

Our Ref: TPA-0[ENTER ARIES REFERENCE]

Click or tap to enter a date.

[CONTACT NAME]

Position

[PC ENTITY NAME]

Address

Suburb State Post Code

Sent via email: [email address]



Department of  
Energy and Public Works

## Notice of Referral for Investigation Project – [ENTER PROJECT NAME]

Dear [CONTACT NAME],

On [DATE], the Buy Queensland Audit Unit (BQAU), as part of the Queensland Government Procurement Compliance Branch commenced an audit to determine [PC ENTITY NAME]'s compliance with their contracted commitments to the Queensland Government Building and Construction Training Policy (Training Policy) for their work on [ENTER PROJECT NAME]. That audit identified [PC ENTITY NAME] was not compliant with their contracted commitments to the Training Policy.

As the **Choose option** [DATE], the Ethical Supplier Mandate applies.

The Ethical Supplier Mandate as identified in the Training Policy works to ensure that businesses supplying to government uphold their contractual commitments and regulatory and policy obligations.

### Audit Findings and Evidence

[OPTION 1 – DELETE IF NOT APPLICABLE]

Attached to this correspondence is a Non-compliance Summary (Attachment 1) and a copy of the supporting evidence (Attachment 2).

[OPTION 2 – DELETE IF NOT APPLICABLE]

Attached to this correspondence is a Non-compliance Summary (Attachment 1). The supporting evidence can be accessed via an online information sharing portal, the link is provided in the accompanying email.

### Referral for Investigation

The Queensland Government Procurement Compliance Branch, Procurement Investigation Unit (PIU) in reviewing the audit findings has formed a view that [PC ENTITY NAME] have breached the Training Policy which constitutes a non-compliance under the Ethical Supplier Mandate.

The Queensland Government [Ethical Supplier Mandate – Standard Operating Procedure](#) (SOP) identifies it is the responsibility of the procuring agency of the nominated project to investigate any possible breaches under the Ethical Supplier Mandate by the supplier, therefore the matter was referred to [PROCURING AGENCY] on [DATE].

An important aspect of this investigation is for [PC ENTITY NAME] to be provided with an opportunity to consider and respond to any allegations of non-compliances. [PC ENTITY NAME] is encouraged to provide any information or evidence relevant to this matter to [PROCURING AGENCY] upon their request.

## Possible Outcomes

If [PROCURING AGENCY] is satisfied there is sufficient evidence to substantiate a non-compliance under the Ethical Supplier Mandate by [PC ENTITY NAME], a request for information and a *Show Cause Notice* will be issued in line with the SOP. [PC ENTITY NAME] will be provided with the opportunity to respond to any *Show Cause Notice* which will be considered prior to any referral of the matter to the Tripartite Procurement Advisory Panel (the Panel). It is important to note that this *Show Cause* is not to be confused with the contractual usage of a *Show Cause Notice*. This *Show Cause* relates to processes under the Ethical Supplier Mandate and is not related to potential termination of contract.

Importantly, a final decision on referral to the Panel to consider recommending demerit points or sanction is the responsibility of [PROCURING AGENCY] as the procuring agency. This decision is not that of the Compliance Branch. The information provided by PIU in the Non-compliance Summary, and any response received to any *Show Cause Notice* issued will support the appropriate officer within [PROCURING AGENCY] to make an informed decision. Further information on this process can be found in the [Ethical Supplier Mandate Standard Operating Procedure](#).

More information about the Ethical Supplier Mandate can be found here:

<https://www.epw.qld.gov.au/about/strategy/buy-qld/compliance-complaints/ethical-suppliers>

If you have any questions about the investigation process, please do not hesitate to contact [INSERT PIU OFFICER'S NAME] on 1300 105 030 or email to [QPPCompliance@epw.qld.gov.au](mailto:QPPCompliance@epw.qld.gov.au).

Yours Sincerely,

**Tatjana Cindric**  
**Manager**  
**Procurement Investigation Unit**  
**Queensland Government Procurement Compliance Branch**

The Department of Energy and Public Works is collecting personal information for the purpose of verifying compliance with your contracted commitments to government policies including the Building and Construction Training Policy, the local benefits test contained in the Queensland Procurement Policy or (where applicable) the Best Practice Principles, and with the Ethical Supplier Mandate and the Ethical Supplier Threshold. Personal information may be disclosed to State and Federal regulators, the State's legal advisors, partner agencies, service providers, or local governments that may be able to assist in this process of verification. Limited personal information may be used for related research, policy or planning functions. Unless authorised or required by law, personal information will not otherwise be disclosed to any other third party without your consent. More information about the Department's privacy policy is available on our website at <https://www.epw.qld.gov.au>.