

Supplier Engagement Plan

Introduction

Goulburn Broken Catchment Management Authority (GB CMA) is committed to partnering strategically with our suppliers to help GB CMA provide its services. The purpose of this document is to establish a plan for enhancing GB CMA's relationships with Suppliers to improve procurement outcomes.

Scope

This Supplier Engagement Plan (SEP) documents the processes, systems and communication approaches GB CMA will use to ensure the highest levels of trust and accountability in all dealings with its Suppliers. It encompasses keeping the market informed about supply opportunities, managing supplier relationships during the procurement process, and managing complaints and debriefs.

Supplier Engagement Objectives

The objectives of this document is to:

- improve transparency to suppliers of procurement-related information;
- detail the actions, processes and activities undertaken by GB CMA when engaging with suppliers
- make information on GB CMA procurement processes and key activities easily accessible to suppliers;
- encourage participation of small and medium enterprises (SMEs) and not for profit (NFP) organisations in government procurement;
- adopt new ways to engage with suppliers, for example, procedures for encouraging/managing innovation and market-based solutions;
- maintain good supplier relationships to improve contract performance and encourage ongoing efforts to seek improvements and to drive better value for money
- ensure all supplier engagement activities uphold the principles of probity, confidentiality, and security

GB CMA's expectation of suppliers

Goulburn Broken CMA engages with suppliers for the express purpose of delivering required service and deriving value for money. GB CMA expects that suppliers will collaborate with GB CMA to foster strategic partnerships that drive innovation and support excellence in care provision.

Suppliers are expected to:

- Conduct business with GB CMA in a fair, open and transparent manner.
- Inform themselves of and comply with the Victorian Government's [Supplier Code of Conduct](#), see Appendix II.
- Provide full lifecycle support, and
- Comply with the requirements as detailed on the supplier details form.

www.gbcma.vic.gov.au

SHEPPARTON Head Office

168 Welsford Street
PO Box 1752
Shepparton VIC 3632
Tel: (03) 5822 7700
Fax: (03) 5831 6254

BENALLA

89 Sydney Road
PO Box 124
Benalla VIC 3672
Tel: (03) 5822 7700

YEA

5/10 High Street
Yea VIC 3717
Tel: (03) 5797 4400

Informing suppliers for forward supply opportunities

GB CMA will, where possible, maintain a 12-18 month Forward Procurement Plan which will be publicly available on the GB CMA website. This plan will include details of the procurements planned, the proposed market approach and proposed timing (when known). This procurement plan will be updated at regular intervals and will include procurements valued at over \$150,000.

Informing suppliers for actual supply opportunities

Goulburn Broken CMA use Tenders Vic to manage all invitations to Supply events. We recommend supplier register with Tenders Vic to keep informed.

Where to go for other business support advice:

- Tenders Vic www.tenders.vic.gov.au
- Buying for Victoria www.buyingfor.vic.gov.au

Managing supplier relationships during the procurement process

Market engagement activities undertaken in the procurement process will be scaled to suit the complexity of each procurement project. Supplier engagement may include a combination of any of the following:

- Direct approach to suppliers
- Request for Quote (RFQ)
- Expression of Interest (EOI)
- Invitation to Supply (ITS)

Communication during the tender procurement process will include:

- Questions will be answered during an Invitation to Supply (ITS) via Tenders Vic and answers distributed to all respondents,
- Notification to all respondents (both successful and non-successful) of the outcomes of a procurement activity,
- All Suppliers will be encouraged to accept the offer of a debriefing session at the conclusion of tender procurement activities,
- All communications pertaining to an Invitation to Supply between suppliers and GB CMA will be managed by the employee managing the procurement.

Monitoring contract performance

Effective contract management is about developing a relationship with the supplier, communicating well, making decisions in a timely and consistent manner, acting reasonable and being proactive and responsible in resolving issues.

The GB CMA employee managing the contract will meet regularly with the supplier and maintain communication on a regular basis in accordance with the terms and conditions of the contract to understand how an agreement is operating by measuring performance against agreed KPIs and discussing opportunities for improvement.

It is essential that both parties to the contract understand their responsibilities and meet their obligations in accordance with the contract and any associated contract management plans or process maps and act within those limits. This includes understanding the remedies, dispute resolution mechanisms, performance tools and complaint procedures applicable to the contract.

Management of Complaints

Complaints are handled in a consistent, fair and transparent manner. GB CMA's complaints management process is below and is also available on the [GB CMA website](#).

1 – Lodging a complaint

To lodge a complaint regarding an aspect of the GB CMA procurement process, write to:

Corporate Program Manager

PO Box 1752, Shepparton, Vic, 3630

Or via email: reception@gbcma.vic.gov.au

2 – Complaint investigation process

Within 1 working day of receipt of the complaint, GB CMA will:

- Send written acknowledgment of the complaint.
- Record the complaint on the GB CMA register.

GB CMA will appoint the relevant Program Manager to investigate the complaint.

Within 10 working days of receipt of the complaint:

- The Program Manager will investigate the complaint.
- GB CMA will provide the complainant with a written response on the outcome of the complaint investigation.

If additional information is required, or the services of external parties are required to advise on elements of the complaint, there will be an extension of time. This will be based on the number of working days between the request for, receipt of and additional information and/or advice sought.

3 – Complaint Outcome

Once GB CMA has written to the complainant with the outcome, GB CMA will record the outcome in the complaints register. If the complainant disagrees with the outcome of the complaint, GB CMA may refer the complaint to the Victorian Government Purchasing Board (VGPB) for review.

If the complaint cannot be resolved to the satisfaction of both parties, GB CMA will inform the VGPB within 5 working days.

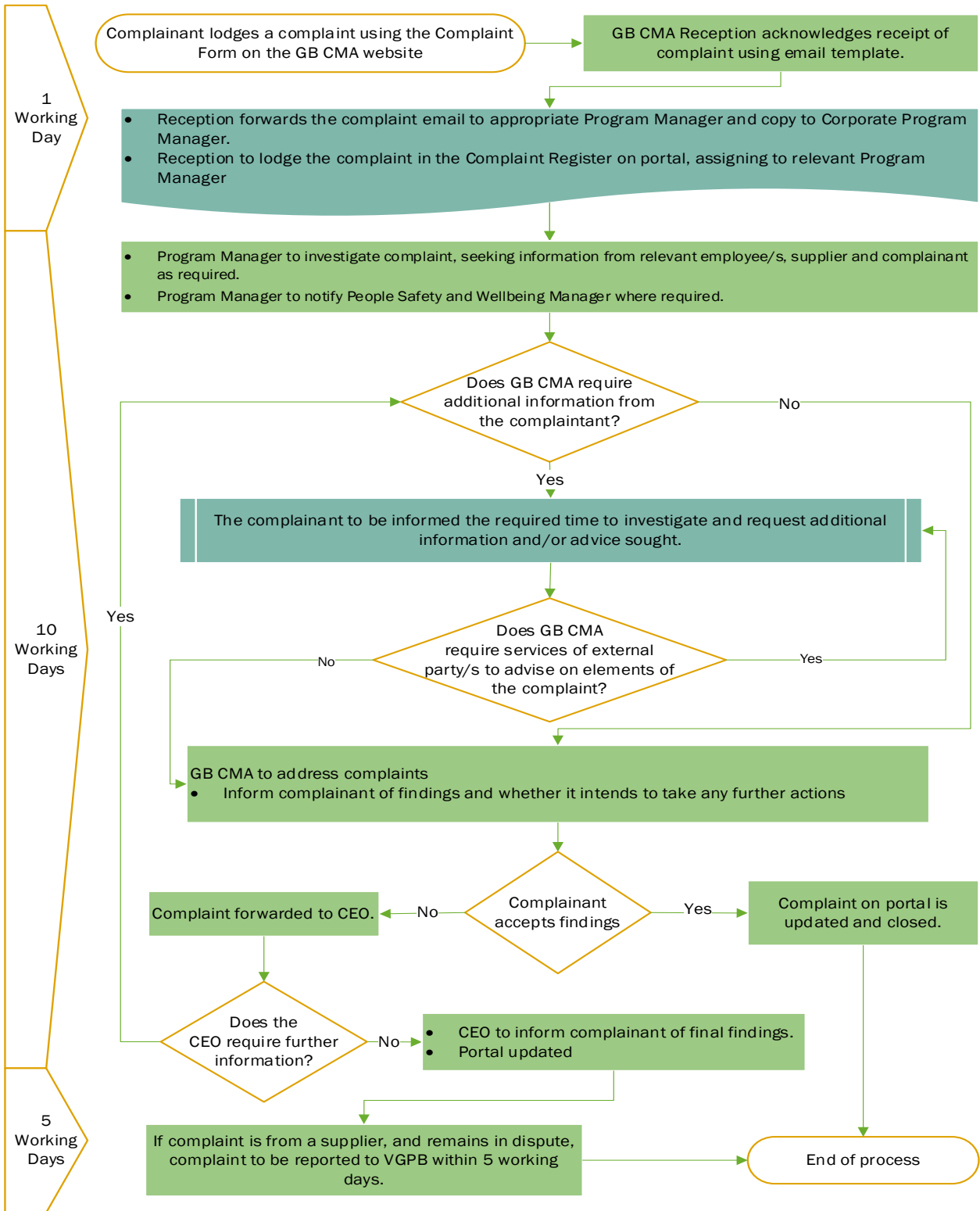
4 – Reporting Requirements

GB CMA will disclose in its annual report the following information in relation to each complaint received:

- The procurement activity to which the complaint relates
- The status of the complaint, confirming whether it:
 - Was resolved
 - Is still under investigation
 - Could not be resolved.

This information is further summarised in Appendix I.

Appendix I – Complaints Process



Appendix II – Supplier Code of Conduct



The Victorian Government (State) is committed to ethical, sustainable and socially responsible procurement and we expect the same high standards of our Suppliers. We view our Suppliers as partners and we care about the way they do business when providing goods or services, including construction works and services, to the State.

The Supplier Code of Conduct (Code) describes the minimum expectations in the areas of: integrity, ethics and conduct; conflict of interest, gifts, benefits and hospitality; corporate governance; labour and human rights; health and safety; and environmental management. Suppliers to the State are advised to review the Code and ensure that relevant areas of their business and supply chain meet these standards.

Application of this Code

The State seeks to work with its Suppliers to meet and exceed minimum expectations as outlined in this Code and continuously strives to improve the standard of its business practices. By Supplier, the State means any entity that supplies goods or services, including construction works and services, to the State. Where the Code refers to workers, it includes employees, contractors, agency and temporary staff of the Supplier and its related entities. Where the Code refers to the law it means the laws in the jurisdiction that apply where the goods are procured or services are performed. Fundamental to this Code is an expectation that all Suppliers operate in full compliance with all laws, rules and regulations of the jurisdictions in which they do business.

The expectations outlined in the Code are not intended to supersede or alter the Supplier's regulatory and contractual obligations. The State expects all existing and new Suppliers to commit to the Code. Suppliers should check their respective contracts, agreements and purchase orders as they may contain additional obligations or higher standards than those set out in this code.

The State expects Suppliers to communicate the Code to their related entities, Suppliers and subcontractors who support them in supplying goods and services to the State, so that they are aware of, understand and comply with the Code.

Reporting misconduct, unethical behaviour or suspected corruption

If a Supplier considers that another Supplier has deviated from or breached their obligations under this Code or that a State employee has breached Victorian Public Sector Codes (VPS Codes), it is expected to report these concerns to one of the following bodies:

- (a) in relation to other Suppliers, the relevant department or agency Chief Procurement Officer (CPO), or if there is no such appointed person then either the appointed manager under the contract or the primary State contact in relation to the goods or services or construction works and services being provided;
- (b) in relation to State personnel breaching VPS Codes or in relation to serious misconduct of State personnel, the relevant public body head or the Independent Broad-based Anti-corruption Commission; or
- (c) in relation to allegations of suspected corruption involving Suppliers or State personnel, to the Independent Broad-based Anti-corruption Commission.

Corrective action process

Suppliers are expected to self-assess their compliance with the Code and take timely action to correct any deficiencies or breaches reported or identified by an audit, assessment, inspection, investigation or review. Suppliers are encouraged to raise any concerns, discuss and seek clarification accordingly to any elements of the Code with the relevant department or agency CPO or if there is no such appointed person then the State manager under their contract or the primary State contact in relation to the goods or services or the construction works and services, they are providing. If requested by the State, Suppliers must provide evidence and confirmation of their compliance with the Code, including the provision of documents and records that support their compliance. Suppliers are expected to support the State in reviewing compliance with the Code.

A. Integrity, ethics and conduct

The State expects high standards of ethical conduct and compliance with all applicable laws. Suppliers are expected to be ethical in their business activities, including relationships, practices, sourcing and operations.

Business integrity

Suppliers are expected to comply with all anti-bribery, anticorruption and anti-money laundering laws. Suppliers must not engage in, either directly or indirectly, fraudulent, corrupt or collusive activities.

Record keeping and documentation

Suppliers are expected to maintain adequate records that accurately record all financial transactions and information regarding its business activities, labour, health and safety and environmental practices in accordance with applicable laws, policies and procedures. Disclosure of information is expected to be undertaken without falsification or misrepresentation.

Professional conduct

Suppliers are expected to conduct themselves in a manner that is fair, professional and that will not bring the State into disrepute.

Confidentiality

Suppliers must not improperly use any private, confidential or commercially sensitive information in its possession relating to or in connection with its dealings with the State.

Codes of Conduct for Victorian Public Sector employees

The VPS Codes (Code of Conduct for VPS Employees, Code of Conduct for Victorian Public Sector Employees of Special Bodies and Code of Conduct for Directors of Victorian Public Entities) describe the behaviours that exemplify the public sector values contained in the *Public Administration Act 2004*, that the State, and the community, expect of all public sector employees. The VPS Codes apply to, and are binding on, public sector employees, and a contravention may constitute misconduct. The public sector values are: responsiveness, integrity, impartiality, accountability, respect, leadership and human rights. Suppliers should respect these obligations in their dealings with public sector employees.

B. Conflict of interest; gifts, benefits and hospitality

The State believes that all business activities should be undertaken with impartiality and any conflict of interest should be raised and managed.

Conflict of interest

Suppliers must:

- (a) declare to the relevant department or agency CPO (or if there is no such appointed person, then the appointed State manager under their contract, or the primary State contact in relation to the goods or services or construction works and services being provided), any situation that raises an actual, potential or perceived conflict of interest related to or in connection with its dealings with the State; and
- (b) avoid financial, business or other relationships which may compromise the performance of their duties under their business arrangement with the State. Under the VPS Codes, public sector employees are expected to avoid actual, perceived and potential conflicts of interest wherever possible. Any conflicts of interest that cannot be avoided are expected to be declared and managed appropriately.

Gifts, benefits and hospitality

State personnel must:

- (a) conduct themselves with the highest standards of integrity, impartiality and accountability; and
- (b) perform public duties without favouritism, bias or for personal gain.

The appropriate handling of offers of gifts, benefits and hospitality is critical to earning and sustaining public trust. As such, Suppliers are expected not to:

- (a) offer State personnel gifts or benefits, either directly or indirectly, and offers of hospitality will be limited to token offers of basic courtesy (such as tea and coffee during a meeting); or
- (b) take any action in order to entice or obtain any unfair or improper advantage.

C. Corporate governance

Commitment to sound management administration, risk and corrective action systems, are key to a reliable supply chain for the State. Suppliers are expected to maintain sound administration processes.

Risk assessment and management

Suppliers should develop and maintain a process to identify, manage and control relevant risks associated with its operations. These include supply chain risks and risks relating to labour and human rights, health and safety, the environment, business ethics, and corporate governance.

Critical incident management

Suppliers should:

- (a) identify and assess potential critical incident, emergency situations and business continuity risks; and
- (b) develop and implement emergency plans and response procedures that minimise harm to life, environment and property, while minimising disruption to business continuity.

Audits and assessments

To ensure compliance with this Code and the applicable laws, Suppliers are expected to:

- (a) perform periodic evaluations of their facilities and operations, and the facilities and operations of their subcontractors; and
- (b) cooperate openly and honestly with any State audit, assessment or review.

D. Labour and human rights

The State believes that all workers in its supply chain deserve to be treated with dignity and respect. Suppliers are expected to provide a fair and ethical workplace, which upholds high standards of human rights and integrates appropriate labour and human rights policies and practices into its business.

Anti-discrimination

Subject to applicable laws, Suppliers are expected not to discriminate against any worker based on age, disability, ethnicity, gender, marital status, political affiliation, race, religion, sexual orientation, gender identity, union membership, or any other status protected by law, in hiring and other employment practices.

Anti-harassment

Suppliers are expected to commit to a workplace free from workplace bullying, harassment, victimisation and abuse. Suppliers are expected not to bully workers or threaten workers with, or subject them to, unlawful or inhumane treatment. This includes, but is not limited to, abuse and harassment which can be verbal, physical, sexual or psychological.

Human rights

Suppliers are expected to provide goods and services in a manner consistent with any applicable human rights obligations.

Prevention of involuntary and underage labour

Suppliers are expected to:

- (a) ensure that all work is undertaken without coercion;
- (b) not use any form of forced, bonded or indentured labour; and
- (c) employ only workers who are the applicable minimum legal age.

All use of temporary and outsourced labour should be within the limits of the law. Suppliers are therefore expected to:

- (a) use all reasonable endeavours to ensure that the third-party recruitment agencies it uses are compliant with the provisions of this Code and applicable law; and
- (b) be responsible for payment of all recruitment-related fees and expenses in recruiting foreign contract workers either directly or through third party agencies.

Working hours, wages and benefits

Suppliers must:

- (a) follow all applicable laws and regulations with respect to wages, working hours and workers compensation insurance;
- (b) ensure that all workers receive their legally mandated minimum wages, benefits, superannuation, leave entitlements and time off for legally recognised holidays; and
- (c) pay workers' wages as required under applicable laws in a timely manner and not be expected to use wage deductions as a disciplinary measure. All overtime is expected to be reasonable and paid at the rate and in accordance with the applicable laws.

Freedom of association and collective bargaining

Suppliers are expected to freely allow workers to associate with others, form and join (or refrain from joining) industrial organisations or associations of their choice and bargain collectively, or engage in any lawful industrial activity without interference, discrimination, retaliation or harassment.

E. Health and safety

Worker health, safety and well-being is important to the State. Suppliers are expected to provide a healthy and safe work environment and integrate sound health and safety management practices into its business.

Workplace health and safety management

Suppliers must comply with all applicable laws relating to workplace health and safety.

Suppliers are expected to:

- (a) manage occupational health and safety hazards; and
- (b) provide workers with job-related training and consult with employees in relation to the provision of information and training.

F. Environmental management

The State is committed to promoting environmental responsibility. Suppliers are expected to minimise the environmental impact of their operations and maintain environmentally responsible policies and practices.

Environmental impacts

Suppliers must comply with all applicable laws and regulations relating to the environment, including any management and reporting obligations. Suppliers are expected to manage the environmental impact of their operations by:

- (a) ensuring the safe storage, transportation and disposal of hazardous substances including hazardous waste;
- (b) maintaining policies and practices for the efficient use of energy, water and natural resource consumption; and
- (c) maintaining policies and practices that reduce the risk of pollution, loss of biodiversity, deforestation, damage to ecosystems and greenhouse gas emissions