

Request for Quotation Template for the Procurement of External Auditor Services

Contract LGAP 23106

INSTRUCTIONS ON TEMPLATE USE:

As with all procurement processes, Councils will need to undertake their own due diligence when selecting a provider for the services to be purchased.

Purchasers are to ensure they have read the Contract document along with any non-compliances (if any) pertaining to an individual Supplier. Copies of all individual executed Contracts are available on VendorPanel.

If you wish to obtain a quote for the procurement of External Auditor Services complete the Request for Quotation (RFQ) document on the following pages.

Complete each section of the RFQ document where highlighted in yellow. Leave in anything that is not highlighted. You only need to add as much or as little information as you believe is adequate to ensure suppliers completely understand the requirements of your Council.

Anything listed in red is a drafting note and to be deleted once read.

Access the Supplier Matrix Spreadsheet on the LGA Procurement website: <https://www.lga.sa.gov.au/lgaprocurement/contracts/professional-services/external-auditors> to review the Suppliers who can provide the Category that you are seeking.
Please note: Some Suppliers may not be visible on VendorPanel when uploading your quote as they may be inactive due to LGAP awaiting updated compliances.

Once you have completed this RFQ proceed to log into VendorPanel to upload your RFQ <https://login.vendorpanel.com.au/Account/Login>. Complete the process to Request a Quote in VendorPanel under *LGAP 23106– External Auditor Services*. Attach the RFQ document to your request when prompted, any attachments, then distribute to the supplier(s) of your choice for response.

Notes:

Councils are only required to provide detailed specifications for individuals works required. All other information to support the performance of the Supplier eg Insurances, licences, etc has been established as part of the formal evaluation as part of the Open Tender Process that has been undertaken in relation to this Contract.

You only need to have your RFQ open with the Suppliers for generally ten (10) working days but please ensure that you comply with your Council’s Policy/Procedures as this timeframe may be different.

As this is a quotation process only, you are able to respond to questions which are sent to you by the supplier via VendorPanel. You can decide whether to respond to all or only one of the suppliers, but for probity and transparency, and to align with your Council’s Procurement Policy, if the question asked is fundamental to your quotation request, you might resolve to respond to all to ensure equal distribution of information.

Go to the LGA Procurement website <https://www.lga.sa.gov.au/lgaprocurement> – for more information on this and all Contracts available for use by your Council, contact us on 8224 2000 or email procurement@lga.sa.gov.au if you require further information or clarification on the contract, or on using VendorPanel.

This document is only intended to be a guide to enable Councils to ensure they include enough detail to enable Suppliers to respond in a manner that provides the Council with the ability to evaluate responses and to compare *“apples for apples”.*

DELETE THESE TWO (2) PAGES PRIOR TO RELEASE

Insert Council logo

Request for Quotation

Contract LGAP 23106

Supply of External Auditor Services

|  |  |
| --- | --- |
| **Council** | **Insert Council name** |
| **Authorised Officer:** | **Name: insert Officer’s name****Position: insert officer’s position** |
| **Request for Quotation Title** | **Insert description of services** |
| **Request For Quotation Number:** | **Insert quote number** |

|  |  |
| --- | --- |
| **Closing Time for Request for Quotation:** | **Insert closing time eg 2.00pm Thursday 23 March 2023 (Adelaide Time)***(generally, allow 3-4 weeks response for complex and 2-3 weeks for less complex projects)****OR*** *refer to your Procurement Policy/Procedure* |
| **Quotes to be returned to:** | **Via VendorPanel ONLY**Quotations delivered by e-mail, fax or in person will **NOT** be considered |
| **Statutory Evaluation Period**Councils are required to advise Suppliers or their Agent/Dealers of their Statutory Evaluation Period at the time the Council issues a “Request for Quotation”. A Statutory Evaluation Period is the period (in days) the Council requires to evaluate the Quotation before making a formal decision and issuing a Purchase Order. | The Council wishes to advise that the Evaluation Period allocated to this Quotation is ninety (90) Days.**A Supplier’s quotation must remain open for no less time than the Statutory Evaluation Period.** |

# Introduction

This Request for Quotation (RFQ) is issued under the Terms & Conditions of LGAP Contract Number 23106 – Supply of External Auditor Services and must be adhered to by the Supplier.

**All quotations are to remain valid for a minimum of three (3) months from the closing date of the RFQ.**

All replies to this RFQ are subject to evaluation and approval.

Suppliers are reminded that the Management Fee of **2.25%** will be required to be included in the pricing submitted to the Council for consideration. Pricing submitted must be exclusive of GST.

If in doubt, please seek further advice from LGA Procurement by email on procurement@lga.sa.gov.au.

# Document Structure

This RFQ consists of four (4) parts:

**Part A - Invitation**

This part contains a brief background, general information, and key requirements regarding the RFQ process.

**Part B - Specifications**

This part contains all the information required by the Supplier to provide a submission, including any Appendices (if required).

**Part C – Agreement Terms & Conditions (as a separate document)**

This part contains the draft copy of the Agreement, if required. This RFQ will be awarded under a Services Agreement and/or Purchase Order.

**Part D – Response Schedules**

This part requires completion by the Supplier and is to be uploaded via Vendor Panel prior to the closing date.

# PART A - Invitation

1. **Invitation**

Prequalified Suppliers under Agreement LGAP 23106 are invited to submit a quotation to the insert council name (“**Council**”) in accordance with the requirements for the purpose of Insert services required.

1. **Background**

Insert brief description on reasons for quote including area to be serviced, aims and objectives as outlined in specifications

1. **authorised officer**

The only person authorised by the Council to communicate with Suppliers is the Authorised Officer identified on Page 1. Suppliers cannot rely on communications with any other person. Any communication with the Authorised Officer should be via VendorPanel.

1. **Evaluation Process**

Suppliers are reminded that any requirements identified as mandatory are of fundamental importance to the satisfactory delivery of the goods/services, and a fully compliant response is required.

Should the Council choose to include a short-listing stage in its evaluation process, the Council is not, at any time, required to notify Suppliers, or any other person or organisation who submitted a quotation.

**RFQ shortlist process**

The Council reserves the right to short-list a limited number of Suppliers, based on its initial value-for-money assessment, and continue detailed evaluation of this smaller group of Suppliers to the exclusion of all others.

**Secondary evaluation process**

There are occasions when a secondary evaluation process is required. This may occur as a part of the original plan or be necessary to differentiate between short listed submissions.

A secondary process may include, but not be limited to:

* Presentation of the intended project / methodology.
* Clarification of particular aspects of the submission.
* Additional information on some aspect of the submission.
* Responses to additional requirements or
* Negotiations on personnel, project delivery, milestones, and price.

Short listed Suppliers will be notified of the secondary process.

1. **Evaluation Criteria**

In assessing Quotes, the Council will have regard to, but not necessarily be limited to, the following criteria (not listed in any order of priority):

**Drafting Note** – Delete schedules that have been removed in Section D below or add any additional criteria **[Delete RED text once read]**

* Local economic benefit
* Implementation timeline and methodology
* Key personnel and sub-contractors proposed
* Contingencies
* Reporting
* Referees
* Value added services
* Improvements & innovations
* Timeframe
* Pricing (including inclusions and exclusions)
* Statement of conformity (including any departures from the Agreement)

|  |  |
| --- | --- |
| Assessment Criteria | Weightings |
| Local Economic Benefit  | Insert number% |
| Implementation Timeline & Methodology | Insert number% |
| Key Personnel Proposed | Insert number% |
| Value Added Service | Insert number% |
| Improvement and Innovation | Insert number% |
| Timeframe | Insert number% |
| TOTAL | 100 % |

1. **ACKNOWLEDGEMENT BY SUPPLIERS**

Suppliers acknowledge that the Council:

* + make no representations and offers no undertakings in issuing this RFQ or the Quote Documents.
	+ is not bound to accept the lowest Quote or required to accept any Quote.
	+ may accept all or part of any Quote.
	+ may require one or more Suppliers (but is not obliged to require all) to supply further information and/or attend a conference or interview.
	+ may require one or more Suppliers (but is not obliged to require all) to make presentation(s).
	+ may undertake “due diligence” checks on any Supplier, including verifying references and/or referees, and undertaking company searches and credit checks.
	+ will not be responsible for any costs or expenses incurred by the Supplier arising in any way from the preparation and submission of its Quote.
	+ accept no responsibility for a Supplier misunderstanding or failing to respond correctly to this RFQ.
	+ will not be liable for, or pay any expenses or losses incurred by any party, whether in the preparation of a Quote or prior to the signing of any Agreement (if applicable) or otherwise and
	+ will not be bound by any verbal advice given or information furnished by any member, officer, or agent of the Council in respect of the Quote Documents or this RFQ but will only be bound only by written advice provided by the Authorised Officer.
1. **COUNCIL’S RIGHTS**

The Council reserves the right to:

* amend, vary, supplement, or terminate this RFQ at any time.
* accept or reject any Quote, including the lowest price quote.
* negotiate with any service provider on all or any part of the Services to be supplied pursuant to this RFQ.
* postpone or abandon this RFQ.
* add or remove any Supplier.
* accept or reject any Quotes, whether or not they are Conforming Quotes.
* accept all or part of any Quote.
* negotiate or not negotiate with one or more Suppliers.
* discontinue negotiations with any Supplier and/or
* Include the Supplier’s names in Council reports and make them public. This may include the order of Suppliers based on quoted price but without the specific amount quoted.

# PART B - Specifications

Insert detailed specifications of the goods and/or services required to be undertaken

***DRAFTING NOTE:*** *[Insert Appendix details below should your Request for Quotation include further attachments providing information eg Drawings, Photographs or Plans]* ***DELETE THIS RED NOTE WHEN READ***

Appendix 1 – insert name of appendix

Appendix 2 – insert name of appendix

# PART C – Agreement Terms & Conditions

***DRAFTING NOTE****: In some instances, you may not require an Agreement and issue a Purchase Order only. Council should* ***always*** *generate a Purchase Order upon acceptance of a quote and execution of an Agreement and* ***always*** *prior to works commencing.* ***Delete RED note once read***

Refer Appendix insert number. – Draft Services Agreement.

AND/OR

A Purchase Order will be generated to the successful Supplier.

# PART D – Response Schedules

### The Supplier must include the following as part of their completed quotation to Council and complete the associated responses as below:

***DRAFTING NOTE:*** *Please include any of the clauses/tables below and delete the ones not applicable. Also, include any clauses/tables that you require details from the Supplier below.* ***Delete note once read.***

1. **Implementation Schedule and Methodology**

Implementation Schedule

|  |
| --- |
| Suppliers must provide a comprehensive project plan (Gantt chart) that encompasses all activities as outlined under Part B - Specifications, including timelines for each activity from Agreement execution to the Agreement completion date. |
|  |

Methodology

|  |
| --- |
| Suppliers to provide a summary of their methodology for the services and details of their understanding of what the Project encompasses.  |
|  |

1. **Key Personnel**

|  |
| --- |
| **Lead Auditor and Staff** |
| Provide details of the following:* Number of staff proposed to be used and their qualifications and experience including the nomination of:
	+ a Lead Auditor to oversee delivery of the Services and undertake functions set out in this Specification;
	+ a person to act as Lead Auditor in the event of a long-term absence (to ensure continuity of service delivery) and
	+ other proposed Authorised Personnel to be involved in delivery of the Services as part of the Audit Team.
 |

Services **must** be provided by the Supplier and **cannot** be subcontracted.

|  |  |  |
| --- | --- | --- |
| **Specified Personnel**  | **Key Roles/Responsibilities** | **Qualifications, Skills, and Experience**  |
| (Insert response in table or provide as an attachment, résumés may also be attached and marked “Schedule 6 – Lead Auditor” in lieu of completion of Column 3) |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

**NOTE**: If successful, the Supplier must submit details and seek approval from the Council prior to changing any project key personnel.

1. **Audit Approach and Methodology**

|  |
| --- |
| **Methodology Proposed - Audit** |
| Suppliers must provide a detailed methodology to complete the Audit as required under the Act and Regulations, including the following:* Timing and frequency of on-site and off-site work.
* Number of hours.
* Level of staff which will be assigned for the level of Audit work to be undertaken.
* Specific details of technical skills in undertaking such an audit in a well-developed computerised environment.
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| --- |
| **Methodology Proposed – Internal Control Audit** |
| Suppliers must provide a detailed methodology to complete the Internal Control Audit as required under the Act and Regulations, including the following:* Timing and frequency of on-site and off-site work.
* Number of hours.
* Level of staff and relevant technical skills including IT which will be assigned for the level of Audit work to be undertaken.
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| **Project Timelines** |
| Each Tenderer must provide details on your organisations ability to commit to response times and other performance related factors and ensure that those undertakings are adhered to during the Audit process.Tenderers shall provide a comprehensive project programme that encompasses all activities required (including contingencies) and timelines for each activity from Agreement execution to the Agreement ‘completion date’ (with the critical path clearly highlighted).Programme to include working days and hours of work. |
|  |

1. **Handover from Previous Auditors**

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| The Auditor should include in their proposal the process to be adopted to ensure a smooth and efficient handover with the previous Auditors. In addition, the proposal should also include any additional audit procedures that will be undertaken for Year 1 such as an audit of the opening balances, etc. |
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|  |

1. **Contingencies**

|  |
| --- |
| Suppliers to provide details of contingency arrangements should any of your facilities, or sites, required to facilitate the Services becomes unavailable in the short and long term, or any key personnel resign, or breakdown in critical plant and equipment |
|  |

1. **Referees**

The Supplier is required to provide information on past agreements, including referees. Referees may be contacted regarding the provision of Services offered in the Supplier’s response. The Supplier must provide the information requested in the tables below for three (3) agreements for the provision of Services of a similar nature to those detailed in the Specifications undertaken in the last three (3) years or current. The Referees are **not** to be current employees of the Council or the Council itself.

|  |  |
| --- | --- |
| **Referee #1** |  |
| Client Name: |  |
| Address: |  |
| Contact Name & Position Title: |  |
| Telephone: |  | Email: |  |
| Period of Service Delivery: |  | Value of Services (ex GST) | $ |
| Relevance to Project: |  |
| **Referee #2** |  |
| Client Name: |  |
| Address: |  |
| Contact Name & Position Title: |  |
| Telephone: |  | Email: |  |
| Period of Service Delivery: |  | Value of Services (ex GST) | $ |
| Relevance to Project: |  |
| **Referee #3** |  |
| Client Name: |  |
| Address: |  |
| Contact Name & Position Title: |  |
| Telephone: |  | Email: |  |
| Period of Service Delivery: |  | Value of Services (ex GST) | $ |
| Relevance to Project: |  |

1. **Value Added Services**

|  |
| --- |
| Suppliers to provide details of any other benefits you can offer to improve the level of service or value of your Quote |
|  |

1. **Improvement & Innovations**

|  |
| --- |
| Suppliers are encouraged to detail suggestions and/or alternate proposals that are innovative and offer increased benefits to the Council. Below are some suggested categories:* Cost Savings (must be stated in $ terms).
* Improvements to Work Health and Safety.
* Improved Quality.
* Reduction in Environmental Impacts.
* Improved Customer Service.
* Reduction of Risk.

Suppliers are also encouraged to suggest other categories.**NOTE:** Cost Savings offers may be considered as alternatives when finalising the contracted price. |
|  |

1. **Timeframe**

|  |  |  |
| --- | --- | --- |
|  | Yes | No |
| Services are required to be provided by insert date eg 18 October 2023. Please confirm whether this timeframe is achievable? | [ ]  | [ ]  |
| *If no, please provide brief details.* *(Provide details/reasons of why the timeframe for the provision of the Services cannot be achieved and any alternative timeframe)* |
|  |
|  |

1. **Pricing**

**All prices must be listed exclusive of GST.**

This pricing:

* Will not be subject to variation except where provided in the Conditions of Agreement.
* Must be inclusive of all administrative costs and associated overheads and conforms to the requirements of the Proposal.
* The price submitted is to be a Fixed Lump Sum and must include all charges associated with the project, including but not limited to consultancy fees, travel/accommodation charges, meeting attendance if required by Council, administration / management fees etc.
* Will be used for the purpose of assessing progress claims and as the basis for negotiation of variations under an agreement.
* Must be in Australian Currency.
* **Pricing that has not been included in the quoted price may not be approved for payment by the Council without full justification and final approval at the discretion of the Council. It is therefore essential that all possible charges are listed within the quoted price below.**

**Drafting Note** – Schedule of Prices can also be provided via an **Excel Spreadsheet** If using a spreadsheet insert here Refer Attached Pricing Schedule – insert name of project. **[Delete RED text once read]**

**Fixed Price – Table A**

|  |  |
| --- | --- |
| **FIXED PRICE FOR PROVISION OF THE SERVICE – YEAR ONE ex GST** |  $ **ex GST** |

**Breakdown of costs for services - Table B**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **FY 23/24** | **FY 24/25** | **FY 25/26** | **FY 26/27** | **FY 27/28** |
| Financial Statements - Hours |  |  |  |  |  |
| Internal Financial Controls – Hours |  |  |  |  |  |
| Grant Acquittals - Hours |  |  |  |  |  |
| **Total Hours per annum** |  |  |  |  |  |
| **Other Fees & Disbursements**  |  |  |  |  |  |
| **TOTAL per annum (excluding GST) - $** | $ | $ | $ | $ | $ |

**Adjustment for any additional years of service – Table C**

|  |  |
| --- | --- |
| Is the Tenderer offering a fixed yearly price across the whole of the Contract | Yes / No |
| If ***NO,*** Tenderer to provide details of the proposed method of adjustment. Such method must be capable of objective assessment and calculation over time – eg percentage increase / CPI increase etc. Detail below: |

**Annual Pricing - Table D**

*Fees for completing the audit, in accordance with this specification*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **FY 23/24****Fixed price** | **FY 24/25** | **FY 25/26** | **FY 26/27** | **FY 27/28** |
| **Total per annum - $** | $ | $ | $ | $ | $ |
| **Adjustment method**  |  |  |  |  |  |
| **Estimated adjustment amount - $** |  | $ | $ | $ | $ |
| **Total per annum - $** | $ | $ | $ | $ | $ |

**Personnel – Table E**

*The tenderer is required to provide the proposed personnel who will be undertaking the audit services as per Table B below:*

|  |  |  |  |
| --- | --- | --- | --- |
| **Personnel** | **Proposed Hours** | **Hourly Rate $** | **Proposed $ of Total Hours Allocated** |
| Lead Auditor (Partner) |  |  |  |
| Manager |  |  |  |
| Senior Audit Officer |  |  |  |
| Audit Officers |  |  |  |
| Blended Rate |  |  |  |

**Additional Services pricing – Table F**

If the tenderer is required to provide any additional services in additional to those outlined in Section D, Part 3 including Section 130A of the *Local Government Act 1999*, or under sub-regulation 22 (2) of the *Local Government (Financial Management) Regulations 2011* :

Agreed hourly rate for additional services

|  |  |  |
| --- | --- | --- |
| **Personnel** | **Hourly Rate $** | **Proposed Increase in Hourly Rate - Future Years** |
| Lead Auditor (Partner) |  |  |
| Manager |  |  |
| Senior Audit Officer |  |  |
| Audit Officers |  |  |
| Blended Rate |  |  |

|  |  |
| --- | --- |
| **Any other fees and/or reimbursements for** **expenditure including but not limited to travel and/or accommodation.** | **Please specify** |
|  |  |

Please provide a full breakdown of the various components of the above Fixed Lump Sum:

**Quote Inclusions/Exclusions**

Supplier to provide details of all inclusions/exclusions in the tables below:

|  |
| --- |
| **Inclusions:** |

|  |
| --- |
| **Exclusions:** |

1. **Statement of Conformity**

If the Quote does not comply with all the requirements of the Quote Documents, the Supplier must list below all areas of non-conformity, partial conformity or alternative offer and the reasons therefore.

The Quote must be read to disregard and render void any area of the Quote which is non-conforming, partially conforming or an alternative offer except to the extent detailed in this Schedule.

If any non-compliance is determined to be unacceptable, the Quote may not be further considered.

NC = Non-conforming

PC = Partial conforming

AO = Alternate offer

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **No** |
| 1. Does the Quote conform to the requirements of the Quote Documents?
 | [ ]  | [ ]  |
| Does the Supplier request changes to the Draft Agreement provided as part of this Quote. | [ ]  | [ ]  |
| **PLEASE NOTE:** Changes will **not** be considered to the Draft Agreement after the Quote period has concluded should your Quote be successful.If your Quote does not conform, or you request changes to the Draft Agreement, please identify the areas of non-conformity/changes below: |
| **Area/Clause/Schedule of Non-conformity** | **Reason/Alternative Wording for Consideration by Council** | **NC/PC/AO** |
|  |  |  |
|  |  |  |

1. **Supplier Acknowledgement**

I/we having read, understood, and fully informed myself/ourselves/itself of the contents, requirements, and obligations of the RFQ, do hereby Quote to provide and complete the Services as described in the Specifications, as per the RFQ, in accordance with the Agreement Order for the amounts set out in the Quote Return Schedules.

I/we accept understand and agree this RFQ is not regarded as an order, agreement, or approval to initiate works.

The Supplier:

1. is subject to the terms and conditions set out in the Conditions of Quote.
2. irrevocably offers to perform the Services on the terms of the Agreement and the Specifications, as per RFQ, which form part of the Quote Documents subject only to the variations set out in Schedule insert Statement of Conformity schedule number above eg 11.
3. confirms that this Quote has been prepared without any consultation, communication, agreement, or other arrangement with any competitor regarding:
	1. prices or methods, factors or formulae used to calculate prices.
	2. the intention or decision to submit a Quote, or the terms of the Quote.
	3. the submission of a Non-Conforming Quote and
	4. the quality, quantity, specifications, or particulars of the Services.
4. Has sufficient resources to provide the Services required in the context of any other current and anticipated work commitments.
5. Confirms that its Quote takes into account conditions such as a pandemic which is declared by a Government Agency and measures are implemented by the Government Agency to address the pandemic, and the Tenderer has had regard to the knowledge of existence and impact of the Existing Conditions when entering into this RFT.
6. Confirms that any Addendums provided with this Quote have been reviewed and included in the Response.

The undersigned undertakes that if selected as the successful Supplier, I/we/it will execute and be bound by the Agreement in accordance with the Conditions of Quote.

I confirm I am duly authorised by the below named Company for the content and lodgement of this Request for Quotation submission.

|  |
| --- |
| **Supplier acceptance by:** |
| Company name: |  |
| Company representative: |  |
| Company Position/Title: |  |
| Phone: |  |
| Email: |  |
| Management Fee: | I acknowledge:* that the Management Fee has been allowed for in the prices specified in the Pricing Schedule together with all associated costs; and
* within fourteen (14) days after the end of each Reporting Period (ie quarterly), shall provide a Report (Sales Report) to LGA Procurement which reports the total amounts invoiced during that reporting period.
 |
| Signature: |  |
| Date: |  |

**Contractors Representative**

Should the Supplier be successful please nominate the Contractor’s Representative for Execution of the Agreement

|  |
| --- |
| **Contractor’s Representative:** |
| Company name: |  |
| Company representative: |  |
| Company Position/Title: |  |
| Phone: |  |
| Email: |  |

Please return this completed RFQ document with your quotation response via VendorPanel as a response to the RFQ.

# COUNCIL AUTHORISATION

|  |  |
| --- | --- |
| **Authorised by:** |  |
| Council Name: | Insert Council name |
| Council Officer: | Insert Council Officer name |
| Position: | Insert Council Officer’s position |
| Signature: | Insert signature |
| Date: | Insert date |