## Assessment Purpose

Hunter Water values partnering with suppliers that drive positive governance outcomes for our region as reflected in our Values, Strategy, Commercial & Procurement Policy, Procurement Procedure and Supplier Partnership Principles.

This assessment evaluates supplier contribution to Hunter Waters service delivery, and our local community in line with the following United Nations Sustainable Development Goals and Hunter Water Values:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **United Nations SDGs** | [SDG8 icon](https://www.undp.org/content/undp/en/home/sustainable-development-goals/goal-8-decent-work-and-economic-growth.html) | [Image result for un sdg icons](https://www.bing.com/images/search?view=detailV2&ccid=OcFzm5mM&id=14C5D572D9D13649435DACA5C7505DD1B77BA50E&thid=OIP.OcFzm5mMdMuqzwmlExZ0oQHaHa&mediaurl=http://www.entwicklung.at/fileadmin/user_upload/Fotos/Logos/SDGs/Englisch/16_Peace_and_Justice_Strong_Institutions.jpg&exph=1000&expw=1000&q=un+sdg+icons&simid=608016070430819306&ck=51B605A345D1FA599A13FD18BD9A969E&selectedIndex=137&FORM=IRPRST) | [Image result for un sdg icons](https://www.bing.com/images/search?view=detailV2&ccid=80EhiMiD&id=2CD4AF8ABD1AA9611835F363324E50E4F5F2EE3E&thid=OIP.80EhiMiD4UXh6OU_T2WejAAAAA&mediaurl=https://i0.wp.com/www.un.org/sustainabledevelopment/wp-content/uploads/2015/05/E_SDG_Icons-17.jpg?ssl%3d1&exph=466&expw=466&q=un+sdg+icons&simid=608007510458830031&ck=C439F9F92B6D33AB844C7ACF6C1E0C3F&selectedIndex=51&qpvt=un+sdg+icons&FORM=IRPRST) |  |  |
| **Hunter Water Values** | Wellbeing Value Icon - Reservoir 1.jpg | Trust Value Icon - Reservoir 1.jpg | Inclusion Value Icon - Reservoir 1.jpg | Leading Value Icon- Reservoir 1.jpg | Learning Value Icon - Reservoir 1.jpg |

The assessment will be used by Hunter Water to determine the level of maturity of a supplier across a range of financial and governance due diligence. Assessment scores may be used to:

* eliminate a supplier from progression in a competitive procurement process
* identify key suppliers Hunter Water will work with to improve due diligence practices
* review actual supplier performance in accordance with assessment results

## Assessment Context

Hunter Water is aware that individual suppliers will have varying operational contexts and procurement requirement will have different levels of risk and value. For this reason, we have selected a three-stage due diligence maturity assessment framework which allows for a progressive level of supplier maturity, dependant on the procurement activity. Assessment questions are aligned to Hunter Water values and the United Nations Sustainable Development Goals.

|  |  |  |
| --- | --- | --- |
| **Minimum** Due diligence practices require suppliers to demonstrate:   * Compliance to all relevant governing legislation * Formal process for control and management of organisation governance and financial risks. * Financial and governance performance is honestly and openly reported. * Financial and governance due diligence responsibilities are understood and documented. * Financial and governance systems have been developed and implemented across the Organisation. | Incorporating the **Minimum** due diligence requirements, suppliers meeting the **Progressing** evaluation requirements will also demonstrate:   * Financial and governance due diligence is a key consideration in the company’s corporate management system. * Financial and governance due diligence responsibilities and accountabilities are clearly defined, documented and implemented. * Financial and governance due diligence performance is measured, monitored and reviewed periodically. * The organisation promotes a positive governance culture. * The financial and governance risk profile of the organisation has been defined, and systems are utilised to identify, assess, control, and monitor risks. | Incorporating **Minimum** and **Progressing** requirements, suppliers meeting the **Leading** evaluation requirementswill also demonstrate:   * Financial and organisational governance is a key organisational priority and value. It is integrated into the organisations structures, systems and processes. * Financial and governance due diligence and accountability is clearly understood across the organisation. * A process of collaboration and lessons learnt is embedded in the organisation. * The organisations risk profile is clearly defined, reviewed and audited on a regular basis. * Risks are managed in a proactive manner and a high-risk mitigation strategy is in place. * Financial and governance due diligence is integral part of the organisations culture. |

## Completing the Assessment

The following table shows the parts of this document and completion requirements. The Hunter Water Project Manager will assign Minimum, Progressing or Leading per procurement activity:

|  |  |  |
| --- | --- | --- |
| Part | Supplier to complete? | Pre-requisite Part |
| **Part 1 Minimum** | Mandatory for all suppliers $50,000 or greater | No prerequisite Parts to be completed for Part 1 |
|
|
| **Part 2 Progressing** | Yes  No | Part 1 is a pre-requisite to Part 2, both parts must be completed |
|
|
| **Part 3 Leading** | Yes  No | Part 1 and 2 are pre-requisite parts to Part 3 and must be completed also |
|
|

# 

## Organisation Details

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Required Information** | | **Response** | | | | |
| **Registered Trading Name** | |  | | | | |
| **Any Trading or Business Names** | |  | | | | |
| **ACN** | |  | | | | |
| **ABN** | |  | | | | |
| **Corporate Structure** (please tick one or more as applicable) | ☐ Proprietary Company  ☐ Unlisted Public Company  ☐ Listed Public Company  ☐ Company Limited by Guarantee  ☐ Sole Trader  ☐ Partnership | | | ☐ Trust / unit Trust  ☐ Incorporated Association  ☐ Unincorporated Association  ☐ Other (please specify): | | |
| **Social Structure** | ☐ Certified Australian Disability Enterprise?  ☐ Registered Indigenous enterprise?  ☐ Small to Medium Enterprise? (between 1 – 199 Full Time Equivalent Employees)  ☐ Regional Supplier? (registered business address outside Newcastle, Sydney, Wollongong metropolitan area)  ☐ Local Supplier? (registered business address in the Newcastle Hunter Region)  ☐ Female Founded Supplier? (majority owned and led by women) | | | | | |
| **GST Registered** | | ☐ Yes  ☐ No | | | | |
| **ANZIC Code** (if relevant) | | ANZIC Code | | | ANZIC Classification Description | |
| **Number of Employees** | | Part Time | | | Full Time | |
| **Year of Business Operation** | |  | | | | |
| **Organisation Total Revenue** | | Last Financial Year | | | % of Revenue received from Hunter Water | |
| **List full names of Directors / Office Holders** | | Full Name | | | Position Title | |
|  | | |  | |
|  | | |  | |
|  | | |  | |
| **Business / Industry / Professional License** (if relevant) | | License Name | License Number | | | License Expiry |
| **Company Website** (if relevant) | |  |  | | |  |
| **Address of Registered Office** | |  | | | | |
| **Postal Address** (where different) | |  | | | | |
| **Telephone Number** | |  | | | | |
| **Fax Number** | |  | | | | |
| **Primary Contract** | | Name:  Title:  Direct Phone:  Mobile:  Email: | | | | |

## Declaration

I declare as an authorised agent of the organisation listed above that:

The organisation is solvent and able to meet its debts as they fall due;

There is no factor/s which could adversely impact the financial ability of this organisation to successfully perform the obligations proposed in this Tender;

That the information provided in this Schedule is true and accurate; and

I acknowledge that Hunter Water may, it its discretion, independently verify any or all of the following information relating to the organisation:

* financial viability of the organisation
* operating licenses
* professional memberships
* criminal, civil and regulatory breaches
* sanctions and disbarments

SIGNED for and on behalf of [INSERT ORGANISTION NAME] by its authorised signatory in the presence of:

|  |  |
| --- | --- |
| **SIGNATORY:** | **WITNESS** |
| **Name** (printed) | **Name** (block letters) |
| **Position:** |  |
| **Signature:** | **Signature:** |
| **Date:** | **Date:** |
|  |  |

| **PART A MINIMUM Supplier Due Diligence Assessment Questions** | |
| --- | --- |
| **Mandatory** | |
|  | |
| 1.1 | Has your organisation received any adverse findings from any anti-corruption agencies such as but not limited to ICAC?  Yes  No |
| *If so please provide detail addressing the following:*   * *What the incident was and when it occurred* * *Outcome of proceedings* * *Corrective measure(s)* |
| 1.2 | Has your organisation been prosecuted for any breach of the Corporations Act 2001 or other corporate legislation?  Yes  No |
| *If yes, please provide detail addressing the following:*   * *What the breach was and when it occurred* * *Outcome of proceedings* * *Corrective measure(s)* |
| 1.3 | Has your organisation or any employee in your organisation been banned or disbarred from any procurement processes due to any form of misconduct?  Yes  No |
| *If yes, please provide detail addressing the following:*   * *What the incident was and when it occurred* * *Corrective measure(s)* |
| 1.4 | Are there any of the following actions or proceedings, actual or threatened against your organisation, it’s directors, parent or associated entities currently or in the last 5 years?  ☐ Bankruptcy  ☐ Insolvency  ☐ Application to wind up  ☐ Other material proceeding – please state |
| *If Yes, please provide details.* |
| 1.5 | Is there any officer, employee, contractor and/or volunteer either in or associated with your organisation the subject of targeted financial sanctions under Australian sanctions law?  Yes  No |
| *If Yes, please provide details.* |
| 1.6 | Is the organisation currently in default of any agreement, contract order or award likely to adversely affect your financial capacity to provide the goods or services contemplated in this Tender? |
| *If Yes, please provide details.* |
| 1.7 | Are there any mergers / acquisitions in the last 12 months or pending? |
| *If Yes, please provide details.* |
| 1.8 | Does your organisation have the following policies in place:  Code of Conduct  Yes  No  Conflict of Interest  Yes  No  Delegations Policy  Yes  No  Gift Policy  Yes  No  Whistleblower Policy  Yes  No |
| *If Yes, please provide a copy.* |
| 1.9 | Does your organisation formally document governance responsibilities for employees to clarify individual obligations?  Yes  No |
|  | *If Yes, please provide evidence.* |
| 1.10 | Does your organisation have a system that manages licensing accreditation?  Yes  No |
|  | *If Yes, please provide evidence.* |
| 1.11 | Does your organisation have a system that manages Insurance certification?  Yes  No |
|  | *If Yes, please provide evidence.* |
| 1.12 | Does your organisation have a financial management system that manages spend in accordance with delegations?  Yes  No |
|  | *If Yes, please provide evidence.* |
| 1.13 | Does your organisation have a Business Continuity Management Plan or Policy?  Yes  No |
|  | *If Yes, please provide evidence.* |
| 1.14 | Does your organisation have an Incident Management Plan or Policy?  Yes  No |
|  | *If Yes, please provide evidence.* |
| 1.15 | Does your organisation identify and mitigated risks or threats to business operations from specific natural and non-natural events such as severe weather (localised flooding, bushfires etc.), loss of staff or power outages etc.  Yes  No |
|  | *If yes, please provide details below.* |
| 1.16 | Are all staff aware of the Business Continuity Plan, procedures and their roles and responsibilities within them?  Yes  No |
|  | *If yes, please provide details below.* |

|  |  |  |
| --- | --- | --- |
| **PART B PROGRESSING Supplier Due Diligence Assessment Questions** | | |
| **Mandatory or Non-Mandatory for this procurement?  Yes  No (Where Yes is checked – completion of this section is required)** | | |
| **Hunter Water Value** | |  |
| 2.1 | Does your organisation assess supply chain resilience risks?  Yes  No | |
| *If yes, please briefly describe below:* | |
| 2.2 | Have you identified your critical suppliers of goods and services, in order for your organisation to provide a service to Hunter Water? 🞏 Yes 🞏 No | |
| *Please provide details below.* | |
| 2.3 | Have you conducted business continuity training for your staff in the last 12 months?  Yes  No | |
| *If yes, please provide details below.* | |
| 2.4 | Does your organisation report on supply chain risks / resilience?  Yes  No | |
| *If so, please attached your current Business Continuity Plan and or Supply Chain Risk / Resilience Report for the last reporting period.* | |
| 2.5 | Does your organisation audit spend in accordance with delegations?  Yes  No | |
| 2.6 | Has your organisation tested or exercised the Business Continuity Plan?  Yes  No | |
| *Please provide the last test date and report.* | |
| 2.7 | Are copies of all vital documents and records readily available offsite or via remote access?  Yes  No | |
| *Please provide details below.* | |
| 2.8 | Does your organisation have staff assigned to undertake Business Continuity Management with clearly defined and documented roles and responsibilities?  Yes  No | |
| *Please provide details below.* | |

|  |  |  |
| --- | --- | --- |
| **PART C LEADING Supplier Due Diligence Assessment Questions** | | |
| **Mandatory or Non-Mandatory for this procurement?  Yes  No (Where Yes is checked – completion of this section is required)** | | |
| **Hunter Water Value** | |  |
| 3.1 | Does your organisation have a system for regular review, monitoring and optimisation of all management plans and policies?  Yes  N | |
| *If yes, please provide details of the review and optimisation process* | |
| 3.2 | Does your organisation undertake internal audits of finance and governance systems?  Yes  N | |
| *If yes, please provide details of the audit process including how any notices or actions are managed.* | |
| 3.3 | Does your organisation participate in independent external audits of finance and governance systems?  Yes  N | |
| *If yes, please provide details of the audit process including how any notices or actions are managed.* | |
| 3.4 | Does your organisation have a formal business strategy that considers the objectives of the business and sets targets for the objectives that are measured and communicated to staff?  Yes  N | |
| *If yes, please provide details of the strategy, any targets and how performance against objectives is measured.* | |
| 3.5 | Does your organisation have in place mechanisms in place to share your financial, governance and strategic performance beyond your organisation or with Hunter Water?  Yes  N | |
| *If yes, please provide details.* | |
| 3.6 | Does your organisation have in place a Whistleblower process that is confidential and available to employees, contractors, customers and the general public?  Yes  N | |
| *If yes, please provide details of the process and how issues are reviewed, reported and managed.* | |
| 3.7 | Does your organisation have a process to proactively seek customer satisfaction?  Yes  N | |
| *If yes, please provide details of the process and how the data collected is managed / actioned.* | |
| 3.8 | Do your organisation’s systems and practices comply with the ISO/AS 37001:2019 Standard on Anti Bribery Management Systems?  Yes  No | |
| *If yes, please provide evidence.* | |
| 3.9 | Do your organisation’s systems and practices comply with the AS 8001:2008 Standard on Fraud and Corruption Control?  Yes  No | |
| *If Yes, please provide evidence.* | |
| 3.10 | Is your organisation certified or complaint with ISO 22301:2012 Societal Security – Business Continuity Management Systems or similar?  Yes  No | |
| *If yes, please provide details below.* | |