



Australian Government

AusAID

28 November 2009

Request for Tender Capability Statement

Australia-Africa Partnerships Facility

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REQUEST FOR TENDER

Australia-Africa Partnerships Facility

AusAID is seeking statements from organisations interested in providing services for the *Australia-Africa Partnerships Facility* (the “**Project**”). If your organisation (the “**Organisation**”) chooses to lodge a statement (the “**Capability Statement**”) setting out the Organisation’s capability to provide services required for the Project (the “**Services**”) it must be submitted on the terms of this document and the attached parts (together referred to as the “**Request for Tender**” or “**RFT**”).

No pricing information should be included in the Capability Statement as no price assessment will be made at this stage.

STRUCTURE OF THE RFT

The RFT is separated into two (2) parts. **Part 1** details the Project Specific Capability Statement Conditions. **Part 2** details the Standard Capability Statement Conditions.

Organisations submitting Capability Statements are encouraged to fully inform themselves of the Capability Statement Conditions (both Project Specific and Standard) when preparing their statements and to make any enquiries before the enquiry closing time, referred to in **Clause 8, Part 2**.

AusAID will select from those Organisations submitting Capability Statements a shortlist of Organisations that will be asked to provide detailed proposals for the Services. Your Organisation will be advised by AusAID whether it has been shortlisted.

This RFT supersedes any other information or advice provided by AusAID in relation to the Services.

AusAID Contracts Charter

AusAID has published a Contracts Charter describing AusAID’s approach to contracting aid activities, expectations of contractors and what contractors may expect from AusAID. Tenderers are encouraged to access and inform themselves of the Charter which is available on URL:

<http://www.ausaid.gov.au/business/pdf/charter.pdf>

PART 1 – PROJECT SPECIFIC CAPABILITY STATEMENT CONDITIONS

1. CAPABILITY STATEMENT PARTICULARS

Closing Time:

(Clauses 8.9 and 8.12, Part 2)

2.00pm local time in Canberra
Australian Capital Territory, Australia,
Tuesday, 2 February 2009.

Mode of Submission:

(Clause 8.1, Part 2)

Either:

- Electronically, via AusTender at <https://tenders.gov.au> before the tender **Closing Time**;

or

- in hard copy, by depositing by hand in the Canberra Tender Box before the tender **Closing Time**.

Electronic Tender Lodgement

Address:

(Clause 8.9, Part 2)

Via AusTender at <https://tenders.gov.au>

Canberra Tender Box Address:

(Clause 7.43, Part 2)

Tender Box, Ground Floor, AusAID,
255 London Circuit, Canberra ACT 2601, AUSTRALIA.

File Format for Electronic Tenders:

(Clause 6.3, Annex C to Part 2)

PDF (Portable Document Format)

Business Hours

for hard copy lodgement:

(Clause 8.13, Part 2)

Monday to Friday, 8.30 am to 5.00 pm
local time in Canberra, Australian Capital Territory, Australia
Excluding Public holidays.

Number of Copies of Capability Statement:

(Clause 7.6, Part 2)

For electronic lodgement

- One (1) electronic copy.

For hard copy lodgement:

- One (1) Original (marked “Original”) plus # 4 copies.
- One (1) CD containing pdf files of the hard copy documents.

Endorsement of Hard Copy Capability Statements:

(Clause 8.14, Part 2)

“Capability Statement for the Australia-Africa Partnerships Facility.”

Contact Person:

(Clause 8.1, Part 2)

Pip Armstrong

Contact fax: + 61 (0)2 6206 4885

Email address: AfricaFacility@ausaid.gov.au

Page limits:

(Clauses 13.1(e) & 14.2, Part 2)

Capability Statement **10 pages** plus annexes and financial information.

Information:

The following document is attached:

- Australia-Africa Partnerships Facility Design Document
– 26 November 2009

The documents are available from the AusTender website: <https://www.tenders.gov.au/>

2. INDUSTRY BRIEFING

2.1 AusAID intends to hold two (2) industry briefings at the following times:

- (a) 9:30am local time in **Canberra**, ACT, Thursday **10 December 2009** in **Room GR5, AusAID House, 255 London Circuit**; and
- (b) 9:30am local time in **Pretoria**, South Africa, Tuesday **15 December 2009**. The venue in Pretoria will be advised either by an addenda to this RFT or by notification to organisations registering to attend.

2.2 Tenderers planning to attend the industry briefing are requested to send advanced notification by email, indicating the name of the organisation and the number of people planning to attend, to **Pip Armstrong**, at AfricaFacility@ausaid.gov.au by COB Tuesday 8 December 2009 (for the Canberra briefing) or COB Friday 11 December 2009 (for the Pretoria briefing).

3. CAPABILITY STATEMENTS

3.1 The Capability Statement must contain all information required in the following format:

- (a) that substantively and individually addresses the selection criteria provided in **Clause 4 of this Part**; and
- (b) includes the required annex(es) included in **Clause 5 of this Part**.

4. SELECTION CRITERIA

4.1 The following criteria will be used to establish the short list on the basis of technical merit:

(A) Strategic understanding of the Australia-Africa Partnerships Facility [40%]

Tenderers must demonstrate:

- a) strategic understanding of the Australia-Africa Partnerships Facility, its goal and objectives, key principles and stakeholders and the role of the Managing Contractor in achieving these; and
- b) an understanding of the Australia-Africa Partnerships Facility Design Document (PDD) by providing a critique of its strengths and weaknesses as well as suggestions for improvement or alternatives ideas.

(B) Organisational ability to deliver the requirements of the Australia-Africa Partnerships Facility [40%]

Tenderers must demonstrate that they have:

- a) have proven management and administrative capability to deliver a program like this especially regarding financial management, planning, administration, logistics and coordination in supporting the facility;
- b) have appropriate organisational strength to support both large and complex activities as well as smaller niche activities in diverse locations in many countries, preferably in Africa, with a wide range of partners, sometimes at short notice;
- c) have the ability to support and manage a large and diverse team of people in multiple locations; and
- d) can comply with all relevant Australian Government legislation and meet all relevant AusAID policies when delivering activities.

(C) Understanding of capacity building [20%]

Tenderers are required to articulate their approach to capacity building:

- a) when working with partner governments and other implementing partners; and
- b) when working with technical advisers.

TOTAL [100%]

5. ANNEXES

Annex 1 – Past Experience Forms

Details of relevant activities or projects in which the Organisation has been involved which demonstrate the Organisation's ability to fulfil the objectives of the Project. This annex must not contain more than **three (3)** examples and details of each activity must not exceed one (1) A4 page. The information must be presented in the format identified below:

PAST EXPERIENCE FORM

Activity Name:			
Activity Value:			
Activity Location(s):			
Activity Duration			
Client/Donor:			
Year Completed:			
Brief description of the activity and the Organisation's role:			
Brief description of activity outcomes:			
Statement of the similarities between this activity and the requirements of the activity currently being tendered and how this activity supports your statements addressing the Statement of Service Capabilities:			
Nominated Activity Referees:			
1. Name:		2. Name:	
Address:		Address:	
Email:		Email:	
Phone:		Phone:	

AusAID reserves the right to verify the accuracy of information with such persons as AusAID may choose.

Organisations must provide information in the Referees section of the Past Experience Forms in accordance with **Clause 14, Part 2**.

6. FINANCIAL ASSESSMENT

No Contract will be entered into unless AusAID has satisfied itself of the financial capacity of the Tenderer to undertake the contractual obligations. In this regard, AusAID requires that each Tenderer provide information on its financial status. Two options are available.

Option 1

This option is mandatory for:

- (a) those Tenderers who have not been subject to a financial assessment by AusAID in the 12 months preceding the date of release of this Tender; or

- (b) those Tenderers who have been subject to a financial assessment by AusAID within the 12 months preceding the date of release of this Tender who have experienced a material change in financial position since the last financial assessment was completed by AusAID; or
- (c) those Tenderers who have finalised their latest annual financial statements since the Tenderers last financial assessment by AusAID.

Under this Option 1, Tenderers must provide details of the following:

1. The name of the tendering entity and its ultimate owner(s).
2. The names and financial relationships between the tendering entity, its parent entity (if relevant) and other related entities within the group.
3. The previous three years' annual financial statements for the tendering entity. These annual financial statements must be prepared in accordance with Generally Accepted Accounting Standards applicable to the Tenderers country of residence (audited if available). The annual financial statements for each year must include:
 - a) a balance sheet;
 - b) a profit and loss statement; and
 - c) a cashflow statement

each prepared on an accrual accounting basis.

An auditor's statement of financial viability or short form financial statements are not acceptable.

4. Contact name and telephone number of the Tenderer's financial accountant.
5. A statement detailing any other tendering opportunities being pursued by the tendering entity or the group and the likely impact of such tendering opportunities on the financial capacity of the Tenderer to discharge its contractual obligations to AusAID associated with this RFT.

Option 2

This option may be considered by a Tenderer where:

- (a) a Tenderer has been subject to an AusAID financial assessment in the previous twelve months, except where the Tenderers latest annual financial statements have been finalised since the last financial assessment by AusAID; and
- (b) the Tenderer can demonstrate to the satisfaction of AusAID that their financial circumstances have not materially changed since the time of the previous financial assessment.

Tenderers who consider that they may qualify for Option 2 must provide the following information:

1. The date of its most recent financial assessment and the name of the tender for which this assessment was undertaken;
2. An explanation of why a Tenderer believes a further financial assessment is not warranted; and
3. A Statutory Declaration declaring that the Tenderer's financial position has not altered materially since the date of the previous assessment.

Where a Tenderer considers itself exempt from the need to provide the full financial information (Option 1) and chooses instead to supply the information in Option 2, AusAID reserves the right to subsequently require the Tenderer to provide the information required in Option 1.

A Tenderer must respond to either Option 1 or Option 2 to satisfy the requirements of this Tender.

Tenderers should be aware that AusAID may wish to contact the nominated financial accountant to obtain further information to assess the financial capacity of the Tenderer to undertake the Contract.

AusAID reserves the right to engage appropriate external expertise to assist with the analysis of the financial information. A report on the financial capacity of the Tenderer to undertake the Contract may be provided to either the delegate or the TAP.

The financial information of Tenderers will be treated confidentially.

PART 2 – STANDARD CAPABILITY STATEMENT CONDITIONS

Bolded words are defined in **Clause 1, Part 1** (Capability Statement Particulars) of this RFT.

7. LODGEMENT OF CAPABILITY STATEMENTS

7.1 Capability Statements must be lodged either:

- (a) Electronically, via AusTender at <https://tenders.gov.au> before the **Closing Time** and in accordance with the tender lodgement procedures set out in **Annex C** to this Part and on AusTender; or
- (b) Physically, by depositing by hand in the Canberra Tender Box before the **Closing Time**.

7.2 AusAID's preference is for electronic lodgement of Capability Statements. However, if electronic lodgement is not possible, you may lodge a hard copy of your Capability Statement instead.

7.3 Organisations must include all information specified in this RFT in their Capability Statement. Organisations accept that their failure to provide all information required, in the format specified will result in their Capability Statement being considered as a non-conforming Capability Statement and liable to rejection.

7.4 All documentation submitted in the Capability Statements must be in English.

7.5 Capability Statements submitted by email or facsimile will not be considered

7.6 Organisations must submit the number of copies specified in the Capability Statement Particulars (**Clause 1 of Part 1**). Different numbers of copies may be required for hard copy lodgement and for electronic lodgement.

7.7 A person or persons having authority to lodge the Capability Statement and enter into a contract on behalf of the Organisation must sign the Capability Statement Declaration (**Annex B of this Part**) and submit the completed form along with the Capability Statement.

7.8 AusAID may extend the **Closing Time** at its sole and absolute discretion, and will issue an Addendum notifying any decision to extend.

Conditions Applying to Electronic Capability Statement Lodgement

7.9 Electronic Capability Statements must be lodged electronically via the Australian Government Tender System, AusTender, at <https://www.tenders.gov.au> before the **Closing Time** and in accordance with the tender lodgement procedures set out in **Annex C of this Part** and on AusTender.

7.10 Where there is any inconsistency between the tender lodgement procedures set out on AusTender and those set out in this RFT, this RFT will prevail.

- 7.11 Capability Statements not submitted in accordance with **Clause 7.9** will be excluded from evaluation.
- 7.12 It is the responsibility of Organisations to ensure that their infrastructure including operating system and browser revision levels meet the minimum standards as defined on AusTender. Neither AusAID nor the Commonwealth takes any responsibility for any problems arising from tenderers' infrastructure and/or Internet connectivity.

Conditions Applying to Hard Copy Capability Statement Lodgement

- 7.13 For hard copy lodgement, the Organisation is responsible for the delivery of their Capability Statement. The Capability Statement must be placed in AusAID's **Canberra Tender Box**. The Capability Statement must be delivered during **Business Hours** by the **Closing Time**. Failure to submit a Capability Statement in accordance with this clause may render the Capability Statement liable to rejection.
- 7.14 The Original Capability Statement document and any copies requested should be bound using a plastic comb binding, and should contain no plastic page separators.
- 7.15 The Capability Statements should be endorsed with the name of the Project and marked: "Tender Box: Attention **Contact Person**."

8. ENQUIRIES

- 8.1 Any enquiries that Organisations may have must only be directed to the **Contact Person**.
- 8.2 If an Organisation:
- (a) finds any discrepancy, error or omission in the terms and conditions of the RFT; or
 - (b) wishes to make any enquiry, including seeking clarification, of the RFT,
- the Organisation must notify the **Contact Person** in writing, which notice may be sent by means of facsimile transmission or email, as soon as possible and not later than 14 days prior to the **Closing Time**.
- 8.3 AusAID will respond to any Organisation enquiries no later than 7 days prior to the **Closing Time**.
- 8.4 AusAID reserves the right to issue or publish answers to any Organisation's enquiries to all Organisations.

9. LATE CAPABILITY STATEMENTS

Conditions Applying to Capability Statements Lodged Electronically

- 9.1 A Capability Statement lodged electronically is a **Late Capability Statement** in accordance with the conditions specified in **Clause 6, Annex C of this Part**. Late Capability Statements that have been lodged electronically will be excluded from evaluation.

- 9.2 For Capability Statements submitted electronically, the time displayed on AusTender is deemed to be the correct time and will be the means by which AusAID will determine whether Capability Statements lodged electronically have been lodged by the Closing Time.
- 9.3 The judgement of AusAID as to the time a Capability Statement has been lodged electronically will be final.

Conditions Applying to Capability Statements Lodged in Hard Copy

- 9.4 A hard copy Capability Statement lodged after the **Closing Time** is a late Capability Statement.
- 9.5 AusAID will admit to evaluation a hard copy Capability Statement that was received late solely due to AusAID mishandling. AusAID mishandling does not include mishandling by a courier or mail service provider engaged by an Organisation to deliver their Capability Statement. It is the responsibility of organisations to ensure that their Capability Statement is dispatched in sufficient time for it to be received by AusAID by the **Closing Time**.
- 9.6 Late hard copy Capability Statements that are rejected by AusAID will be returned to organisations unopened, except in cases where a Capability Statement must be opened to identify the return address of the Organisation or to establish which tender process the Capability Statements was for.
- 9.7 If a hard copy Capability Statement is taken to be late, the Organisation may be asked to provide explanatory evidence in an appropriate form to the **Contact Person** specified in the Capability Statement Particulars.

10. NON-CONFORMING CAPABILITY STATEMENTS

- 10.1 Capability Statements will be regarded as non-conforming if they fail to conform with one or more of the requirements of the RFT.
- 10.2 AusAID reserves the right to seek clarification of non-conforming Capability Statements.
- 10.3 AusAID may, at its absolute discretion, assess a non-conforming Capability Statement.
- 10.4 AusAID will not enter into correspondence about a decision to assess or reject a non-conforming Capability Statement.

11. AMENDMENT OF THE RFT

- 11.1 AusAID may amend the RFT at any time by issuing an Addendum. All conditions of this RFT will apply to Addenda. All Addenda will be available on AusTender.

12. ASSESSMENT OF CAPABILITY STATEMENTS

- 12.1 Capability Statements will be assessed by a Technical Assessment Panel (the “**TAP**”). The TAP comprises AusAID representative(s) and independent specialists appointed at AusAID’s sole discretion. Representatives of the Partner Government may also participate. The TAP will assess Capability Statements based on the selection criteria and information provided in the annex(es) specified in **Part 1**.

- 12.2 TAP members are required to maintain the “commercial-in-confidence” nature of the proceedings of the TAP meeting. TAP members must not discuss matters relating to the technical assessment of any Capability Statement with any party.
- 12.3 AusAID reserves the right to take into account in the assessment of Capability Statements the past performance of the Organisation or any proposed personnel contained in the Capability Statement in accordance with the **Annex(es) of this Part**. TAP members may adjust technical scores as a consequence of past performance.

13. **CAPABILITY STATEMENT FORMAT**

13.1 The Capability Statement must:

- (a) indicate the Organisation’s nominated contact person and contact details on the cover page;
- (b) be in a type font of no less than 12 point on A4 paper;
- (c) have left and right page margins of no less than 2.5 cm, and top and bottom page margins of no less than 3 cm, excluding headers, footers and page numbers;
- (d) not have the AusAID logo or any other representation or mark which may indicate that the Organisation is in any way related to or connected with AusAID; and
- (e) be no longer than the page limit detailed in the Capability Statement Particulars (inclusive of tables, diagrams or graphs), but exclusive of required annexes.

14. **REFEREES**

- 14.1 Organisations must nominate at least two (2) referees who can provide an objective assessment of the quality of relevant and recent work performed by the organisation (if using the Annex titled **Past Experience Forms**). Referees who can supply character references only are not sufficient.
- 14.2 Organisations must ensure that nominated referees do not have an actual or potential conflict of interest when acting as a referee. In particular, Organisations must ensure that referees:
- (a) are not an employee of, or the holder of a current executive office (or similar position) within the Organisation of, or do not have a business in association with, the Organisation or a subsidiary organisation of the Organisation;
 - (b) are not included in the Capability Statement as proposed team members; and
 - (c) are not AusAID employees.
- 14.3 Organisations must further ensure that nominated referees:
- (a) are available to be contacted in the 3 week period after the Closing Time; and
 - (b) are able to provide comments in English.

- 14.4 AusAID reserves the right to check with nominated referees and with other persons as AusAID chooses, the accuracy of the information and quality of work performed.

15. JOINT VENTURES AND CONSORTIUMS

- 15.1 AusAID intends to contract with a single legal entity.
- 15.2 In the case of a joint venture or consortium that does not constitute a single legal entity, AusAID will contract with the lead joint venture or consortium member that is required to be nominated by the tenderer.
- 15.3 Tenders by a joint venture or consortium must be submitted on the basis that details on the activities to be performed and responsibility assumed by each party of the joint venture or consortium must be clearly specified in the body of the text of the Capability Statement.
- 15.4 AusAID may require parent company guarantees from the parent companies of parties to a joint venture or consortium.

16. OWNERSHIP OF CAPABILITY STATEMENTS AND RFT

- 16.1 All Capability Statements become the property of AusAID on lodgement.
- 16.2 Such intellectual property rights as may exist in the information contained in each Capability Statement will remain the property of the Organisation.
- 16.3 The Organisation authorises AusAID to copy, adapt, amend, disclose, including to AusAID contractors and advisers, or do anything else necessary, in AusAID's sole discretion, to all materials including that which contains intellectual property rights of the Organisation or other parties contained in the Capability Statement.
- 16.4 Copyright in the RFT is reserved to AusAID.

17. AusAID'S RIGHTS

- 17.1 As a Commonwealth Government agency, all AusAID procurement is subject to the Commonwealth Procurement Guidelines. The core principle of Commonwealth procurement is to achieve value for money. AusAID is also bound to conduct its procurement in an ethical, accountable, transparent, efficient and effective manner.
- 17.2 AusAID reserves the right to:
- (a) seek Capability Statements from any organisation;
 - (b) accept or reject any Capability Statement;
 - (c) terminate, extend or vary its procurement process for the Services;
 - (d) request clarification in relation to a Capability Statement;
 - (e) seek information or negotiate with any Organisation that has not submitted a Capability Statement;

- (f) terminate negotiations with the preferred Organisation and commence negotiations with any other Organisation;
- (g) evaluate Capability Statements as AusAID sees appropriate; and
- (h) negotiate with any one or more Organisations.

18. ORGANISATION'S ACKNOWLEDGEMENT

18.1 A Capability Statement is submitted on the following basis:

- (a) no legal obligation or agreement whatsoever is intended to be or is created between AusAID and any Organisation by virtue of the Capability Statement process (including but not limited to statements contained in this RFT) unless and until contract negotiations are completed and a formal written agreement acceptable to AusAID is entered into and executed by an authorised officer of AusAID and by the successful Organisation, if any;
- (b) the Organisation acknowledges and agrees that AusAID, its employees, agents and advisers are not, and will not be responsible, or liable for the accuracy or completeness of any information contained in this RFT; and
- (c) the Organisation is responsible for all costs of and incidental to the preparation and delivery of the Capability Statement, including obtaining this RFT, or any subsequent stage of the procurement process, including answering any queries and providing any further information sought by AusAID.

19. DEBRIEFING OF ORGANISATIONS

- 19.1 If requested, AusAID will provide non-shortlisted Organisations with a written debriefing on the results of the technical assessment of their Capability Statement, including reasons why the organisation was not shortlisted.
- 19.2 AusAID will not enter into discussion or communications on the content of the Capability Statement debrief once it has been completed.

20. AUSTRALIAN GOVERNMENT AND AUSAID LAWS AND POLICIES

20.1 Freedom of Information

- (a) The *Freedom of Information Act 1982* gives members of the public rights of access to official documents of the Australian Government and its agencies. The *Freedom of Information Act 1982* extends, as far as possible, the right of the Australian community to access information (generally documents) in the possession of the Australian Government, limited only by considerations of the protection of essential public interest and of the private and business affairs of persons in respect of whom information is collected and held by departments and public authorities.
- (b) Tenderers should obtain, and will be deemed to have obtained, their own advice on the impact of the *Freedom of Information Act 1982* on their participation in this RFT process and any subsequent contract.

20.2 Privacy

- (a) The *Privacy Act 1988* establishes a national scheme providing, through codes of practice adopted by private sector organisations and the National Privacy Principles, for the appropriate collection, holding, use, correction, disclosure and transfer of personal information by private sector organisations.
- (b) The Draft Contract provides that the Contractor will comply with the *Privacy Act 1988*, including the Information Privacy Principles and the National Privacy Principles whether or not the Contractor is an organisation subject to the *Privacy Act 1988*.
- (c) The Contractor acknowledges that the Privacy Act 1988 reflects the principles of the International Covenant on Civil and Political Rights and OECD Guidelines, in particular, the OECD Guidelines on the Protection of Privacy and Transborder Flows of Personal Data.
- (d) Tenderers should obtain, and will be deemed to have obtained, their own advice on the impact of the *Privacy Act 1988* on their participation in this RFT process and any subsequent contract.

20.3 Access by Australian National Audit Office

- (a) Attention of Tenderers is drawn to the *Auditor-General Act 1997* which provides the Auditor-General, or an authorised person, with a right to have, at all reasonable times, access to information, documents and records.
- (b) In addition to the Auditor-General's powers under the *Auditor-General Act 1997*, the Draft Contract provides that the Contractor will provide the Auditor-General, or an authorised person, access to information, documents, records and agency assets, including those on the Contractor's premises. Such access will apply for the term of the contract and for a period of seven years from the date of expiration or termination.
- (c) Tenderers should obtain, and will be deemed to have obtained, their own advice on the impact of the *Auditor-General Act 1997* on their participation in the RFT process and any subsequent contract.

20.4 Access by Ombudsman

- (a) Attention of Tenderers is drawn to the *Ombudsman Act 1976* which gives Australians access to a government officer, known as an ombudsman, who investigates complaints from the public about government agencies and their operations and decisions, and reports on ways in which they may be resolved.
- (b) In addition to the ombudsman's powers under the *Ombudsman Act 1976*, the Draft Contract provides that the Contractor will provide the ombudsman, access to information, documents, records and agency assets, including those on the Contractor's premises. Such access will apply for the term of the contract and for a period of seven years from the date of expiration or termination.

- (c) Tenderers should obtain, and will be deemed to have obtained, their own advice on the impact of the *Ombudsman Act 1976* on their participation in the RFT process and any subsequent contract.

20.5 Equal Employment Opportunity for Women in the Workplace Act 1999.

- (a) Australian Government policy prevents AusAID from entering into contracts with suppliers who are currently named as non compliant under the *Equal Employment Opportunity for Women in the Workplace Act 1999* (EEO Act).
- (b) AusAID will exclude from consideration any Tender from a Tenderer who is named or whose subcontractor is named as not complying with the EEO Act.

20.6 United Nations Act, Criminal Code Act 1995 and World Bank List

- (a) AusAID will exclude from consideration any Tender from a Tenderer who is listed:
- (b) by the Minister for Foreign Affairs under the *Charter of the United Nations Act 1945* and/or listed in regulations made under Division 102 of the *Criminal Code Act 1995* (Cth). Further information about listed persons and entities is available from the Department of Foreign Affairs and Trade website at www.dfat.gov.au/icat/UNSC_financial_sanctions.html and from <http://www.nationalsecurity.gov.au/>
- (c) by the World Bank on its “Listing of Ineligible Firms” or “Listings of Firms, Letters of Reprimand” posted at www.worldbank.org (the “World Bank List”) and/or any similar list maintained by any other donor of development funding.

20.7 Other Australian Government and AusAID Policies

- (a) Tenderers should familiarise themselves with AusAID policies including:
 - (i) the policy *Gender Equality in Australia’s Aid Program – Why and How* (March 2007). This document is available on AusAID’s website at <http://www.ausaid.gov.au/publications/default.cfm>;
 - (ii) AusAID’s policy on the environment as set out in the *Environmental Management Guide for Australia’s Aid Program*. This document is available on AusAID’s website at <http://www.ausaid.gov.au/keyaid/envt.cfm>.
 - (iii) AusAID’s *Child protection policy*, in particular the child protection compliance standards at Attachment 1 to the policy. This document is available on AusAID’s website at <http://www.ausaid.gov.au/publications/default.cfm>.

and any other policies published from time to time on <http://www.ausaid.gov.au> or as otherwise notified to Tenderers.

21. FURTHER REQUIREMENTS

- 21.1 Organisations must be aware that current employees of AusAID cannot be included in Expressions of Interest for AusAID activities or assist in their development. Former AusAID employees may be included in Expressions of Interest if doing so does not represent a conflict of interest.
- 21.2 Organisations should note that the *Commonwealth Procurement Guidelines* require that Commonwealth agencies must not enter into agreements with suppliers who have had a judicial decision against them (not including decisions under appeal) relating to employee entitlements and who have not paid the claim.
- 21.3 Organisations must keep any discussions or contact with AusAID in connection with the Expression of Interest, the Invitation and any contract negotiations confidential. Any unauthorised approach by an Organisation to an AusAID officer, or Partner Government Official or discussion of matters pertaining to the procurement process will be considered a breach of confidentiality.

22. APPLICABLE LAW

- 22.1 The laws of the Australian Capital Territory apply to the RFT and the RFT process.

ANNEX A - AUSAID USE OF PERFORMANCE INFORMATION

1. AusAID reserves the right to take into account in the assessment of this Capability Statement the past performance, in previous AusAID and non-AusAID activities, or activities of:
 - (a) any Organisation; and
 - (b) any member of the proposed personnel,in its capacity as:
 - (c) contractor, consultant or sub-contractor;
 - (d) an associate or employee of a contractor, consultant or sub-contractor; or
 - (e) a joint venture partner.
2. AusAID may:
 - (a) include in the assessment any contractor performance information contained in any internal AusAID contractor performance reporting systems in relation to performance of the Organisation or proposed management, administrative and Project personnel on previous AusAID activities, providing the contractor has seen the report and has had reasonable opportunity to comment; and
 - (b) take into account relevant performance information provided by external referees in relation to a Organisation or proposed personnel member obtained by AusAID as a result of inquiries made within the previous 12 months.
3. AusAID reserves the right to use any relevant information obtained in relation to a Organisation or proposed personnel member obtained either during the Capability Statement period or within the previous 12 month period by providing it to the TAP or to any other relevant person for the purposes of Capability Statement assessment, and such information may be taken into account in the course of assessment of the Capability Statement by the TAP and AusAID. Where information has been received in accordance with paragraph 2 (a) above, these may also be introduced into the TAP process.
4. AusAID may, at any time, make independent inquiries of:
 - (a) any person or entity which it reasonably believes to have actual knowledge of the performance of the Organisation or proposed personnel member/s on a previous project or activity, whether or not that person or entity is nominated in the Capability Statement as a referee for the Organisation or proposed personnel member; and
 - (b) any Commonwealth Government department, agency or other government entity in Australia whether Commonwealth or State, or any other country, including law enforcement agencies in relation to a person who is proposed for inclusion in a Capability Statement or a Organisation.

5. AusAID may request a Organisation to provide additional or clarifying information in relation to information obtained during the assessment process following the Closing Time for the purpose of assessment of the Capability Statement.
6. Information obtained as a result of inquiries made by AusAID in relation to performance on previous activities will be sought on a confidential basis and AusAID shall not be obliged to disclose the content or source of prior performance information about a Organisation or individual to any person.
7. AusAID shall not be liable upon any claim, demand, proceeding suit or action by any Organisation or any proposed personnel member in relation to any matter, thing or issue arising out of or in any way in relation to the collection of information from any source or the use of any information collected pursuant to this Annex in the Capability Statement assessment process.

ANNEX B - CAPABILITY STATEMENT DECLARATION

I, **[name, address and corporation of person making the declaration]**, do solemnly and sincerely declare that:

1. DEFINITIONS

1.1 In this declaration:

“**AusAID**” means the Australian Agency for International Development and represents the Commonwealth of Australia;

“**Services**” means Services to be performed by the Contractor in the **[enter Project name]**;

“**Organisation**” means **[list name, address and ABN and ACN if appropriate. Note, Organisations must provide their ABN if they have one. Moreover, if you are a Company and your ACN is not included in your ABN, you must also provide your ACN]**; and

2. BASIS OF DECLARATION

2.1 I hold the position of **[managing director or other title]** of the Organisation and am duly authorised by the Organisation to make this declaration.

2.2 I make this declaration on behalf of the Organisation and on behalf of myself.

2.3 I declare as follows:

3. THE OFFER

3.1 The Capability Statement is accurate in every respect. In particular, I warrant that the information and certification included in each CV submitted (where CVs have been submitted for the Capability Statement) is accurate, that the proposed team members have been approached and confirmed their availability and that AusAID has the authority to make the inquiries referred according to the CV certification.

3.2 I warrant that the Organisation has used its best endeavours to ensure that all proposed team members are of good fame and character.

3.3 I acknowledge that if the Organisation is found to have made false or misleading material claims or statements in the Capability Statement or in this Declaration, or to have used confidential information, or received improper assistance, AusAID will reject at any time any Capability Statement lodged by or on behalf of the Organisation.

3.4 I acknowledge and agree to the matters specified in **Clause 17** (AusAID’s Rights) and **Clause 18** (Organisation’s Acknowledgement) of **Part 2**.

3.5 I acknowledge that each party constituting the Organisation is bound jointly and severally by this Capability Statement.

4. ADDENDA TO THE REQUEST FOR TENDER

I acknowledge receipt of the following Addenda, the terms of which are incorporated in the Capability Statement:

Number _____ Dated _____ Number _____ Dated _____

Number _____ Dated _____ Number _____ Dated _____

5. ADDRESS OF ORGANISATION

Address or Registered Office of Organisation

Address for service of notices (NOT PO. BOX)

Telephone Number: Fax Number:

SIGNED for and on behalf of *insert*)
organisation/ company name ABN (and)
ACN if applicable) by:)
)

insert name and title

Signature

ANNEX C – CONDITIONS FOR USE OF AUSTENDER, THE AUSTRALIAN GOVERNMENT ONLINE TENDER SYSTEM

1. AUSTENDER, AUSTRALIAN GOVERNMENT ONLINE TENDER SYSTEM

- 1.1 AusTender is the online tendering system for Australian Government Agencies. AusTender allows tenderers to download tender documentation and upload tender responses. Organisations must first register with AusTender at <https://www.tenders.gov.au>.
- 1.2 Access to and use of AusTender is subject to terms and conditions. Organisations must agree to comply with those terms and conditions and any applicable instructions, processes, procedures and recommendations as advised on AusTender.
- 1.3 It is the responsibility of Organisations to ensure that their infrastructure including operating system and browser revision levels meet the minimum standards as defined on AusTender. Neither AusAID nor the Commonwealth take any responsibility for any problems arising from Organisations' infrastructure and/or Internet connectivity.
- 1.4 Organisations acknowledge that although the Commonwealth has implemented the security measures described on AusTender, the Commonwealth does not warrant that unauthorised access to information and data transmitted via the Internet will not occur.
- 1.5 Organisations must inform themselves concerning all security measures and other aspects of the AusTender technical environment. Organisations must make their own assessment of the AusTender system prior to using it for any matter related to this RFT and no responsibility will be accepted by AusAID arising in respect of any use or attempted use by any party of AusTender.

2. REGISTERED ORGANISATIONS AND NOTICES

- 2.1 In the event that AusAID elects to vary or supplement this RFT or change the conditions of tender, it will make reasonable efforts to inform tenderers in accordance with this **Clause 2**.
- 2.2 Organisations may be informed by notices and other information issued as addenda posted on the webpage for this RFT on AusTender.
- 2.3 Organisations who have registered and downloaded the tender documentation will be notified by AusTender via email of any addenda issuance. It is in the interest of tenderers to ensure they have correctly recorded their contact details prior to downloading tender documentation. If tenderers have not recorded their details correctly, they should amend their details and download the tender documentation again.
- 2.4 Organisations are required to log in to AusTender and collect addenda as notified.
- 2.5 The Commonwealth will accept no responsibility if an Organisation fails to become aware of any addendum notice which would have been apparent from a visit to the AusTender page for this RFT.

- 2.6 If an Organisation has obtained tender documentation other than from AusTender, they must visit AusTender, register as a user and download the tender documentation for this RFT.

3. **AUSTENDER HELP DESK**

- 3.1 All queries and requests for technical or operational support must be directed to:

AusTender Help Desk
Telephone: 1300 651 698
Email: tenders@finance.gov.au

The AusTender Help Desk is available between 9am and 5pm Canberra Time, Monday to Friday (excluding ACT and national Australian public holidays).

4. **PREPARING TO LODGE A CAPABILITY STATEMENT ELECTRONICALLY**

Virus Checking

- 4.1 In submitting their tenders electronically, Organisations warrant that they have taken reasonable steps to ensure that tender response files are free of viruses, worms or other disabling features which may affect AusTender and/or AusAID computing environment. Capability Statements found to contain viruses, worms or other disabling features will be excluded from the evaluation process.

Capability Statement File Formats, Naming Conventions and Sizes

- 4.2 Organisations must lodge their Capability Statement in accordance with the requirements set out in this **Clause 4** for file format/s, naming conventions and file sizes. Failure to comply with any or all of these requirements may result in the Capability Statement not uploading successfully and/or may eliminate the bid from consideration.
- 4.3 AusAID will accept tenders lodged in the **File Formats for Electronic Capability Statements** specified in the Capability Statement Particulars (**Clause 1 of Part 1**).
- 4.4 The Capability Statement file name/s must:
- (a) incorporate the Organisation's company name
 - (b) reflect the various parts of the Capability Statement they represent, where the Capability Statement comprises multiple files;
 - (c) not contain \ / : * ? " < > | characters. Check your files and re-name them if necessary; and
 - (d) not exceed 100 characters.
- 4.5 Capability Statement files:
- (a) must not exceed a combined file size of 5 megabytes per upload;

- (b) should be uploaded from a high level directory on an Organisation's desktop, so as not to impede the upload process; and
 - (c) should be zipped (compressed) together for transmission to AusTender.
- 4.6 AusTender will accept up to a maximum of five files in any one upload of a Capability Statement. Each upload should not exceed the combined file size limit of 5 megabytes. If an upload would otherwise exceed 5 megabytes, the Organisation should either:
- (a) transmit the Capability Statement files as a compressed (zip) file not exceeding 5 megabytes; and/or
 - (b) lodge the Capability Statement in multiple uploads ensuring that each upload does not exceed 5 megabytes and clearly identify each upload as part of the Capability Statement.
- 4.7 If a Capability Statement consists of multiple uploads, due to the number of files or file size, the Organisation should ensure that transmission of all files is completed before the Closing Time.
- 4.8 Capability Statements must be completely self-contained. No hyperlinked or other material may be incorporated by reference.

Scanned or Imaged Material, including Statutory Declarations

- 4.9 Scanned images of signed and/or initialled pages within the Capability Statement, including Statutory Declarations and Deeds of Confidentiality, where they are required, are permitted so long as the total file size does not exceed the 5 megabyte limit. The use of scanned or imaged material, where it expands the tender file size beyond the 5 megabyte limit per upload, is prohibited.

5. ELECTRONIC LODGEMENT PROCESS

- 5.1 Before submitting an electronic Capability Statement, Organisations must:
- (a) ensure their technology platform meets the minimum requirements identified on AusTender;
 - (b) refer to AusTender's Help guidance, if required, on uploading tenders;
 - (c) take all steps to ensure that the Capability Statement is free from anything that might reasonably affect useability or the security or operations of AusTender and/or AusAID computing environment;
 - (d) ensure that the Capability Statement does not contain macros, script or executable code of any kind unless that specific material has previously been approved in writing by AusAID; and
 - (e) ensure that the Capability Statement complies with all file type, format, naming conventions, size limitations or other requirements specified in **Clause 4** above or otherwise advised by AusAID or required by AusTender.

- 5.2 Organisations must allow sufficient time for Capability Statement lodgement, including time that may be required for any problem analysis and resolution prior to the **Closing Time**.
- 5.3 Organisations should be aware that holding the “Lodge a Response” page in the web browser will not hold the electronic tender box open beyond the **Closing Time**. An error message will be issued if the lodgement process is attempted after the **Closing Time**.
- 5.4 Capability Statements lodged through AusTender will be deemed to be authorised by the Organisation.
- 5.5 If Organisations have any problem in accessing the AusTender website or uploading a Capability Statement they must contact AusAID via the nominated **Contact Person (Clause 1 of Part 1)** or the AusTender Help Desk (**Clause 3.1** above) **prior to the Closing Time**. Failure to do so will exclude a Capability Statement from consideration.
6. **LATE CAPABILITY STATEMENTS, INCOMPLETE CAPABILITY STATEMENTS AND CORRUPTED FILES**
- 6.1 Any attempt to lodge a Capability Statement electronically after the **Closing Time** will not be permitted by AusTender. Such a Capability Statement will be deemed to be a Late Capability Statement.
- 6.2 Where electronic submission of a Capability Statement has commenced prior to the **Closing Time** but concluded after the **Closing Time**, and upload of the Capability Statement file/s has completed successfully, as confirmed by AusTender system logs, the tender will not be deemed to be a Late Capability Statement. Such Capability Statements will be identified by AusTender to AusAID as having commenced transmission prior to, but completed lodgement after, the **Closing Time**.
- 6.3 Where a Capability Statement lodgement consists of multiple uploads, due to the number and/or size of the files, the Organisation must ensure that transmission of all files is completed and receipted before the **Closing Time** and **Clause 6.2** above will only apply to the final upload.
- 6.4 Late Capability Statements, incomplete Capability Statements, including those with electronic files that cannot be read or decrypted, Capability Statements which AusAID believes to potentially contain any virus, malicious code or anything else that might compromise the integrity or security of AusTender and/or AusAID’s computing environment, will be excluded from evaluation.
7. **PROOF OF LODGEMENT**
- 7.1 When a Capability Statement lodgement has successfully completed, an official receipt is provided on screen. The on-screen receipt will record the time and date the Capability Statement was received by AusTender and will be conclusive evidence of successful lodgement of a Capability Statement. It is essential that Organisations save and print this receipt as proof of lodgement. A separate email confirming receipt of the Capability Statement will also be automatically dispatched to the email address of the registered user whose details were recorded at login.

7.2 Failure to receive a receipt means that lodgement has not completed successfully. Where no receipt has been issued by AusTender, the attempted lodgement will be deemed to have been unsuccessful. Organisations should refer to **Clauses 5.2 and 5.5** above.

8. **AUSTENDER SECURITY**

8.1 Organisations acknowledge that although the Commonwealth has implemented the security measures described on AusTender, the Commonwealth does not warrant that unauthorised access to information and data transmitted via the Internet will not occur.

8.2 Organisations acknowledge that:

- (a) lodgement of their Capability Statement on time and in accordance with these conditions is entirely their responsibility; and
- (b) AusAID will not be liable for any loss, damage, costs or expenses incurred by Organisations or any other person if, for any reason, a Capability Statement or any other material or communication relevant to this RFT, is not received on time, is corrupted or altered or otherwise is not received as sent, cannot be read or decrypted, or has its security or integrity compromised.