Version Notes (9 Feb 2021):

1. This document is for your internal use and is designed to assist you to prepare your text and documents for your online application. Your response to each question can then be copied from your prepared material into the online application forms. This document should not be sent to DIA or attached to your application.
2. Substantive changes from the previous version (30 Nov 2020) are:

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| Section | Changes in this version |
| Appendix 1 - Definitions | None |
| Appendix 2 - Steps 1-3 | None |
| Appendix 3 – Enterprise Software | None |
| Appendix 4 – Managed Service | None |
| Appendix 5 – Professional Services | DR & BCP service corrected to match online form |

## Appendix 1. Service Definitions

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| --- | --- |
| Service | Service Definition |
| **Enterprise Software** | |
| Payroll Enterprise Software | Payroll enterprise software is payroll and payroll-related software that is procured by agencies, along with related software support services. The functionalities of a payroll software include some or all of payroll, time & attendance, award interpretation, rostering, human resources(HR), workforce management, self-service and data management. It can be hosted either in the cloud (private, public or hybrid) by the software provider (Provider Hosted) or on agencies own infrastructure (Agency Hosted). |
| Software Support Services | Software support services replace functions the agency might otherwise perform, including but not limited to;  Software Maintenance, Software Support and Software Configuration |
| **Managed Services** | |
| Managed Payroll Services | Payroll related services comprising both software functionality and a range of associated services, provided and managed “as-a-service” by a supplier. Typically referred to as outsourced and/or bureau services. The functionalities of a payroll solution include some or all of payroll, time & attendance, award interpretation, rostering, human resources(HR), workforce management, self-service and data management. |
| Associated Services | Associated Services replace functions the agency might otherwise perform, including but not limited to; |
| Payroll Administration | General payroll operation to ensure correct and control of payments of agency staff. |
| Configuration Consultation | Guidance on the optimal configuration, reports and rules required to make the system function as required for agencies. |
| Payroll Service Performance Management | Provision of information showing the usage and performance of payroll system and processes, including run times, response times, down time, update outages, problem resolution and queries/area |
| Payroll Metrics | Provision of payroll information to agencies outlining payroll process activity and performance. |
| Advice and guidance | Agency support provided and related aspects such as hours of operation and service levels such as resolution times. |
| Process optimisation | Assisting agencies to optimise all aspects of their system and processes to support end to end outcomes. |
| 3rd party disbursements | The payover of schedules and monies to employees banking institutions, deduction companies, Superannuation providers and other statutory agencies |
| Disaster Recovery and Business Continuity | A service that backs up the customer’s own systems/processes in the event of a disaster or some unavoidable disruption to the customer’s business environment. |
| Payroll Audits | Provision of payroll audit processes to ensure the control aspect of their payroll including independent review and examination of configuration, records and activities to assess the adequacy of system controls, to ensure compliance with established policies and operational procedures. |
| **Professional Services** | |
| Payroll Professional Services | Payroll related Services and deliverables that are delivered by a professionally qualified individual or business. Usually provided in support of payroll implementation, support or administration on an ad hoc or agreed-term basis. Usually where the agency will look for specific roles or activities e.g. payroll administration, payroll training courses. |
| Payroll Requirements and Scoping | Business requirements gathering and workshops to determine current and target states, and resultant scope of change for the agency including alignments with AOG Initiatives.  For example;   * Documentation of requirements and utilisation of process and other toolsets * Business case development |
| Payroll Related Implementation | New System, module or integrations. For example: both internal (supplier system) and external (supplier to supplier) integrations to support Payroll and Payroll related services. This includes;   * Technical upgrades * Re-platforming * Associated systems such as recruitment integrated with payroll * Upgrades to new versions * Remediation integration |
| Payroll Data Migration | Tools, processes and support of payroll related data migrations including both internal (upgrades/new modules etc) and external change (supplier to supplier implementations). |
| Payroll Administration | On site (agency) or remote payroll and payroll related administration support services, either partial or full E2E payroll. |
| Payroll Consultancy | Professional services including, but is not limited to:   * System Reviews * Strategic Payroll Services Plans and Roadmaps * Payroll Service Performance Management * Payroll Metrics (cost to serve, movement, pays vs rework) * Advice on efficiencies and effective use of system(s) and/or modules * Process Design and Review * Remediation Services * Payroll Change Management * Ad-hoc reporting * Procurement * Business/Systems Analysis * Advice and guidance * Business Case Support * Integration planning * Process optimisation * DR and BCP planning and advice |
| Payroll Configuration Health Check Services | Assessment of agency configurations against supplier recommended and business/agency configurations by module or as an end-to-end assessment. |
| Payroll Functional Audits | Audits of specified areas within payroll, e.g. ghost audits, bank accounts, payroll processes, policy and forms, control points, integration management, upgrade management and troubleshooting. |
| Payroll Related Project Management | Project Management Services across Payroll and Payroll related projects including initiation, procurement, implementations (modular and E2E), remediations, migrations and upgrades utilising agency or supplier recommended standards and methodologies. |
| Payroll Related Training and Support | Training and support including, but is not limited to Development and delivery of;   * Training on all aspects of system * Release overviews * Demonstration facilities * System documentation * Mentoring * User Groups |

## Appendix 2. Application Questions – Steps 1-3 for All Payroll Services

Note: Suppliers are encouraged to use this Appendix to prepare their response to the questions, prior to commencing the application process.

The information below is required for all suppliers.

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| Step 1 – Company Details |
| New Zealand Business Number (NZBN)  Suppliers can Autofill the majority of Step 1 – Company Details by entering their NZBN and clicking the “Pre-Fill Details” button. |
| Business Name   * Trading Name * Legal Name |
| Registered/Head Office Address |
| Type of Company  Applicant must select one from a list of Company Type |
| Business Ownership/Shareholding |
| Company Status  Applicants must select one from a list of Company Status’ |
| Industry Classification  Applicants must select one from a list of Industry Classifications |
| GST Status & Registration Number  Applicant must indicate whether they are Registered or Unregistered for GST, and if so must provide their GST number in order to progress. |
| Australian Business Number/Company Number |
| Step 2 – Authorised Personnel |
| Signatory  Applicants must provide the details of the responsible signatory for their business. |
| Legal Counsel  Applicants must provide the details of who is responsible for providing legal oversight for their business. |
| Administrator  Applicants must provide the details of the responsible administrator for their business who will maintain their Marketplace account. |
| Security Officer  Applicants must provide the details for the Chief Information Security Officer (CISO) or equivalent. |
| Step 3 – Financial Viability |
| Evidence of Solvency  Applicants must upload a statement from an authorised officer of their business that confirms that they are a financially viable company for the purposes of delivering and supporting the service(s) they intend to list on the marketplace.  The statement must show that you are confident that there are no events, matters or circumstances, actual, contemplated or threatened, that have or may affect the operation of the Supplier, its parent or other associated parties or its ability to successfully perform the Contract.  A model statement should contain the name, position, and signature of the authorised officer, and a confirmation to the effect of the details above. |
| Solvency Test – Paying Debts  Applicants must declare whether their business is able to pay its debts as they become due in the normal course of business |
| Solvency Test – Insolvency Proceedings  Applicants must declare whether their business is currently facing any actions of insolvency proceedings, or have done within the last 5 years. |
| Disputes – Investigations  Applicants must declare whether their business is currently being investigated, or has been investigated within the past 5 years. |
| Disputes – Current Disputes  Applicants must declare whether their business is currently facing any disputes or has faced a dispute within the past 5 years. |
| Disputes – Legal Proceedings  Applicants must declare whether their business is currently facing any legal proceedings or has faced legal proceedings within the past 5 years or is likely to face a legal proceeding within the next 3 years. |
| Company Size  Applicants must indicate the size of their company by selecting from one of the options listed |
| Age of Business  Applicants must indicate how long their business has been operational, by selecting from of the options provided. |
| Operational Location  Applicants must indicate the main operation location country from which they provide their product or services. |
| Company Insurances Held  Applicants may indicate one or more insurances their business holds from a list.  Applicants can also indicate the range in which their cover amount is per insurance they select. |

## Appendix 3. Payroll Enterprise Software Application Questions \_ Steps 4-8

Note: Suppliers are encouraged to use this Appendix to prepare their response to the questions, prior to commencing the application process.

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### Step 4: Minimum Requirements

| **Description** |
| --- |
| **Enterprise Software functionality** must include at least ONE of the following (tick all boxes that apply):  ☐ Payroll  ☐ Time & Attendance  ☐ Award Interpretation  ☐ Rostering  *NOTE: Other terms used to describe Rostering may include Workforce Management & Workforce Planning.* |
| **Legislative Requirements**  Your solution should support current and future NZ legislation and requirements including but not limited to accurate time capture and payroll recording, calculations, and specifications such as those provided by IRD and various superannuation schemes.  ☐ Yes/No  No = please explain any non-compliance (text box) |
| **Legislative Compliance:**  Confirm that your payroll system is:   * consistent with the **Holidays Act 2003**, rather than other non-legislative systems or practices * able to be configured in such a way that all calculations performed by the system meet the requirements set out in the Holidays Act 2003 * able to be kept up to date, and to account for changes * able to re-determine/recalculate relevant entitlements     ☐ Yes/No  No = please explain any non-compliance (text box) |
| **Legislative Compliance: Holidays Act 2003 capability**  Confirm that your payroll system can:   * accurately record time worked, and days and dates worked * accurately record leave and holidays entitled, taken and paid out, and remuneration paid (unless this information is clearly recorded elsewhere) * reflect how the business operates, including complexity or changes in employee work patterns, (sometimes unique) * be configured to reflect additional entitlements agreed by the employer in employment  agreements and workplace policies (e.g., allowances, other benefits).   ☐Yes/No  No = please explain any non-compliance (text box) |
| **Service Listing Requirements**  Can you meet all the Mandatory(M) requirements, as stated in the Service Listing template (spreadsheet) for the service listings you have applied for?  **Note:** Items noted as (M) Mandatory are required on the basis that they have either a) been legislated for or b) have been identified as current practice in agencies. If you are unable to meet a (M) Mandatory requirement there is a section in the Service Listing template (MS Word and spreadsheet documents) for you to explain. Each agency will assess the importance of any non-compliance against their specific requirements during their secondary procurement process.  ☐Yes/No  No = Please upload your completed spreadsheet |

### Step 5: Experience

|  |
| --- |
| **Description** |
| **Organisation Experience** Please describe your organisation’s experience in providing the service(s) included in this application. |
| **Case Studies or Use cases** Please provide at least one case study to support your application.  If you do not have any case studies, then please provide use cases that are relevant to the services included in this application. |

### Step 6: Capability and Capacity

| **Description** |
| --- |
| **Staff Capabilities, Service Continuity and Quality**  Please describe your approach to maintaining staff capability and ensuring service continuity and quality. |
| **Continuous Improvement**  Please describe your methodology and approach to continuous improvement. |
| **Training**  Please describe your approach to end user training. |
| **Change Management**  Please describe your change management approach. |
| **Incident Management**  Please describe your approach to incident management and reporting. |
| Support Organisation  1. Outline the location(s) of your system support resources. 2. Describe any formal support arrangements you have with support partners or third-party organisations to provide this support either on your behalf (sub-contractors) or as accredited partners that need to be engaged under a separate arrangement. |

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### Step 7: Service Summary

| **Description** |
| --- |
| **Software Functionality**  Confirm the functionality included in your offering:  (tick all boxes that apply):  Payroll  Time & Attendance  Award Interpretation  Rostering  HR  Workflow Management  Self Service  Reporting  Other Functionality (List in the following ***text box***) |
| **Software Implementation & Support**  Software Maintenance  Software Support  Software Configuration  Data Management  Disaster Recovery and Business Continuity  Payroll Functional Audits  Other software-related services (List in the following ***text box***) |
| ***Other Payroll Related Services***  *If you have other payroll-related services that are not directly provided as part of your managed services, these will need to be separately listed under another relevant channel.* |
|  |
| **Describe your software and services at a high level –** [Hint] Limit 4000 characters. This description will be reviewed by the Lead Agency to determine appropriateness of your service under this Category and Service profile. |
| **Software/Service benefits and outcomes –** [Hint] Limit 2000 characters. What benefits does your service provide Agencies? What outcomes can/does it facilitate? |
| **Dependencies, exclusions, and limitations –** [Hint] Limit 1000 characters. Please provide any further information relevant to the scope of your software, in particular if any dependencies, exclusions, or limitations apply |
| **Typical customer size and complexity –** (tick all that apply)  Agencies less than 500 employees  Agencies 500 to 2000 employees  Agencies with more than 2000 + employees  Complex agency hierarchies (multiple organisational structures and payrolls)  Complex agency agreements (Multiple MECA’s, CEA’s, IEA’s) |
| **Typical customer engagements –** [Hint] Limit 2000 characters. What are the typical types of engagements for this System? |
| **Describe the pricing models available for your software. Limit 2000 characters.** Describe the different ways in which the software and associated services can be purchased e.g.   * modular pricing, * transaction based pricing (e.g. per payslip) * monthly/annual fees and the basis of the fee (e.g. no. of employees) * support pricing * cost of upgrades |

### Step 8a: Security - Enterprise Software Channel - Payroll Software -Provider-Hosted application information

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| **Description** |
| **APPLIES TO ALL Provider-hosted REGARDLESS OF TIER** |
| **Cloud Assessment**  C1. Please upload a completed GCIO-105 for each service and any variants included in this application. |
| C2.  [deleted] |
| **Legal Jurisdiction(s)**  C3. If the services being applied for include the processing, transmission, or storage of Citizen &/or Agency data, please confirm in which legal jurisdiction(s) this will occur?   * [must specify – free text box] |
| **Foreign Laws or Requests**  C4. Please confirm, if you are aware, if any of the services being applied for could be subject to foreign laws or requests by foreign governments to access Citizen &/or Agency data in a way which could affect the security or privacy of the data?  Please specify [must choose one]   * Yes   + Please provide further details [required]   + Further info [optional file upload] * No |
| **Encryption**  C5. Please confirm that the encryption protocols and algorithms used when processing, transmitting, or storing Citizen &/or Agency data, for any of the services (or service variants) being applied for, comply with guidelines provided in the current version of the NZISM (for example refer to NZISM v3.3 sections 17.2, 17.3 and 17.4 at <https://www.nzism.gcsb.govt.nz/>).  Please specify [must choose one]   * Yes   + Please provide further details or comments [required – free text box] * No   + Additional information.  Please specify any other guidelines or standard which apply. |
| **APIs**  C6. Please confirm that all relevant system/service Application Programming Interfaces (APIs) and mechanisms for bulk data transfers including using physical storage media have processes and technology to guarantee the confidentiality and integrity of the information, and undergo regular security reviews.  (for example, refer to NZISM v3.3 section 20 at <https://www.nzism.gcsb.govt.nz/>)  Please confirm [must choose one]   * Yes   + Please provide further details or comments [required – free text box] * No   + Please provide further details [required – free text box] |
| **Identity Management**  C7. Please confirm that personnel access to the services being applied for is covered by your own robust identity management and protection processes.  And that these are applied and managed to ensure privacy and security of Citizen &/or Agency data.  (NOTE: Public cloud provider identity management and protection processes alone may not be sufficient).  Please confirm [must choose one]   * Yes   + Please provide more information * No   + Please provide further information [required – free text box] |
| **Passwords**  C8. Please confirm that all relevant system/service access passwords enforce complexity in compliance with the guidelines provided in the current version of the NZISM and that multi-factor authentication is used for access (as a minimum) by system/service administrators.  (for example, refer to NZISM v3.3 sections 16.1 [specifically 16.1.23.C03-02, 16.1.24.C03-04], 16.3 and 16.4 at <https://www.nzism.gcsb.govt.nz/>)  Please confirm [must choose one]   * Yes   + Please provide further details or comments [required – free text box] * No   + Please provide further details [required – free text box] |
| **Ownership of Data**  C9. Please confirm that your organisation has internal policies and processes to ensure that customers retain ownership of their data, including personal information, stored and processed by your services, and that this data is not used for any other purpose than delivering the services which are offered via the Marketplace.    Please confirm [must choose one]   * Yes   + Please provide supporting information [optional – file upload] * No   + Please provide further information [required – free text box] |
| **Security Awareness Training**  C11. Please confirm you have a formal staff security awareness training policy which includes aspects related to privacy, information management, confidentiality and prevention of financial fraud.  Please confirm [must choose one]   * Yes   + If available, please upload relevant high-level supporting documentation [optional – file upload] * No   + Please provide further information [required – free text box] |
| **Security Breach Notifications**  C12. Please confirm incident response and customer notification processes are in place for handling breaches of security including but not limited to; unauthorised access to systems/services or data; unauthorised physical or remote access; or exposure of customer data.  Incident response and notification processes in place and regularly tested:   * Yes   + Please upload relevant supporting documentation as evidence [Required – file upload] * No   Please also provide details of any previously notified security breaches   * + No known previous breaches   + One or more breaches * Provide details including but not limited to; circumstances, impact, and any corrective action taken. [Required - free text] |
| **ADDITIONAL INFORMATION FOR PROVIDER-HOSTED TIER 2 AND ABOVE RATING** |
| **International Standards**  C13. Please confirm that the proposed Service(s) comply with any of the following international standards: ISO/IEC 27001, ISAE 3402 SOC 2, IRAP or other comparable industry recognised security standard. Also provide any documentation related to any other standards that may apply (e.g. PCI-DSS for solutions that process credit card payment data).  Please confirm [must choose one]   * Yes   + Please upload relevant supporting documentation [**required** – file upload] * No   + Please describe any other standards compliance [required – free text box] |
| **Security Audit Reports**  C14. For all the services being applied for, please provide copies of any recent external and/or internal audit reports covering the implementation and management of security measures, designed to protect the service and the data held within it.  (NOTE: These reports may be shared with Agency CISOs prior to any secondary procurement activity; however, this information will not be published in the Marketplace catalogue).  Audit reports [must choose one]   * Yes   + Please upload your audit report(s) [required – file upload] * No   + Please provide the reason for your decision [required – free text box] |
| **Business Continuity and Disaster Recovery**  C15. Please confirm that the proposed Service(s) include comprehensive and up to date ‘business continuity’ and ‘disaster recovery’ plans which are regularly tested, and that these also provide for recovery of any Agency data.  Continuity planning [must choose one]   * Yes   + Please provide a high-level summary [required – file upload] * No   + Please describe your approach to BCP and DR [required – free text box] |
| **Secure Disposal / Destruction**  C16. Please confirm that defined processes are in place and managed for secure disposal or destruction of any ICT equipment and storage media that contains Agency data relevant to the proposed Service(s); if applicable.  Secure disposal / destruction [must choose one]   * Yes   + Please provide a high-level summary [required – file upload] * No   + Please describe how you manage this [optional – free text box] |

### Step 8b: Security - Enterprise Channel – Payroll Software Agency-Hosted application information

|  |
| --- |
| **Description** |
| **Regular Security Updates**  D1. Please confirm your software receives regular security updates and patches without requiring any additional costs for download, deployment or activation.  Please confirm [must choose one]   * Yes   + If available, please upload relevant high-level supporting documentation [optional – file upload] * No   + Please provide further information [required – free text box] |
| **Notification of Security Vulnerability**  D2. Please confirm your organisation has processes in place to notify your customers of any known software defect or security vulnerability that is present in your software.  Please confirm [must choose one]   * Yes * If available, please upload relevant high-level supporting documentation [optional – file upload] * No   + Please provide further information [required – free text box] |
| **Quality Assurance**  D3. Please confirm your organisation has implemented quality assurance processes to minimise software defects and security vulnerabilities from being present in your software.  Please confirm [must choose one]   * Yes   + If available, please upload evidence of compliance to relevant standard such as ISO/IEC 25010 or Common Criteria Evaluation Assurance Levels (EAL) [optional – file upload] * No   + Please provide further information [required – free text box] |
| **Security Testing**  D4. Please confirm your organisation authorise its customers to perform security testing of the software they purchase from you, and that you have processes to support reporting of software defects and security vulnerabilities as well as timely response. (i.e. responsible disclosure policy).  Please confirm [must choose one]   * Yes   + If available, please upload relevant high-level supporting documentation [optional – file upload] * No   + Please provide further information [required – free text box] |

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## Appendix 4. Managed Payroll Services Application Questions\_ Steps 4-8

Note: Suppliers are encouraged to use this Appendix to prepare their response to the questions, prior to commencing the application process.

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***DEFINITIONS***

***Managed Payroll Services***  
Payroll related services comprising both software functionality and a range of associated services, provided and managed “as-a-service” by a supplier. Typically referred to as outsourced and/or bureau services. The functionalities of a payroll solution include some or all of payroll, time & attendance, award interpretation, rostering, human resources(HR), workforce management, self-service and data management.

***Associated Services***Associated Services replace functions the agency might otherwise perform, including but not limited to;

* Payroll Administration
* Configuration Consultation
* Payroll Service Performance Management
* Payroll Metrics (cost to serve, movement, pays vs rework)
* Advice and guidance (Support Hours/levels of guidance)
* Process optimisation
* 3rd party disbursements
* Disaster Recovery and Business Continuity
* Payroll Audits
* Other

### Step 4: Minimum Requirements for Managed Payroll Services

| **Description** |
| --- |
| **Managed Payroll Services** must include:  ***System Functionalities -***  in at least ONE of the following (tick all boxes that apply):  ☐ Payroll  ☐ Time & Attendance  ☐ Award Interpretation  ☐ Rostering  ***AND***  ☐ ***Associated Services***  *NOTE: Other terms used to describe Rostering may include Workforce Management & Workforce Planning.* |
|
| **Legislative Requirements**  Your solution should support current and future NZ legislation and requirements including but not limited to accurate time capture and payroll recording, calculations, and specifications such as those provided by IRD and various superannuation schemes.  ☐ Yes/No  No = please explain any non-compliance (text box) |
| **Legislative Compliance:**  Confirm that your payroll system is:   * consistent with the **Holidays Act 2003**, rather than other non-legislative systems or practices * able to be configured in such a way that all calculations performed by the system meet the requirements set out in the Holidays Act 2003 * able to be kept up to date, and to account for changes * able to re-determine/recalculate relevant entitlements     ☐ Yes/No  No = please explain any non-compliance (text box) |
| **Legislative Compliance: Holidays Act 2003 capability**  Confirm that your payroll system can:   * accurately record time worked, and days and dates worked * accurately record leave and holidays entitled, taken and paid out, and remuneration paid (unless this information is clearly recorded elsewhere) * reflect how the business operates, including complexity or changes in employee work patterns, (sometimes unique) * be configured to reflect additional entitlements agreed by the employer in employment  agreements and workplace policies (e.g., allowances, other benefits).   ☐Yes/No  No = please explain any non-compliance (text box) |
| **Service Listing Requirements**  Can you meet all the Mandatory(M) requirements, as stated in the Service Listing template (spreadsheet) for the service listings you have applied for?  **Note:** Items noted as (M) Mandatory are required on the basis that they have either a) been legislated for or b) have been identified as current practice in agencies. If you are unable to meet a (M) Mandatory requirement there is a section in the Service Listing template (MS Word and spreadsheet documents) for you to explain. Each agency will assess the importance of any non-compliance against their specific requirements during their secondary procurement process.  ☐Yes/No  No = Please upload your completed spreadsheet |

### Step 5: Experience

|  |
| --- |
| **Description** |
| **Organisation Experience** Describe your organisation’s experience in providing the service(s) included in this application. |
| **Case Studies or Use cases**  Provide at least one case study to support your application.  If you do not have any case studies, then please provide use cases that are relevant to the services included in this application. |

### Step 6: Capability and Capacity

| **Description** |
| --- |
| **Staff Capabilities, Service Continuity and Quality**  Describe your approach to maintaining staff capability and ensuring service continuity and quality. |
| **Continuous Improvement**  Describe your methodology and approach to continuous improvement. |
| **Training**  Describe your approach to end user training. |
| **Change Management**  Describe your change management approach. |
| **Incident Management**  Please describe your approach to incident management and reporting. |
| **Support Organisation**   1. Outline the location(s) of your system support resources. 2. Describe any formal support arrangements you have with support partners or third-party organisations to provide this support either on your behalf (sub-contractors) or as accredited partners that need to be engaged under a separate arrangement. |

### Step 7: Service Summary – Managed Payroll Services

Please confirm the services you are providing:

| **Description** |
| --- |
| **System Functionality**  Confirm the functionality included in your offering: (tick all boxes that apply):  Payroll  Time & Attendance  Award Interpretation  Rostering  Human Resources  Workflow Management  Self Service  Data Management  Reporting  Other Functionality (List in the following ***text box***) |
| **Associated Services**  Confirm the services included in your offering: (tick all boxes that apply):  ☐ Payroll Administration  ☐ Configuration Consultation  ☐ Payroll Service Performance Management  ☐ Payroll Metrics  ☐ Advice and guidance  ☐ Process optimisation  ☐ 3rd party disbursements  ☐ Disaster Recovery and Business Continuity  ☐ Payroll Functional Audits  Other (List in the following ***text box***) |
| ***Other* Payroll Related *Services***  *If you have other payroll-related services that are not directly provided as part of your managed services, these will need to be separately listed under another relevant channel.*. |
| **Describe your service at a high level –** [Hint] Limit 4000 characters.  Include naming the system platform that your service is based on. This description will be reviewed by the Lead Agency to determine appropriateness of your service under this Category and Service profile. |
| **Service benefits and outcomes –** [Hint] Limit 2000 characters. What benefits does your service provide Agencies? What outcomes can/does it facilitate? |
| **Dependencies, exclusions, and limitations –** [Hint] Limit 1000 characters. Please provide any further information relevant to the scope of your service, in particular if any dependencies, exclusions, or limitations apply |
| **Typical customer size and complexity –** (tick all that apply)  Agencies less than 500 employees  Agencies 500 to 2000 employees  Agencies with more than 2000 + employees  Complex agency hierarchies (multiple organisational structures and payrolls)  Complex agency agreements (Multiple MECA’s, CEA’s, IEA’s) |
| **Typical customer engagements –** [Hint] Limit 2000 characters. What are the typical types of engagements for this Managed Service? |
| **Describe the pricing models available.** Limit 2000 characters. Describe the different ways in which the services can be purchased e.g.   * modular pricing, * transaction based pricing (e.g. per payslip * monthly/annual fees and the basis of the fee (e.g. no. of employees) * support pricing * cost of upgrades |

### Step 8: Security Pass/Fail criteria

|  |
| --- |
| **Description** |
| **APPLIES TO ALL MANAGED SERVICES** |
| **Cloud Declaration**  If any of the services being applied for contain any functions stored or operated from cloud infrastructure (i.e. not on agency premises) please upload a completed GCIO-105 for each service included in this application.    This is an optional requirement at this Supplier Application stage for the selected services but may be required during the Catalogue assessment stage. |
| **Legal Jurisdiction(s)**  If the services being applied for include the processing, transmission, or storage of Citizen &/or Agency data, please confirm in which legal jurisdiction(s) this will occur?   * [must specify – free text box] |
| **Foreign Laws or Requests**  Please confirm, if you are aware, if any of the services being applied for could be subject to foreign laws or requests by foreign governments to access Citizen &/or Agency data in a way which could affect the security or privacy of the data?  Please specify [must choose one]   * Yes * Please provide further details [required] * Further info [optional file upload] * No |
| **Personnel Vetting**  Please confirm you have a personnel vetting process which includes the New Zealand Ministry of Justice criminal record checks or equivalent, covering all staff and that this covers any sub-contractors or 3rd parties who will deliver the proposed Service(s).  Please confirm [must choose one]   * Yes * If available, please upload relevant high-level supporting documentation [optional – file upload] * No * Please provide further information [required – free text box] |
| **Ownership of Data**  Please confirm that your organisation has internal policies and processes to ensure that customers retain ownership of their data, including personal information, stored and processed by your services, and that this data is not used for any other purpose than delivering the services which are offered via the Marketplace.    Please confirm [must choose one]   * Yes * Please provide supporting information [optional – file upload] * No * Please provide further information [required – free text box] |
| **Security Awareness Training**  Please confirm you have a formal staff security awareness training policy which includes aspects related to privacy, information management, confidentiality and prevention of financial fraud.  Please confirm [must choose one]   * Yes * If available, please upload relevant high-level supporting documentation [optional – file upload] * No * Please provide further information [required – free text box] |
| **Physical Security**  Please provide details of the physical security controls that are in place for;  a) Office location security controls [free text response field]  b) Other location(s) security controls.  Locations where Agency data is processed and stored (if relevant) [free text response field]   * Please upload relevant PhySec audit reports as evidence [**required** – file upload]. |
| **Security Breach Notifications**  Please confirm incident response and customer notification processes are in place for handling breaches of security including but not limited to; unauthorised access to systems/services or data; unauthorised physical or remote access; or exposure of customer data.  Incident response and notification processes in place and regularly tested:   * Yes * Please upload relevant supporting documentation as evidence [Required – file upload] * No * Please describe how you manage this   Please also provide details of any previously notified security breaches   * No known previous breaches * One or more breaches * Provide details including but not limited to; circumstances, impact, and any corrective action taken. [Required - free text] |
| **ADDITIONAL INFORMATION FOR ALL TIER 2 MANAGED SERVICES** |
| **Encryption**  Please confirm that the encryption protocols and algorithms used when processing, transmitting, or storing Citizen &/or Agency data, for any of the services being applied for, comply with guidelines provided in the current version of the NZISM (for example refer to NZISM v3.3 sections 17.2, 17.3 and 17.4 at <https://www.nzism.gcsb.govt.nz/>).  Please specify [must choose one]   * Yes * Please provide further details or comments [required – free text box] * No * Additional information.  Please specify any other guidelines or standard which apply. |
| **International Standards**  Please confirm that the proposed Service(s) comply with any of the following international standards: ISO/IEC 27001, ISAE 3402 SOC 2, IRAP or other comparable industry recognised security standard. Also provide any documentation related to any other standards that may apply (e.g. PCI-DSS for solutions that process credit card payment data).  Please confirm [must choose one]   * Yes * Please upload relevant supporting documentation [required – file upload] * No * Please describe any other standards compliance [required – free text box] |
| **Security Audit Reports**  For all the services being applied for, please provide copies of any recent external and/or internal audit reports covering the implementation and management of security measures, designed to protect the service and the data held within it.  (NOTE: These reports may be shared with Agency CISOs prior to any secondary procurement activity; however, this information will not be published in the Marketplace catalogue).  Audit reports [must choose one]   * Yes * Please upload your audit report(s) [required – file upload] * No * Please provide the reason for your decision [required – free text box] |
| **APIs**  Please confirm that all relevant system/service Application Programming Interfaces (APIs) and mechanisms for bulk data transfers including using physical storage media have processes and technology to guarantee the confidentiality and integrity of the information, and undergo regular security reviews.  (for example, refer to NZISM v3.3 section 20 at <https://www.nzism.gcsb.govt.nz/>)  Please confirm [must choose one]   * Yes * Please provide further details or comments [required – free text box] * No * Please provide further details [required – free text box] |
| **Identity Management**  Please confirm that personnel access to the services being applied for is covered by your own robust identity management and protection processes.  And that these are applied and managed to ensure privacy and security of Citizen &/or Agency data.  (NOTE: Public cloud provider identity management and protection processes alone may not be sufficient).  Please confirm [must choose one]   * Yes * Please provide more information * No * Please provide further information [required – free text box] |
| **Passwords**  Please confirm that all relevant system/service access passwords enforce complexity in compliance with the guidelines provided in the current version of the NZISM and that multi-factor authentication is used for access (as a minimum) by system/service administrators.  (for example, refer to NZISM v3.3 sections 16.1 [specifically 16.1.23.C03-02, 16.1.24.C03-04], 16.3 and 16.4 at <https://www.nzism.gcsb.govt.nz/>)  Please confirm [must choose one]   * Yes * Please provide further details or comments [required – free text box] * No * Please provide further details [required – free text box] |
| **Business Continuity and Disaster Recovery**  Please confirm that the proposed Service(s) include comprehensive and up to date ‘business continuity’ and ‘disaster recovery’ plans which are regularly tested, and that these also provide for recovery of any Agency data.  Continuity planning [must choose one]   * Yes * Please provide a high-level summary [required – file upload] * No * Please describe your approach to BCP and DR [required – free text box] |
| **Secure Disposal / Destruction**  Please confirm that defined processes are in place and managed for secure disposal or destruction of any ICT equipment and storage media that contains Agency data relevant to the proposed Service(s); if applicable.  Secure disposal / destruction [must choose one]   * Yes * Please provide a high-level summary [required – file upload] * No * Please describe how you manage this [optional – free text box] |

## Appendix 5. Payroll Professional Services Application Questions\_ Steps 4-7

Note: Suppliers are encouraged to use this Appendix to prepare their response to the questions, prior to commencing the application process.

### Step 4: Experience

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| --- |
| **Description** |
| **Organisation Experience** Please describe your organisation’s experience in providing the service(s) included in this application. Include where your services are based, and whether any of the services are provided by a third-party. |
| **Case Studies or Use cases** Please provide at least one case study to support your application.  If you do not have any case studies, then please provide use cases that are relevant to the services included in this application. |

### Step 5: Capability and Capacity

| **Description** |
| --- |
| **Resource Availability**  Please set out your organisation’s approach for selecting, maintaining and managing the availability of its resources so that requests from agencies can be met in a timely manner. |
| **Capability Development**  Please set out your organisation’s approach for developing and maintaining the capability of its resources, including the nature and level of investment in individual resources for keeping up-to-date with trends and techniques of their respective discipline and knowledge of the public-sector environment. |
| **Knowledge Management** Please set out your organisation’s approach for managing the retention and transfer of knowledge created by its resources, including: knowledge management practices that ensure transfer of knowledge within the organisation’s resources and agency staff, how resources will identify opportunities to improve agency systems and processes, and how resources will add value over and above the contracted service. |

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### Step 6: Service Summary – Payroll Professional Services

**Services**

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| --- |
| **Description** |
| **Range of Services Offered**  (tick all boxes that apply):  Payroll Requirements and Scoping  Payroll Related Implementation  Payroll Data Migration  Payroll Administration  Payroll Consultancy  Payroll Configuration Health Check Services  Payroll Functional Audits  Payroll Disaster Recovery & Business Continuity  Payroll Related Project Management  Payroll Related Training and Support  Other |

#### Payroll Requirements and Scoping

Definition: Business requirements gathering and workshops to determine current and target states, and resultant scope of change for the agency including alignments with AOG Initiatives. For example;

* Documentation of requirements and utilisation of process and other toolsets
* Business case development

|  |
| --- |
| **Description** |
| **Service Overview**  [Please give an overview of the service you provide, including the list of services/roles (max 100 words)] |
| **Skills and Experience**  [Please describe the typical experience level and skills of your resources that provide these services] |
| **Service Limitations**  [Please state if any of the services are limited to specific vendor systems] |

#### Payroll Related Implementation

Definition: New System, module or integrations. For example: both internal (supplier system) and external (supplier to supplier) integrations to support Payroll and Payroll related services. This includes;

* Technical upgrades
* Re-platforming
* Associated systems such as recruitment integrated with payroll
* Upgrades to new versions
* Remediation integration

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| --- |
| **Description** |
| **Service Overview**  [Please give an overview of the service you provide, including the list of services/roles (max 100 words)] |
| **Skills and Experience**  [Please describe the typical experience level and skills of your resources that provide these services] |
| **Service Limitations**  [Please state if any of the services are limited to specific vendor systems] |

#### Payroll Data Migration

Definition: Tools, processes and support of payroll related data migrations including both internal (upgrades/new modules etc) and external change (supplier to supplier implementations).

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| --- |
| **Description** |
| **Service Overview**  [Please give an overview of the service you provide, including the list of services/roles (max 100 words)] |
| **Skills and Experience**  [Please describe the typical experience level and skills of your resources that provide these services] |
| **Service Limitations**  [Please state if any of the services are limited to specific vendor systems] |

#### Payroll Administration

Definition: On site (agency) or remote payroll and payroll related administration support services, either partial or full E2E payroll.

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| --- |
| **Description** |
| **Service Overview**  [Please give an overview of the service you provide, including the list of services/roles (max 100 words)] |
| **Skills and Experience**  [Please describe the typical experience level and skills of your resources that provide these services] |
| **Service Limitations**  [Please state if any of the services are limited to specific vendor systems] |

#### Payroll Consultancy

Definition: Professional services including, but is not limited to:

* System Reviews
* Strategic Payroll Services Plans and Roadmaps
* Payroll Service Performance Management
* Payroll Metrics (cost to serve, movement, pays vs rework)
* Advice on efficiencies and effective use of system(s) and/or modules
* Process Design and Review
* Remediation Services
* Payroll Change Management
* Adhoc reporting
* Procurement
* Business/Systems Analysis
* Advice and guidance
* Business Case Support
* Integration planning
* Process optimisation
* DR and BCP planning and advice

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| --- |
| **Description** |
| **Service Overview**  [Please give an overview of the service you provide, including the list of services/roles (max 100 words)] |
| **Skills and Experience**  [Please describe the typical experience level and skills of your resources that provide these services] |
| **Service Limitations**  [Please state if any of the services are limited to specific vendor systems] |

#### Payroll Configuration Health Check Services

Definition: Assessment of agency configurations against supplier recommended and business/agency configurations by module or as an end-to-end assessment.

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| **Description** |
| **Service Overview**  [Please give an overview of the service you provide, including the list of services/roles (max 100 words)] |
| **Skills and Experience**  [Please describe the typical experience level and skills of your resources that provide these services] |
| **Service Limitations**  [Please state if any of the services are limited to specific vendor systems] |

#### Payroll Functional Audits

Definition: Audits of specified areas within payroll, e.g. ghost audits, bank accounts, payroll processes, policy and forms, control points, integration management, upgrade management and troubleshooting.

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| **Description** |
| **Service Overview**  [Please give an overview of the service you provide, including the list of services/roles (max 100 words)] |
| **Skills and Experience**  [Please describe the typical experience level and skills of your resources that provide these services] |
| **Service Limitations**  [Please state if any of the services are limited to specific vendor systems] |

#### Payroll Related Project Management

Definition: Project Management Services across Payroll and Payroll related projects including initiation, procurement, implementations (modular and E2E), remediations, migrations and upgrades utilising agency or supplier recommended standards and methodologies.

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| **Description** |
| **Service Overview**  [Please give an overview of the service you provide, including the list of services/roles (max 100 words)] |
| **Skills and Experience**  [Please describe the typical experience level and skills of your resources that provide these services] |
| **Service Limitations**  [Please state if any of the services are limited to specific vendor systems] |

#### Payroll Related Training and Support

Definition: Training and support Including, but is not limited to Development and delivery of;

* Training on all aspects of system
* Release overviews
* Demonstration facilities
* System documentation
* Mentoring
* User Groups

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| --- |
| **Description** |
| **Service Overview**  [Please give an overview of the service you provide, including the list of services/roles (max 100 words)] |
| **Skills and Experience**  [Please describe the typical experience level and skills of your resources that provide these services] |
| **Service Limitations**  [Please state if any of the services are limited to specific vendor systems] |

#### Payroll Other

Tell us about additional payroll-related professional services or support you provide.

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| --- |
| **Description** |
| **Service Overview**  [Please give an overview of the service you provide, including the list of services/roles (max 100 words)] |
| **Skills and Experience**  [Please describe the typical experience level and skills of your resources that provide these services] |
| **Service Limitations**  [Please state if any of the services are limited to specific vendor systems] |

**Pricing Model**

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| --- |
| **Description** |
| Describe the pricing models available. Limit 2000 characters. Describe the different ways in which the services can be purchased e.g.   * Rate card * Blended rates * Volume discounts * Fixed price * Outcome based pricing options |

### Step 7: Security

The following information is mandatory for all applications for Payroll services in the Consultancy and Professional Services Channel.

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| --- |
| **Description** |
| **Personnel Vetting**  Please confirm you have a personnel vetting process which includes the New Zealand Ministry of Justice criminal record checks or equivalent, covering all staff and that this covers any sub-contractors or 3rd parties who will deliver the proposed Service(s).  Please confirm [must choose one]   * Yes * If available, please upload relevant high-level supporting process documentation [optional – file upload] * No * Please provide further information on your process [required – free text box] |
| **Physical Security**  Please provide a high-level summary of the physical security controls that are in place for:   * Office Locations - These physical security controls apply to all office locations that are used to provide the Services which you are applying for. * Other locations (where relevant) - These physical security controls apply to all locations where Agency and/or Citizen data is processed and stored.   Where available, please upload any relevant Physical Security (PhySec) audit reports as evidence (optional) |
| **Security Awareness Training**  Please confirm you have a formal staff training policy which includes aspects related to Privacy, Information Management and Confidentiality.  Please confirm [must choose one]   * Yes * If available, please upload relevant high-level supporting policy documentation [optional – file upload] * No * Please provide further information on your policy [required – free text box] |
| **Security Breach Notifications**  Please confirm notification processes are in place for handling breaches of security including but not limited to; unauthorised access to systems/services or data; unauthorised physical or remote access; or exposure of customer data.  Notification processes in place   * Yes * Please upload relevant supporting process documentation as evidence [Required – file upload] * No    Please also provide details of any previously notified security breaches   * No known previous breaches * One or more breaches * Provide details including but not limited to; circumstances, impact, and any corrective action taken. [Required - free text] |