Evaluation plan

Template

(Insert procurement activity and reference number)

|  |
| --- |
| **When to use this template**  This template can be used to document the evaluation process and methodology. The evaluation criteria in the plan must match the evaluation criteria in the tender document. This document should be tailored to the needs of the agency and the procurement concerned (e.g. ratings scales and methodologies).  **Please delete this text box and remove any user notes before use.**  Use of this template is optional – remember to check your agency’s policies and procedures to check whether your agency has a standard template available that you are required to use.  **For more information on the *Buy Queensland* approach to procurement please visit** [www.qld.gov.au/buyqueensland](http://www.qld.gov.au/buyqueensland).  Get involved! This document is part of the Procurement Resource Centre. We would love to hear what you think, so please email your feedback to [betterprocurement@hpw.qld.gov.au](mailto:betterprocurement@hpw.qld.gov.au).  **Disclaimer**  This document is intended as a guide only for the internal use and benefit of government agencies. It may not be relied on by any other party. It should be read in conjunction with the Queensland Procurement Policy, your agency’s procurement policies and procedures, and any other relevant documents.  The Department of Housing and Public Works disclaims all liability that may arise from the use of this document. This document should not be used as a substitute for obtaining appropriate probity and legal advice as may be required. In preparing this document, reasonable efforts have been made to use accurate and current information. It should be noted that information may have changed since the publication of this document. Where errors or inaccuracies are brought to attention a reasonable effort will be made to correct them. |

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# Procurement objectives

[User note: refer to the [Evaluating offers](http://www.hpw.qld.gov.au/SiteCollectionDocuments/ProcurementGuideEvaluatingOffers.pdf) guidance for more information.]

(Insert department name) key procurement objectives for this initiative are:

* (Insert objective)
* (Insert objective)
* (Insert additional objectives as required).

# Roles and responsibilities

[User note: evaluation is conducted by a panel, comprising of individuals with a range of experience and expertise. The team needs to include people with sufficient skills and experience to be able to understand the responses, and make judgements about both individual elements and the value for money offered by each response.

In the context of this template, the procurement delegate is an officer with responsibility for generally overseeing the process (see below for further responsibilities) but does not take part in the evaluation of offers. This role is distinct from the evaluation panel chairperson (see below for further responsibilities), and does not have a financial or procurement delegation. It is noted that in some situations the evaluation panel chairperson may also perform responsibilities here listed for the procurement delegate.]

Evaluation panel membership:

|  |  |
| --- | --- |
| Evaluation panel | |
| **Chairperson** | (Name), (Title), (Division), (Department)  [User note: this is the person accountable for managing the evaluation process.] |
| **Panel member** | (Name), (Title), (Division), (Department) |
| **Panel member** | (Name), (Title), (Division), (Department) |
| **Panel member** | (Name), (Title), (Division), (Department) |

|  |  |
| --- | --- |
| Procurement delegate | |
| **Procurement delegate** | (Name), (Title), (Division), (Department) |

[User note: the below table can be deleted if a specialist advisor is not required. A specialist advisor could include, but is no limited to, a technical subject matter expert or a probity advisor.]

|  |  |
| --- | --- |
| Specialist advisor | |
| **Specialist advisor** | (Name), (Title), (Division), (Department) |

## 

## Procurement delegate

Responsibilities:

* ensuring the evaluation process complies with this evaluation plan and the agency’s procurement procedures
* ensuring that the evaluation panel is informed of the required probity standards and official codes of conduct
* ensuring that appropriate records are maintained on an official file
* recording the number of documents (whether hard copies or on another storage medium) received from each supplier
* registration of the supplier responses received
* obtain conflict of interest declaration forms from all parties involved in the procurement process, including specialist advisors
* overseeing the evaluation process and the integrity of the activities undertaken as part of the process
* ensuring that appropriate security and confidentiality arrangements are in place
* issuing and receipt of any supplier clarifications
* (Insert any additional responsibilities, if required).

## Evaluation panel chairperson

Responsibilities:

* chairing all meetings of the evaluation panel
* ensuring that all panel members have the skills, capability and capacity to score and recommend a suitable supplier
* ensuring that the evaluation team has sufficient time, information and resources to evaluate supplier offers, that there is genuine debate, and that the evaluation panel arrives at a consensus position or documents differences in position
* ensuring that the evaluation panel maintains the highest standards of probity and conduct
* disclosing conflicts of interest to the procurement delegate
* seeking expertise from other sources on matters relevant to evaluation deliberations, where necessary
* ensuring that appropriate records are maintained on an official file
* preparing the evaluation report and any supporting documentation
* (Insert any additional responsibilities, if required).

## Evaluation panel members

Responsibilities:

* thoroughly documenting the reasons for each rating given against the individual criteria
* maintaining appropriate security and confidentiality
* disclosing any actual, potential or perceived conflicts to the procurement delegate
* maintaining the highest standards of probity and conduct
* assisting in preparing the evaluation report and any supporting documentation
* ensuring that all records and other documentation used in the process are returned to the evaluation panel chairperson
* referring any communications received from suppliers or related parties during the evaluation process to the procurement delegate
* (Insert any additional responsibilities, if required).

## Specialist advisor/s

Specialist advisor/s may be engaged for the purposes of providing any required specialist advice to the evaluation panel.

The evaluation panel chairperson must give prior approval for any engagement.

The evaluation panel chairperson will maintain a written record of the reason/s for the engagement and the outcome. All panel members will have access to any written specialist advice.

Specialist advisors must declare any actual, potential or perceived conflict of interest, including current, future and past engagement with responding suppliers.

(Insert any additional requirements, if required).

# Procurement timetable

The evaluation process will follow the below indicative timetable.

|  |  |
| --- | --- |
| **Item** | **Date** |
| **Evaluation plan signed by panel members (must be signed before the tender is released)** | (Insert date) |
| **Tender released** | (Insert date) |
| **Last day for tender clarification questions** | (Insert date) |
| **Tender closing date** | (Insert date) |
| **Evaluation report signed** | (Insert date) |
| **Contract executed** | (Insert date) |
| **(Insert any additional requirements)** | (Insert date) |

# Matters impacting on the procurement

[User note: detail any government or departmental policies, along with applicable legislation, which will affect the procurement. Examples include:

* the [Queensland Procurement Policy (QPP) requirements](http://www.hpw.qld.gov.au/SiteCollectionDocuments/QLDProcurementPolicy.pdf) (e.g. local benefits test for significant procurement)
* available standing offer arrangements
* security or privacy requirements
* portfolio legislation requirements.]

# Evaluation criteria and weightings

[User note: it is essential that the evaluation criteria and weightings are agreed and documented prior to release of any documents to the market. In alignment with the QPP, the evaluation criteria and weightings should take into consideration, not only cost factors, but other non-cost factors, along with the advancement of relevant economic, environmental and social objectives.]

The evaluation criteria and weightings for this evaluation process are as follows and are to be assessed against the offer submitted by the supplier.

[User note: the below tables are examples for guidance only; they should be updated or amended as required for the procurement activity this document pertains to. Refer to the [Evaluating offers](http://www.hpw.qld.gov.au/SiteCollectionDocuments/ProcurementGuideEvaluatingOffers.pdf) guidance for more information.]

|  |  |  |
| --- | --- | --- |
| **Evaluation criteria** | **Guidelines** | **Weighting (%)** |
| **Capability** | Review the offer regarding the supplier’s technical, managerial, quality management and financial capability. | (Insert %) |
| **Ability to deliver within timeframe** | Review the offer regarding the proposed timeline and consider if it is achievable.  Consider the commitment of staff to the full duration of the contract, other workloads/commitments and the location of offices. | (Insert %) |
| **Past performance and initiatives of similar nature** | Review the offer regarding past performance of the supplier and experience with initiatives of a similar nature to the contract specifications. | (Insert %) |
| **Local benefits test** | Review the offer regarding the benefits that the supplier would bring to the local area. [User note: for more information, refer to the [Local benefits test](https://www.hpw.qld.gov.au/__data/assets/pdf_file/0024/3795/localbenefitstest.pdf) guidance.] | (Insert %) |
| **Government’s economic, environmental and social targets and commitments** | Review the offer regarding applicable targets and commitments. [User note: For example, these might include: spend with social enterprises, supplier policies and practices aimed at ending domestic and family violence. For more information on the application of individual targets and commitments, please refer to the [*Buy Queensland* website](http://www.qld.gov.au/buyqueensland).] | (Insert %) |
| **Price** | Review the offered price. | (Insert %) |
| **Total** | [User note: total must equal 100%.] | 100% |

**Ratings**

Scoring against evaluation criteria will be done using a scale from 1 to 10.

| **Rating** | **Characteristics** | **Score** |
| --- | --- | --- |
| **Outstanding offer** | Highly convincing and credible. Offer demonstrates outstanding capability, capacity and experience relevant to, or understanding of, the requirements of the evaluation criteria. Comprehensively documented with all claims fully substantiated. | 10 |
| **Excellent offer** | Highly convincing and credible. Offer demonstrates excellent capability, capacity and experience relevant to, or understanding of, the requirements of the evaluation criteria. Documentation provides complete details. All claims adequately demonstrated and substantiated. | 9 |
| **Very good offer** | Offer complies, is convincing and credible. Offer demonstrates very good capability, capacity and experience relevant to, or understanding of, the requirements of the evaluation criteria. Some minor lack of substantiation but the supplier’s overall claims are supported. | 8 |
| **Good offer** | Offer complies, is convincing and credible. Offer demonstrates good capability, capacity and experience, relevant to, or understanding of, the requirements of the evaluation criteria. Minor uncertainties and shortcomings in the supplier’s claims or documentation. | 7 |
| **Adequate offer** | Offer complies and is credible but not completely convincing. Offer demonstrates adequate capability, capacity and experience, relevant to, or understanding of, the requirements of the evaluation criteria. Supplier’s claims have some gaps. | 6 |
| **Marginal offer** | Offer has minor omissions. Credible but barely convincing. Offer demonstrates only a marginal capability, capacity and experience relevant to, or understanding of, the requirements of the evaluation criteria. | 5 |
| **Limited offer** | Barely convincing. Offer has shortcomings and deficiencies in demonstrating the supplier’s capability, capacity and experience relevant to, or understanding of, the requirements of the evaluation criteria. | 4 |
| **Poor offer** | Offer unconvincing. Offer has significant flaws in demonstrating the supplier’s capability, capacity and experience relevant to, or understanding of, the requirements of the evaluation criteria. | 3 |
| **Very poor offer** | Unconvincing. Offer is significantly flawed, and fundamental details are lacking. Minimal information has been provided to demonstrate the supplier’s capability, capacity and experience relevant to, or understanding of, the requirements of the evaluation criteria. | 2 |
| **Inadequate offer** | Offer is totally unconvincing, and requirement has not been met. Offer has inadequate information to demonstrate the supplier’s capability, capacity and experience relevant to, or understanding of, the requirements of the evaluation criteria. | 1 |

# Evaluation process

## Clarifications

Any communication between the department and supplier will be restricted to the clarification of issues that would assist the evaluation process, thereby improving the level of confidence attached to the evaluation. Any clarifications between the department and supplier must not be designed to solicit new information.

When a supplier’s response to a clarifying question changes the scope, schedule or cost, the chairperson will determine whether the information is admissible for evaluation purposes.

Any unsolicited information received from suppliers after the tender closing date will be passed to the chairperson. If the chairperson determines that such information is inconsistent with the principles for the handling of late tenders this information will be withheld from the evaluation.

## Shortlisting of suppliers

Suppliers may be shortlisted through the evaluation of their offer against the criteria by the evaluation panel. Only suppliers who have demonstrated relevant experience, capability and capacity, and have submitted a suitable offer compliant with the requirements and the procurement’s objectives, will be shortlisted.

The number of shortlisted suppliers will be decided through consensus agreement by the evaluation panel.

## Site visits, competitive dialogue, demonstrations, proof-of-concept

Site visits, competitive dialogue, demonstrations, and/or proof of concept, as outlined in the tender documentation, may form part of the detailed evaluation of tenders. The purpose of these tools is to verify or clarify attributes of the tendered solution.

The use of any of these tools will be decided through consensus agreement by the evaluation panel.

## Due diligence

The evaluation panel may require a supplier’s claims to be supported by due diligence checks. These must occur in a structured format that maintains the integrity of the process.

Where applicable, a minimum of two evaluation panel members shall be present when the checks are undertaken. All checks will be facilitated by the procurement delegate and shall be prepared for the consideration of the evaluation panel.

[User note: due diligence is about independently verifying a supplier’s ability to deliver fully against their tender response. It is good business practice to undertake due diligence checks.

Not all procurement activities will require detailed due diligence checks. It depends on a range of factors, such as the procurement’s value, the nature of the goods and/or services and any associated risks.

Due diligence can take many different forms. Examples include:

* reference checks
* financial checks
* insurance certificate checks
* compliance certificate checks
* site visits
* product testing
* security checks.]

## Probity

Promoting probity is an integral element of this procurement process and is the responsibility of all persons associated with the tender process.

The evaluation panel shall observe and apply proper probity throughout all stages of the evaluation process in order to achieve the best value for money outcome. Accordingly, all members of the evaluation panel are to:

* be impartial and uninfluenced
* advise the procurement delegate of approaches from suppliers that might be interpreted as attempts to influence the evaluation process (e.g. the offering of gifts)
* maintain confidentiality in all dealings
* maintain high standards of accountability
* not be influenced by any perceived or real attempt to interfere with the procurement process
* not allow their private interests to conflict with their duties
* not prefer the interests of one supplier to the interests of another
* respect the confidentiality of the responses and any other information provided by the suppliers
* be accountable and promote professional practices
* keep good and complete records
* follow any prescribed systems, policies and procedures, including those contained in this document.
* (Insert additional requirements, if applicable).

(Insert any additional requirements that are applicable, such as the use of a probity advisor).

# Optional inclusions

[User note: The following sections should be reviewed and can be inserted into the ‘Evaluation process’ section above as required.]

## Tender release

Release of the tender documents will be carried out by the procurement delegate.

All communications with prospective suppliers shall be through the procurement delegate and will be documented.

(Insert additional requirements, if applicable).

## Evaluation panel briefing

The evaluation panel members will meet with the evaluation panel chairperson at an agreed time. The chairperson and/or the procurement delegate shall provide a process briefing based on this document to ensure there is a clear understanding of roles and responsibilities of evaluation panel members.

Members of the evaluation panel will be required to review this document and confirm they understand their obligations by signing the plan and completing declarations regarding confidentiality and conflicts of interest.

(Insert additional requirements, if applicable).

## Lodgement

Responses shall be received in accordance with the stated Conditions of Tender.

Any request for extension to the closing date/time shall require approval by the procurement delegate and shall apply to all suppliers.

(Insert additional requirements, if applicable).

## Offer opening

At the prescribed time of the tender closing, the tender box or electronic folder shall be opened, and the responses shall be registered by the procurement delegate.

Details of late offers (if any) shall be submitted to the procurement delegate (setting out the time of receipt and the reason for it being received late) with a recommendation on whether to accept the late response.

Following registration, the offers shall be securely stored.

(Insert additional requirements, if applicable).

## Individual assessment

Members of the evaluation panel must individually assess each offer in accordance with the evaluation criteria. The panel member must note the score and a supporting comment for each score given. Where necessary, specialist advisors shall be requested to provide the evaluation panel with written assessments, including a proposed score for each response, relating to their areas of expertise.

## Evaluation – non-conforming responses

If during the individual assessment a member of the evaluation panel identifies an offer that they deem non-conforming, that member must set aside the document and record the reasons why it is thought to be non-conforming. That record should be submitted as soon as possible to the evaluation panel chairperson, who will meet with the procurement delegate and together assess the submitted offer and the reasons argued by that panel member. It must be agreed by the chairperson and procurement delegate if the offer is in fact either conforming or non-conforming. The chairperson will then communicate the decision to the evaluation panel members.

Any responses deemed non-conforming by the chairperson and procurement delegate shall be set aside. These may be assessed and considered for evaluation if there are commercial and business advantages, and such evaluation is consistent with the Conditions of Tender. The panel members, chairperson and procurement delegate must agree there are valid reasons for consideration.

(Insert additional requirements, if applicable).

## Clarifications

Where clarification of a supplier’s offer is required, this shall be brought to the attention of the procurement delegate as early as possible. All clarifications shall be coordinated by the procurement delegate and documented. Where any supplier fails to provide clarification within the prescribed time, the evaluation panel shall assess based on the information provided in the original response.

(Insert additional requirements, if applicable).

## Collective assessment

On completion of individual scoring, the evaluation panel must convene to collectively agree a consensus score for each criterion for each supplier. Where consensus cannot be reached, the dissenting views shall be highlighted in the evaluation and recommendation report. Upon completion of the evaluation, if there is a clear winning supplier, then they will be recommended. Discussions will be held among the evaluation panel until agreement is made on who the recommended supplier is.

## Confidentiality and security of information and materials

The members of the evaluation panel shall be responsible for ensuring that all materials, whether in hard or soft copy, are securely stored.

No supplier responses or any part thereof should be copied without the written permission of the evaluation panel chairperson. A log of all copies made shall be kept together with a register recording all movements of documents.

A record shall be maintained of all communications between the procurement delegate and the suppliers. To the extent that communication is not written, such as in meetings and telephone conversations, a record of such communication shall be made. All computer files/correspondence shall be kept on a secure drive during the evaluation process.

(Insert additional requirements, if applicable.)

## Effective management of conflicts of interest

The members of the evaluation panel must not act where they have a conflict of interest, nor can they prefer the interests of any suppliers over those of any other suppliers.

Prior to accessing the supplier responses, each member of the evaluation panel shall be required to complete a Conflict of Interest declaration. Any declared conflict of interest must be immediately notified to the evaluation panel chairperson and procurement delegate and addressed in accordance with applicable policies and procedures. This also extends to cover conflicts of interest that arise during the evaluation process.

(Insert additional requirements, if applicable.)

# Signatories and sign off

**Evaluation panel**

|  |  |
| --- | --- |
| **Signatory details** |  |
| **Name** |  |
| **Position title** |  |
| **Division and department** |  |
| **Signed** |  |
| **Date** |  |

|  |  |
| --- | --- |
| **Signatory details** |  |
| **Name** |  |
| **Position title** |  |
| **Division and department** |  |
| **Signed** |  |
| **Date** |  |

**Evaluation panel chairperson**

|  |  |
| --- | --- |
| **Signatory details** |  |
| **Name** |  |
| **Position title** |  |
| **Division and department** |  |
| **Signed** |  |
| **Date** |  |

**Procurement delegate**

|  |  |
| --- | --- |
| **Signatory details** |  |
| **Name** |  |
| **Position title** |  |
| **Division and department** |  |
| **Signed** |  |
| **Date** |  |

**Approval officer**

|  |  |
| --- | --- |
| **Signatory details** |  |
| **Name** |  |
| **Position title** |  |
| **Division and department** |  |
| **Signed** |  |
| **Date** |  |

(Insert any additional signatories, if applicable).