

# FUNDING AND DELIVERY OF GROWTH INFRASTRUCTURE

## GUIDELINES FOR FUNDING AND PROCURING ASSETS



VERSION: 1.0



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## 1. Purpose

These guidelines outline Hunter Water’s approach to funding and procuring assets under the Funding and Delivery of Growth Infrastructure Standard (the Standard). Compliance with the directions set out in these guidelines is considered a minimum requirement for the repayment of costs under the Standard.

## 2. Approach to Funding assets

Hunter Water will consider entering into commercial agreements to pay for ‘connection assets’ that provide lead-in and lead-out infrastructure to new developments and reticulation assets that are upsized to service future nearby developments, where these assets meet the requirements of the Standard.

### 2.1 Funding categories

The categories for funding assets under the Standard are outlined in Table 1 below.

**Table 1: Funding categories under Developer Delivered Infrastructure Agreements**

Agreement feature	Category 2a	Category 2b	Category 2c
Timing of development area on growth map	0 – 5 years	5 – 10 years	10+ years
Delivery	Developer	Developer	Developer
Agreement sunset date	10 years	10 years	10 years
Funding arrangement:			
Connection asset & upsized reticulation asset	Progress payments until 50% of the development issued with Section 50 certificate. Remaining 50% of connection asset costs paid at this time.	Progress payments until 100% of the development issued with Section 50 certificate.	Marginal upsizing costs paid until 100% of the development issued with Section 50 certificate.
Minimum-sized reticulation asset	Not funded by Hunter Water	Not funded by Hunter Water	Not funded by Hunter Water

### 2.2 Where the lead developer holds less than 25% of the capacity in an asset

Hunter Water has modified the payback mechanism where the Lead Developer holds a minority of the capacity within an asset. This change has been implemented to prevent assets being paid out before growth in the asset is materially realised.

Where the Lead Developer holds less than 25% of the lots (capacity) within an asset, Hunter Water will make staged payments (calculated on a per lot basis) up until 25% of lots connected to the asset have been issued with Section 50 Compliance Certificates.

This relies on Section 50 Compliance Certificates from development outside of the Lead Developer’s area. Once 25% of the asset capacity (lots) has been achieved, the asset will be fully paid out to the lead developer (Note: no lump sum payment will be made under this scenario). The Lead Developer can make a request of Hunter Water to provide an update on the status of Section 50 Compliance Certificates for development outside of the Lead Developers site to help ensure the asset is paid out efficiently.

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### 3. Procurement Principles

Hunter Water aims to ensure consistent procurement practices and to deliver excellence in procurement outcomes for Hunter Water's customers and stakeholders. In achieving these objectives, Hunter Water is committed to:

- Engaging suppliers who are ethical, and maintain the highest standard of health and safety;
- Ensuring that competitive local business and industry is given a full, fair and reasonable opportunity to participate in the supply chain for developer delivered infrastructure; and
- To only deal with suppliers who are appropriately qualified, deliver value for money and aim to promote sustainable practices.

In accordance with NSW procurement policy documentation, the following principles are considered essential features of any procurement activity undertaken:

- Obtaining value for money via competitively tendering all works
- Preventing corruption, through principles of fairness, equity and probity in all dealings
- Support of policy objectives on aboriginal participation, sustainability, environmental management and quality assurance.

For further detail on to NSW government procurement policy documentation refer to Appendix B.

#### 3.1 Compliance monitoring

Throughout the procurement process, Hunter Water requires the Developer and their Accredited Suppliers, ensure that all stages of procurement are undertaken in accordance with the relevant principles and procedures, and that detailed records are kept.

Hunter Water may undertake spot audits of developer systems and processes regarding the procurement of works to ensure they meet the required minimum standards. Any non-conformances may impact on the eligibility of repayments.

#### 3.2 Hunter Water's Roles and Responsibilities

In overseeing the Developer's procurement, Hunter Water will:

- Keep the Developer informed of any changes to the Guidelines
- Provide clarification in relation to the Guidelines, noting Developer's must maintain an adequate level of procurement competency independent of Hunter Water's assistance
- Review the Developer's procurement related documents including Procurement Plan, Tender Evaluation Reports and Project Completion Report.

#### 3.3 Developer Roles and Responsibilities

In undertaking the procurement, the Developer agrees to:

- Comply with these Guidelines
- Comply with the Developer Delivered Infrastructure Contribution Deed

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- Comply with all written directions issued to the Developer in relation to the Guidelines
- Nominate a single point of contact to act as the procurement liaison and provide all records for review by Hunter Water
- Ensure all persons engaged to manage the procurement process have the necessary qualifications, skills and experience for a procurement activity of the size and complexity of the Works being funded.

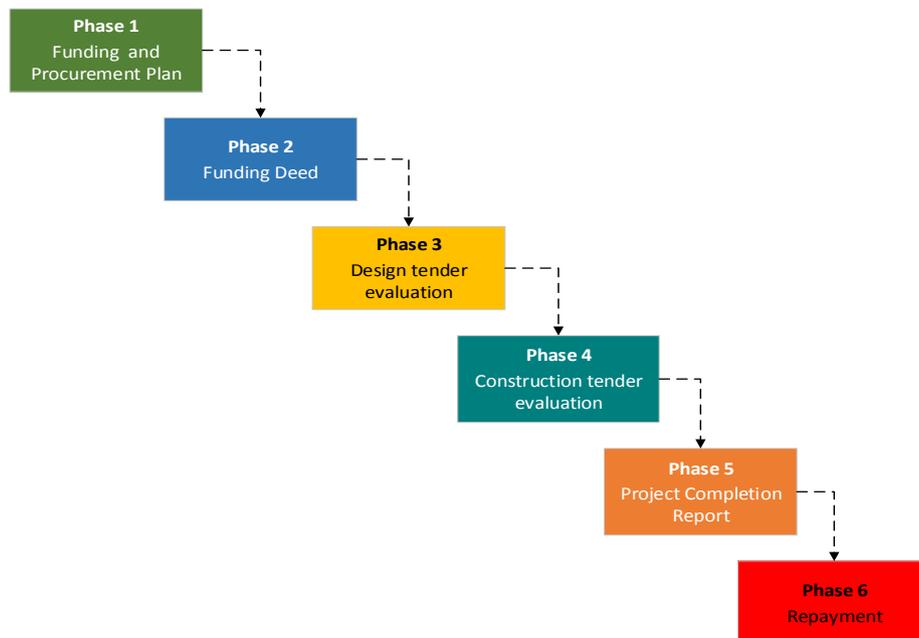
### 3.4 Issue Escalation and Resolution

Developers are to note that any issues in relation to the application of this Guide will be managed via the requirements set out in the Developer Delivered Infrastructure Contribution Deed.

## 4. Funding and Procurement process

### 4.1 Funding and Procurement phases

This section outlines the six broad phases of the funding and procurement process.



Further detail on the process is provided in Appendix A.

An 'Application for Developer Delivered Contribution' form can be found on Hunter Water's website. The application form is submitted and updated at four stages in the process:

- Funding application and Procurement plan
- Design Tender evaluation
- Construction Tender Evaluation
- Project Completion Report

All documentation relating to Standard must be submitted to [fundingofgrowth@hunterwater.com.au](mailto:fundingofgrowth@hunterwater.com.au)

Hunter Water typically provides responses within one month of receiving an application, however up to two months may be required depending on the value of the works.



All works delivered under the Standard must comply with the 'Corporate Standard – Complex Works – Developers and Accredited Suppliers'. To access Hunter Water's documents for Developer Works, go to ['Certification and Delivery of Developer Works'](#).

The phases for funding and procuring assets under the Standard are outlined below.

## 4.2 Funding and Procurement Plan (Application A)

The process begins when a Developer completes and submits 'Application A – Funding application and Procurement Plan', which provides detail relating to the development, works, compliance with standard, funding requirements and procurement methodology.

### Procurement Plan

A Procurement Plan is only required to be submitted to Hunter Water where the lead developer is proposing to deviate from the tendering requirements set out in Table 2. A Procurement Plan should demonstrate that the proposed procurement strategy for design and construction is appropriate. The Procurement Plan should typically:

- Set out the scope, timing and nature of goods, services or works to be supplied.
- Be tailored to the complexity, risk and dollar value of the goods, works or services needed.
- Define the governance, accountability and approach and ensure relevant stakeholders such as an evaluation panel agree the code of conduct.
- Provide an outline of the scope of works, contract terms, and an evaluation plan on which to base the assessment of offers. The evaluation plan should be developed prior to engaging the market, and specify the evaluation criteria and methodology for determining which supplier will deliver value for money in compliance with the abovementioned principles.
- Determine a cost/price benchmarking estimate, on which to compare pricing from suppliers once quotes have been received.
- Research the supplier market to help improve value for money.

Please refer to the Procurement Plan template for guidance on preparing a Procurement Plan should one be required (refer to section 5).

### Funding application

The funding component of the application requires the developer to provide details relating to the size of the development, compliance with the funding criteria, the scope of works, staging, timing and cost of the works. Supporting documentation requirements are outlined on the 'Application for Developer Delivered Contribution' form (refer to section 5).

The funding requested in the application represents the upper limit Hunter Water is willing to pay for the works. Hunter Water will only increase this amount where increase was not reasonably foreseeable at the time of application, or where the change was directed by Hunter Water.

### Commercial offer

If Hunter Water assesses the application as being eligible for funding and that the Procurement Plan meets the necessary procurement requirements, the Developer is sent a Commercial Offer letter and a 'Developer Delivered Infrastructure Contribution Deed' (refer to section 5). The Commercial Offer indicates Hunter Water's intention to enter into a legal agreement via the 'Developer Delivered Infrastructure Contribution Deed'.



### 4.3 Developer Delivered Infrastructure Contribution Deed

The 'Developer Delivered Infrastructure Contribution Deed' (or Funding Deed) provides a commitment to repay costs if agreed project milestones are met. Developers must demonstrate they have complied with Hunter Water's procurement requirements prior to receiving any repayments.

The Developer submits a signed copy of the Funding Deed to Hunter Water. Hunter Water then executes the Funding Deed and returns it to the Developer. Once the Funding Deed is signed the Developer can commence the tendering process for design.

Hunter Water does not bind itself to grant funding to any applicant. Hunter Water can delay making a decision to fund any or all categories or subcategories for which an application has been made.

### 4.4 Undertaking Tendering

All works are required to be competitively tendered to be eligible for funding under the Standard. In order to ensure probity and value for money requirements are being achieved, Hunter Water has identified the minimum number of tenderers required to be invited to tender the works based on the value of the work being tendered (refer to table 2). This minimum requirement applies to works tendered for the design phase and for the construction phase.

**Table 1- Minimum number of tenderers**

Value of works being tendered	Requirements
< \$500,000	Invite a minimum of three tenderers from Hunter Water's Accredited Design Consultant or Construction Contractors Register. The Designer or Contractor must be selected from the appropriate accreditation category (i.e. Pump stations, Pressure sewer systems, trunk infrastructure).
> \$500,000	Invite a minimum of five tenderers from Hunter Water's Accredited Design Consultants or Construction Contractors Register. The Designer or Contractor must be selected from the appropriate accreditation category (i.e. Pump stations, Pressure sewer systems, trunk infrastructure).

A Procurement Plan is only required to be submitted to Hunter Water where a lead developer cannot achieve the minimum tendering requirements.

To ensure probity requirements are being achieved, all works funded under the Standard must be tendered independently of other project works (i.e. the works must not be tendered as part of a larger package of subdivision works).

A code of conduct and tender evaluation plan must be agreed by the evaluation panel before tendering for the works to ensure relevant probity principles are complied with. Details of the tender evaluation plan must be included in the Tender Evaluation Report submitted to Hunter Water.

Evaluation panel members must commit to the probity principles highlighted by the Independent Commission Against Corruption in undertaking their role, including:

- Acting with fairness
- Being transparent about the process, and accountable for outcomes
- Upholding confidentiality
- Declaring and managing conflicts of interest
- Ensuring value for money is obtained

To be eligible for funding all works must be tendered using an e-tendering portal such as Tenderlink (or similar equivalent). Any clarifications on scope must be provided to all tenderers, and a record kept of any changes resulting from questions raised by tenderers and any subsequent exchange of

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information. Evidence of compliance with these requirements must be included within the Tender Evaluation Report.

After the close of tenders, the tender evaluation panel evaluates conforming tenders in accordance with the methodology set out in the tender evaluation plan. The chairperson of the evaluation panel will document the results of the responses received, the evaluation process and the rationale for recommending whether a contract is to be awarded in a Tender Evaluation Report. A Tender Evaluation Worksheet has been developed to help support evaluation process (refer to section 5). The worksheet provides guidance on rating and scoring tenders and should be submitted alongside the Tender Evaluation Report.

#### 4.5 **Design Tender Evaluation Report (Application B)**

Once the Funding Deed has been executed, the lead developer can start the design procurement process. A Design Tender Evaluation Report is required to demonstrate the probity and efficiency of the Developer's design engagement methods. A Tender Evaluation Report template has been prepared to help support the design tender process (refer to section 5). The report should recommend a preferred design consultant based on the outcomes of the Tender Evaluation Worksheet.

Once complete the Design Tender Evaluation Report should be submitted to Hunter Water alongside Application B. A review of the Design Tender Evaluation Report will typically be provided within one month. Following endorsement, the Lead Developer can engage the agreed Accredited Design Consultant to undertake the design.

#### **Standard Drawing requirements for funded works**

A unique alphanumeric identifier must be provided in Design drawings (STS911) and Work As Constructed (STS903) drawings submitted under the Standard. Each asset number and index number is to be followed by the suffix 'GF', for example, '267GF'.

#### 4.6 **Construction Tender Evaluation Report (Application C)**

Once the design has been completed, the lead developer can start the construction procurement process. A Construction Tender Evaluation Report is required to demonstrate the probity and efficiency of the Developer's construction engagement methods. A Tender Evaluation Report template has been prepared to help support the construction tender process (refer to section 5). The report should recommend a preferred contractor based on the outcomes of the tender evaluation worksheet.

Once complete the Construction Tender Evaluation Report should be submitted to Hunter Water alongside Application C. Hunter Water reviews the cost estimates against known rates from similar capital projects to ensure value for money is being achieved. Hunter Water may engage a cost estimator to verify the cost estimates. Hunter Water will consult with the Developer as necessary to facilitate this process. A review and response to the Construction Tender Evaluation Report will typically be provided within one month.

#### **Notice of Pre-construction Infrastructure Contribution (PICE)**

Following endorsement of the Construction TER, Hunter Water issues a 'Notice of Pre-construction Infrastructure Contribution', which caps the repayments Hunter Water is obligated to make under the Funding Deed. Project costs in excess of this amount will not be repaid by Hunter Water, unless the costs were incurred at the direction of Hunter Water. Hunter Water is not involved in reviewing variations during the construction phase.

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## 4.7 Managing the Contract

The final step in ensuring value for money is achieved is to ensure all deliverables are provided to a satisfactory quality, within the specified time, and for the agreed price. Aspects of contract management relevant to the developer's procurement will generally entail:

- Development of a robust contract management plan, summarising contractor obligations and administrative processes that will apply throughout the term of the contract
- Supplier performance management and key performance indicators (KPIs)
- Project management
- Variation approval process (limited to variations directed by Hunter Water)
- Site inspections in accordance with any instructions as advised by Hunter Water.

### Contract Variations

Despite a thorough approach to the scope and timing of contract deliverables there may be occasions where variations to the contract are unavoidable and hence the Funding Deed includes provisions with respect to variations.

Any provisional items required to efficiently deliver the project must be identified in the Tender Evaluation Report. Hunter Water may agree to fund provisional items, as part of the endorsement of the Tender Evaluation Report, where required to deliver the project. The Developer must obtain written approval from Hunter Water to proceed with the provisional items before the variation is agreed. The request must be submitted to [fundingofgrowth@hunterwater.com.au](mailto:fundingofgrowth@hunterwater.com.au) with appropriate supporting documentation detailing the need for the provisional item.

Repayment of any other variations to the contract will only be approved in exceptional circumstances (i.e. where they could not have been foreseen at the time of tendering) and only at the discretion of Hunter Water.

## 4.8 Project Completion (Application D)

To finalise the construction phase of the project, Hunter Water verifies that the constructed assets are compliant with the 'Notice of Requirements' and the 'Complex Works Deed'. When satisfied all conditions have been met, Hunter Water issues a 'Practical Completion Certificate'. Upon receipt of this certificate, the Developer can then submit 'Application Type D' and the Project Completion Report. The Project Completion Report details:

- Achievement of all contract requirements and deliverables
- Outcomes of KPI monitoring of contract suppliers
- Relevant certification of completion pursuant to the Funding Deed
- Developer reimbursable costs relevant to the project
- Confirmation that the project was completed for the tendered rate, or otherwise
- Savings achieved during construction, and any reduction in the amount to be repaid.

A Project Completion Report template has been provided to assist in the preparation of the Project Completion Report (refer to section 5). To ensure the value for money has been achieved, Hunter Water reviews the final project costs against the tender and discusses any issues arising from the PCR with the Developer, including costs Hunter Water is unwilling to repay. Once satisfied, Hunter Water will endorse the Project Completion report - this will typically occur within one month of the receipt of the report.



## Notice of Infrastructure Contribution Sum

Following endorsement of the Project Completion Report, a 'Notice of Infrastructure Contribution Sum' will be issued to the Lead Developer. The Final Infrastructure Contribution Sum is the total amount Hunter Water is obligated to repay the Developer. The Notice of Infrastructure Contribution Sum will confirm the per lot rate of payment in accordance with the Funding Deed.

### 4.9 Repayment

To make a payment claim, the Developer must have received a 'Notice of Infrastructure Contribution Sum' and a 'Section 50 Compliance Certificate' for the connected lots being claimed. The Developer submits a Contribution Notice and updated 'Developer Contribution Schedule' to Hunter Water for review. The Contribution Notice outlines the amount to be invoiced based on the lots connected and the assets being funded.

Hunter Water reviews and endorses the Contribution Notice, or seeks clarification on anything that does not align with 'Notice of Infrastructure Contribution Sum' within 14 days. If the Contribution Notice is endorsed by Hunter Water, the Developer can then submit an invoice for payment.

## 5. Related documents

To access information relating to Developer Works go to the 'Certification and Delivery of Developer Works' page on [Hunter Water's website](#).

- Corporate Standard – Complex Works – Developers and Accredited Suppliers
- Developer Works Deed – Complex Works

To access information relating to funding of growth, go to the 'Growth Infrastructure' page on [Hunter Water's website](#).

- Corporate Standard – Funding and Delivery of Growth Infrastructure
- Developer Delivered Infrastructure Contribution Deed
- Procurement Plan - Template
- Tender Evaluation Report – Template
- Project Completion Report – Template
- Tender Evaluation Worksheet



## 6. Definitions

Term	Definition
<b>Accredited Construction Contractor</b>	A contractor approved by Hunter Water to perform construction services for Developer Works in nominated subcategories. The accreditation includes the contractor's key personnel.
<b>Accredited Design Consultant</b>	A design consultant approved in accordance with Hunter Water's accreditation process for Developer Works. Accredited Design Consultants have a range of functions and duties, as defined in Manual – Delivery of Developer Works.
<b>Accredited Supplier</b>	An Accredited Construction Contractor or an Accredited Design Consultant.
<b>Application for Developer Delivered Contribution</b>	A form submitted by a Developer seeking funding for water and wastewater infrastructure.
<b>Connection asset</b>	An asset primarily outside of the development site that connects the development area to Hunter Water's existing water and wastewater systems.
<b>Correctly-sized asset</b>	A connection or reticulation asset that has been determined to be optimally sized from a total community perspective.
<b>Detail design cost estimate</b>	An estimate provided by a Developer following completion of a detail design.
<b>Developer Works Deed</b>	A formal agreement between Hunter Water and a Developer for the design and construction of water and wastewater-related assets. There are three types of Developer Works Deed: Routine Minor Works, Routine Major Works and Complex Works.
<b>Funding Brief</b>	A document prepared to seek authorisation to provide funds for qualifying network assets supporting urban growth.
<b>Funding Deed</b>	A legal agreement for Hunter Water to fund Developer-delivered infrastructure facilitating urban growth. Formally known as the Developer Delivered Infrastructure Contribution Deed.
<b>Hunter Water</b>	A statutory State Owned Corporation providing water and wastewater services to over half a million people in the Lower Hunter region, and some trunk stormwater services in the Cessnock, Lake Macquarie and Newcastle local government areas.
<b>Infrastructure Contribution Sum</b>	The amount identified in a Notice of Infrastructure Contribution Sum in respect to particular infrastructure assets, to be paid to the Developer by Hunter Water for the assets.
<b>Lead Developer</b>	Hunter Water will enter into a single Developer Delivered Infrastructure Contribution Deed with a single lead Developer for connection assets that may service multiple developments.
<b>Minimum-size reticulation asset</b>	An asset within a development site that is the minimum size that complies with Hunter Water's design standard. A new minimum-size reticulation asset primarily serves that particular development but may provide incidental additional capacity for nearby development in the longer term.
<b>New development</b>	Any growth, residential, multi-residential, commercial or industrial, that involves new buildings or lots created, or additional on-site business activity, that yields a net increase in water consumed, recycled water consumed or sewer discharged to Hunter Water's networks.
<b>Pre-construction Infrastructure Contribution Estimate</b>	The funding cap Hunter Water is obligated to repay to the Developer for infrastructure facilitating urban growth.
<b>Project Completion Report</b>	A report required to finalise costs for a project, prepared in accordance with section 4.5 of the Procurement Guidelines.
<b>Reticulation assets</b>	The local water and wastewater network assets within a development, including pipes, pump stations and water storage facilities.

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Term	Definition
<b>Section 50 Compliance Certificate</b>	A certificate issued under Section 50 of the <i>Hunter Water Act 1991</i> when all conditions in the Notice of Requirements are met by the Developer.
<b>Servicing Strategy</b>	A document outlining the optimal arrangement of water and wastewater assets, providing the basis for a funding application.
<b>Procurement Plan</b>	A plan that sets out the scope, timing and nature of goods, services or Works to be supplied.
<b>Tender Evaluation Plan</b>	Sets out the guidelines for tendering including guidance on code of conduct, probity, tendering requirements, selection criteria, scoring, etc.
<b>Tender Evaluation Report</b>	A report that complies with clause 5.1 (b) of the Funding Deed.
<b>Upsized reticulation asset</b>	An asset within a development site that serves that particular development, but, in agreement with Hunter Water, has been increased in size to provide some additional capacity to also service future adjacent developments. This may be a pipe, pump station or water storage.

## 7. Roles and responsibilities

Role	Summary
<b>Accounts Payable Officer</b>	Responsible for paying approved invoice amounts under the Standard.
<b>Accredited Design Consultant</b>	Responsible for ensuring compliance with design standards and collaborates with the Accredited Construction Contractor to certify the Works have been built in accordance with the design.
<b>Accredited Construction Contractor</b>	Collaborates with the Accredited Design Consultant to ensure the Works are delivered as per the design. Required to certify the Works to the Accredited Design Consultant.
<b>Lead Developer</b>	Fully responsible for the design and construction of Works, and the engagement of Accredited Suppliers that meet individual project needs. Required to guarantee all quality objectives are achieved, including asset safety and environmental performance.
<b>Development Services Engineer</b>	Point of contact for all enquiries relating to funding of growth infrastructure applications. Receives, reviews and processes applications on behalf of Hunter Water for the funding and procurement of Developer assets.
<b>Manager Development Services</b>	Responsible for signing the Funding Deed and endorsing Funding Briefs.
<b>Project Officer - Delivery</b>	Provides review function for cost estimates.
<b>Team Leader Development Planning and Relations</b>	Responsible for ensuring tasks under the Standard are being effectively managed.

## 8. Document control

TRIM reference: HW2017-1263/6.006

### Document governance

Document owner	Mandatory reviewers	Document approver
Group Manager Development Services	Group Manager Development Services, Team Leader Development Planning and Relations	Executive Manager Customer Strategy and Retail

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**Document version history**

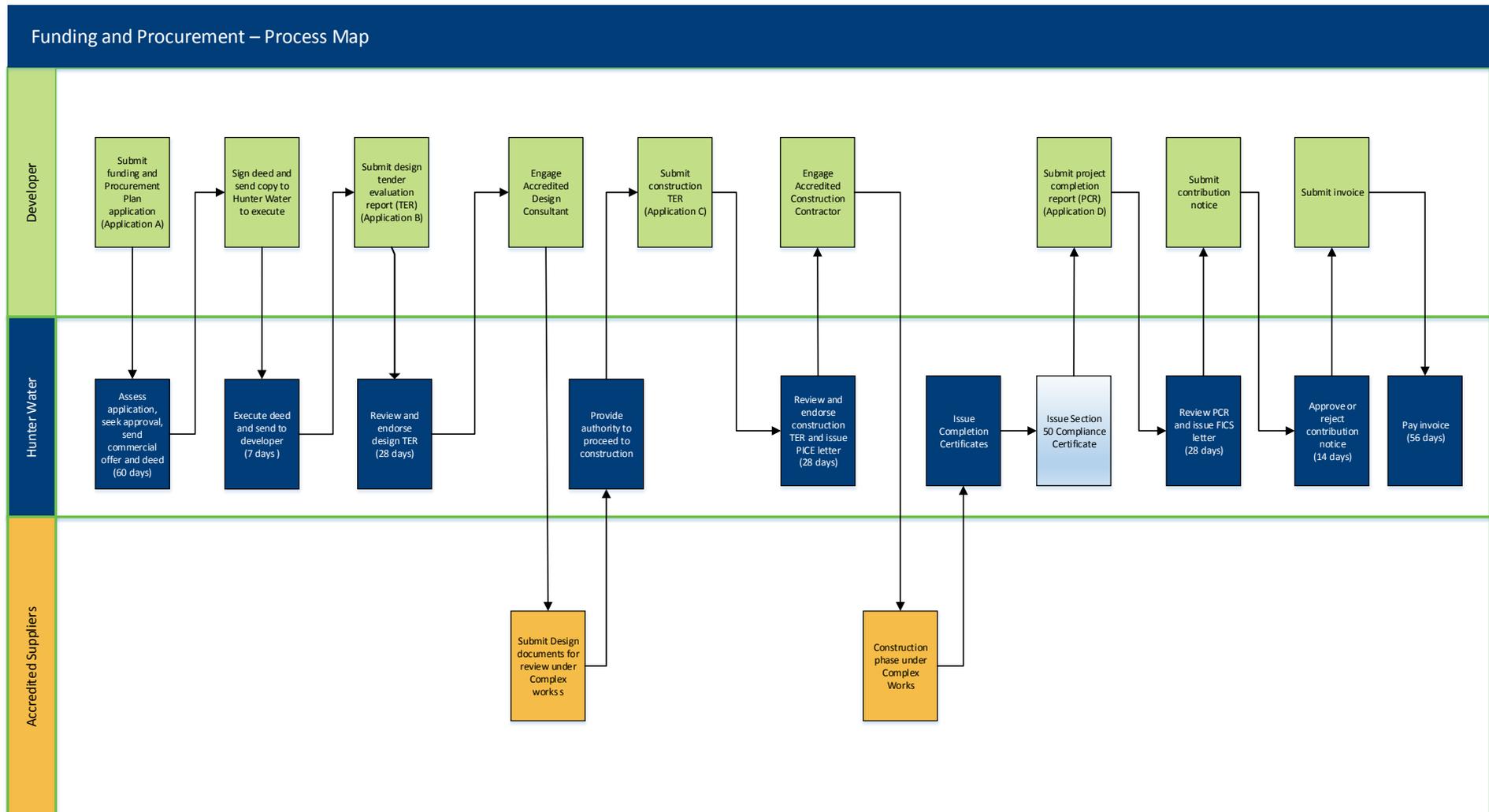
<b>Version</b>	<b>Name of author</b>	<b>Summary of changes</b>	<b>Approval date</b>	<b>Approved by</b>	<b>Periodic review</b>
1.0	Chris Barker	Original release	19 June 2019	Executive Manager Customer Strategy and Retail	Review after first year, then every two years

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## Appendix A: Funding and Procurement – Process Map



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## Appendix B: Relevant Government policy

### Overarching NSW government policy requirements

The following policy guidance is available at [www.procurepoint.nsw.gov.au](http://www.procurepoint.nsw.gov.au):

- Statement on Value for Money
- Statement on Promotion of Competition
- Corruption prevention, fairness and probity
- NSW Procurement Board Construction Directions

### NSW Government Construction Policy Requirements:

- NSW Government Code of Practice for Procurement
- Work Health and Safety Management Systems and Auditing Guidelines (Edition 5)
- Quality Management Systems Guidelines for Construction
- Environmental Management Systems Guidelines (Edition 3)
- Sustainable procurement <https://www.procurepoint.nsw.gov.au/policy-and-reform/nsw-government-procurement-information/sustainable-procurement>
- Training Management Guidelines
- Policy on Aboriginal Participation in Construction
- NSW Implementation Guidelines to the NSW Code of Practice for Procurement:
- Building and Construction (NSW Guidelines) [www.industrialrelations.nsw.gov.au](http://www.industrialrelations.nsw.gov.au)

### ICAC Guidelines on Procurement

<http://www.icac.nsw.gov.au/preventing-corruption/knowning-your-risks/procurement/4305>