Evaluation Handbook

[Goods, services and maintenance works service procurement template - Evaluation Handbook (WQTS)]

Title:

[Insert Request Title]

Request Number:

[Insert Request Number]

State Agency:

[Insert Entity Name]

[Important Note: For a government department the legal entity name is “The State of Western Australia acting through [insert name of department]”. For a statutory authority or other body corporate, the legal entity name is the body corporate name as specified in the relevant enabling legislation.]

Evaluation Panel Contact Person:

Name: [Insert Contact Name]

Telephone: [Insert Contact Telephone Number]

Email: [Insert Contact Email]

Table of Contents

[1. Overview 3](#_Toc132286729)

[2. The Evaluation Process 5](#_Toc132286730)

[3. Procedures & Principles for Evaluation 6](#_Toc132286731)

[4. Rating the Submissions 8](#_Toc132286732)

[5. Checklist 11](#_Toc132286733)

[6. Declaration of Interest and Confidentiality 11](#_Toc132286734)

[Evaluation Worksheet 14](#_Toc132286735)

# Overview

Background

The purpose of this evaluation handbook is to assist members of the evaluation panel to assess submissions to a Request. The evaluation handbook provides information in relation to:

1. The evaluation process and timetable of events;
2. Evaluating responses and procedural fairness; and
3. The evaluation worksheet and declaration of interest and confidentiality form to be completed by each panel member.

Evaluation Panel – Key Objectives

The key objectives of the evaluation panel are to:

1. Make a recommendation, to the Accountable Authority or delegate, as to the Respondent/s that best represents value for money;
2. Ensure the assessment of responses is undertaken fairly according to a predetermined evaluation methodology;
3. Ensure adherence to the Western Australian Procurement Rules, procurement directions and other Government procurement policies; and
4. Ensure that the requirements specified in the Request are evaluated in a way that can be measured and documented.

The evaluation panel does not make the contract award decision. The Accountable Authority or delegate makes the final decision and awards the contract. If the Accountable Authority or delegate does not agree with the evaluation panel recommendation then:

* The recommendation can be referred back to the evaluation panel to review/reconsider; or
* The Accountable Authority or delegate can ignore the recommendation and award the contract on the basis of what he/she believes represents better value for money. Detailed supporting documentation on why the Accountable Authority or delegate believes the recommendation should change should be recorded.

Evaluation Panel Members

The members of this evaluation panel are:

|  |  |  |  |
| --- | --- | --- | --- |
| **Name** | **Agency** | **Job Title** | **Voting/Non-Voting Member** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

The panel chairperson is (state). The panel facilitator is (state).

NB: Non-public servants that are engaged to provide technical advice or specialist expertise to the evaluation panel re the evaluation process should be designated as an ‘advisor’ and not have voting rights. Refer to the Evaluation of Offers Guideline available from [www.wa.gov.au](https://www.wa.gov.au/government/multi-step-guides/procurement-guidelines/request-development-and-contract-formation-guidelines/evaluation-of-offers-guideline).

# The Evaluation Process

Summary

The proposed evaluation process is as follows:

1. Following the closing of requests, panel members will receive a copy of each response with this evaluation handbook and an evaluation worksheet;
2. The worksheet contains an evaluation section for each of the Respondent/s;
3. Panel members will individually rate each tender submission using the ratings provided in the worksheet;
4. The panel will then meet and reach a consensus rating for each response;
5. The panel shall reach a consensus as to the recommended Respondent/s;
6. A draft evaluation report will then be written which summarises the responses;
7. Panel members, once satisfied with the content of the evaluation report, shall sign off on the evaluation report;
8. The evaluation report will then be considered for approval by the Accountable Authority or delegate; and
9. Upon approval and finalisation of any outstanding issues, an Acceptance of Offer letter will be issued to the successful Respondent/s.

Timetable

For this Request, the proposed timetable of events is as follows:

|  |  |
| --- | --- |
| **TASK** | **DATE** |
| Handout of responses and evaluation worksheet |  |
| Evaluation panel members individually assess responses |  |
| Evaluation panel consensus meeting to discuss responses |  |
| Evaluation report draft prepared |  |
| Evaluation report finalised and signed off by each panel member |  |

# Procedures & Principles for Evaluation

Introduction

State Agencies engaged in purchasing Goods and Services from the private sector must ensure that their evaluation process meets appropriate probity ethical standards.

Evaluation panels are part of these processes and therefore, it is important that members of the evaluation panel are aware of the principles of ethical conduct and accountability.

Why Should Evaluation Panel Members be Concerned About Process

There are two main reasons why members of the evaluation panel should be concerned:

1. Respondents are entitled to a fair process; and
2. Failing to follow a fair process may lead to a judicial review, with a re-quote being required – this would be costly in terms of time and resources.

What are the Requirements of Fairness

The following principles must be adhered to in the evaluation process:

### Appropriate Knowledge

Before commencing on the evaluation process, the evaluation panel and any supplementary members must have an understanding of:

1. The contents of each response;
2. The selection requirements against which responses will be rated; and
3. The process by which each response will be rated.

### Relevant Considerations

The evaluation panel and any supplementary members should consider all relevant considerations related to each response. This would include the Respondent’s responses to the assessment requirements and all other information Respondents were required to provide. In determining Value for Money, the evaluation panel should also consider any other matters that it considers relevant, e.g. risks associated with the response, financial capacity and capability of the potential supplier.

If information is considered irrelevant, the reason must be stated in the evaluation report.

### Irrelevant Considerations

The evaluation process must not be based on irrelevant considerations, that is, anything outside the selection requirements or information requested in the Request. This includes hearsay, anecdotes, personal or unsubstantiated views of panel members and information that is not directly relevant to the Request.

### Bias

The evaluation process must be free of bias and any perception of bias. Any connections between an evaluation panel member and a Respondent must be disclosed to the evaluation panel Chairperson. Evaluation panel members and supplementary members should not accept gifts from Respondents and should limit contact with Respondents during the evaluation process.

Any possible issue of bias should be discussed with the evaluation panel Chairperson as soon as it arises.

### Evidence of Probity

Evaluation ratings and selections must be made on the basis of the material requested and included in the response together with information obtained through meetings, presentation and clarifications (if any).

### Confidentiality

The contents of each response should not be disclosed to any party outside of the formal evaluation process. Each response should be viewed as commercially confidential information. As such, the facilitator of the evaluation panel should collect all responses and completed evaluation worksheets after the final evaluation meeting.

### Commenting During the Evaluation Process

The evaluation panel Chairperson is the only person permitted to comment to outside parties about the evaluation process and outcome. The evaluation panel and any supplementary members should not discuss any element of the evaluation process with work colleagues or any other party.

Recording of Response Scores

The evaluation panel and any supplementary members must fully record their evaluation against the assessment requirements.

Conclusion

By observing and implementing these guidelines, the evaluation panel and any supplementary members will ensure that the evaluation process is ‘visible’, defensible and auditable.

Following these guidelines not only ensures that the evaluation process is fair, but also helps to ensure that the best value for money outcome is achieved.

# Rating the Submissions

Summary

In this section information will be provided as to:

1. The concept of value for money and the WA Buy Local Policy 2022;
2. Assessing the different components of the responses; and
3. The ratings.

Achieve Value for Money

Achieve Value for Money is a key [Western Australian Procurement Rule](https://www.wa.gov.au/government/publications/western-australian-procurement-rules). It ensures that when purchasing Goods or Services, State Agencies achieve the best possible outcome, for every dollar spent, by assessing the overall costs and benefits to government and the community, rather than simply selecting the lowest purchase price. In assessing the overall costs and benefits to government and the community, the [Western Australian Social Procurement Framework](https://www.wa.gov.au/government/publications/western-australian-social-procurement-framework) elements including the [WA Buy Local Policy 2022](https://www.wa.gov.au/government/document-collections/western-australian-buy-local-policy-2022), as outlined below, are taken into account.

Value for Money, therefore, focuses on the best outcome for the State as a whole considering price, economic, environmental and social benefits, in addition to the requirements of individual departments.

Western Australian Social Procurement Framework

The [Western Australian Social Procurement Framework](https://www.wa.gov.au/government/publications/western-australian-social-procurement-framework) brings together all relevant Western Australian Government social procurement policies and priorities into one place. The Framework uses the term ‘social procurement’ to encompass all social, economic and environmental benefits enabled through government procurement that leads to the achievement of Community Outcomes.

The WA Social Procurement Framework identifies the WA Government’s Community Objectives and Outcomes. For information on identifying opportunities for a procurement to contribute to Community Objectives and Outcomes and for guidance on implementing these outcomes into a procurement, refer to the [Western Australian Social Procurement Framework Practice Guideline](https://www.wa.gov.au/government/publications/western-australian-social-procurement-framework).

### WA Buy Local Policy 2022

The [WA Buy Local Policy 2022](https://www.wa.gov.au/government/document-collections/western-australian-buy-local-policy-2022)aims to maximise the participation of WA Based businesses in supplying to State Agencies. The WA Buy Local Policy 2022 is focused upon achieving a value for money outcome for government, allowing the WA Government and State Agencies to focus on the advantages of sourcing from businesses that demonstrate they contribute to community and economic development in WA, especially in regional WA.

The WA Buy Local Policy 2022involves an examination, on a case-by-case basis, of the following issues as they relate to tender submissions:

1. The source of the goods, materials and services – the benefits of those businesses that manufacture or assemble goods in Western Australia as distinct from simply distributing goods made elsewhere;
2. The degree to which local suppliers and subcontractors are used in the delivery of the contract outcomes;
3. The location of the Respondent and ease of regular communication, contract reporting and monitoring;
4. Industry development initiatives, skills development initiatives and creation and / or retention of jobs in Western Australia;
5. Net benefits to the State including the benefits of maintaining an ongoing, innovative and competitive local business environment; and
6. encouraging bids from Aboriginal businesses, or businesses that have in place / are prepared to consider implementing employment strategies and programs for Aboriginal people.

Assessing the Responses

Responses are assessed as follows:

### Mandatory Pre-Qualification Requirements

Mandatory pre-qualification requirements may or may not be specified in the Request. Where they are, an assessment is required to determine whether the Respondent meets the pre-qualification requirements. The pre-qualification requirements are not point scored. Rather, an assessment is made on a “Yes / No” basis. In making this assessment, a Respondent must comply with every detail of every requirement. Failure to answer ‘yes’ to all of the pre-qualification requirements will eliminate the Respondent from further consideration.

### Compliance with the Simple Terms; Submission Time and Pricing Information

All offers should comply with the *Simple Contract Terms*. Failure to answer ‘yes’ to compliance with the *Simple Contract Terms* may eliminate the Respondent from further consideration, depending on whether departures have been allowed within the Request.

Respondents must submit their offer prior to closing time and must state their prices in Australian dollars. Failure to do so will eliminate the Respondent from further consideration.

### Disclosure Requirements

An assessment is required to determine whether the Respondent meets the disclosure requirements included in the Request. The disclosure requirements are not point scored. Rather, an assessment is made on a Yes / No basis. In making this assessment, a Respondent may not need to comply with every detail of every requirement.

### Evaluation Criteria

For those Respondents that are compliant, an assessment is then made of each Respondent’s response to the evaluation criteria. A rating scale is provided in the evaluation worksheet for this purpose.

### Price

Based on the information provided in the Offers, evaluation panel members should comment on the competitiveness of the prices.

# Checklist

To ensure that the evaluation process is completed in the most efficient and effective manner, panel members should ensure, prior to the consensus meeting that they have:

1. Received a copy of each response as shown in the Summary of Offers Section of the evaluation worksheet;
2. Rated each response (using the worksheet provided) and taken sufficient notes to explain the ratings; and
3. Completed the Declaration of Interest *and* Confidentialityform.

When required to attend the consensus meeting, the copies of the responses received and the completed worksheet are to be brought to the consensus panel meeting.

# Declaration of Interest and Confidentiality

Each evaluation panel member is required to complete the attached Declaration of Interest *and Confidentiality* form. Once completed, please provide to the nominated panel facilitator.

Where a panel member declares an interest, the declaring officer must also declare the conflict of interest to their State agency and take all reasonable and necessary steps to manage the conflict, following their State agency’s conflict of interest procedures. The strategies and actions to manage the conflict should be documented and put on the procurement file.

There are conflict of interest guidelines available from the [Integrity Coordinating Group](https://www.wa.gov.au/government/document-collections/integrity-coordinating-group).

Declaration of Interest and Confidentiality

|  |  |
| --- | --- |
| Request Number: |  |
| Request Title: |  |

I (full name)

of (organisation details)

**(Declaration of Interest)[[1]](#footnote-2)**

1. Declare that neither I nor any of my immediate family[[2]](#footnote-3) have any interests, pecuniary or otherwise, other than that mentioned below or described in the attached sheet(s), which could reasonably be construed as having any influence on the proper and objective performance by me of my duties in relation to the above specified Request.

***Note:*** *Interests to be declared include but are not limited to: affiliations; conference funding; equipment donations; financial assistance; travel assistance; rebates; hospitality; relationships; shares; company ownership; training and development; consultancy services; gifts; and/or sponsorships*.

Declared Interest:

Additional Information attached? Yes / No (Please circle and initial as applicable)

1. Agree to truthfully declare, in writing to the Accountable Authority or delegate, any changes which may occur that relate to the matters stated in clause 1 of this Declaration, as soon as practicable after I become aware of the same;

**(Declaration of Confidentiality)**

1. Agree to keep all information and documents relating to the Request planning, development or evaluation process confidential, and not to disclose or communicate the same to any person or persons except in the course of my duties without the prior written approval of [Insert the name of the State agency];
2. Agree not to make copies of, or take any extracts of information except as may be necessary and essential for the due and proper performance of my duties;
3. Agree to return all documents, papers and other materials (including the evaluation handbook) given to me relating to this project to the nominated panel facilitator immediately when requested to do so; and
4. Acknowledge that conflicts of interests, breach of confidentiality and unauthorised disclosure are subject to the provisions and penalties contained in the *Public Sector Management Act 1994* and *The Criminal Code*. Unlawful disclosure of official information is a criminal offence punishable by up to three years imprisonment.

[*A declaration may be made using this form without the declarant’s signature being witnessed or counter-signed, but requiring another person to act as a witness or counter signatory provides additional assurance from a governance perspective.* For guidance on executing documents electronically, the State Solicitor’s Office has distributed a guidance note to all agencies which contains useful contextual information.]

This declaration is made by me on the understanding that I will not be taken to have breached its terms if I am legally required to disclose the information referred to.

|  |  |
| --- | --- |
| Signed By:.....................................................................................................Declarant Signature | Dated…………………… |

[*Include the witness block below if the declaration above will be witnessed by another person. It is recommended that wet signatures are witnessed, in person or via audio-visual link, where practical. Delete if not applicable.*]

|  |  |
| --- | --- |
| Witnessed By:.....................................................................................................Witness Signature....................................................................................................Witness Name and Title (Printed) | Dated…………………… |

[Include the counter signatory block below if the declaration is to be counter-signed by the panel chair or facilitator. Please note that electronic signatures are generally not able to be witnessed, but may be countersigned. If this form is to be signed electronically, it is recommended the electronic signatures are applied using secure digital signature technology. Delete if not applicable.]

I acknowledge the declaration made above, in my capacity as [describe role, e.g. Request [No.] Evaluation Panel Chairperson].

|  |  |
| --- | --- |
| Countersigned By:...................................................................................................Signature..................................................................................................Name and Title (Printed) | Dated…………………… |

# Evaluation Worksheet

[insert title of procurement]

Summary of Offers

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Supplier Name** | **Supplier Location** | **Was the Offer lodged on time?\*** | **Did the Respondent’s Offer meet the Pre-Qualification Requirements?\*** | **Was the Offer quoted in $AUD?\*** | **Was the Offer compliant with the Simple Contract Terms?** | **Is the Respondent a debarred or suspended supplier within the meaning of the *Procurement (Debarment of Suppliers) Regulations 2021*?\*** | **Did the Offer contain any Disclosures that present risk to your agency?** | **Action** |
| [insert supplier name] | [insert supplier location] | Choose an item. | Choose an item. | Choose an item. | Choose an item. | Choose an item. | Choose an item. |  |
| [insert supplier name] | [insert supplier location] | Choose an item. | Choose an item. | Choose an item. | Choose an item. | Choose an item. | Choose an item. |  |
| [insert supplier name] | [insert supplier location] | Choose an item. | Choose an item. | Choose an item. | Choose an item. | Choose an item. | Choose an item. |  |
| [insert supplier name] | [insert supplier location] | Choose an item. | Choose an item. | Choose an item. | Choose an item. | Choose an item. | Choose an item. |  |
| \*A ‘no’ response to the first three questions will automatically eliminate the Offer from further consideration.A ‘no’ response to compliance with the Simple Contract Terms will eliminate the Offer from further consideration unless the option for departures was included in the Request.The Customer must exclude from consideration any Offer received from a Respondent who is suspended or debarred, and any Offer which includes a subcontracting arrangement with a suspended or debarred subcontractor. Refer to the [Western Australian Supplier Debarment Regime](https://www.wa.gov.au/government/publications/debarment-regime-guide-western-australian-government-agencies) and the [Excluded Suppliers](https://www.tenders.wa.gov.au/watenders/news/browse.do?CSRFNONCE=BC47BF6C8B895C8C0C0CB75B4FF0C4AF&&ss=1) page on Tenders WA for more information. A yes in the Disclosures column may exclude an Offer from further consideration if you believe the risk is unable to be mitigated satisfactorily. |

Offer Evaluation

The following [insert number] Offer[s] were fully evaluated:

**[insert supplier name]**

| **Evaluation Criteria** | **Overall Evaluation** |
| --- | --- |
| **Suitability of Proposed Goods and/or Services** | **Organisational Capacity, Experience and Specified Personnel** | **Total Costs for Evaluation Purposes** | **Value for Money Assessment** |
|  |  |  |  |
| Choose an item. | Choose an item. | Choose an item. | Choose an item. |
|  |  |  |  |
| Provide specific details to justify your rating above | Provide specific details to justify your rating above | Provide specific details to justify your rating above |  |
|  |  |  |  |

**[insert supplier name]**

| **Evaluation Criteria** | **Overall Evaluation** |
| --- | --- |
| **Suitability of Proposed Goods and/or Services** | **Organisational Capacity, Experience and Specified Personnel** | **Total Costs for Evaluation Purposes** | **Value for Money Assessment** |
|  |  |  |  |
| Choose an item. | Choose an item. | Choose an item. | Choose an item. |
|  |  |  |  |
| Provide specific details to justify your rating above | Provide specific details to justify your rating above | Provide specific details to justify your rating above |  |
|  |  |  |  |

**[insert supplier name]**

| **Evaluation Criteria** | **Overall Evaluation** |
| --- | --- |
| **Suitability of Proposed Goods and/or Services** | **Organisational Capacity, Experience and Specified Personnel** | **Total Costs for Evaluation Purposes** | **Value for Money Assessment** |
|  |  |  |  |
| Choose an item. | Choose an item. | Choose an item. | Choose an item. |
|  |  |  |  |
| Provide specific details to justify your rating above | Provide specific details to justify your rating above | Provide specific details to justify your rating above |  |
|  |  |  |  |

**[insert supplier name]**

| **Evaluation Criteria** | **Overall Evaluation** |
| --- | --- |
| **Suitability of Proposed Goods and/or Services** | **Organisational Capacity, Experience and Specified Personnel** | **Total Costs for Evaluation Purposes** | **Value for Money Assessment** |
|  |  |  |  |
| Choose an item. | Choose an item. | Choose an item. | Choose an item. |
|  |  |  |  |
| Provide specific details to justify your rating above | Provide specific details to justify your rating above | Provide specific details to justify your rating above |  |
|  |  |  |  |

**Evaluation Ratings**

The evaluation criteria are not weighted.

The following ratings were applied to each of the evaluation criteria:

**Very Good**: The Offer satisfies the evaluation criterion to a very high standard and presents minimal or no risk to the State and its claims are fully supported by the information provided.

**Good**: The Offer satisfies the evaluation criterion to a high standard and/or presents limited risk to the State. The Respondent’s claims are supported by the information provided.

**Satisfactory**: The Offer satisfies the evaluation criterion to a satisfactory degree and/or presents an acceptable level of risk to the State. There are some minor deficiencies and shortcomings in the information provided.

**Poor**: The Offer barely satisfies the evaluation criterion and/or presents some degree of unacceptable risk to the State. There are major deficiencies in the information provided.

**Unsatisfactory**: The Offer does not satisfy the evaluation criterion and/or presents an unacceptable level of risk to the State.

1. Conflict of interest guidelines available from the [Integrity Coordinating Group](https://www.wa.gov.au/government/document-collections/integrity-coordinating-group). [↑](#footnote-ref-2)
2. Immediate family members are spouses, de factos, children, parents, brothers and sisters. [↑](#footnote-ref-3)