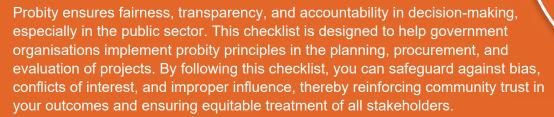
Probity Checklist for Procurement

01

02

03







Planning and Project Definition

- ▶ **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.



- ► 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

- ▶ 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

05

06



- ▶ **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.



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.



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

STAGE 1 STAGE 2 STAGE 3 STAGE 4

Tender Preparation

- Probity plan
- Recommendation and negotiation processes
- Review RFT document; evaluation plan
- Conflict of interest and confidentiality processes
- Information security & records management

Open Approach to Market

- Communications with proponents
- Response to requests for advice on resolving probity matters that arise
- Addressing errors or omissions

Tender evaluation

Evaluation plan is implemented and negotiations are conducted

- Fairl
- Impartially
- Transparently
- With accountability
- To deliver VALUE FOR MONEY

Reporting and Close-out

- Decisions recorded with reasons
- Negotiation conduct meets (CLIENT'S) ethical standards
- Probity report delivered
- · Proponent debriefing

