<ul style="list-style-type: none"> <li>- User has access to Self Service.</li> <li>- User can view Long Service Leave balances via Self Service for themselves and their direct reports.</li> <li>- User can apply to take or cash out Long Service Leave from Self Service.</li> <li>- User can approve requests to take or cash out Long Service Leave.</li> <li>- User has access via Self Service to view the employee's complete Service History.</li> <li>- User has access to view the balances and service history converted for the employee and can reconcile accrual if needed.</li> <li>- User can access a link from Self Service to policy or procedure that explains how Long Service Leave is calculated and can be taken or cashed out.</li> </ul>

User Story ID: -	PAY_UC_01a.
<h1>Sch 2.2(a)(xiii)</h1>	
Normal Flow: -	Refer to <a href="#">Process Flow Diagram</a>
Alternative Flow: -	Refer to <a href="#">Process Flow Diagram</a>

**2.2.2 Taking or Cashing Out Long Service Leave Diagram**

Sch 2.2(a)(xiii)

**2.2.3 Process Flow Diagram**

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

## **2.2.4 Exceptions**

Sch 2.2(a)(xiii)

## **2.2.5 Business Rules**

Sch 2.2(a)(xiii)

**2.2.6 Assumptions**

Sch 2.2(a)(xiii)

**2.2.7 Future State:**

Sch 2.2(a)(xiii)

# Flexitime

## 1. SCOPE

The Territory seeks to improve the administration of Flexitime provisions for all eligible employees across the Territory as part of the HRIMS implementation. Online functionality is required to provide eligible employees with a means for capturing a flexible hours schedule based on actual hours worked per day.

The scope of this User Story document is limited to providing an outline of the types of user interactions with the system functionality for Flexitime. It is not to document end-to-end business process and will not cover all elements of business requirements of the Territory in detail.

These User Stories should not be treated as a final solution or business process design in any context and are only for the purposes of assessing functionality in the vendor demonstration.

## 2. LIST OF USER STORIES: FLEXTIME

The User Stories for the purpose of demonstrating Flexitime are listed below.

User Story ID	User Story Name
<a href="#">PAY_UC_02</a>	Flexitime

### 2.1 CHR\_UC\_02\_FLEXTIME

#### 2.1.1 User Story Description

User Story ID: -	CHR_UC_02
User Story Name: -	Flexitime
Actors: -	Employee, Manager.
Trigger: -	Employee submits Flexitime credit request.



User Story ID: -	CHR_UC_02
Functionality Required: -	<ul style="list-style-type: none"> <li>- The employee can record a flexible hours schedule based on the employees actual hours worked per day.</li> <li>- The actual hours submitted by the employee are submitted for appropriate level/s of approval on a weekly basis.</li> <li>- Upon approval, the calculated total Flextime accrual for the week will be added to the employee's Flextime balance.</li> <li>- The solution calculates and displays accrued Flextime hours for each reported day.</li> <li>- The employee can view Flextime hours recorded and approved.</li> <li>- The employee can apply to utilise all or part of their Flextime balance.</li> <li>- Where an employee tries to request for Flextime for a number of hours greater than the Flextime Balance, the solution should provide an appropriate message informing the employee that the available balance is not sufficient and/or result in a Flextime debit.</li> <li>- The amount of Flextime taken by employee will reduce the Flextime balance by equal amount post payroll processing.</li> </ul>

Sch 2.2(a)(xiii)

Normal Flow: -	Refer to <a href="#">N/A</a>
Alternative Flow: -	Refer to <a href="#">N/A</a>

Sch 2.2(a)(xiii)

**2.1.3 Process Flow Diagram**

Sch 2.2(a)(xiii)

**2.1.4 Exceptions**

Sch 2.2(a)(xiii)

**2.1.5 Business Rules**

Sch 2.2(a)(xiii)

**2.1.6 Special Requirements**

Sch 2.2(a)(xiii)

**2.1.7 Assumptions**

Sch 2.2(a)(xiii)

# Time Off in Lieu (TOIL)

## 1. SCOPE

The Territory seeks to improve the administration of Time Off in Lieu (TOIL) provisions for all eligible employees across the Territory as part of the HRIMS implementation. Online functionality is required to provide eligible employees with a means for capturing TOIL based on actual hours worked per day. It is important to note that the provisions for the accrual and utilisation of TOIL across the Territory's Enterprise Agreements is complex and varied and as such this User Story should not be treated as a final solution or requirement in any context.

The scope of this User Story document is limited to providing an outline of the types of user interactions with the system and within the system itself for TOIL Processing. It is not to document end-to-end business process and will not cover all elements of the TOIL process of the Territory in detail.

This User Story should not be treated as a final solution or business process design in any context and are only for the purposes of assessing functionality in the vendor demonstration.

## 2. LIST OF USER STORIES:

The User Story covered in this document for the purpose of demonstrating TOIL Processing is below.

User Story ID	User Story Name
<a href="#">PAY_UC_03</a>	TOIL

### 2.1 PAY\_UC\_03 TOIL

#### 2.1.1 User Story: User Story Description

User Story ID: -	PAY_UC_03
User Story Name: -	TOIL
Actors: -	Employee, Manager
Trigger: -	Employee submits TOIL credit request

User Story ID: -	PAY_UC_03
Functionality Required -	<ul style="list-style-type: none"> <li>- The employee can record TOIL hours worked.</li> <li>- The TOIL hours submitted by the employee are submitted for appropriate level/s of approval on a weekly basis.</li> <li>- Upon approval, the calculated total TOIL accrual for the week will be added to the employee's TOIL balance.</li> <li>- The solution calculates and displays accrued TOIL hours for each reported day.</li> <li>- The employee can view TOIL hours recorded and approved.</li> <li>- The solution should provide for the employee to indicate they require "Payment in Lieu" for the excess hours they have worked.</li> <li>- Payment in Lieu hours will be sent to payroll for processing and payment.</li> <li>- The employee can apply to utilise all or part of their TOIL balance.</li> <li>- Where and employee tries to request for TOIL for number of hours greater than TOIL Balance, the solution should provide an appropriate message informing the employee that the available balance is not sufficient, and the solution should not allow the request to be submitted.</li> <li>- The amount of TOIL taken by employee will reduce the TOIL balance by equal amount post payroll processing</li> </ul>
Normal Flow: -	Refer to <a href="#">N/A</a>
Alternative Flow: -	Refer to <a href="#">N/A</a>

**2.1.2 Flextime Diagram**

Sch 2.2(a)(xiii)

**2.1.3 Process Flow Diagram**

Sch 2.2(a)(xiii)

**2.1.4 Exceptions**

Sch 2.2(a)(xiii)

**2.1.5 Business Rules**

Sch 2.2(a)(xiii)

**2.1.6 Special Requirements**

Sch 2.2(a)(xiii)

**2.1.7 Assumptions**

Sch 2.2(a)(xiii)



18 June 2018



**HRIMS**  
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## Request for Reference Check for

Sch 2.2(a)(xi)

### Referee Details

Name	
Title	
Company	
Email	
Address	
Phone	

General Questions	
Referee Contact:	
Introduction	<p>Thank you for serving as a reference. We encourage you to provide candid feedback regarding your experience with the Implementation Partner.</p> <p>All input you provide will be held in confidence. Absolutely no information will be shared with the services surveyed, using either your name or the name of your company.</p>
Engagement Context	
Your Role and Involvement	
What is your role in relation to the Project?	
What was your role in the procurement of the solution services for the Project?	
Scope	
What is the scope of services being provided by the service Implementation Partner?	
When did the Implementation Partner provide these services to you? (start date, end date)	
Technology Implementation Partner	
For the Project, who is the primary technology Implementation Partner for the software products involved in your implementation?	
Business Objectives/Benefits	
What business objectives were the primary focus of the engagement?	
Which objectives/benefits have been realized as a result of this engagement?	
Partner Selection	
Selecting and Evaluating the Implementation Partner	
Why did your team select this Implementation Partner? (e.g., previous relationship, technical abilities, open approach to market, etc.)	
Would you rehire the Implementation Partner for similar engagement? Why, or why not?	
Top Three Strengths/Weaknesses	
Please indicate three strengths/differentiators of the Implementation Partner.	
Please indicate three weaknesses/challenges of the Implementation Partner.	
Implementation	
Project Delivery	
Did the Implementation Partner effectively leverage experience from past projects?	
Did your Implementation Partner provide organisational change management services as part of this engagement?	
What was the degree of change introduced with the project?	
How effectively did they prepare your organisation for the changes being implemented?	
Did the Implementation Partner have formal procedures (operational, transitional, program management, change management, relationship management) to deliver the required services and are they used and valued?	
Implementation	
How long did the implementation take? Please estimate the number of <b>months</b> from the day you signed the contract until the day your solution was in production.	
Describe the actual implementation effort compared to what the Implementation Partner was contracted to deliver (e.g., on time, within budget).	
What was the overall approach to the project roll-out (e.g., phased approach, big-bang, etc.) and was it appropriate for your project?	
How did the Implementation Partner help with final close-out of the project after implementation?	
Implementation - Scope	
Was the Change Control process utilised by the Implementation Partner effective?	
Did the Project experience significant scope changes?	
Should these changes have been anticipated by the Implementation Partner?	



What factors caused the scope to change	
<b>Implementation - Deployment</b>	
Did the project experience significant issues at go-live. If yes, what were they	
How long did it take to stabilise the system	
Could the Implementation Partner have mitigated these problems	
What would you change about the deployment strategy	
Did the Implementation Partner provide support after go-live	
<b>Transition Management</b>	
Was the Implementation Partner's process for transition to best practice process design effective	
How satisfied were you with the quality of the transition e.g., project management, timeliness, disruption of operations, knowledge transfer	
How did the Implementation Partner manage the impact on in-house staff during the transition	
What steps did the Implementation Partner take to manage knowledge transfer in the organisation.	
How well did the transition go. Any lessons learned that you could share with us	
<b>Training</b>	
Did the Implementation Partner provide training. If not, who did	
Describe thoroughness of training and level of satisfaction.	
In addition to the training courses, how long did it take end users to become comfortable with the solution	
<b>Customer Experience</b>	
How satisfied were you with the level of communication and reporting	
Did the Implementation Partner provide regular communication on performance with your management staff	
Did the Implementation Partner exhibit understanding of the core objectives and expectations of the business. How so	
Did the Implementation Partner bring an understanding of your business processes to the engagement	
Was the Implementation Partner understanding and responsive to your business issues	
How well did the Implementation Partner understand and respond to your technical issues	
<b>Relationship Management</b>	
How satisfied are you with the relationship manager and overall experience you have with the Implementation Partner in terms of relationship escalation management	
Is the Implementation Partner's organisation and culture compatible with your organisation's culture	
How did you overcome any issues with this particular Implementation Partner	
<b>Relationship Management - Cooperation</b>	
How cooperative has the Implementation Partner been in working with Governance forums, stakeholders and internal teams	
How well did the Implementation Partner work with other Implementation Partners in delivering the contracted services	
Did the Implementation Partner work with any of its alliance partners. If so, was this work conducted independently of the Implementation Partner or through the Implementation Partner	
<b>Resource Management</b>	
What is the size of the Implementation Partner's team	
How satisfied are you with the quality of Implementation Partner resources	
Have you had any significant issues with resources e.g., language, communication, knowledge transfer, attrition, cultural fit, quality, etc.	

Does the Implementation Partner exhibit the ability to apply the right resources with adequate sufficient industry knowledge	
Does the Implementation Partner s resources have the right mix of skills competencies experience	
Have you asked the Implementation Partner to remove resources If so, how has the Implementation Partner responded to this request	
<b>Financial Management</b>	
How satisfied are you with the invoicing and billing processes	
Have you had issues with coordinating invoicing, service credits, payments	
<b>Application and Business Process Services</b>	
<b>Technical Support/Operational/Tools Expertise</b>	
Did Implementation Partner use proprietary tools, templates, models, etc., to deliver the solution	
Did the Implementation Partner utilise repeatable, standard methodologies or procedures in delivering the services i.e., ISO20000, ITIL management practices Please provide examples.	
Was the Implementation Partner s approach to Integration appropriate for the Pro ect and did it achieve a successful outcome	
Was the Implementation Partner s approach to Data Migration appropriate for the Pro ect and did it achieve a successful outcome	
Was the Implementation Partner s approach to Testing appropriate for the Pro ect and did it achieve a successful outcome	
<b>Customisation</b>	
Did the Implementation Partner utilise preconfigured solutions processes and were they adopted with minimal changes	
Was there flexibility to modify deviate from the Implementation Partner s standard processes	
How much customisation was completed to achieve the desired results	
Who completed this customisation work and how has the maintenance been	
<b>SaaS (Software as a Service)</b>	
<b>Service Delivery / Customer Experience</b>	
Can you share your thoughts on the quality of service delivery What worked well What did not work well	
Does the Implementation Partner provide predictable and reliable service delivery Please provide examples.	
How is the Implementation Partner s performance or fulfilment on service-level agreements SLAs	
Have you experienced any ma or outages during the past 18 months When was the last ma or outage you experienced	
Is the Implementation Partner able to resolve problems or delivery issues in a timely manner Please provide an example.	
Has the Implementation Partner delivered according your expectations	
What quality metrics are used and how does Implementation Partner manage rework, accuracy and compliance	
How proactive is the Implementation Partner on escalations	
<b>Ease of Contracting</b>	
How flexible is the Implementation Partner on contracting e.g., issues, out of scope items, new work, etc.	
Is the Implementation Partner compliant with contract terms and conditions	
How amenable flexible was the Implementation Partner to modifying the standard SaaS contract	

Were there surprises after contract with regard to items that were not included in the standard SaaS offering	
How did you and the Implementation Partner handle any changes to the statement of work or contract	
Is the Implementation Partner able to meet or exceed your security standards Can you provide an example	
Is the Implementation Partner knowledgeable of all compliance regulations in your specific industry Please provide an example.	



<p>Overall, how would you rate the business process knowledge of the provider Please explain the reasons behind your answer.</p>										
<p><b>Transition Management</b></p>	1	2	3	4	5	6	7	8	9	10
<p>Overall, how would you rate the transition services from the provider Please explain the reasons behind your answer.</p>										
<p><b>Relationship and Escalation</b></p>	1	2	3	4	5	6	7	8	9	10
<p>Overall, how would you rate the relationship management including escalation with the provider Please explain the reasons behind your answer.</p>										
<p><b>Overall Satisfaction</b></p>	1	2	3	4	5	6	7	8	9	10
<p>Please you rate your overall satisfaction with provider. Please explain the reasons behind your answer.</p>										

Step	Description	Detailed Instructions	Completed?
1	Enter selection criteria	<ul style="list-style-type: none"> <li>- Selection criteria can be broken down into subcategories, if required.</li> <li>- The Number, Criteria and Weighting columns are mandatory.</li> <li>- Criteria - enter the heading level criteria, ie. Experience.</li> <li>- SubCriteria - enter a 3 to 5 word summary of the selection criteria question, ie. Specific experience of 2 projects.</li> <li>- Description - enter the full selection criteria question.</li> <li>- There must be a weighting against every selection criteria.</li> <li>- Mark the cell to the right Yes when completed. Note: it is case sensitive.</li> </ul>	Yes
2	Enter tender evaluation committee members	<ul style="list-style-type: none"> <li>- Enter members in Column A under heading.</li> <li>- Mark the cell to the right Yes when completed. Note: it is case sensitive.</li> </ul>	Yes
3	Enter tenderers	<ul style="list-style-type: none"> <li>- Enter tenderers in Column A under heading.</li> <li>- Mark the cell to the right Yes when completed. Note: it is case sensitive.</li> </ul>	Yes
4	Generate scoring sheets for each evaluating member	<ul style="list-style-type: none"> <li>Click on the button to the right to run a macro that will generate a scoring sheet for each committee member to complete. There should be a score and comment against every selection criteria. Also, there must be a Yes in the Completed column against the previous 3 steps before the macro will run.</li> </ul>	Member Score Sheets
5	Send scoring sheets to evaluating members	<p>To do this:</p> <ol style="list-style-type: none"> <li>1. Right click on member sheet</li> <li>2. Select Move or Copy</li> <li>3. Select new book from dropdown menu</li> <li>4. Tick Create a copy box at bottom</li> <li>5. Click OK</li> </ol> <p>Save the new workbook as member name and email it to the member for completion. Once completed, mark the cell to the right Yes . Note: it is case sensitive.</p>	Yes
6	Fill in scoring sheets	<p>Advise members:</p> <ol style="list-style-type: none"> <li>1. Raw scores are between 0 and 10, in accordance with the Standard Scoring Table.</li> <li>2. Comments should be made for each score and correspond to that score.</li> <li>3. If there is an issue with the tender response, this should be flagged. The different issues are a clarification required, b risk, c negotiation, d contract management and e project management.</li> <li>4. Refer to the Tender Evaluation Guidelines for a detailed description of the tender evaluation process.</li> </ol> <p>Once completed, mark the cell to the right Yes . Note: it is case sensitive.</p>	Yes
7	Enter raw scores for each evaluating member	<ol style="list-style-type: none"> <li>1. If members return their scoring sheets in hardcopy, then you'll need to type in the answers.</li> <li>2. If members return their scoring sheets electronically, then first delete their sheet in this file and then import their sheet using the method above.</li> </ol> <p>Once the data has been entered, mark the cell to the right Yes . Note: it is case sensitive. This will ensure the next macro runs.</p>	Yes
8	Generate scoring sheets for each tenderer	<ul style="list-style-type: none"> <li>Click on the button to the right to run a macro that will generate a summary sheet of the average scores for each tenderer and the difference between the highest and lowest scores.</li> </ul>	Weighted Scores
9	Review deviations	<ul style="list-style-type: none"> <li>- On the Weighted Scores sheet, if the variance is greater than 3 the score will be highlighted and need to be reviewed.</li> <li>- Click on the hyperlink at the top of the column to navigate to that tenderer's sheet</li> <li>- Review and update individual scores and comments.</li> <li>- Click the Update button at the top of the screen to return to the Weighted Scores sheet where the average score and variance will have been recalculated.</li> <li>- Mark the cell to the right Yes when completed. Note: it is case sensitive.</li> </ul>	No
10	Summary of issues	<ul style="list-style-type: none"> <li>Click on the button to the right to run a macro that will generate a summary sheet of all the issues that have been flagged per tenderer.</li> </ul>	Issues
11	Enter prices costs for each tenderer	<ul style="list-style-type: none"> <li>- Calculate the whole of life cost for each tenderer and insert on the Tenderers sheet. The whole-of-life cost includes acquisition, management and disposal.</li> <li>- Mark the cell to the right Yes when completed. Note: it is case sensitive.</li> </ul>	No
12	Generate preliminary summary	<ul style="list-style-type: none"> <li>Click on the button to the right to run a macro that will generate a preliminary summary sheet of all the tenderers with ranking.</li> </ul>	Preliminary Summary
13	Clean workbook	<ul style="list-style-type: none"> <li>Click on the button to the right to run a macro that will delete all tenderer and member sheets and clean the data from all other sheets. The workbook will then be ready for another tender evaluation.</li> </ul>	Clean Workbook

Sch 2.2(a)(xiii)

Number	Criteria (Leading Level)	SubCriteria (3 to 5 Word Summary)	Description (Selection Criteria Question)	Need help with weightings
1	Corporate Capability and Capacity	Corporate Capability		
2	Non Functional Technical	Non Functional Technical		
3	Integrations and Interfaces	Integrations and Interfaces		
4	Functional Requirements	Functional Requirements		
5	LIP	LIP		

<b>Evaluating Members</b>
Graham Tanton
John Reis
Karen Giovina <sup>o</sup>
Sch 2.2(a)(ii)



Tenderers

Price / Cost

Sch 2.2(a)(xiii)

## Sch 2.2(a)(xiii)

## Sch 2.2(a)(xiii)

Number	Criteria	SubCriteria	Tenderers Technical Score	Technical Rank
1	Corporate Capability and Corporate Capability			
2	Non Functional Technical	Non Functional Technical		
3	Integrations and Interface	Integrations and Interface		
4	Functional Requirements	Functional Requirements		
5	LIP	LIP		

# Sch 2.2(a)(xiii)

Number	Criteria	SubCriteria	Tenderer
1	Corporate Capability and Capacity	Corporate Capability	
2	Non Functional Technical Integrations and Interfaces	Non Functional Technical Integrations and Interfaces	
4	Functional Requirements	Functional Requirements	
5	LIP	LIP	

# Sch 2.2(a)(xiii)

Tender	
umber	Criteria
1	Corporate Capability and Capacity
2	Non Functional Technical Integrations and Interfaces
3	Functional Technical Integrations and Interfaces
4	Functional Requirements
5	LIP

# Sch 2.2(a)(xiii)

Number	Criteria	SubCriteria	Tenderer
1	Corporate Capability and Capacity	Corporate Capability	
2	Non Functional Technical	Non Functional Technical	
3	Integrations and Interfaces	Integrations and Interfaces	
4	Functional Requirements	Functional Requirements	
5	LIP	LIP	

# Sch 2.2(a)(xiii)

Number	Criteria	SubCriteria	Tendere
1	Corporate Capability and Capacity	Corporate Capability	
2	Non Functional Technical Integrations and Interfaces	Non Functional Technical Integrations and Interfaces	
4	Functional Requirements	Functional Requirement	
5	LIP	LIP	

Tenderers	
umber	Criteria
1	Corporate Capability and Capacity
2	Non Functional Technical Integrations and Interfaces
3	Functional Technical Integrations and Interfaces
4	Functional Requirements
5	LIP

# Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

Number	Criteria	SubCriteria	Tenderer
1	Corporate Capability and Capacity	Corporate Capability	
2	Non Functional Technical Integrations and Interfaces	Non Functional Technical Integrations and Interfaces	
4	Functional Requirements	Functional Requirement	
5	LIP	LIP	



# Sch 2.2(a)(xiii)

Tenderer	
umber	Criteria
1	Corporate Capability and Capacity
2	Non Functional Technical Integrations and Interfaces
3	Functional Technical Integrations and Interfaces
4	Functional Requirements
5	LIP
	LIP

John Reis

# Sch 2.2(a)(xiii)

Tenderers	
umber	Criteria
1	Corporate Capacity and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirements
5	LIP

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project

John Reis

# Sch 2.2(a)(xiii)

Number	Criteria	SubCriteria	Tenderer
1	Corporate Capability and Capacity	Corporate Capability	
2	Non Functional Technical	Non Functional Technical	
3	Integrations and Interfaces	Integrations and Interfaces	
4	Functional Requirements	Functional Requirements	
5	LIP	LIP	

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project

# Sch 2.2(a)(xiii)

Tenderers	
umber	Criteria
1	Corporate Capability and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirements
5	LIP

Tenderers	
SubCriteria	Corporate Capability
Non	Functional Technical
Integrations and Interfaces	Functional Requirements
LIP	

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project

John Reis

# Sch 2.2(a)(xiii)

Number	Criteria	SubCriteria	Tenderers
1	Corporate Capability and Capacity	Corporate Capability	
2	Non Functional Technical Integrations and Interfaces	Non Functional Technical Integrations and Interfaces	
4	Functional Requirements	Functional Requirements	
5	LIP	LIP	

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project

John Reis

# Sch 2.2(a)(xiii)

Number	Criteria	SubCriteria	Tenderer
1	Corporate Capacity and Capacity	Corporate Capacity	
2	Non Functional Technical	Non Functional Technical	
3	Integrations and Interfaces	Integrations and Interfaces	
4	Functional Requirements	Functional Requirement	
5	LIP	LIP	

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project

John Reis

# Sch 2.2(a)(xiii)

Number	Criteria	SubCriteria	Tenderers
1	Corporate Capability and Capacity	Corporate Capability	
2	Non Functional Technical	Non Functional Technical	
3	Integrations and Interfaces	Integrations and Interfaces	
4	Functional Requirements	Functional Requirements	
5	LIP	LIP	

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project

John Reis

# Sch 2.2(a)(xiii)

umber	Criteria	SubCriteria	Tenderer
1	Corporate Capacity	Corporate Capacity	
2	Non Functional Technical	Non Functional Technical	
3	Integrations and Interfaces	Integrations and Interfaces	
4	Functional Requirements	Functional Requirements	
5	LIP	LIP	

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project



Karen Giovina o

umber	Criteria	SubCriteria	Tenderers
1	Corporate Capability and Capacity	Corporate Capability	
2	Non Functional Technical	Non Functional Technical	
3	Integrations and Interfaces	Integrations and Interfaces	
4	Functional Requirements	Functional Requirements	
5	LIP	LIP	

# Sch 2.2(a)(xiii)

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project

Karen Giovina o

umber	Criteria	SubCriteria	Tenderers
1	Corporate Capability and Capacity	Corporate Capability	
2	Non Functional Technical	Non Functional Technical	
3	Integrations and Interfaces	Integrations and Interfaces	
4	Functional Requirements	Functional Requirements	
5	LIP	LIP	

# Sch 2.2(a)(xiii)

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project

# Sch 2.2(a)(xiii)

Tenderers	
umber	Criteria
1	Corporate Capacity and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirements
5	LIP

Corporate Capacity

Non Functional Technical

Integrations and Interfaces

Functional Requirements

LIP

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project

Karen Giovina o

Tenderers	
umber	Criteria
1	Corporate Capacity and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirements
5	LIP



Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project

Karen Giovina o

# Sch 2.2(a)(xiii)

Number	Criteria	SubCriteria	Tenderers
1	Corporate Capacity and Capacity	Corporate Capacity	
2	Non Functional Technical	Non Functional Technical	
3	Integrations and Interfaces	Integrations and Interfaces	
4	Functional Requirements	Functional Requirements	
5	LIP	LIP	

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project

Karen Giovina o

umber	Criteria	SubCriteria	Tenderers
1	Corporate Capability and Capacity	Corporate Capability	
2	Non Functional Technical	Non Functional Technical	
3	Integrations and Interfaces	Integrations and Interfaces	
4	Functional Requirements	Functional Requirements	
5	LIP	LIP	

# Sch 2.2(a)(xiii)

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project

Karen Giovina o

umber	Criteria	SubCriteria	Tenderers
1	Corporate Capability and Capacity	Corporate Capability	
2	Non Functional Technical	Non Functional Technical	
3	Integrations and Interfaces	Integrations and Interfaces	
4	Functional Requirements	Functional Requirements	
5	LIP	LIP	

# Sch 2.2(a)(xiii)

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project

Sch 2.2(a)(ii)

# Sch 2.2(a)(xiii)

Number	Criteria	SubCriteria	Tenderers
1	Corporate Capacity	Corporate Capacity	
2	Non Functional Technical Integrations and Interfaces	Non Functional Technical Integrations and Interfaces	
3	Functional Requirements	Functional Requirements	
4	LIP	LIP	

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project



Sch 2.2(a)(iii)

# Sch 2.2(a)(xiii)

umber	Criteria	SubCriteria	Tenderers
1	Corporate Capacity and Capacity	Corporate Capacity	
2	Non Functional Technical	Non Functional Technical	
3	Integrations and Interfaces	Integrations and Interfaces	
4	Functional Requirements	Functional Requirements	
5	LIP	LIP	

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project

Sch 2.2(a)(ii)

# Sch 2.2(a)(xiii)

Tenderers	
umber	Criteria
1	Corporate Capacity and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirements
5	LIP

SubCriteria	
Corporate Capacity	Non Functional Technical
Corporate Capacity	Non Functional Technical
Integrations and Interfaces	Integrations and Interfaces
Functional Requirements	Functional Requirements
LIP	LIP

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project

Sch 2.2(a)(ii)

		<b>Tenderers</b>	
<b>umber</b>	<b>Criteria</b>	<b>SubCriteria</b>	
1	Corporate Capacity and Capacity	Corporate Capacity	
2	Non Functional Technical	Non Functional Technical	
3	Integrations and Interfaces	Integrations and Interfaces	
4	Functional Requirements	Functional Requirements	
5	LIP	LIP	

# Sch 2.2(a)(xiii)

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project

Sch 2.2(a)(ii)

# Sch 2.2(a)(xiii)

Number	Criteria	SubCriteria	Tenderers
1	Corporate Capability and Capacity	Corporate Capability	
2	Non Functional Technical	Non Functional Technical	
3	Integrations and Interfaces	Integrations and Interfaces	
4	Functional Requirements	Functional Requirements	
5	LIP	LIP	

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project

Sch 2.2(a)(ii)

# Sch 2.2(a)(xiii)

Number	Criteria	SubCriteria	Tenderers
1	Corporate Capacity	Corporate Capacity	
2	Non Functional Technical	Non Functional Technical	
3	Integrations and Interfaces	Integrations and Interfaces	
4	Functional Requirements	Functional Requirements	
5	LIP	LIP	

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project

Sch 2.2(a)(ii)

Number	Criteria	SubCriteria	Tendere
1	Corporate Capability and Capacity	Corporate Capability	
2	Non Functional Technical	Non Functional Technical	
3	Integrations and Interfaces	Integrations and Interfaces	
4	Functional Requirements	Functional Requirements	
5	LIP	LIP	

# Sch 2.2(a)(xiii)

Issues Legend:  
Clarification

Risk  
Negotiation

Contract  
Project

Sch 2.2(a)(xiii)

Number	Criteria	SubCriteria
1	Corporate Capability and Capacity	Corporate Capability
2	Non Functional Technical	Non Functional Technical
3	Integrations and Interfaces	Integrations and Interfaces
4	Functional Requirements	Functional Requirements
5	LIP	LIP

Sch 2.2(a)(xiii)

Number	Criteria
1	Corporate Capability and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirements
5	LIP

Sch 2.2(a)(xiii)



Sch 2.2(a)(xiii)

Sch 2.2(a)(xiii)

Number	Criteria
1	Corporate Capability and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirements
5	LIP

Sch 2.2(a)(xiii)

Sch 2.2(a)(xiii)

Number	Criteria	SubCriteria
1	Corporate Capability and Capacity	Corporate Capability
2	Non Functional Technical	Non Functional Technical
3	Integrations and Interfaces	Integrations and Interfaces
4	Functional Requirements	Functional Requirements
5	LIP	LIP

# Sch 2.2(a)(xiii)

Number	Criteria
1	Corporate Capability and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirements
5	LIP

## Sch 2.2(a)(xiii)

Number	Criteria
1	Corporate Capability and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirements
5	LIP

Sch 2.2(a)(xiii)

Number	Criteria	SubCriteria
1	Corporate Capability and Capacity	Corporate Capability
2	Non Functional Technical	Non Functional Technical
3	Integrations and Interfaces	Integrations and Interfaces
4	Functional Requirements	Functional Requirement
5	LIP	LIP

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

Number	Criteria
1	Corporate Capability and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirements
5	LIP

## Sch 2.2(a)(xiii)

Number	Criteria
1	Corporate Capability and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirements
5	LIP

Sch 2.2(a)(xiii)

Sch 2.2(a)(xiii)

Number	Criteria	SubCriteria
1	Corporate Capability and Capacity	Corporate Capability
2	Non Functional Technical	Non Functional Technical
3	Integrations and Interfaces	Integrations and Interfaces
4	Functional Requirements	Functional Requirements
5	LIP	LIP



# Sch 2.2(a)(xiii)

Number	Criteria
1	Corporate Capability and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirement
5	LIP

## Sch 2.2(a)(xiii)

Number	Criteria
1	Corporate Capability and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirements
5	LIP

Sch 2.2(a)(xiii)

Number	Criteria	SubCriteria
1	Corporate Capability and Capacity	Corporate Capability
2	Non Functional Technical	Non Functional Technical
3	Integrations and Interfaces	Integrations and Interfaces
4	Functional Requirements	Functional Requirements
5	LIP	LIP

Sch 2.2(a)(xiii)

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

Number	Criteria
1	Corporate Capability and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirement
5	LIP

## Sch 2.2(a)(xiii)

Number	Criteria
1	Corporate Capability and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirement
5	LIP

Sch 2.2(a)(xiii)

Number	Criteria	SubCriteria
1	Corporate Capability and Capacity	Corporate Capability
2	Non Functional Technical	Non Functional Technical
3	Integrations and Interfaces	Integrations and Interfaces
4	Functional Requirements	Functional Requirements
5	LIP	LIP

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

Number	Criteria
1	Corporate Capability and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirements
5	LIP

## Sch 2.2(a)(xiii)

Number	Criteria
1	Corporate Capability and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirements
5	LIP



# Sch 2.2(a)(xiii)

Number	Criteria
1	Corporate Capability and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirements
5	LIP

# Sch 2.2(a)(xiii)

Number	Criteria
1	Corporate Capability and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirements
5	LIP

## Sch 2.2(a)(xiii)

Number	Criteria
1	Corporate Capability and Capacity
2	Non Functional Technical
3	Integrations and Interfaces
4	Functional Requirements
5	LIP

# Sch 2.2(a)(xiii)

Issue # Related to	Source	Category	Referenced Assessment Area	Criteria
N001	Departures	Contract	DR001 Corporate Capacity and Capacity	C2.5 Deliverables and Implementation
N002	Departures	Contract	DR002 Corporate Capacity and Capacity	C2.5 Deliverables and Implementation
N003	Departures	Contract	DR003 Corporate Capacity and Capacity	C2.5 Deliverables and Implementation
N004	Departures	Contract	DR004 Corporate Capacity and Capacity	C2.5 Deliverables and Implementation
N005	Departures	Contract	DR005 Corporate Capacity and Capacity	C2.5 Deliverables and Implementation
N006	Pricing	Implementation	PR001 Corporate Capacity and Capacity	C2.4 Resourcing & Relationship Management
N007	Pricing	Testing	PR002 Corporate Capacity and Capacity	C2.3 Testing
N008	Pricing	Resourcing	PR003 Corporate Capacity and Capacity	C2.4 Resourcing & Relationship Management
N009	Pricing	Contingency	PR004 Corporate Capacity and Capacity	C2.5 Deliverables and Implementation
N010	Pricing	Change Management Method	PR005 Corporate Capacity and Capacity	C2.6 Change Management Framework
N011	Pricing	Solution	PRO06 Functional Capabilities	1.0 Functional Capabilities
N012	Pricing	Training	PRO07 Corporate Capacity and Capacity	C2.7 Training
N013	Pricing	Testing	PRO08 Corporate Capacity and Capacity	C2.3 Testing
N014	Pricing	Archiving	PRO09 Non-Functional & Technical	2.5 Help Desk & Support
N015	Pricing	Archiving	PRO10 Non-Functional & Technical	2.4 Data Migration & Management
N016	Pricing	Solution	PRO11 Functional Capabilities	1.1 Workforce Planning
N017	Pricing	Resourcing	PRO12 Corporate Capacity and Capacity	C2.5 Deliverables and Implementation
N018	Assumptions	Resourcing	AS031 Corporate Capacity and Capacity	C2.4 Resourcing & Relationship Management
N019	Assumptions	Requirements	AS032 Non-Functional & Technical	2.6 Hosting & Maintenance
N020	Assumptions	Requirements	AS033 Functional Capabilities	1.0 Functional Capabilities
N021	Assumptions	Requirements	AS034 Functional Capabilities	1.8 Employee Health & Wellbeing
N022	Assumptions	Requirements	AS035 Functional Capabilities	1.0 Functional Capabilities
N023	Assumptions	Requirements	AS036 Corporate Capacity and Capacity	C2.5 Deliverables and Implementation
N024	Assumptions	Pricing	AS037 Corporate Capacity and Capacity	C2.5 Deliverables and Implementation
N025	Assumptions	Pricing	AS038 Corporate Capacity and Capacity	C2.4 Resourcing & Relationship Management
N026	Assumptions	Pricing	AS039 Corporate Capacity and Capacity	C2.4 Resourcing & Relationship Management
N027	Assumptions	Pricing	AS040 Corporate Capacity and Capacity	C2.4 Resourcing & Relationship Management
N028	Assumptions	Pricing	AS041 Corporate Capacity and Capacity	C2.4 Resourcing & Relationship Management
N029	Assumptions	Pricing	AS042 Corporate Capacity and Capacity	C2.2 Program Management
N030	Assumptions	Pricing	AS043 Corporate Capacity and Capacity	C2.5 Deliverables and Implementation
N031	Assumptions	Pricing	AS044 Corporate Capacity and Capacity	C2.5 Deliverables and Implementation
N032	Assumptions	Pricing	AS045 Corporate Capacity and Capacity	C2.5 Deliverables and Implementation
N033	Assumptions	Pricing	AS046 Corporate Capacity and Capacity	C2.5 Deliverables and Implementation
N034	Assumptions	Pricing	AS047 Corporate Capacity and Capacity	C2.5 Deliverables and Implementation
N035	Assumptions	Pricing	AS048 Corporate Capacity and Capacity	C2.5 Deliverables and Implementation

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N036	N010	Assumptions	Pricing	AS079	Corporate Capability and Capacity	C2.6 Change Management Framework
N037		Assumptions	Pricing	AS050	Corporate Capability and Capacity	C2.6 Change Management Framework
N038	N013	Assumptions	Pricing	AS051	Corporate Capability and Capacity	C2.3 Testing
N039	N039	Assumptions	Pricing	AS052	Corporate Capability and Capacity	C2.3 Testing
N040		Assumptions	Project	AS053	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
N041		Assumptions	Project	AS054	Corporate Capability and Capacity	C2.4 Resourcing & Relationship Management
N042		Assumptions	Project	AS055	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
N043	N014	Assumptions	Project	AS056	Non-Functional & Technical	2.5 Help Desk & Support
N044		Assumptions	Project	AS057	Non-Functional & Technical	2.5 Help Desk & Support
N045		Assumptions	Project	AS058	Non-Functional & Technical	2.5 Help Desk & Support
N046		Assumptions	Requirements	AS059	Functional Capabilities	1.0 Functional Capabilities
N047		Assumptions	Project	AS060	Corporate Capability and Capacity	C2.4 Resourcing & Relationship Management
N048		Assumptions	Project	AS061	Non-Functional & Technical	2.4 Data Migration & Management
N049		Assumptions	Project	AS062	Non-Functional & Technical	2.4 Data Migration & Management
N050		Assumptions	Project	AS063	Corporate Capability and Capacity	C2.2 Program Management
N051	N030	Assumptions	Project	AS064	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
N052	N033	Assumptions	Project	AS065	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
N053		Assumptions	Project	AS066	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
N054		Assumptions	Requirements	AS067	Functional Capabilities	1.3 Core HR
N055		Assumptions	Requirements	AS068	Functional Capabilities	3.7 Field Planning
N056		Assumptions	Requirements	AS069	Functional Capabilities	3.7 Field Planning
N057		Assumptions	Requirements	AS070	Integrations and Interfaces	3.2 Solution Integration
N058	N058	Assumptions	Requirements	AS071	Functional Capabilities	1.0 Functional Capabilities
N059	N059	Assumptions	Requirements	AS072	Integrations and Interfaces	3.2 Solution Integration
N060	N060	Assumptions	Requirements	AS073	Functional Capabilities	1.4 Time & Payroll
N061	N061	Assumptions	Requirements	AS074	Functional Capabilities	1.0 Functional Capabilities
N062	N062	Assumptions	Requirements	AS075	Integrations and Interfaces	3.2 Solution Integration
N063	N063	Assumptions	Requirements	AS076	Functional Capabilities	1.0 Functional Capabilities
N064	N064	Assumptions	Requirements	AS077	Integrations and Interfaces	3.2 Solution Integration

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N065	Assumptions	Requirements	AS078	Integrations and interfaces	3.2 Solution integration
N066	Assumptions	Requirements	AS079	Functional Capabilities	1.0 Functional Capabilities
N067	Assumptions	Requirements	AS080	Functional Capabilities	1.0 Functional Capabilities
N068	Assumptions	Requirements	AS081	Non-Functional & Technical	2.4 Data Migration & Management
N069	Assumptions	Requirements	AS082	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
N070	Assumptions	Requirements	AS083	Non-Functional & Technical	2.4 Data Migration & Management
N071	Assumptions	Requirements	AS084	Non-Functional & Technical	2.4 Data Migration & Management
N072	Assumptions	Requirements	AS085	Corporate Capability and Capacity	C2.3 Testing
N073	Assumptions	Requirements	AS086	Corporate Capability and Capacity	C2.0 Corporate Capability and Capacity
N074	Assumptions	Requirements	AS087	Functional Capabilities	1.0 Functional Capabilities
N075	Assumptions	Requirements	AS088	Corporate Capability and Capacity	C1.5 Deliverables and Implementation
N076	Assumptions	Requirements	AS089	Integrations and interfaces	3.2 Solution integration
N077	Assumptions	Requirements	AS090	Functional Capabilities	1.0 Functional Capabilities
N078	Assumptions	Requirements	AS091	Functional Capabilities	1.0 Functional Capabilities
N079	Assumptions	Requirements	AS092	Integrations and interfaces	3.2 Solution integration
N080	Assumptions	Requirements	AS093	Integrations and interfaces	3.2 Solution integration
N081	Assumptions	Requirements	AS094	Integrations and interfaces	3.2 Solution integration
N082	Assumptions	Requirements	AS095	Non-Functional & Technical	2.4 Data Migration & Management
N083	Assumptions	Requirements	AS096	Functional Capabilities	1.0 Functional Capabilities
N084	Assumptions	Requirements	AS097	Functional Capabilities	1.4 Time & Payroll
N085	Assumptions	Requirements	AS098	Non-Functional & Technical	2.4 Data Migration & Management
N086	Assumptions	Requirements	AS099	Functional Capabilities	1.4 Time & Payroll
N087	Assumptions	Requirements	AS100	Functional Capabilities	1.7 Talent Planning
N088	Assumptions	Requirements	AS101	Non-Functional & Technical	2.4 Data Migration & Management
N089	Assumptions	Requirements	AS102	Functional Capabilities	1.0 Functional Capabilities
N090	Assumptions	Requirements	AS103	Integrations and interfaces	3.2 Solution integration
N091	Assumptions	Requirements	AS104	Integrations and interfaces	3.2 Solution integration
N092	Assumptions	Requirements	AS105	Functional Capabilities	1.0 Functional Capabilities
N093	Assumptions	Requirements	AS106	Functional Capabilities	1.0 Functional Capabilities
N094	Assumptions	Requirements	AS107	Functional Capabilities	1.0 Functional Capabilities
N095	Assumptions	Requirements	AS108	Functional Capabilities	1.0 Functional Capabilities
N096	Assumptions	Requirements	AS109	Integrations and interfaces	3.2 Solution integration
N097	Assumptions	Requirements	AS110	Functional Capabilities	1.0 Functional Capabilities
N098	Assumptions	Requirements	AS111	Integrations and interfaces	3.1 Functional Integration
N099	Assumptions	Requirements	AS112	Functional Capabilities	1.0 Functional Capabilities
N100	Assumptions	Requirements	AS113	Functional Capabilities	1.0 Functional Capabilities
N101	Assumptions	Requirements	AS114	Functional Capabilities	1.7 Talent Planning
N102	Assumptions	Requirements	AS115	Functional Capabilities	1.4 Time & Payroll
N103	Assumptions	Requirements	AS116	Functional Capabilities	1.4 Time & Payroll

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N104	N006	Assumptions	Pricing	AS1.1.7	Corporate Capability and Capacity	C2.4 Resourcing & Relations Management
N105	N006	Assumptions	Pricing	AS1.1.8	Corporate Capability and Capacity	C2.4 Resourcing & Relations Management
N106		Assumptions	Requirements	AS1.1.9	Functional Capabilities	1.0 Functional Capabilities
N107	N023	Risk	Organisation	RS001	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
N108		Risk	Governance	RS002	Corporate Capability and Capacity	C2.2 Program Management
N109		Risk	Resources	RS003	Corporate Capability and Capacity	C2.0 Corporate Capability and Capacity
N110		Risk	Testing	RS004	Corporate Capability and Capacity	C2.7 Training
N111		Risk	Data Migration	RS005	Non-Functional & Technical	2.4 Data Migration & Management
N112		Risk	Security	RS006	Non-Functional & Technical	2.8 Security & Compliance
N113		Risk	Testing	RS007	Corporate Capability and Capacity	C2.3 Testing
N114		Security	Security	SA001	Non-Functional & Technical	2.8 Security & Compliance
N115		PIA	Policy Compliance	PI001	Non-Functional & Technical	2.8 Security & Compliance
N116		PIA	Security Audits	PI002	Non-Functional & Technical	2.8 Security & Compliance
N117		PIA	Security Clearances	PI003	Non-Functional & Technical	2.8 Security & Compliance
N118		PIA	Training	PI004	Non-Functional & Technical	2.8 Security & Compliance
N119		PIA	Security Monitoring Software	PI005	Non-Functional & Technical	2.8 Security & Compliance
N120		PIA	Contract Management	PI006	Corporate Capability and Capacity	C2.2 Program Management
N121		PIA	Audit	PI007	Corporate Capability and Capacity	C2.2 Program Management
N122		Garner	Exchange of Licenses	GA008	Non-Functional & Technical	2.6 Hosting & Maintenance
N123		Garner	Standing Discount	GA009	Non-Functional & Technical	2.6 Hosting & Maintenance
N124		Garner	Use rights	GA010	Non-Functional & Technical	2.6 Hosting & Maintenance
N125		Garner	Payment Terms	GA011	Corporate Capability and Capacity	C2.4 Resourcing & Relations Management
N126		Garner	Roles & Responsibilities	GA012	Corporate Capability and Capacity	C2.4 Resourcing & Relations Management
N127		Garner	Retention	GA013	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
N128		Garner	Product Configuration Capabilities	GA014	Functional Capabilities	1.0 Functional Capabilities

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N129	Gartner	Product Configuration Capabilities	GA015	Functional Capabilities	1.0 Functional Capabilities
N130	N1010	Change Management Method	GA016	Corporate Capability and Capacity	C2.6 Change Management Framework
N131	Gartner	Return of Information	GA017	Non-Functional & Technical	2.6 Hosting & Maintenance
N132	Gartner	Business Continuity	GA018	Non-Functional & Technical	2.8 Security & Compliance
N133	Gartner	Terms & Conditions	GA019	N/A	
N134	Other			Corporate Capability and Capacity	C2.5 Deliverables and Implementation



**SCHEDULE 8 - ASSUMPTIONS: RFT 28499.112**

**Respondent:** Sch 2.2(a)(xiii)

Respondents are to detail any assumptions made in relation to the proposal including assumptions relating to pricing, project, requirements and the Draft Contract.

Assumption Category
Pricing
Requirements
Requirements

Assumption Detail

Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)

Pricing
Pricing
Pricing
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Project













# Sch 2.2(a)(xiii)

Requirements
Requirements
Requirements
Requirements
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Pricing



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Other

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# Sch 2.2(a)(xiii)

**SCHEDULE 7- CONTRACT REVIEW: RFT 28499.112**

**Respondent** **Sch 2.2(a)(xiii)**

The Respondent is to review the Draft Information and Communications Technology Services Contract at Attachment 4 of the RFP and provide a response in this returnable schedule to indicate any issues or departures that the Respondent intends to raise during negotiations if selected as the preferred Respondent. Responses to this schedule will not be assessed as part of the evaluation.

Clause / Reference	Current Wording	Proposed Wording	Comment
Clause 10 Warranties	<p style="font-size: 48px; color: white; text-align: center; opacity: 0.5;">Sch 2.2(a)(xiii)</p>		
Clause 19 Performance Guarantees			
Clause 20 Indemnities			
Clause 25 Termination			
Clause 25.3			





Sch 2.2(a)(xiii)

Requirements
Requirements
Pricing
Pricing
Requirements

# Sch 2.2(a)(xiii)



Sch 2.2(a)(xiii)

Issue # Related to	Source	Reference	Assessment Area	Criteria	Negotiation Issue	Proposed Action	Severely	Notes	territory's Opening Position	Territory's Minimum Position	Territory's Rationale
N002	Departures	DB002	Corporate Capability and Capacity	C2.5 Deliverables and Implementation							
N003	Departures	DB003	Corporate Capability and Capacity	C2.5 Deliverables and Implementation							
N004	Departures	DB004	Corporate Capability and Capacity	C2.5 Deliverables and Implementation							
N005	Departures	DB005	Corporate Capability and Capacity	C2.5 Deliverables and Implementation							
N007	Pricing	PR002	Corporate Capability and Capacity	C2.3 Testing							
N009	Pricing	PR004	Corporate Capability and Capacity	C2.5 Deliverables and Implementation							
N010	Pricing	PR005	Corporate Capability and Capacity	C2.6 Change Management Framework							
N023	Assumptions	AS036	Corporate Capability and Capacity	C2.5 Deliverables and Implementation							
N024	Assumptions	AS037	Corporate Capability and Capacity	C2.5 Deliverables and Implementation							

Sch 2.2(a)(xiii)

# Sch 2.2(a)(xiii)

N025		Assumptions	AS038	Corporate Capability and Capacity	C2.4 Resource & Relationship Management
N027	N006	Assumptions	AS040	Corporate Capability and Capacity	C2.4 Resource & Relationship Management
N029	N006	Assumptions	AS042	Corporate Capability and Capacity	C2.2 Program Management
N030	N030	Assumptions	AS043	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
N031		Assumptions	AS044	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
N032		Assumptions	AS045	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
N033	N033	Assumptions	AS046	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
N034		Assumptions	AS047	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
N035		Assumptions	AS048	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
N036	N010	Assumptions	AS049	Corporate Capability and Capacity	C2.6 Change Management Framework

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N037		Assumptions	AS050	Corporate Capability and Capacity	C2.6 Change Management Framework
N038	N007	Assumptions	AS051	Corporate Capability and Capacity	C2.3 Testing
N040		Assumptions	AS053	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
N041		Assumptions	AS054	Corporate Capability and Capacity	C2.4 Resourcing & Relationship Management
N042		Assumptions	AS055	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
N043	N014	Assumptions	AS056	Non-Functional & Technical	2.5 Help Desk & Support
N044		Assumptions	AS057	Non-Functional & Technical	2.5 Help Desk & Support
N045		Assumptions	AS058	Non-Functional & Technical	2.5 Help Desk & Support
N047		Assumptions	AS060	Corporate Capability and Capacity	C2.4 Resourcing & Relationship Management

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N048	Assumptions	AS061	Non-Functional & Technical	2.4 Data Migration & Management
N049	Assumptions	AS062	Non-Functional & Technical	2.4 Data Migration & Management
N050	Assumptions	AS063	Corporate Capability and Capacity	C2.2 Program Management
N053	Assumptions	AS066	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
N057	Assumptions	AS070	Integrations and Interfaces	3.2 Solution Integration
N058 N058	Assumptions	AS071	Functional Capabilities	1.0 Functional Capabilities
N059 N059	Assumptions	AS072	Integrations and Interfaces	3.2 Solution Integration
N060 N060	Assumptions	AS073	Functional Capabilities	1.4 Time & Payroll
N062 N062	Assumptions	AS075	Integrations and Interfaces	3.2 Solution Integration
N063 N063	Assumptions	AS076	Functional Capabilities	1.0 Functional Capabilities

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N064	N064	Assumptions	AS077	Integrations and Interfaces	3.2 Solution Integration
N065		Assumptions	AS078	Integrations and Interfaces	3.2 Solution Integration
N066	N066	Assumptions	AS079	Functional Capabilities	1.0 Functional Capabilities
N069		Assumptions	AS082	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
N071		Assumptions	AS084	Non-Functional & Technical	2.4 Data Migration & Management
N072	N039	Assumptions	AS085	Corporate Capability and Capacity	C2.3 Testing
N073		Assumptions	AS086	Corporate Capability and Capacity	C2.0 Corporate Capability and Capacity
N079		Assumptions	AS092	Integrations and Interfaces	3.2 Solution Integration
N080	N066	Assumptions	AS093	Integrations and Interfaces	3.2 Solution Integration
N084		Assumptions	AS097	Functional Capabilities	1.4 Time & Payroll
N085		Assumptions	AS098	Non-Functional & Technical	2.4 Data Migration & Management

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N087	Assumptions	AS100	Functional Capabilities	1.7 Talent Planning
N088	Assumptions	AS101	Non-Functional & Technical	2.4 Data Migration & Management
N089	Assumptions	AS102	Functional Capabilities	1.0 Functional Capabilities
N092	Assumptions	AS105	Functional Capabilities	1.0 Functional Capabilities
N093	Assumptions	AS106	Functional Capabilities	1.0 Functional Capabilities
N094	Assumptions	AS107	Functional Capabilities	1.0 Functional Capabilities
N100	Assumptions	AS113	Functional Capabilities	1.0 Functional Capabilities
N103	Assumptions	AS116	Functional Capabilities	1.4 Time & Payroll
N105	Assumptions	AS118	Corporate Capability and Capacity	C2.4 Resourcin & Relationship Management
N106	Assumptions	AS119	Functional Capabilities	1.0 Functional Capabilities
N108	Risk	RS002	Corporate Capability and Capacity	C2.2 Program Management

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N110	Risk	RS004	Corporate Capability and Capacity	C2.7 Training
N113	Risk	RS007	Corporate Capability and Capacity	C2.3 Testing
N114	Security	SA001	Non-Functional & Technical	2.8 Security & Compliance
N115	PIA	PI001	Non-Functional & Technical	2.8 Security & Compliance
N116	PIA	PI002	Non-Functional & Technical	2.8 Security & Compliance
N117	PIA	PI003	Non-Functional & Technical	2.8 Security & Compliance
N119	PIA	PI005	Non-Functional & Technical	2.8 Security & Compliance

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N122	Gartner	GA008	Non-Functional & Technical	2.6 Hosting & Maintenance
N123	Gartner	GA009	Non-Functional & Technical	2.6 Hosting & Maintenance
N124	Gartner	GA010	Non-Functional & Technical	2.6 Hosting & Maintenance
N125	Gartner	GA011	Corporate Capability and Capacity	C2.4 Resourcing & Relationship Management
N126	Gartner	GA012	Corporate Capability and Capacity	C2.4 Resourcing & Relationship Management
N127	Gartner	GA013	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
N128	Gartner	GA014	Functional Capabilities	1.0 Functional Capabilities
N129	Gartner	GA015	Functional Capabilities	1.0 Functional Capabilities
N130 N010	Gartner	GA016	Corporate Capability and Capacity	C2.5 Change Management Framework
N131	Gartner	GA017	Non-Functional & Technical	2.6 Hosting & Maintenance
N132	Gartner	GA018	Non-Functional & Technical	2.8 Security & Compliance
N133	Gartner	GA019	Functional Capabilities	1.0 Functional Capabilities



N1.34	Other	Corporate Capability and Capacity	C2.5 Deliverables and Implementation
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Issue # Related to	Source	Category	Reference	Assessment Area	Criteria
SN001		Licencing		Functional Capabilities	1.5 Learning & Development
SN002		Licencing		Non-Functional & Technical	2.5 Help Desk & Support
SN003		Licencing		Functional Capabilities	1.5 Learning & Development
SN004		Services		Corporate Capability and Capacity	C2.5 Deliverables and Implementation
SN005		Licencing		Non-Functional & Technical	2.6 Hosting & Maintenance
SN006		Licencing		Non-Functional & Technical	2.6 Hosting & Maintenance
SN007		Licencing		Non-Functional & Technical	2.6 Hosting & Maintenance
SN008		Licencing		Non-Functional & Technical	2.5 Help Desk & Support
SN009	Garther	Licencing	GA008	Non-Functional & Technical	2.6 Hosting & Maintenance
SN010	Garther	Licencing	GA009	Non-Functional & Technical	2.6 Hosting & Maintenance
SN011	Garther	Licencing	GA010	Non-Functional & Technical	2.6 Hosting & Maintenance
SN012	PIA		PI001	Non-Functional & Technical	2.8 Security & Compliance

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SN013	PIA	PI002	Non-Functional & Technical	2.8 Security & Compliance
SN014	PIA	PI005	Non-Functional & Technical	2.8 Security & Compliance
SN015	Security	SA001	Non-Functional & Technical	2.8 Security & Compliance

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Requirement Reference	Risk Negotiation #	Point of Negotiation	Notes	Risk #	Risk (In risk language) Cause -> Risk -> Effect	Evaluation Team Member's Comment
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Organisation	RS001					
Governance	RS002					
Resources	RS003					
Testing	RS004					
Data Migration	RS005					
Security	RS006					
Testing	RS007					



Senior Program Manager's Comment	Mitigating Factors (From Clarifications, Referee reports, Presentations, etc)	Risk Increasing Factors (From Clarifications, Referee reports, and Presentations, etc)	Residual Risk Rating	Assessment Area	Belongs with Weighted Criteria	Territory's Comments	Risk Raised By
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Comment

Notes

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Weighted Criteria	Assessment Area
1.0 Functional Capabilities	Functional Capabilities
1.1 Workforce Planning	Functional Capabilities
1.2 Recruiting	Functional Capabilities
1.3 Core HR	Functional Capabilities
1.4 Time & Payroll	Functional Capabilities
1.5 Learning & Development	Functional Capabilities
1.6 Performance Management	Functional Capabilities
1.7 Talent Planning	Functional Capabilities
1.8 Employee Health & Wellbeing	Functional Capabilities
1.9 Measure & Report	Functional Capabilities
2.0 Non-Functional & Technical	Non-Functional & Technical
2.1 Availability and Accessibility	Non-Functional & Technical
2.2 Business Contingency Planning	Non-Functional & Technical
2.3 Capacity & Performance	Non-Functional & Technical
2.4 Data Migration & Management	Non-Functional & Technical
2.5 Help Desk & Support	Non-Functional & Technical
2.6 Hosting & Maintenance	Non-Functional & Technical
2.7 Non-Functional	Non-Functional & Technical
2.8 Security & Compliance	Non-Functional & Technical
3.0 Integrations and Interfaces	Integrations and Interfaces
3.1 Functional Integration	Integrations and Interfaces
3.2 Solution Integration	Integrations and Interfaces
C2.0 Corporate Capability and Capacity	Corporate Capability and Capacity
C2.1 Corporate Experience	Corporate Capability and Capacity
C2.2 Program Management	Corporate Capability and Capacity
C2.3 Testing	Corporate Capability and Capacity
C2.4 Resourcing & Relationship Management	Corporate Capability and Capacity
C2.5 Deliverables and Implementation	Corporate Capability and Capacity
C2.6 Change Management Framework	Corporate Capability and Capacity
C2.7 Training	Corporate Capability and Capacity



<p><b>Directorate:</b></p> <div style="border: 1px solid black; padding: 2px;">CMTEDD</div> <p><b>Risk Assessment Undertaken By:</b></p> <div style="border: 1px solid black; height: 20px; margin-bottom: 2px;"></div> <div style="border: 1px solid black; height: 20px; margin-bottom: 2px;"></div> <div style="border: 1px solid black; height: 20px; margin-bottom: 2px;"></div> <p><b>Manager Responsible:</b></p> <div style="border: 1px solid black; padding: 2px;">Anna Cyran</div>	<p><b>Branch / Event:</b></p> <div style="border: 1px solid black; padding: 2px;">Shared Services ICT</div> <p><b>Date Completed:</b></p> <div style="border: 1px solid black; padding: 2px;">48</div> <p><b>Local Version Control:</b></p> <div style="border: 1px solid black; height: 20px; margin-bottom: 2px;"></div> <p><b>Next Review Date:</b></p> <div style="border: 1px solid black; height: 20px; margin-bottom: 2px;"></div>
<p><b>Details</b></p> <p><b>Topic of the Risk Assessment to be Carried Out</b></p> <p>E.g.: Directorate / Agency / Business Unit level or for a specific event project or undertaking</p>	<p>CHIEF MINISTER, TREASURY AND ECONOMIC DEVELOPMENT DIRECTORATE Human Resource Information Management Solution (HRIMS)</p>
<p><b>Define Risk Activity:</b></p> <p>Provide a summary of the activity including business objectives. What are the key performance indicators, objectives or aims? What do we hope to achieve through the management of risk?</p>	<p>The goal of this risk register which is part of the HRIMS Program's risk management plan is to facilitate risk monitoring throughout the lifecycle of the HRIMS Program. It will allow the HRIMS Program team and stakeholders to maintain risks within acceptable levels for the type of project and risk appetite of the Territory.</p>
<p><b>Scope:</b></p> <p>Set the parameters of the risk management process which includes specifics of the activities to be carried out - what is to be included and what is not to be included or considered in this plan</p>	<p>The risk management process will include risk workshop with Senior Leadership to assess strategic risks, evaluation of tactical level risks with other stakeholders, and the continuous evaluation of new risks that may arise at different points in time.</p>
<p><b>Risk Appetite</b></p> <p>Include information with regards to the amount and type of risk which is able to be accepted and of any conditions where the tolerance of risk might be limited</p>	

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**Note:**  
When identifying, analysing and rating risk consideration should be given, but not necessarily limited to, the attached categories of risk and the suggested consequences.

**Hint:**  
To help make an assessment of consequence and likelihood ask yourself the following questions.  
1. What is the consequence that the risk would take in the most normal form should it eventuate  
2. What is the likelihood of that consequence

	Insignificant	Minor	Moderate	Major	Catastrophic
<b>Assets</b>	Loss or destruction of assets up to 2,000	Loss or destruction of assets 2,000 to 10,000	Loss or destruction of assets 10,000 to 100,000	Loss or destruction of assets 100,000 to 5M	Loss or destruction of assets greater than 5M
<b>Compliance/regulation</b>	Non-compliance with work policy and standard operating procedures which are not legislated or regulated	Numerous instances of non-compliance with work policy and standard operating procedures which are legislated or regulated	Non-compliance with work policy and standard operating procedures which require self reporting to the appropriate regulator and immediate rectification.	Restriction of business operations by regulator due to non-compliance with relevant guidelines and or significant non-compliance with policy and procedures which threaten business delivery.	Operations shut down by regulator or failing to comply with relevant guidelines and or significant non-compliance with internal procedures could result in failure to provide business outcomes and service delivery.
<b>People</b>	Injuries or ailments not requiring medical treatment.	Minor injury or First Aid Treatment Case.	Serious injury causing hospitalisation or multiple medical treatment cases.	Life threatening injury or multiple serious injuries causing hospitalisation.	Death or multiple life threatening injuries.
<b>Environment</b>	Limited effect to something of low significance	Transient, minor effects	Moderate, short-term environmental harm	Significant, medium-term environmental harm	Long term environmental harm
<b>Financial</b>	1 of Budget or 5K	2.5 of Budget or 50K	5 of Budget or 500K	10 of Budget or 5M	25 of Budget or 5M
<b>Products and Services</b>	No disruption to services	Minor disruption to services for up to 1 month	Total cessation of services for up to 1 to 2 months	Total cessation of services for up to 7 days and subsequent disruption of 2 to 3 months	Total cessation of services for more than 1 week and disruption over subsequent months involving a ma or facility
<b>Technology</b>	Interruption to electronic records and data access less than day.	Interruption to electronic records and data access to 1 day	Significant interruption but not permanent loss to data and electronic records access, lasting 1 day to 1 week	Complete, permanent loss of some electronic records and or data, or loss of access for more than one week	Complete, permanent loss of all electronic records and data
<b>Reputation &amp; Image</b>	Internal Review	Scrutiny required by internal committees or internal audit to prevent escalation.	Scrutiny required by external committees or ACT Auditor General's Office, or Inquest, etc.	Intense public, political and media scrutiny. E.g.: front page headlines, TV, etc.	Assembly inquiry or Commission of Inquiry or adverse national media.
<b>Cultural &amp; Heritage</b>	Low-level repairable damage to commonplace structures	Mostly repairable damage	Permanent damage to items of cultural significance	Significant damage to structures or items of cultural significance	Irreparable damage to highly valued items of cultural significance
<b>Business Process &amp; Systems</b>	Minor errors in systems or processes requiring corrective action, or minor delay without impact on overall schedule.	Policy procedural rule occasionally not met or services do not fully meet needs.	One or more key accountability requirements not met. Inconvenient but not client welfare threatening.	Strategies not consistent with Government's agenda. Trends show service is degraded.	Critical system failure, bad policy advice or ongoing non-compliance. Business severely affected.
<b>Matrix</b>	1	2	3	4	5
<b>Likelihood</b>	Almost Certain	Likely	Possible	Unlikely	Rare
	>1 in 10	1 in 10 - 100	1 in 100 - 1,000	1 in 1,000 - 10,000	1 in 10,000 - 100,000
	Is expected to occur in most circumstances	Will probably occur	Might occur at some time in the future	Could occur but doubtful	May occur but only in exceptional circumstances

Priority	Suggested Timing of Treatment	Authority for continued tolerance of risk	Control Effectiveness	Risk Control Effectiveness
Extreme	Short term - normally within one month Detailed action plan required	Director-General	Adequate	Nothing more to be done except review and monitor the existing controls. Controls are well designed for the risk, are largely preventative and address the root causes and Management believes that they are effective and reliable at all times. Reactive controls only support preventative controls.
High	Medium term - normally within three months Needs senior management attention	Senior Executive	Room for Improvement	Most controls are designed correctly and are in place and effective however there are some controls that are either not correctly designed or are not very effective. There may be an over-reliance on reactive controls. Some more work to be done to improve operating effectiveness or Management has doubts about operational effectiveness and reliability.
Medium	Normally within 1 year Specify management responsibility	Managers	Inadequate	Significant control gaps or no credible control. Either controls do not treat root causes or they do not operate at all effectively. Controls, if they exist are not reactive. Management has no confidence that any degree of control is being achieved due to poor control design and or very limited operational effectiveness.
Low	Ongoing control as part of a management system Manage by routine procedures	All staff		Priority for attention - Action Every care should be taken to act as soon as possible to implement risk control measures wherever possible or to take action to fix the problem. <b>Extreme and High risk especially where the risk relates to people and personal injury</b> require us to act immediately to take steps to fix the problem. The suggested timing of treatment does not mean that immediate action ought not be taken or that the timing can not be completed sooner than suggested.



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Risk Treatment Strategy Action Plan					
Treatment	Directorate:	Branch / Event:			
01	CMTEDD	Shared Services ICT			
Risk Reference Number:	Identified Risk	Inherent Risk Rating with Current Controls	Residual Risk Rating to be achieved on completion of action plan		
Treatment Strategy:					
Strategy 1					
Strategy 2					
Strategy 3					
Strategy 4					
Strategy 5					
Implementation:					
Actions to be undertaken in order to implement the risk treatment strategy:					
Action 1	Action Officer	Due Date	Date Finished	Comments	
Action 2					
Action 3					
Action 4					
Action 5					



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## ACT Government Risk Register Tip Sheet

### Sheet One: Title Page – Setting the Context of the risk management plan

The title page sets the context for the risk management process. (Refer to Section 6.3 AS/NZS ISO 31000:2009).

Information to be completed includes the ACT Government Directorate that the risk management plan belongs to. Identify whether the risk management plan relates to the whole Directorate or has been carried out at the Agency, Business Unit or Divisional Level by naming level the plan relates to. Complete the fields for the date the risk assessment was completed and when the next review is to be completed.

#### Details of the Risk Assessment to be carried out:

This field allows free text to be entered to identify the details of the risk assessment to be carried out. Is the risk assessment a Business Unit risk assessment plan? Alternatively, is the risk assessment for an event to be managed by your business unit? Directorates and their Business Units carry out a number of activities on a day to day basis which will require us to actively be managing risk in order to achieve our business objectives. Activities such as management of a procurement process; introduction of a new policy/procedure; delivering an essential service and delivery of a project may all be the subject matter of a risk assessment plan.

#### Define the activity:

Provide a summary of the activity including business objectives. What are the key performance indicators, objectives or aims? What do we hope to achieve through the management of risk? Begin with the end in mind. Management of risk is going to be a lot easier if we know what the objectives are, that could be affected by an event should it occur.

#### Scope / Boundaries:

This is a free form text field that sets the parameters of the risk management process including specifics of the activities to be carried out and the time frames to do so - what is to be included and what is not to be included or considered in this plan. For example a risk assessment to manage risks associated with policy around natural disasters may chose to exclude consideration of “man-made” disasters such as arson.

#### Risk Appetite:

Risk Appetite is a freeform text field which will enable specific considerations to be given in relation to the amount and type of risk which is able to be accepted. It may be that there are special conditions where the tolerance of risk may be limited such as those relating to people risks and workplace injury.

There may also be examples where the acceptance of a risk or the priority for attention is significantly different to standard practice for ACT Government business risk. As an example policy implementation regarding the protection of young people at risk may have an internal policy requirement (based on legislation) not to accept any risk relating to young people over the risk level of medium.

## ACT Government Risk Register Tip Sheet

### Sheet two: Risk Register

#### Risk Reference Number

Each risk requires a risk reference number – the easiest and most effective numbering system is 1, 2,3,4,5 etc.



The risk reference number will be used to cross reference corresponding photographic evidence, risk treatment plans and cost / benefit analysis which are on different sheets of the workbook if and when required.

#### Risk Category

There is a drop down box to select the appropriate category of risk to which the risk identified relates. Categorising risk often helps ensure that we identify all relevant risks. It is a useful tool to assist us to identify risks and for grouping similar risks together. Please note that this is a guide and whilst consideration should be given to the categories of risk it should not be limited to the attached categories. If there are risks that do not fit the categories provided – they are still risks and can be placed in the “other” category.

#### Hazard

A hazard category is only required to be identified for **people risks**. People risks include Work, Health and Safety Risks, injury to staff/employees, contractors and third parties. The available hazard categories have been included and can be picked from a drop down menu. There is an “other” category to assist where an identified hazard may not fit the list of hazards provided.

#### Risk Description

A description of the risk, what can happen?

Language is important. Legislation is not in itself a risk – the risk is better defined as “breach of legislation.” Likewise a building is not a risk: risks relating to a building may be: “damage to building,” “failure of building integrity / collapse of building” etc.

Examples of appropriate language include:

- Failure of
- Failure to
- Breach of
- Damage to
- Loss of
- Exceeding (authority, delegations, contract price etc.)

#### Source

This is a free text field which identifies the driver to the risk. How the risk comes about – what causes the risk?

For example:

The source of the risk **damage to building** could be:

- Natural disasters
- Flood
- Fire
- Earthquake



## ACT Government Risk Register Tip Sheet

### Impact from the event happening

This is the result of if what can happen does happen. Essentially, this is the consequence of the risk. If there is no consequence then what has been described is not a risk.

It is important to remember that the consequence described should be the consequence in its most normal form and not the extreme form. For Example: the consequence of a paper cut in its most likely form is: injury/small cut not requiring first aid treatment. The consequence in its most extreme form would be injury small cut, resulting in infection and blood poisoning resulting in death. Using the extreme form of the consequence does not add value to the process as all risks would end up in the “extreme” and “high” levels of risk which would make it difficult to prioritise risk treatment plans and further action where required.

### Risk Controls which are currently in place

This is a free text field which allows you to summarise all the things that we are already doing to manage the risk. An example of things which, we may have in place to manage risk includes but is not limited to the following:

- o Personal Protective Equipment (PPE)
- o Policies, codes of practice, guidance materials such as “standard operating procedures” etc.
- o Mechanical devices or processes

### Risk Rating

The risk is rated with current controls that are all ready in place to modify and manage the risk. Refer also to the risk matrix found on sheet six.

### Consequence

We have defined the most likely consequence from the risk in the field “impact from event happening,” with consideration to the controls which are currently in place the consequence is rated from 1-5

- 1- Insignificant
- 2 – minor
- 3 – moderate
- 4 – major
- 5 - catastrophic

The risk matrix page provides some examples of what may constitute an **insignificant, minor, moderate, major, and catastrophic** risk. This is primarily a guide and may need to be adjusted as you rate risks to more accurately reflect your business unit projects, activities, business process or business undertakings which may be the subject matter of the risk management plan. For example an **insignificant** financial consequence at a Directorate level might be \$20,000 or 1% of budget. For a project team that has a total operating budget of \$20,000, the loss of \$20,000 would be a **catastrophic** consequence – without further funding the project could not continue.

The important thing to remember is that at one end of the scale an **insignificant** consequence will have a limited impact on achieving your objectives and at the other end of the spectrum a **catastrophic** consequence may mean that you will not achieve your objectives at all.

## ACT Government Risk Register Tip Sheet

### Likelihood

Now that the consequence has been defined and measured the next question to be answered on the risk register is: **How likely is that consequence to occur?** This is entered as a numeral 1-5.

- 1 – rare
- 2 – unlikely
- 3 – Possible
- 4 – likely
- 5 – almost certain

Likelihood	Level	Example Criteria	
	Almost certain	Is expected to occur in most circumstances	Once a quarter or more >1 in 10
	Likely	Will probably occur	Once a year or more 1 in 10 – 1 in 100
	Possible	Might occur at some time in the future	Once every 1-5 years 1 in 100 -1,000
	Unlikely	Could occur but doubtful	Once every 5-20 years 1 in 1,000 – 10,000
Rare	May occur but only in exceptional circumstances	Once every 20-100 years 1 in 10,000 – 100,000	

The criteria for measuring likelihood are varied – there is no right or wrong method so long as the method chosen is consistent.

### Inherent Risk Rating and Residual Risk Rating

#### Level of Risk

The level of risk is a field that is automatically calculated by the risk register. The level of risk is the combination of Consequence X Likelihood. For example a **Moderate** risk with a likelihood rating of **Possible** will produce a level of risk of: **Medium**.

An **inherent risk rating** is the level of risk that we currently have right now. The **residual risk rating** is the risk rating that we are left with after we have applied all additional risk treatments.

#### Control Effectiveness Rating

How effective are the current controls in managing the risk? This is a drop down menu where the rating can be measured as adequate, room for improvement, or inadequate. The full definition can be found on the Risk Matrix page on sheet six.

If the rating is room for improvement, or inadequate then the next field **action to be taken** will need to be completed.

#### Action to be taken:

This is a free form text field. It is not required to be completed where the risks control rating is adequate. Information entered can include further risk treatment strategies (with reference to the risk treatment plan where appropriate) and /or a summary of the rationale behind taking no further action (with a reference to a cost benefit analysis if appropriate) where the risk control effectiveness rating is “room for improvement” or “inadequate.”

#### Monitoring and Reviewing

This is a compulsory field. The officer responsible for monitoring the risk and risk treatments needs to be identified. Additionally, the date that the next review is scheduled to occur should be entered in this field.

## ACT Government Risk Register Tip Sheet

**Sheet three: Photo Evidence**

This is not a compulsory sheet. It may not be relevant to the type of risk management plan that you are producing. The inclusion of the photographic evidence and location address can add value to the risk plan and aid understanding for staff and managers alike with visual representations and/or specific locations of risk.

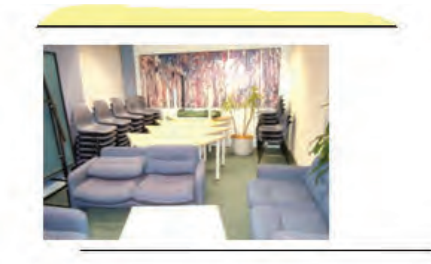
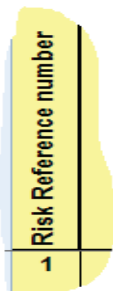
**Step one:** Key in the risk reference number from sheet two: The Risk Register.

The computer will now automatically populate the risk description field with the data from sheet two: the risk register.

**Step two:** Paste a copy of the relevant photo in the second field and resize the cell height to fit.

**Step Three:** Location

Key in the physical location of the risk, for example: Canberra Nara Centre, Level 3 Meeting Room.



## ACT Government Risk Register Tip Sheet

**Sheet four: ACT Government Risk Treatment Plan**

An ACT Government Risk Treatment Plan is not required to be completed for all risks. It should only be completed where the inherent risk has been given a risk control effectiveness rating of “inadequate” or “room for improvement.” Details required to be included are: a strategy to reduce the risk and the actions required to occur in order to implement the strategy.

**Step one:** Insert the risk reference number from sheet two: The Risk Register. This is a manual process.

The image shows a screenshot of a form with two main input areas. On the left, there is a field labeled 'Risk Reference Number' with a light orange background and a thin border. On the right, there are two stacked input fields. The top one is labeled 'Current Treatments:' and contains the number '1'. The bottom one is labeled 'New Treatment' and is currently empty.

**Step two:** Provide a summary of the risk to be treated.

**Step three:** Treatment Strategy – this is the strategy identified to treat the risk.

For example in a risk management plan for an event which is a fun run, a treatment strategy for the risk Injury or death of participant(s) caused by a traffic incident could be:

- o Lane closures of Major arterial road
- o Road closure of some main roads and
- o Use of trained “traffic wardens”

**Step four:** Implementation - this is the action that is required to be taken in order to implement the treatment strategy devised to treat the risks.

In the above example implementation/actions arising from the strategy may include:

- Contact Roads ACT with regards to road closure and provision of trained traffic wardens.
- Allow time to complete Traffic Management Plans and any other documentation that may be required.
- Contact ACT Policing to advise of event and to determine what further action and paperwork will be required to be completed etc.

**Step Five:** Action officer – there needs to be an officer who is identified to manage the implementation of the treatment strategies implementation.

**Step Six:** Due Date – this is the date the implementation action is required to be taken.

**Step Seven:** Date Finished - this is the actual date that the action was completed and will need updating throughout the life of the risk management plan.

**Step eight:** Comments – this is a free text field which enables you to provide a commentary surrounding any further action, delays encountered (if any) and any other relevant information pertaining to the implementation of the risk treatment strategies.

**Step Nine:** Adding a new Treatment plan: At the top of the sheet there is a button which can be pressed to add a new treatment plan. In this way treatment plans will only be produced for the risks which require further treatments and not all risks. The current treatments field lists the number of current treatment plans. In the example below there is only one current treatment plan.

## ACT Government Risk Register Tip Sheet

### Sheet five: Cost / Benefit Analysis

The cost benefit analysis is a tool which can help to support decisions to use certain treatment options or not to implement certain treatment options as the case may be.

This sheet is the evidence of the reasoning behind why a particular course of action has been chosen or why a decision has been made.

Risk reference number
7

Again it is important to carry across the risk reference number so that it is clearly identified which risk the cost benefit analysis relates to.

#### Costs:

The costs field is a series of nine rows of freeform text to use to enter the information. It is suggested that the top line be a statement about the action that the costs are being identified for.

Costs are all of the direct and indirect costs associated with the business, operations, project, undertaking or action. Costs can include: capital costs, tax, fees, outsourcing fees, overheads, utilities and time in addition to non-financial costs such as: loss of reputation, breach of policy, the effect it may have on other projects or further risks which may arise out of the action taken.

#### Benefits:

The Benefits field is a series of nine rows of freeform text to use to enter the information. It is suggested that the top line be a statement about the action that the benefits are being identified for.

Benefits can include increased output, reduced costs, reduced labour costs, reduced taxes, and reduced number of incidents, increase in reputation, opportunities for further potentials and reduction of risk across other projects and/or business units.

### Sheet Six: ACT Government Risk Matrix

This page is locked. The risk matrix sets the context as to how the ACT Government manages risk – the consequence ratings, likelihood ratings, which determines the level of risk and risk control effectiveness ratings. In addition the Matrix includes the priority for attention table.

### Sheet Seven: Calculations

This page is locked. This page includes the information which is used for drop down boxes and automatic calculations.

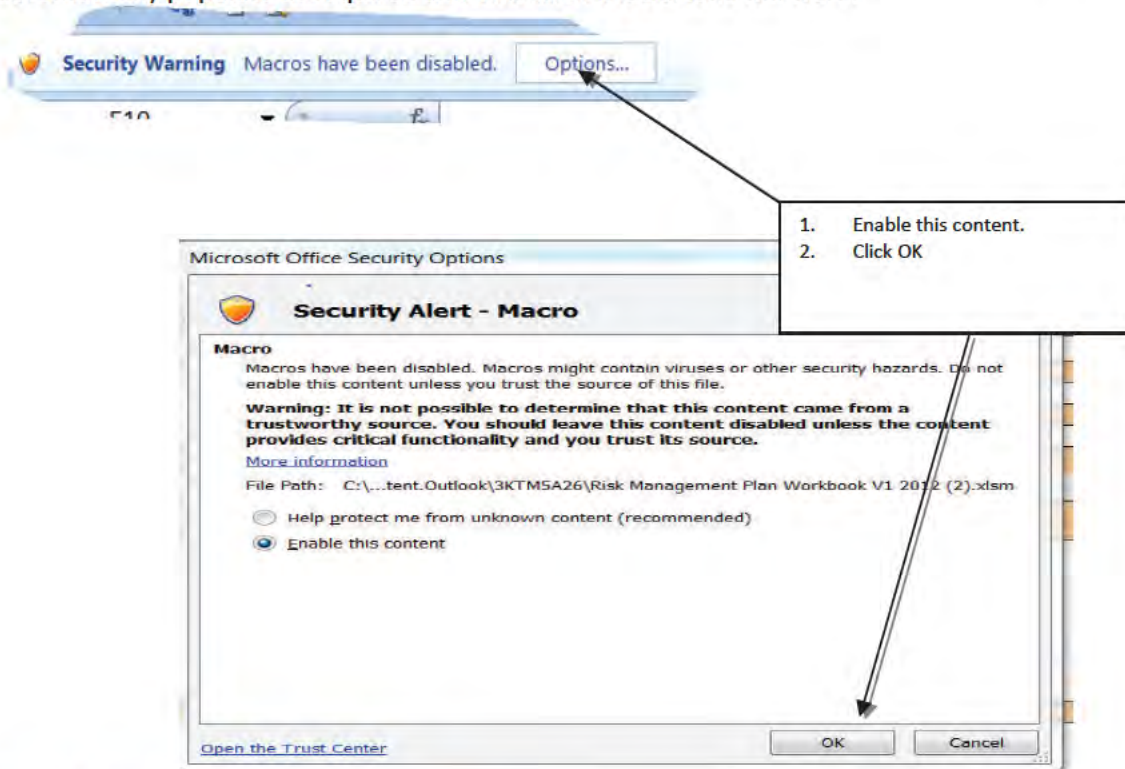
## ACT Government Risk Register Tip Sheet

## Tip Sheet – Important Information

## Enabling Macros

This is a Macro enabled workbook. A security alert will be issued every time that the document is opened.

It is important to enable the content so that the macros will work. This will ensure that data will automatically populate as required and that all of the buttons will work.



## Using the Macro Buttons on Each Sheet



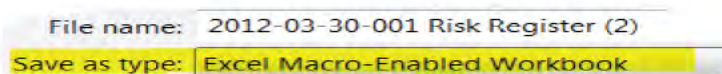
**Preview Page** – There is a preview page button on each sheet which will allow you to print preview the worksheet that you are working on.

**Print Page** – there is a print page on each sheet which will allow you to print the sheet that you are working on.

**Print all** – The print all button will print the entire work book.

## Important Information: Saving this document

Please note that this excel workbook contains Macros. Please ensure that when saving that this document is saved as an **Excel Macro-Enabled Workbook**. Saving in any other format is likely to cause corruption of the data.



## ACT Government Risk Register Tip Sheet

### Important Information: Version Control

Risk management is a process of continual improvement. We are never done, there will always be something that happens which will require us to re-think how we are managing our risks: change in political environment, changes in operating environment, a change in the scope of the project we are managing, the identification of emerging risks etc.

It is important to save the original risk management plan and to save a different version for each update. The plan may be updated as risk treatments are worked on and completed, as new risks are identified and at the review date. Record keeping and audit trails are essential to show how risk is being managed. Your Directorate will have a policy regarding records management and will have a standard for saving electronic files as per the *Territory Records Act 2002*.

An example of how versions may be saved is:

**File Name:** ACTIA Risk Management Plan Renewal 2012 V1

**Action Taken:** Original Assessment

**File Name:** ACTIA Risk Management Plan Renewal 2012 V1.1

**Action Taken:** Updated to action a risk treatment plan

**File Name:** ACTIA RISK Management Plan Renewal 2012 V2

**Action Taken:** Review conducted as per file review date

## ACT Government Risk Register Tip Sheet

**How to edit or navigate in a cell.**

To get a "line break"

Hit <Alt><Enter>

To navigate the cursor within a cell (1)

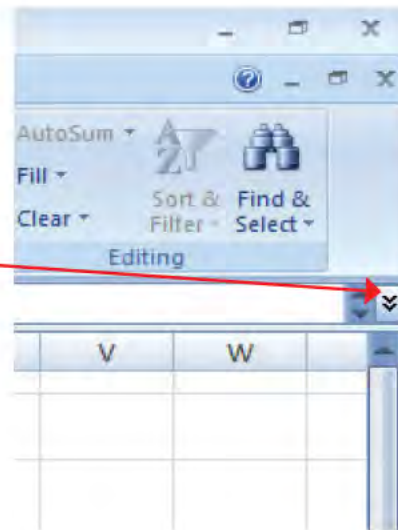
Hit <F2> and use the arrow keys to move the cursor around within the cell.

To navigate the cursor within a cell (2)

When there is too much text to fit in the formula bar, click this button to open the formula bar up to display all text.

Click again to close.

Shortcut; <Ctrl><Shift><U>





## ACT Government Risk Register Glossary

<a href="#">Consequence[i]</a>	Outcome of event affecting objectives. <i>Note: an event can lead to a range of consequences.</i>						
<a href="#">Control[ii]</a>	Measure that is modifying risk. <i>Note 1: Controls include any processes, policy, device, practice or other actions which</i> <i>Note 2: Controls may not always exert the intended or assumed modifying effect.</i>						
<a href="#">Event[iii]</a>	Occurrence or change of a particular set of circumstances <i>Note 1: An event can be one or more occurrences and can have several causes.</i> <i>Note 2: An event can consist of something not happening.</i> <i>Note 3: An event can sometimes be referred to as an “incident” or an “accident.”</i>						
<a href="#">Hazard[iv]</a>	Source of potential harm. <i>Note: Hazard can be a risk source</i>  <a href="#">Hazard[v]</a> means a situation or thing that has the potential to harm a person. Hazards at the workplace						
Inherent Risk	The current or original risk rating which considers current controls prior to the addition of risk treatments.						
<a href="#">Level of Risk[vi]</a>	Magnitude of a risk or combination of risks expressed in terms of the combination of consequences and their likelihood.						
<a href="#">Likelihood[vii]</a>	Chance of something happening						
<a href="#">Risk[viii]</a>	Effect of uncertainty on objectives.						
<a href="#">Risk Appetite[ix]</a>	Amount and type of risk that an organisation is willing to pursue or retain.						
Risk Control Effectiveness Rating	This is a measure that defines how effectively the risk management controls are managing  Additionally, this rating is used to measure how effective further risk treatments have been  The measurement used are: <table border="1" data-bbox="475 1339 1514 1998"> <tr> <td>Adequate</td> <td>Nothing more to be done except review and monitor the existing controls. Controls are well designed for the risk, are largely preventative and address the root causes and Management believes that they are effective and reliable at all times. Reactive controls only support preventative controls.</td> </tr> <tr> <td>Room for improvement</td> <td>Most controls are designed correctly and are in place and effective however there are some controls that are either not correctly designed or are not very effective. There may be an over-reliance on reactive controls. Some more work to be done to improve operating effectiveness or Management has doubts about operational effectiveness and reliability.</td> </tr> <tr> <td>Inadequate</td> <td>Significant control gaps or no credible control. Either controls do not treat root causes or they do not operate at all effectively.  Controls, if they exist are just reactive. Management has no confidence that any degree of control is being achieved due to poor control design and/or very limited operational effectiveness.</td> </tr> </table>	Adequate	Nothing more to be done except review and monitor the existing controls. Controls are well designed for the risk, are largely preventative and address the root causes and Management believes that they are effective and reliable at all times. Reactive controls only support preventative controls.	Room for improvement	Most controls are designed correctly and are in place and effective however there are some controls that are either not correctly designed or are not very effective. There may be an over-reliance on reactive controls. Some more work to be done to improve operating effectiveness or Management has doubts about operational effectiveness and reliability.	Inadequate	Significant control gaps or no credible control. Either controls do not treat root causes or they do not operate at all effectively.  Controls, if they exist are just reactive. Management has no confidence that any degree of control is being achieved due to poor control design and/or very limited operational effectiveness.
Adequate	Nothing more to be done except review and monitor the existing controls. Controls are well designed for the risk, are largely preventative and address the root causes and Management believes that they are effective and reliable at all times. Reactive controls only support preventative controls.						
Room for improvement	Most controls are designed correctly and are in place and effective however there are some controls that are either not correctly designed or are not very effective. There may be an over-reliance on reactive controls. Some more work to be done to improve operating effectiveness or Management has doubts about operational effectiveness and reliability.						
Inadequate	Significant control gaps or no credible control. Either controls do not treat root causes or they do not operate at all effectively.  Controls, if they exist are just reactive. Management has no confidence that any degree of control is being achieved due to poor control design and/or very limited operational effectiveness.						
<a href="#">Risk Description[x]</a>	Structured statement of risk usually containing four elements: sources, events, causes and						

## ACT Government Risk Register Glossary

<a href="#">Residual Risk[xi]</a>	Risk remaining after risk treatment. <i>Note: Residual risk can be known as “retained risk”</i>
<a href="#">Risk Identification[xii]</a>	Process of finding, recognising and describing risks.
<a href="#">Risk Matrix[xiii]</a>	Tool for ranking and displaying risks by defining ranges for consequence and likelihood.
<a href="#">Risk Owner[xiv]</a>	Person or entity with the accountability and authority to manage risk.  In the ACT Government context this is the officer/manager who has the authority to
<a href="#">Risk Register[xv]</a>	Record of information about identified risks.
<a href="#">Risk Source[xvi]</a>	Element which alone or in combination has the intrinsic potential to give rise to risk.
<a href="#">Risk Treatment[xvii]</a>	Process to modify risk <i>Note: Risk treatment can involve:</i> <ul style="list-style-type: none"> <li>- <i>Avoiding the risk by deciding not to start or continue with the activity that</i></li> <li>- <i>Taking or increasing risk in order to pursue an opportunity;</i></li> <li>- <i>Removing the risk source;</i></li> <li>- <i>Changing the likelihood;</i></li> <li>- <i>Changing the consequence;</i></li> <li>- <i>Sharing the risk with another party or parties (including contracts and risk</i></li> <li>- <i>Retaining the risk by informed decision.</i></li> </ul> <p><a href="#">In Work Health and Safety risk treatment is defined as: Risk control[xviii] means taking</a></p> <p><b>** A hazard is a source of the risk. With no hazard and/or not source there is no risk.</b></p>
Risk Treatment Owner	The officer/manager responsible for managing the treatment of risks. This includes  The risk treatment owner is not always (will be in some cases) the risk owner.

[\[i\] ISO Guide 73:2009](#)

[\[ii\] ISO Guide 73:2009](#)

[\[iii\] ISO Guide 73:2009](#)

[\[iv\] ISO Guide 73:2009](#)

[\[v\] Work Health and Safety \(How to Manage Work Health and Safety Risks\) Code of Practice 2011](#)

[\[vi\] ISO Guide 73:2009](#)

[\[vii\] ISO Guide 73:2009](#)

[\[viii\] ISO Guide 73:2009](#)

[\[ix\] ISO Guide 73:2009](#)

[\[x\] ISO Guide 73:2009](#)

[\[xi\] ISO Guide 73:2009](#)

[\[xii\] ISO Guide 73:2009](#)

[\[xiii\] ISO Guide 73:2009](#)

[\[xiv\] ISO Guide 73:2009](#)

[\[xv\] ISO Guide 73:2009](#)

[\[xvi\] ISO Guide 73:2009](#)

[\[xvii\] ISO Guide 73:2009](#)

[\[xviii\] Work Health and Safety \(How to Manage Work Health and Safety Risks\) Code of Practice 2011](#)

**Hazard category for People Risks**

Animal, Insect  
Asbestos  
Biohazards: Cleaning  
Biohazards: Laundry  
Biohazards: Used Needles  
Biological Biohazards  
Boilers and Pressure Vessels  
Bullying and Harassment  
Burns  
Cash Transport and Delivery  
Chemical Exposure  
Confined Spaces  
Dangerous Goods & Hazardous Substances  
Electrical  
Environmental Physical Safety  
Fire Safety  
Food Safety  
Forklifts  
Heat Stress  
Knives  
Lifts  
Machinery and Appliances  
Manual Handling  
Mechanical  
Noise  
Occupational Overuse Syndrome OOS  
Occupational Violence  
Office Ergonomics  
Office Safety  
Physical  
Plant & Equipment Plant Safety  
Psychological Physical  
Public Events  
Road Bikes  
Radiation  
Scaffolding  
Security  
Slips, Trips & Falls  
Smoking in the Workplace  
Working at Height  
Working Outdoors  
Other

# Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)



# Sch 2.2(a)(xiii)





<b>Total Risks:</b>	<b>33</b>
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<b>Inherent Effectiveness</b>	
Adequate	0
Has Room for improvement	0
Inadequate	0
	<b>0</b>

<b>Residual Effectiveness</b>	
Adequate	0
Has Room for improvement	0
Inadequate	0
	<b>0</b>

<b>Inherent Rating</b>	
Low	0
Medium	0
High	0
Extreme	0
	<b>0</b>

<b>Residual Rating</b>	
Low	0
Medium	0
High	0
Extreme	0
	<b>0</b>

<b>Inherent Consequence</b>	
1	0
2	0
3	10
4	5
5	1
	<b>16</b>

<b>Residual Consequence</b>	
1	0
2	0
3	0
4	0
5	0
	<b>0</b>

**Project Contingency Costs**

Total	\$0.00
Weighted	\$0.00
Actual Recommended	\$0.00

## Risk Statistics



Total Risks:	33
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Risk Categories	
Assets	0
Business Processes and Systems	3
Commercial	1
Compliance Regulation	0
Contractual	0
Cultural Heritage	0
Environment	0
Financial	2
Fraud	0
General Management Activities	0
Operational	0
Legislation	0
People	0
Products and Services	0
Project	0
Records Management	0
Reputation and Image	2
Security	0
Stakeholder Management	1
Strategic	1
Technology	2
Other	0
	12

Hazard category for People Risks	
Animal, Insect	0
Asbestos	0
Biohazards: Cleaning	0
Biohazards: Laundry	0
Biohazards: Used Needles	0
Biological Biohazards	0
Boilers and Pressure Vessels	0
Bullying and Harassment	0
Burns	0
Cash Transport and Delivery	0
Chemical Exposure	0
Confined Spaces	0
Dangerous Goods & Hazardous Substances	0
Electrical	0
Environmental Physical Safety	0
Fire Safety	0
Food Safety	0
Forklifts	0
Heat Stress	0
Knives	0
Lifts	0
Machinery and Appliances	0
Manual Handling	0
Mechanical	0
Noise	0
Occupational Overuse Syndrome OOS	0
Occupational Violence	0
Office Ergonomics	0
Office Safety	0
Physical	0
Plant & Equipment Plant Safety	0
Psychological Physical	0
Public Events	0
Used Bikes	0
Radiation	0
Scaffolding	0
Security	0
Slips, Trips & Falls	0
Smoking in the Workplace	0
Working at Height	0
Working Outdoors	0
Other	0
	0

## MINUTE



**ACT**  
Government

Chief Minister, Treasury and  
Economic Development

Date 7 August 2017 [REDACTED] TRIM No: CMTEDD2017/2989  
File No:

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To Under Treasurer [REDACTED] 7/8/17  

- Deputy [REDACTED] Treasurer, Commercial Services and Infrastructure

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From Executive Director, Shared Services

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Subject Approval of HRIMS Program – Approach to Market

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### Critical date and reason

1. **8 August 2017.** To ensure the timely release of the Request for Expression of Interest (REOI no. 28499.111) to market.

### Background

2. The Human Resource Information Management Solution (HRIMS) Business Case (January 2017) proposed the acquisition and implementation of an integrated Payroll/Human Capital Management (HCM) solution for ACT Government (the Territory). The Business Case was approved by the Budget Committee of Cabinet in June 2017.
3. The Government Procurement Board (GPB) on 20 June endorsed the Strategic Review Submission, comprising a two-staged approach to market: Stage 1 - Request for Expression of Interest (REOI) and; Stage 2 - a limited release Request for Proposal (RFP).

### Issues

4. A HR Baseline was required to be established; the Baseline was endorsed by the HRIMS Program Board on 19 July 2017.
5. To allow appropriate vendor consideration and evaluation, the procurement timeline was extended by three months to December 2017.

### Consultation

6. The Statement of Requirement (SoR) at Attachment A has been extensively reviewed by working groups and was endorsed by the HRIMS Steering Committee on 12 July 2017 and approved by the HRIMS Program Board on 19 July 2017.

**Financial**

- 7. A total of Sch 2.2(a)(xiii) in Treasury funding has been allocated over the next three financial years for the design, build and implementation of the HRIMS. These funds are expected to cover both internal (ACT Government) and external (Vendor) costs.

**Risks/ Sensitivities**

- 8. Refer to the Procurement Risk Management Plan (Attachment B), in particular risks 9, 14 and 16 which relates to the procurement phase of the Program.
- 9. The ACT Government formally commenced negotiations over new ACTPS Enterprise Bargaining Agreement in November 2016. The outcomes of which are likely to impact on the subsequent requirements of the HRIMS.

**Media**

- 10. The market approach may attract ICT Media attention based on traditional Enterprise Resource Planning (ERP) and transformation projects.

**Recommendations**

That you:

- Agree to the release of HRIMS Procurement Statement to the market by signing below; and

Sch 2.2(a)(ii) market by signing  
*David Nicol*..... *10/8/17* /2017  
**AGREED/NOT A** Sch 2.2(a)(ii) **ED/PLEASE DISCUSS**

- Approve the Procurement Plan Minute at Attachment as Delegate.

Sch 2.2(a)(ii)  
*David Nicol*..... *10/8* /2017  
**AGREED/NOT A** Sch 2.2(a)(ii) **'PLEASE DISCUSS**

- Note the Statement of Requirement at Attachment

Sch 2.2(a)(ii)  
*David Nicol*..... *10/8* /2017  
**AGREED/NO** Sch 2.2(a)(ii) **EASE DISCUSS**

Graham Tanton  
 Executive Director, Shared Services  
 Action Officer: Mat Rogers  
 Phone: (02) 6205 8432

## CMTEDD INTERNAL MINUTE



**ACT**  
Government

Chief Minister, Treasury and  
Economic Development

Date	24 August 2018	TRIM No: CMTEDD2018/4516
		File No: TRSY18-338257
To	Under Treasurer	
From	Director Strategic Business Shared Services ICT	
Subject	Human Resources Information Management Solution (HRIMS) Program – Approach to Market - Phase 2	

- DUT CS&I .../.../... Sch 2.2(a)(ii)
- EDSS 03/09/18
- EDSSICT 03/09/18

### Critical date and reason

1. **18 September 2018.** As the delegate, approve the HRIMS Request for Proposal (RFP) Evaluation Report to facilitate the commencement of contract negotiations with the preferred tenderer.

### Recommendations

2. That you:
  - approve and sign (page 26) the HRIMS RFP Evaluation Report at Attachment A; and  
**AGREED/NOT AGREED/NOTED/PLEASE DISCUSS**
  - note the HRIMS Risk Register provided at Attachment B.  
**NOTED/PLEASE DISCUSS**

**David Nicol..... / /**

## Background

3. The HRIMS Business Case (January 2017) proposed the acquisition and implementation of an integrated Payroll/Human Capital Management solution for ACT Government. The Business Case was approved by the Budget Committee of Cabinet in June 2017.
4. The Consideration Report for Phase 1- Request for Expression of Interest was approved by you on 20 November 2017 accepting the recommendation to proceed to Phase 2 –RFP by selectively inviting eight (8) short listed organisations.
5. A Procurement Review was presented and endorsed by the Government Procurement Board on 5 December 2017. The submission provided an update on the outcomes of Phase 1 of the endorsed two-phased approach and approval to approach the market in Phase 2.
6. The HRIMS Program submitted the RFP to market on 14 December 2017. An industry briefing was conducted on 19 December with submissions for the RFP closing on 1 February 2018.

## Issues

7. Seven compliant responses were received and evaluated. Following a thorough assessment of the submitted proposals in accordance with the approved Evaluation Plan, the Evaluation Team considered the acceptable balance of the total weighted score, clarifications, reference checks and risk profiles to determine a preferred tenderer.
8. Following approval of the HRIMS RFP Evaluation Report at Attachment A the Evaluation Team (ET) can facilitate the progress of contract negotiations with the preferred tenderer.

## Consultation

9. Each response was comprehensively assessed and agreed to by each member of the ET. The HRIMS Program Board and HRIMS Steering Committee have been regularly briefed on the progress of the RFP procurement process.

## Work Health and Safety

10. Nil Response.

## Financial

11. A total of Sch 2.2(a)(xiii) for the design, build and implementation of the HRIMS. These funds are expected to cover both internal ACT Government and external Vendor costs.
12. The initial pricing analysis indicates that the Preferred Respondent proposal will fit within the funding approved by Cabinet. Contract negotiations will be focused on the need to reduce the cost to Government.

## Risks/ Sensitivities

13. The HRIMS Risk Registers provided at Attachment B, provides a comprehensive view of the risk profile for the Program and highlights individual risk relating to the procurement process.
14. A 'Stage Gate' is planned for late 2018 which will involve a Cabinet Submission, based on a revised cost/benefit analysis. This will provide an opportunity for Government to validate costings and results of the market approach and contract negotiations.

## Media

15. The market approach may attract ICT Media attention based on traditional enterprise resource planning and transformation projects.

Sch 2.2(a)(ii)

Mat Rogers  
Director Strategic Business, Shared Services ICT

Action Officer: Karen Giovinazzo  
Phone: (02) 620 50980

Date 17 September 2018 TRIM No: CMTEDD2018/4516  
 File No: TRSY18-338257

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To Under Treasurer

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From Director Strategic Business Shared Services ICT

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Subject Human Resources Information Management Solution (HRIMS) Program –  
 Approach to Market - Phase 2

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- DUT CS&I .../.../...  
 Sch 2.2(a)(ii)
- EDSS 7/09/18  
 Sch 2.2(a)(ii)
- EDSSICT 17/09/18

### Critical date and reason

1. **19 September 2018.** As the delegate, approve the HRIMS Request for Proposal (RFP) Evaluation Report to facilitate the commencement of contract negotiations with the preferred tenderer.

### Recommendations

2. That you:

- approve and sign one of the options, either 1, 2b, 3 or 4 on page 27 of the HRIMS RFP Evaluation Report at Attachment A;

***AGREED/NOT AGREED/NOTED/PLEASE DISCUSS***

- note the outcomes of the contract negotiations will be reported to you for approval prior to arranging for a contract to be prepared between the Territory and the preferred tenderer; and

***NOTED/PLEASE DISCUSS***

- note the HRIMS Risk Register provided at Attachment B.

***NOTED/PLEASE DISCUSS***

***David Nicol..... / /***



## Background

3. The HRIMS Business Case (January 2017) proposed the acquisition and implementation of an integrated Payroll/Human Capital Management solution for ACT Government. The Business Case was approved by the Budget Committee of Cabinet in June 2017.
4. The Phase 1 Request for Expression of Interest (REOI) was endorsed by the Under Treasurer 10 August 2017, as outlined in [Attachment C](#).
5. The Consideration Report for Phase 1- REOI was approved by you on 20 November 2017 accepting the recommendation to proceed to Phase 2 –RFP by selectively inviting eight (8) short listed organisations.
6. A Procurement Review was presented and endorsed by the Government Procurement Board on 5 December 2017. The submission provided an update on the outcomes of Phase 1 of the endorsed two-phased approach and approval to approach the market in Phase 2.
7. The HRIMS Program submitted the RFP to market on 14 December 2017. An industry briefing was conducted on 19 December with submissions for the RFP closing on 1 February 2018.

## Issues

8. Seven compliant responses were received and evaluated. Following a thorough assessment of the submitted proposals in accordance with the approved Evaluation Plan, the Evaluation Team considered the acceptable balance of the total weighted score, clarifications, reference checks and risk profiles to determine a preferred tenderer.
9. Following approval of the HRIMS RFP Evaluation Report at [Attachment A](#) the Evaluation Team (ET) can facilitate the progress of contract negotiations with the preferred tenderer.

## Consultation

10. Each response was comprehensively assessed and agreed to by each member of the ET. The HRIMS Program Board and HRIMS Steering Committee have been regularly briefed on the progress of the RFP procurement process.

## Work Health and Safety

11. Nil Response.

## Financial

12. A total of [Sch 2.2\(a\)\(xiii\)](#) for the design, build and implementation of the HRIMS. These funds are expected to cover both internal ACT Government and external Vendor costs.

13. The initial pricing analysis indicates that the Preferred Respondent proposal will fit within the funding approved by Cabinet. Contract negotiations will be focused on the need to reduce the cost to Government.

### **Risks/ Sensitivities**

14. The HRIMS Risk Registers provided at [Attachment B](#), provides a comprehensive view of the risk profile for the Program and highlights individual risk relating to the procurement process.
15. A 'Stage Gate' is planned for late 2018 which will involve a Cabinet Submission, based on a revised cost/benefit analysis. This will provide an opportunity for Government to validate costings and results of the market approach and contract negotiations.

### **Media**

16. The market approach may attract ICT Media attention based on traditional enterprise resource planning and transformation projects.

Mat Rogers  
Director Strategic Business, Shared Services ICT

Action Officer: Karen Giovinazzo  
Phone: (02) 620 50980

**CMTEDD INTERNAL MINUTE**



**ACT**  
Government

Chief Minister, Treasury and  
Economic Development

Date **17 September 2018**

TRIM No: CMTEDD2018/4516

File No: TRSY18-338257

To Under Treasurer *8/9/18*

From Director Strategic Business Shared Services ICT

Subject **Human Resources Information Management Solution (HRIMS) Program – Approach to Market - Phase 2**

- DUT CS&I *17.9.18*
- EDSS 17/09/18
- EDSSICT 17/09/18

**Critical date and reason**

1. **19 September 2018.** As the delegate, approve the HRIMS Request for Proposal (RFP) Evaluation Report to facilitate the commencement of contract negotiations with the preferred tenderer.

**Recommendations**

2. That you:

- approve and sign one of the options, either 1, 2b, 3 or 4 on page 27 of the HRIMS RFP Evaluation Report at Attachment A;

*7 What are these options?*  
**AGREED/NOT AGREED/NOTED/PLEASE DISCUSS**

- note the outcomes of the contract negotiations will be reported to you for approval prior to arranging for a contract to be prepared between the Territory and the preferred tenderer; and

**NOTED/PLEASE DISCUSS**

- note the HRIMS Risk Register provided

**PLEASE DISCUSS**

David Nicol

*17/9/18*

## Background

3. The HRIMS Business Case (January 2017) proposed the acquisition and implementation of an integrated Payroll/Human Capital Management solution for ACT Government. The Business Case was approved by the Budget Committee of Cabinet in June 2017.
4. The Phase 1 Request for Expression of Interest (REOI) was endorsed by the Under Treasurer 10 August 2017, as outlined in Attachment C.
5. The Consideration Report for Phase 1- REOI was approved by you on 20 November 2017 accepting the recommendation to proceed to Phase 2 –RFP by selectively inviting eight (8) short listed organisations.
6. A Procurement Review was presented and endorsed by the Government Procurement Board on 5 December 2017. The submission provided an update on the outcomes of Phase 1 of the endorsed two-phased approach and approval to approach the market in Phase 2.
7. The HRIMS Program submitted the RFP to market on 14 December 2017. An industry briefing was conducted on 19 December with submissions for the RFP closing on 1 February 2018.

## Issues

8. Seven compliant responses were received and evaluated. Following a thorough assessment of the submitted proposals in accordance with the approved Evaluation Plan, the Evaluation Team considered the acceptable balance of the total weighted score, clarifications, reference checks and risk profiles to determine a preferred tenderer.
9. Following approval of the HRIMS RFP Evaluation Report at Attachment A the Evaluation Team (ET) can facilitate the progress of contract negotiations with the preferred tenderer.

## Consultation

10. Each response was comprehensively assessed and agreed to by each member of the ET. The HRIMS Program Board and HRIMS Steering Committee have been regularly briefed on the progress of the RFP procurement process.

## Work Health and Safety

11. Nil Response.

## Financial

12. A total of Sch 2.2(a)(xiii) funding has been allocated over 3 financial years for the design, build and implementation of the HRIMS. These funds are expected to cover both internal ACT Government and external Vendor costs.

13. The initial pricing analysis indicates that the Preferred Respondent proposal will fit within the funding approved by Cabinet. Contract negotiations will be focused on the need to reduce the cost to Government.

### **Risks/ Sensitivities**

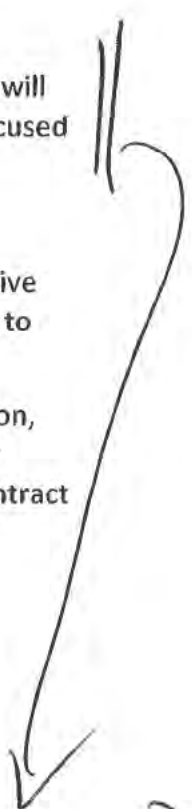
14. The HRIMS Risk Registers provided at Attachment B, provides a comprehensive view of the risk profile for the Program and highlights individual risk relating to the procurement process.
15. A 'Stage Gate' is planned for late 2018 which will involve a Cabinet Submission, based on a revised cost/benefit analysis. This will provide an opportunity for Government to validate costings and results of the market approach and contract negotiations.

### **Media**

16. The market approach may attract ICT Media attention based on traditional enterprise resource planning and transformation projects.

Mat Rogers  
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Definitive?