

# Probity Checklist for Procurement



Probity ensures fairness, transparency, and accountability in decision-making, especially in the public sector. This checklist is designed to help government organisations implement probity principles in the planning, procurement, and evaluation of projects. By following this checklist, you can safeguard against bias, conflicts of interest, and improper influence, thereby reinforcing community trust in your outcomes and ensuring equitable treatment of all stakeholders.

## Planning and Project Definition

01

- ▶ **Define Objectives and Scope:** Clearly outline the purpose, scope, and objectives of the project to avoid ambiguity.
- ▶ **Probity Plan Development:** Establish a Probity Plan covering key principles, stakeholders, timelines and protocols.
- ▶ **Identify Risks:** Recognise potential risks related to conflicts of interest, confidentiality breaches, or corruption.
- ▶ **Establish Clear Governance:** Define roles and responsibilities, including appointing a probity advisor.
- ▶ **Probity Training:** Ensure all team members understand probity principles and their obligations.

## Procurement and Vendor Engagement

02

- ▶ **Transparent Market Approach:** Use open, competitive processes unless there's a justified exception.
- ▶ **Conflict of Interest Declaration:** All staff and contractors must disclose potential conflicts of interest before engagement, and a register must be maintained.
- ▶ **Clear and Consistent Documentation:** Draft all procurement documentation in an objective, neutral, and comprehensive manner.
- ▶ **Prequalification Criteria:** Establish transparent, objective criteria for vendor evaluation and selection.
- ▶ **Tender Briefing and Communication:** Ensure equal access to information through formal briefings and avoid informal communications.
- ▶ **Late Submissions:** Have an agreed position on requests for extension of time.

## Evaluation and Decision-Making

03

- ▶ **Independent Evaluation Panel:** Form a panel with no conflicts of interest; train them on probity requirements.
- ▶ **Evaluation Criteria:** Use predefined, objective, price and non-price criteria to ensure fairness in assessment.
- ▶ **Record Keeping:** Document evaluation results, scoring, and decisions meticulously to maintain transparency.
- ▶ **Decision Approval:** Ensure decisions are reviewed and approved by appropriate authority levels, verifying adherence to probity principles.



04

### Contract Negotiation and Award

- ▶ **Debrief Unsuccessfuls:** Conduct briefing sessions with unsuccessful tenderers and manage issues and complaints arising.
- ▶ **Negotiation Protocol:** Follow a documented negotiation strategy, maintaining fairness and avoiding preferential treatment.
- ▶ **Disclosure of Contract Terms:** Ensure the contract's terms are transparent, fair, and reflect the agreed-upon outcomes.
- ▶ **Approval:** Record and have the approved delegate approve contract, variations and award decisions to ensure compliance.



05

### Implementation and Monitoring

- ▶ **Ongoing Probity Audits:** Schedule periodic probity checks to monitor project adherence to probity commitments.
- ▶ **Managing Conflicts of Interest:** Require ongoing conflict-of-interest disclosures for personnel throughout the project's life.
- ▶ **Contract Management:** Track performance and address any deviations from agreed terms transparently and fairly.
- ▶ **Stakeholder Reporting:** Maintain clear, regular communication with stakeholders to ensure accountability.



06

### Review and Close-Out

- ▶ **Post-Project Probity Review:** Conduct a final assessment of probity practices and identify areas for improvement.
- ▶ **Documentation Archive:** Ensure all project documentation is securely stored, with restricted access to confidential information.
- ▶ **Feedback Collection:** Gather input from all parties to evaluate the effectiveness of probity processes.
- ▶ **Continuous Improvement:** Incorporate lessons learned to enhance probity practices in future projects.

## SAMPLE PROBITY PROJECT TIMELINE – PROCUREMENT

