



Working with our providers

Integrity Support Services Panel

Buyers Guide



July 2017

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1 Purpose of this document

The purpose of this document is to inform ACC staff about how we work with, and select providers from the Integrity Support Services Panel.

2 When to use integrity support services providers

ACC staff who would like to use an integrity support service provider/s should contact:

- [REDACTED], Area Manager, Risk and Actuarial Integrity Services, for guidance in terms of integrity support services.
- Procurement Services for guidance on how to complete the templates.

3 What is a panel of providers?

A Panel of Providers (Panel) is a list of providers who have been selected after an open procurement process was completed. The integrity support services procurement process was completed in May 2017, and the Panel is designed to meet all of ACC's integrity support services needs. Providers were requested to submit proposals that were evaluated by a team of evaluators, and who have agreed to ACC's contractual terms and conditions for the supply of Integrity Support Services.

Now that the Panel has been established, an abbreviated secondary procurement process must be used to select a suitable provider/s to provide quotes. Details of how to follow the procurement process are included within this guide.

4 What scope of the integrity support services are included?

The Integrity Support Services Panel has 10 providers who provide the following services in the respective elements of the Integrity Services model:

Services	Provider
Detection Services (services such as interrogating and analysing data that provides insight into fraud risk trends)	[REDACTED]
Prevention Services (services to minimise the opportunity for fraud, wastage/abuse such as prevention led educational workshops)	[REDACTED]
	[REDACTED]
Response Services (Investigation Services)	[REDACTED]
	[REDACTED]
	[REDACTED]
	[REDACTED]
	[REDACTED]
	[REDACTED]
	[REDACTED]
	[REDACTED]
	[REDACTED]
	[REDACTED]
Response Services (Surveillance Services)	[REDACTED]
	[REDACTED]
	[REDACTED]
	[REDACTED]
	[REDACTED]
	[REDACTED]
	[REDACTED]
	[REDACTED]

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Contact details of each provider can be found in Appendix C: Provider details. Noting that they all:

- meet panel requirements as they have been evaluated during the original RFP process, and demonstrated that they have the required levels of capability, capacity, and the respective experience to be selected onto the panel; and
- have agreed to ACC's standard terms and conditions.

5 How to use the panel

The Rules require that a robust secondary procurement process is followed by considering the specific nature of an integrity support project, level of spend, and panel providers who have indicated that they have the required capability and capacity in the specific element. The secondary procurement process for this panel includes the following methods:

- Direct source, based on the best fit for purpose and involves the selection of the provider who has the right capacity and capability to fulfil the opportunity and offers value for money; or
- A competitive basis (e.g. by issuing a Request for Quote (RFQ) to selected Panel Members to obtain a brief and succinct proposal from each of them), and award the opportunity to a provider who has right level of expertise, and offers the best value for money.

The above allocation process may change on occasions depending on ACC's operational requirements and accordingly, ACC reserves the right, at its absolute discretion, to use any one of the following methods of allocation detailed under Rule 54 (9) (a) to (g) of the Government Rules of Sourcing inclusive, these being:

- Competitive quotes based on the lowest price;
- Competitive quotes based on the supplier's expertise, proposed solution and best value for money;
- Direct Source, based on the best fit for purpose;
- Rotation;
- Equal Division of Work;
- Preferred Supplier Basis; and
- Location.

It is important to apply fair evaluation of all Panel Providers and to select the provider who has the capacity and capability to fulfil the opportunity.

Below is the procurement quick guide of how to conduct a secondary procurement process under the Integrity Support Services panel. **Each process is discussed in detail from page 7.**

Procurement Quick Guide for the Integrity Support Services Panel		
Process for using the panel	0 - \$5,000	Over \$5,000
Initiate	For Investigation and Surveillance Services an ACC investigator completes the referral details under Part A of the ACC 157 form. In instances where Prevention and Detection Services are purchased under \$5k, the process can be completed by email. An ACC investigator completes the requirements and emails the respective details to selected provider/s.	For Investigation and Surveillance Services an Area Investigation Manager completes the referral details under Part A of the ACC 157 form. For Preventative and Detection Services complete a Secondary Procurement Plan. An Area Investigation Manager approves the: • ACC 157 (before it is forwarded to provider/s) • Secondary Procurement Plan
Secondary Process Providers will be requested to submit quotes to determine which provider provides the best expertise, can deliver when required and offers the best value for money.	2 written quotations submitted using providers from the panel in a particular element. Or Direct Source by approaching only one provider, based on fair evaluation, where there is justifiable urgency and clear rationale for the selection of the particular provider.	At least 3 written quotations using providers from the panel in a particular element. Or Direct Source by approaching only one provider, based on fair evaluation, where there is justifiable urgency and clear rationale for the selection of the particular provider.

Evaluation of Quotes	Quotes under \$5k will be evaluated by an Area Investigation Manager or an appropriate delegate.	Quotes over \$5k must be evaluated by at least 3 members from Integrity Services and approved by the Head of Integrity Services or an appropriate delegate.
Contract Type	ACC 157 form for up to \$5k For services over \$5k use an Integrity Support Services Statement of Work (SoW) as there is a Master Agreement in place.	
Delegated Authority Approval	Refer to the New Delegations Manual dated 1 July 2016. The Statement of Work is the financial commitment with the provider and can be approved by the following as per ACC's Corporate Delegations. Please note if there are changes to the clauses of the SoW you need to consult with Procurement and Legal. • ≤ \$50k (whole of life cost) - Senior/Programme Managers • ≤ \$2m (whole of life cost) - Head of Procurement • ≤ \$5m (whole of life cost) - Executive Management Team/Enterprise Leaders Delegations held by positions on lower bands are also held by those on bands above.	
Contract Documentation Includes ACC 157 and Statement of Work as form of contractual document for each specific piece of work.	ACC 157 and SoW to be forwarded to Procurement Services for uploading into Ariba ACC's Contract Management System. This is a central repository where all ACC's supplier contracts are stored.	

6 Initiating the process

Step	Action under \$5k	Action over \$5k	More Information
Step 1	For Investigation and Surveillance Services an ACC investigator completes the referral details under Part A of the ACC 157 form. Prevention and Detection Services under \$5k. The process can be completed by email without completing specific forms. It is required that all emails are saved which will provide an audit trail when required. - An ACC investigator completes the requirements and emails the details to the selected provider/s - The Investigation Area Manager approves the acceptance of the quote via email. - An ACC investigator emails the successful provider to commence the work. This work will still be covered under the terms and conditions of the Master Agreement.	For Prevention and Detection Services over \$5k an Investigation Area Manager completes a Secondary Procurement Plan. Details required in the documents The level of detail required in terms of completing the Secondary Plan will be proportionate to the size, financial value and risk of the integrity support services. The Secondary Procurement Plan will indicate: - Scope of Services - Which providers you have selected to be approached for RFQs and justification of your decision; - Provide details of evaluation criteria and how you will evaluate RFQs; - Identify who will be part of the secondary evaluation process; and - Identify a realistic timeline for the procurement. Approval of documents An Area Investigation Manager approves all ACC 157's, Secondary Procurement Plans, and RFQ documents before they are submitted to providers to submit quotations.	ACC 157  Final ACC157 Integrity Services Qu Secondary Procurement Plan  Secondary Procurement Plan.docx  Evaluation Criteria Guideline .docx
Step 2	You (and anyone else involved in selecting providers from the panel) need to declare whether you have any actual or perceived conflict in respect to a potential provider of the services. Conflicts of Interest forms need to be completed for services over \$5k to confirm that there are no conflicts of interest. In cases where a conflict of interest is declared you are required to complete the Conflict of Interest Management Plan and to contact Procurement for further guidance on how to best manage and solve your conflict of interest.		Conflict of Interest  Conflict of Interest Form.docx

7 Secondary Process

Choose the option based on the total anticipated cost of each integrity support services request.

	0 to <\$5k	>\$5k
Obtain 2 written quotes quotations using providers from the panel.	✓	
Obtain at least 3 written quotations using providers from the panel.		✓

8 Obtain Quotes/Request for Proposals

Step	Process under \$5k	Process over \$5k	Template to use
Step 1	Requesting quotes for Investigation and Surveillance Services. An ACC investigator completes the referral details under Part A of the ACC 157 form.	Requesting quotes for Prevention and Detection Services. - An Area Investigation manager completes a RFQ using the RFQ template. - Indicate in your RFQ how you will evaluate the quotes/proposals, and provide evaluation criteria. - Ensure that your questions will provide sufficient information for you to be able to evaluate the proposals and be able to select the best provider to deliver the services.	 Final ACC157 Integrity Services For RFQ Template  RFQ template v1.doc
Step 2	Check that the referral/requirements on the ACC 157 form to ensure that there are no omissions or errors.	Ask one of your colleagues to peer review the RFQ before sending it out providers to ensure that there are no omissions or errors.	
Step 3	Select which provider/s from the panel you want to obtain quotes from: - An ACC investigator emails the ACC 157 to selected provider/s to provide quotes for the work required. - Providers are required to complete Part B of the ACC 157 providing quote/s based on the details supplied by ACC. - Providers are required to return the form by email to an ACC investigator, and cc's the Team	Select which provider/s from the panel you want to invite to provide formal quote/s from: - Choose the number of providers as indicated in secondary procurement process quick guide. - The Area Investigation Manager emails the completed RFQ/s template and invitation letter to selected panel provider/s. Include a reasonable time for submission of RFQ's, no less	Invitation Letter only use this letter for processes >\$5k  Invitation Letter v1..doc

	Administrator at IntegrityServicesAdm@acc.co.nz within three working days.	than 10 working days especially with services over \$5k and higher.	
Step 4	Evaluate the quotes on closing. a) An Area Investigation Manager or a suitable delegate will evaluate the quote by considering: - o Price; and - o Whether the provider can deliver the services in the required time.	Evaluate the quotes on closing. a) The evaluation panel will be 3 members of the Integrity Services team with a minimum quorum of 3 members. b) The Head of the Integrity Services will be a standing member, and 2 members would be Area Investigation Managers or managers with the delegated authority. c) When evaluating the quotes, members will have to apply the criteria as stipulated, and select a panel provider to provide the services. d) In keeping with the value-for-money principle ensure that the best supplier is selected for the right reasons and at a price that represents value-for-money over the life of the SoW. This does not necessarily mean selecting the lowest price, but rather the best possible outcome for the total cost of ownership.	Evaluation Templates Formula to calculate price  Example of evaluation criteria and For services >\$5k the evaluation would require more rigour, and it is recommended to use these spreadsheets.  Individual Evaluation Scores.xls  Consolidated Evaluation Scores.xls Hide lines that you will not be using, and follow instructions on the spreadsheet

Step 5	Approve recommendations a) An Area Investigation Manager, will approve the recommendation for Investigative and Surveillance services under \$5k by completing Part C of the ACC 157 as acceptance of the quote.	Approve recommendations a) The Head of Integrity Services will approve the recommendation for all services over \$5k.	Recommendation to select an Integrity Support Services Provider only use this template for processes >\$5k  Recommendation to select Provider v1.do
Step 6	a) An ACC investigator emails the ACC 157 to the successful provider for their acceptance. b) Part D of the ACC 157 is signed by the provider and returns the ACC 157 by email to an ACC investigator as acceptance of the quote. The provider can commence the work.	a) Email a successful letter to the successful provider.	Successful letter template  Letter - Successful Supplier.docx
Step 7	a) Send an email to the unsuccessful provider/s informing them that they have not been successful. Providers may request a debrief. Debrief guidelines and templates are provided. An ACC investigator with support from an Area Investigation Manager provides the debrief by applying the guidelines provided. Contact Procurement for any assistance with this process.	a) Email unsuccessful letters to provider/s. Providers may request a debrief. Debrief guidelines and templates are provided. An Area Investigation Manager with support from Procurement provides the debrief by applying the guidelines provided.	Unsuccessful letter template  Letter - Unsuccessful Supplier.docx Debrief guidelines  Supplier Debrief Panel.docx  Debrief Guidelines.docx

Step 8	Once the ACC 157 has been signed by an Area Investigation Manager and the Supplier, it is acknowledgement for the provider to commence the services.	a) Negotiate a Statement of Work Agreement (SoW), and enter into a SoW. Please note that a Master Agreement is in place and any changes to the standard terms and conditions must be considered by Legal Services. Please note if a SoW is amended during the duration of the project a Change Variation needs to be completed and signed by both parties.	Statement of Work Template  Integrity Services SoW Template v1.doc  Change Variation Template v1.docx
Step 9		SoW approved by delegated authority.	

9 Open Tender

In a situation where any one of panel providers cannot deliver the services, please email [Procurement Services](#) for assistance on how to tender the opportunity to the market.

10 Contract Type

Since there is a Master Agreement in place, it is only necessary to ensure that a Statement of Work is completed to the extent that all the necessary information and requirements for the Integrity Services are clearly documented and understood by the parties.

Please note that any work described in the SoW is subject to the terms of the Master Agreement. Before any changes can be made to the standard terms and conditions of the Master Agreement during the completion of the SoW, Legal Services must be consulted.

11 Contract

	Under \$5k	>\$5k
Contract type	ACC 157  Final ACC157 Integrity Services For	Statement of Work Template  Integrity Services SoW Template v1.doc

Appendix B: Managing conflicts of interest

What is a conflict of interest?

A conflict of interest can include where you, or anyone working on a particular project:

- Has a **financial interest** in the supply of products/services being purchased
- Has any **relatives or friends with a financial interest** in the supply of products/services being purchased
- Has **worked for the organisation** supplying or tendering for the products/services (or a competitor of that organisation), especially in the last two years.
- Has any **personal bias**, inclination, personal obligation, allegiance or loyalty which could, in any way, affect your decisions in relation to which organisation should supply the products/services.

Conflicts of interest can be actual, potential, or perceived – you may not actually have a conflict, but if a supplier perceives that you do then that can still cause risk to ACC.

How can conflicts of interest be managed?

The existence of a conflict of interest doesn't necessarily mean you cannot work on a particular project. What's important is that the conflict is identified, reported on, and managed.

A conflict of interest form needs to be completed for each procurement activity, by anyone involved with the evaluation of a quote. Use the Individual Conflict of Interest Form.

Appendix C: Provider details

Supplier Name	Contact Name	Email Address	Location	Coverage Area	Phone		On Panel for:			
					Landline	Mobile	Prevention	Detection	Surveillance	Investigation
			Hamilton	Sole Operator – Hamilton, Waikato, Tauranga & Mount Manganui – access to network of Licensed investigators nationally	██████	██████			✓	✓
			Tauranga	National	██████	██████			✓	✓
			Nelson	Top of South Island	██████	██████				✓
			Pukekohe	Top half of North Island - but able to operate nationally	██████	██████			✓	✓
			Wellington	National	██████	██████	✓			✓
			Hokitika	Westport, Greymouth and Hokitika – able to travel further if needed	██████	██████			✓	✓
			Papamoa	National	██████	██████			✓	✓
			Hamilton	National – Investigators based in Auckland, Hamilton, Palm Nth, New Plymouth and Christchurch	██████	██████	✓	✓	✓	✓
			Auckland	National	██████	██████			✓	✓
			Auckland	National	██████	██████			✓	