**PART D – APPLICANT’S RESPONSE**

**Application document**

Applicants must provide an electronic copy in Microsoft Office Word 2010 or Adobe Acrobat format, submitted in accordance with the Conditions of Application.

All responses must be provided within the specified boxes and must respond to the Specification (Part B) and Proposed Contract (Part C) in accordance with the Conditions of Application (Part A).

Do not include graphics or data in responses. Where necessary, any graphics or data should be placed at the end of the documents and referred to in the response.

Include the name of the Applicant in the footer of the Application.

All documents must be virus checked by the Applicant before lodgement.

**Victorian Auditor-General’s Office**

**Request for Application for Financial Audit Services**

**I/we accept the provisions contained in the Conditions of Application.**

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| **Name:** |  |
| **Title:** |  |
| **Signature of Applicant’s Authorised Officer:** |  |

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| **Applicant’s Information** | | |
| **Name of Applicant and address of registered office:** |  | |
| **Place of registration:** |  | |
| **Australian Company Number (or equivalent):** |  | |
| **Australian Business Number (or equivalent):** |  | |
| **Principal office in Victoria (if any):** |  | |
| **Telephone:** |  | |
| **Facsimile:** |  | |
| **Email:** |  | |
| **Name and title of Applicant’s authorised agent:** |  | |
| **Date:** |  | |
| **Executive summary** | | |
| Provide a brief executive summary providing an overview of the Application. | |  |

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| **Compliance with the Specification** | | |
| An Applicant must provide a tabulated statement showing clearly, and in order of the relevant sections, its level of compliance with Part B (Specification). Refer section 7.1, Part A (Conditions of Application) for further instructions.  **Note: No response is required in respect of a particular section of the Specification where an Applicant will comply with that section.** | | |
| **Section** | **Compliance Statement**  ***[Note to Applicants:***  *The cells in this column need to state one of the following:*  ***Will comply subject to conditions; or***  ***Will not comply.***  *Remove this note when you prepare your Application]* | **Explanation / Comment**  *[****Note to Applicants:***  ***Where the statement in column 2 is “Will comply subject to conditions”, Applicants should state in this column 3 the applicable conditions and the reason why those conditions are applicable. Where the statement in column 2 is “Will not comply” Applicants should state in this column 3 the reasons for such non-compliance.***  ***In both cases, the nature and extent of non-compliance must be clearly stated.***  *Remove this note when you prepare your Application.]* |
| **Alternative Application**  Where an Applicant also submits an Alternative Application, it must include any supplementary material, together with associated prices, which demonstrates in detail that such an alternative will fully achieve and/or exceed all the specified outputs or functional and performance requirements together with references as to why the additional features may be advantageous. The details should be cross referenced to the appropriate clause number in the Specification.  Word limit – [250] words |  | |

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| **Capability** | |
| **Please provide details demonstrating the following capabilities in relation to the required Services**.  Word limit – [250] words per item | |
| Knowledge and understanding of the public sector, namely:   * VAGO and the role and responsibilities of the Auditor-General and an Financial Audit Service Provider (ASP) * the Victorian public sector, the reporting framework(s) and timeframes |  |
| A risk-based audit methodology that complies with all relevant professional, ethical, legislative and regulatory requirements, including Australian Auditing Standards |  |
| A system of quality control that complies with *APES 320 Quality Control for Firms (“APES 320”)* and *ASQC 1 Quality Control for Firms that Perform Audits and Reviews of Financial Reports, Other Financial Information, and Other Assurance Engagements (“ASQC 1”)* |  |
| Technical support available including any specialist resources to assist audit teams |  |
| Whether there have been any adverse ASIC reports in the past 3 years relating to the Applicant |  |
| The firm will abide by the conditions of the Application |  |

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| **Proposed team/ resources** | |
| **Staff resources**  Provide a brief curriculum vitae for each member of senior staff you are proposing for the work including details of qualifications, experience and skills.  Word limit – [250] words |  |
| **Schedule of proposed sub-contractors**  Provide details of each proposed sub-contractor (if any) to be engaged in connection with the provision of the Services. Also, define the scope and extent of services to be provided by sub-contractors. | **Subcontractor’s name:**  **Address:**  **services to be provided:** |
| **Infrastructure and other support**  Provide details of your organisation (and location) and any support which will be used to provide the services.  Word limit – [250] words |  |

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| **Referees** | |
| **References**  Provide three referees that VAGO could contact regarding your ability to provide to the Services required under the Specification.  **Note: VAGO reserves the right to contact any of the Applicant’s previous customers.** | **Client and contract details:**  **Description of service:**  **Period:**  **Client and contract details:**  **Description of service:**  **Period:**  **Client and contract details:**  **Description of service:**  **Period:** |

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| **Innovation/ value-add** | |
| (a) State your involvement in activities which involve the use of leading technologies, innovative solutions and best practice that have resulted in “value for money” improvements.  Word limit – [250] words |  |
| (b) Provide details of any specialist knowledge of a particular government sector, or a high level of expertise in a specialist field of relevance to the Financial Audit Group.  Word limit – [250] words |  |

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| **Financial viability** | |
| Applicants are required to demonstrate that they have the financial capacity to provide, over the term of the contract, all the requirements specified in this Application. Accordingly, you are required to provide the following information.  If the answer to any of the following questions is “yes”, provide an explanation. | |
| (a) Are there any significant events, matters or circumstances which have arisen since the end of the last financial year which may significantly affect the operations of the Applicant? |  |
| (b) Are there any mergers/acquisitions either recent (within the past 12 months) or which are imminent? |  |
| (c) Are there any proceedings, either actual or threatened, against the Applicant, its parent or associated entities or any director of the Applicant, its parent or associated entities or have there been any such proceedings within the past five years? If so, what (if any) remedial action has been taken in respect of such proceedings? |  |
| (d) Are there any bankruptcy actions against a director of the Applicant, its parent or associated entities, or has there been within the past five years? |  |
| (e) Are there any de-registration actions against the Applicant, its parent or associated entities on foot, or have there been any within the past five years? |  |
| (f) Are there any insolvency proceedings, actual or threatened (including voluntary administration, Application to wind up, or other like action) against the Applicant, its parent or associated entities on foot, or have there been any within the past five years? |  |
| (g) Is the Applicant, its parent or associated entities currently in default of any agreement, contract, order or award that would or would be likely to adversely affect the financial capacity of the Applicant to provide the Services contemplated by this Application? |  |
| (h) Are there any other factors which could adversely impact on the financial ability of the Applicant to successfully perform the obligations contemplated by this Application? |  |
| (i) Is the Applicant solvent and able to meet its debts as and when they fall due in the normal course of business? |  |
| In addition to the information required above, Applicants are required to undertake to provide to VAGO (or its nominated agent) upon request all such information as VAGO reasonably requires to satisfy itself that Applicants are financially viable and have the financial capability to provide the Services for which they are applying and to otherwise meet their obligations under the Proposed Contract. | |
| Provide your undertaking to comply with this request. |  |

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| **Risk and insurance** | |
| **Schedule of insurance information**  Provide details of all relevant insurances maintained by the Applicant including a copy of the current certificates. | **Public Liability Insurance**  Name of insurance companies:  Policy number(s):  Expiry dates:  Limit of liability:  Relevant exclusions: |
| **Professional Indemnity Insurance**  Name of insurance companies:  Policy type (e.g. public liability, professional indemnity, etc.):  Policy number(s):  Expiry dates:  Limit of liability: |
| **Risk management strategies**  Provide details of all risk management strategies and practices of the Applicant that would be applicable or relevant in the context of the supply of the Services. |  |

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| **Compliance with the Proposed Contract** | | |
| An Applicant must provide a tabulated statement showing clearly, and in order of the relevant clauses, its level of compliance with Part C (Proposed Contract). Refer section 7.2, Part A (Conditions of Application) for further instructions.  **Note: No response is required in respect of a particular clause of the Proposed Contract where an Applicant will comply with that clause.** | | |
| **Clause number** | **Compliance Statement**  [**Note to Applicants**: The cells in this column need to state one of the following:  ***Will comply subject to conditions; or***  ***Will not comply.***  *Remove this note when you prepare your Application.]* | ***Explanation/Comment***  [**Note to Applicants**:  ***Where the statement in column 2 is “Will comply subject to conditions”, Applicants should state in this column 3 the applicable conditions and the reason why those conditions are applicable.***  ***Where the statement in column 2 is “Will not comply” Applicants should state in this column 3 the reasons for such non-compliance.***  ***In both cases, the nature and extent of non-compliance must be clearly stated, together with any amendments that would make the relevant clause acceptable to the Applicant.***  *Remove this note when you prepare your Application.]* |

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| **Conflict of interest** | |
| Provide details of any interests, relationships or clients which may or do give rise to a conflict of interest and the area of expertise in which that conflict or potential conflict does or may arise and details of any strategy for preventing conflicts of interest. |  |
| Outline the processes you have in place to handle any future conflict of interest (actual or perceived). |  |

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| **Any other matters** | |
| Detail any matters which have not been covered in previous sections, and you believe need to be taken into consideration when your Application is evaluated. |  |

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| **VGPB website** | |
| The Conditions of Application include a provision for disclosure of contract information (refer Attachment A to this Part D). Identify any information in your Application which you consider falls within the following categories and which you consider should not be published. | |
| (a) Trade secrets. |  |
| (b) Unreasonable disadvantage. |  |

Attachment A

**Contract disclosure**

The Conditions of Application include a provision for the disclosure of contract information (refer section in Part A of the Application dealing with “Use of Applications”).

This provision is consistent with the Government's presumption of the full disclosure of contracts. Any non-disclosure of contract provisions must be justified by the successful Applicant by applying the principles for exemption under the provisions of the FOI Act*.* Section 34(1) of the FOI Act provides that information acquired by an agency or a Minister from a business, commercial or financial undertaking is exempt under the FOI Act if the information relates to trade secrets or other matters of a business, commercial or financial nature and the disclosure would be likely to expose the undertaking unreasonably to disadvantage.

If an Applicant wishes to withhold the disclosure of specific contract information, the Applicant must clearly outline how the release of this information will expose trade secrets or expose the business unreasonably to disadvantage.

**Trade secrets**

In considering whether specific information should be categorised as a trade secret, Applicants should assess:

* the extent to which it is known outside of the Applicant’s business;
* the extent to which it is known by the persons engaged in the Applicant’s business;
* any measures taken to guard its secrecy;
* its value to the Applicant’s business and to any competitors;
* the amount of money and effort invested in developing the information; and
* the ease or difficulty with which others may acquire or develop this information.

**Unreasonable disadvantage**

In determining whether disclosure of specific information will expose an Applicant’s business unreasonably to disadvantage, you should consider section 34(2) of the FOI Act. Broadly, you should consider:

* whether the information is generally available to competitors; and
* whether it could be disclosed without causing substantial harm to the competitive position of the business

VAGO will consider these Applications in the Application evaluation and negotiations with Applicants.