Probity plan template

For a procurement, grant program, asset sale or expression of interest

How to use this template

- Complete one plan for each process, scaled to its value, complexity and risk. A short, low-risk process needs only the essentials.
- Replace the prompts in italics with the arrangements for your process, and delete any that do not apply.
- Align the plan with the rules that govern your process, such as the Commonwealth Procurement Rules, the Commonwealth Grants Rules and Principles, or your state, territory or council framework, and your own procurement policy.
- Have the plan approved by the delegate or project sponsor before the approach to market or grant round opens, and give a copy to everyone who works on the process.

1 Process details

Process name and reference	
Type of process	*Open tender, select tender, grant round, asset sale, expression of interest*
Entity running the process	
Estimated value or funding pool	
Governing rules and policies	
Delegate (decision-maker)	
Project sponsor	
Key dates	*Plan approval, release, close, evaluation, decision, contract or funding agreement, debriefs*
Plan version and approval date	

2 Purpose and scope

State what the plan covers (which stages, from planning to contract or funding agreement) and who it applies to: the project team, evaluation committee, technical advisers, contractors and anyone else with access to process information.

3 Probity principles

Everyone involved in this process will:

- treat all participants fairly and equally, giving them the same information at the same time;

- assess submissions or applications only against the published criteria and the approved evaluation plan;
- declare any actual, potential or perceived conflict of interest and update the declaration if circumstances change;
- keep process and participant information confidential and secure;
- communicate with participants only through the approved channel; and
- record decisions and the reasons for them.

4 Roles and responsibilities

Role	Name	Responsibilities in this process
Delegate		*Approves the plan and makes the decision*
Project sponsor or manager		*Runs the process and keeps the record*
Evaluation committee chair		*Leads the evaluation and the evaluation report*
Evaluation committee members		*Assess against the criteria*
Probity advisor		*Advises on probity during the process and reports to the delegate*
Probity reviewer (if any)		*Gives independent assurance at milestones or at close*
Contact officer		*Sole point of contact for participants*

5 Conflicts of interest

- *Who must complete a declaration, and when (before access to process information, and again once participants are known).*
- *Who assesses each declaration and decides how a conflict is managed, such as removal from the process, restricted access or other controls.*
- *Where declarations and management decisions are recorded.*
- *How gifts, hospitality and offers of employment from participants are handled.*

6 Confidentiality and security of information

- *Who must sign a confidentiality undertaking.*
- *Where submissions, evaluation material and reports are stored, who has access and how access is logged.*
- *Rules for meetings, printing, email and working away from the office.*
- *What happens if information is lost or disclosed without authority.*

7 Communication with participants

- *The single point of contact and the channel to be used (for example, a tender portal).*
- *How questions are answered and when answers are shared with all participants.*
- *How addenda, clarifications, late submissions and unsolicited contact are handled.*
- *Rules for presentations, site visits, interviews and negotiations.*
- *Media and ministerial enquiries, and contact with participants outside the process.*

8 Evaluation

- *Reference to the approved evaluation plan, criteria and weightings.*
- *How any change to the evaluation plan is approved, recorded and communicated.*
- *How compliance checks, scoring, moderation and value-for-money assessment are documented.*
- *How technical advisers or referees are briefed and how their input is recorded.*

9 Probity risks and controls

Risk	Rating	Control	Owner
Undeclared conflict of interest			
Leak of confidential information			
Unequal information to participants			
Departure from the evaluation plan			

10 Probity issues, complaints and escalation

- *How anyone involved raises a probity concern, and with whom.*
- *How the probity advisor records each issue, the advice given and the outcome.*
- *When an issue is escalated to the delegate.*
- *How complaints from participants are received and managed.*

11 Probity reporting

Report	Timing	Addressed to
Probity report before the decision		
Final probity report at close		
Probity review report (if a reviewer is engaged)		

12 Approval

Approved by (delegate)	Signature	Date
Prepared by	**Signature**	**Date**

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