# Template for probity compliance checklist

This checklist outlines tasks required to meet compliance with procurement probity standards.

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| Procurement Activity: |  |
| **Category/Project Manager** |  |
| **Categories/Uncategorised:** |  |
| **Commencement Date:** |  |
| **End Date:** |  |
| **Anticipated Contract Commencement Date:** |  |
| **Probity Auditor Appointed:** |  |

| **Tasks** | **Templates, Principles, and Policies** | **Document to be retained** | **Projects Task Completed** | **Review Completed** |
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| Opportunity Assessment  *In this phase the scope of the requirement is identified, and sufficient research and analysis carried out to make a decision as to whether to proceed with the procurement or not. A preliminary business case may be required. Approval should be in line with procurement governance arrangements.* | | | | |
| Identify/confirm high level governance arrangements. Identify who needs to be involved and on what basis. | Governance framework.  Delegations register. | Procurement policies/procedures, and terms of reference for committees (where relevant). |  |  |
| Identify/confirm scope of the procurement. Check that there is no standing contract that might apply. Identify skills required for procurement. | Standing contracts register. | Project scope and broad requirements documented. Subject matter expert skillset specified (if required). |  |  |
| Opportunity assessment process: Identify stakeholders, demand, business requirements, potential benefits and resource requirements, likely market approach to establish feasibility of procurement. | Demand, business requirements and market analysis tools and reports.  Risk register. | Correspondence/communication from external stakeholders. Documentation of analysis: demand, market, risk, complexity, internal/external benchmarking, anticipated benefits etc. |  |  |
| Confirm procurement approval and project justification, including project objectives (where relevant). | Preliminary business case (if required). | Project assessment documentation and approvals e.g.,. approved business cases, steering committee minutes. |  |  |
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| Engagement  *In this phase a project/category manager is appointed, and the project planning commenced. Stakeholders are identified and engaged, including any SMEs, the evaluation panel established and any Conflict of Interests (COIs) identified and managed. Where required an RFI is issued to end users. Suppliers are engaged and an RFI issued where required. A probity advisor and/or auditor are appointed based on an analysis of the probity risks.* | | | | |
| Establish steering committee or working groups (if required). | Steering committee/ working group TORs.  Nominations and recommendation for group membership. | Steering committee/working group minutes, attendance and papers.  Nominations for, and approval of, membership (if required). |  |  |
| Appoint Project Manager. |  | Records of internal appointment or external appointment documentation. |  |  |
| Prepare sourcing plan. | Sourcing plan template. | Approved original sourcing plan. |  |  |
| Conduct risk assessment. | Risk register. | Risk register. |  |  |
| Document roles and responsibilities of relevant staff members and stakeholders. | Stakeholder management/ evaluation plan template. | Role descriptions in evaluation plan/ stakeholder management plan. |  |  |
| Notify stakeholders of approval. | Template notification. | Correspondence/communication to stakeholders. |  |  |
| Call customer/end-user RFI (if required). | RFI documents. | RFI documents and responses. |  |  |
| Call supplier RFI from contracted/ registered suppliers (if required). | RFI documents. | Register of suppliers. RFI documents and responses. |  |  |
| Determine whether any specialist advice is required. If yes, start process to appoint external/ utilise internal advisors. | Engagement agreement. | Engagement documentation. |  |  |
| Nominate evaluation panel - ensure they have adequate skills/knowledge to execute this role. | Evaluation panel specification. | Evaluation panel membership list and approval. |  |  |
| Establish information management and security arrangements. | Information management and security arrangements principles |  |  |  |
| Establish arrangements for the identification and management of Conflicts of Interest (COI). | Principles for identification and management of COI. | Original signed COI declarations. COI register. |  |  |
| Establish confidentiality requirements for any external parties involved in the procurement at the planning stage. | Confidentiality deed template. | Original signed confidentiality deeds. |  |  |
| Appoint probity advisor and/or auditor (if required). |  | Engagement documentation. |  |  |
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| Market Analysis  *In this phase research is undertaken to understand the market’s ability to deliver the requirements.* | | | | |
| Conduct market analysis and research. Identify potential suppliers and evaluate complexity of procurement based on the risk analysis and market dynamics. | Market analysis research data and tools e.g., Porters Five Forces, PESTLE, SWOT, risk and complexity analysis. | Market analysis report. |  |  |
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| Sourcing Strategy  *In this phase the sourcing strategy is developed, including the evaluation plan and methodology, reviewed by the evaluation team and approved, based on the market research and the business requirements of the procurement.* | | | | |
| Prepare contract management plan, and contract Key Performance Indicators (KPIs). | Contract management strategy and templates. | Approved draft contract management plan. |  |  |
| Review risk assessment. | Risk register. | Risk register. |  |  |
| Convene first meeting of evaluation panel. Establish procedures and probity briefing. Review Statement of Requirements (SoR) and proposed sourcing strategy. Prepare evaluation, plan methodology and timetable. | Agenda, minutes and attendance templates (if available). | Evaluation panel, attendance records, minutes and papers. |  |  |
| Confirm scope of requirements and document in SoR (i.e., specification). | Principles for the determination of requirements. | Approved SoR. |  |  |
| Obtain approval of evaluation plan and methodology (*must be approved and lodged securely (e.g., in tender box/electronic submission or similar) prior to closing date or tenders may not be opened until evaluation plan is completed and approved*). | Evaluation plan. | Approved secured evaluation plan. |  |  |
| Prepare market approach documentation and have it approved internally and externally (as required). | Organisation ITS and draft contract templates. | Approved ITS documents. |  |  |
| Probity review of approach to market business case. | Probity checklist. | Checklist completed by project manager and probity reviewer (internal) and/or auditor (external). |  |  |
| Determine approach to market (if process will be EOI/RFX, auction etc.) and have it approved by steering committee/delegate (as required). | Business case template for market approach. | Approved sourcing strategy business case e.g., approved business cases, steering committee minutes. |  |  |
| Establish communication register. | Communications register. | Communications register. |  |  |
| Establish Copy Register for submissions (if required). | Copy register. | Copy register. |  |  |
| Identify designated Contact Officer and Q and A process. | Template contact protocols. | Contact protocols. |  |  |
| Invitation to Supply (EOI)  *This phase involves the process for advertising releasing and receiving responses to an expression of interest is to be called.* | | | | |
| Book advertisements for EOI release and briefing (if required) and have them approved. |  | Copy of advertisements. |  |  |
| Book tender box/establish electronic tender box. Issue documentation to the market and place on VIC Tenders or organisation website. |  | Tenderer registration list (if appropriate). |  |  |
| Organise market briefing session (Pre or post release, group or individual).  NB optional (depending on circumstances). | Template protocols. | Project specific protocols e.g., briefing presentation, attendance list, records of questions and answers. |  |  |
| Respond to questions from prospective responders and issue addenda accordingly. | Addendum template. | Records of questions and answers, and addenda issued. |  |  |
| Confirm closing date and electronic/tender box opening arrangements. |  | Confirmation email (if required). |  |  |
| When all participants are known, but prior to opening responses, request all internal and external participants to review COI.  Consider CE, Board, steering committee members and external stakeholders involved in the process. |  | Memorandum/email requesting review of COI. Original signed COI declarations. |  |  |
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| Invitation to Supply Evaluation (EOI)  *This phase involves the process for evaluating an expression of interest.* | | | | |
| Arrange registered copies of EOI response documents, or secure storage of electronic documents with restricted access, for evaluation panel members and specialist advisors. | Copy register. | Copy register (if required). |  |  |
| Evaluation panel meeting:   * Non-complying responses * Identify clarifications required * Confirm next steps. |  | Evaluation panel agenda, attendance records, minutes and papers. |  |  |
| Arrange clarifications (*optional*). | Clarification protocols. |  |  |  |
| Evaluation Panel meeting:   * Decide short list * Identify further information required * Prepare recommendations (if required). | Report template. | Evaluation panel attendance records, minutes and papers, including recommendations and reports. |  |  |
| Approval of short list. | Evaluation plan. | Approvals as agreed in evaluation plan. |  |  |
| Notify respondents if shortlisted or not. | Unsuccessful letter template (if available). | Letters to unsuccessful respondents. |  |  |
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| Invitation to Supply (RFX)  *This phase involves the process for advertising releasing and receiving responses to an invitation to supply.* | | | | |
| Confirm ITS documentation and obtain approval. | Organisation ITS and draft contract templates. | Signed/authorised documentation. |  |  |
| Where Open ITS: book advertisements for ITS release and briefing (if required) and have them approved. | Advertising booking template (if available). | Copy of advertisement. |  |  |
| Book tender box/establish electronic tender box. Issue documentation to the market and place on VIC Tenders or organisation website (open to all or selected suppliers as required). |  | Registrant list (if appropriate). |  |  |
| Organise pre-submission briefings (pre or post release, individual or group)  NB: optional. | Template protocols. | Project specific protocols e.g., briefing presentation, records of questions and answers, and attendance list. |  |  |
| Confirm closing date and tender box opening arrangements (if required). |  | Confirmation email. |  |  |
| Confirm designated Contact Officer and Q and A process | Template contact protocols. | Contact register. |  |  |
| When all participants are known, but prior to opening responses, request all internal and external participants to review COI. Consider CEO, Board, steering committee members and external stakeholders involved in the process. |  | Memorandum/email requesting review of COI. Original signed COI declarations. |  |  |
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| Invitation to Supply Evaluation (RFX)  *This phase involves the process for evaluating an invitation to supply which involves submitting firm pricing.* | | | | |
| Arrange registered copies of ITS responses, or secure storage of electronic documents with restricted access, for evaluation panel members and specialist advisors, for technical evaluation. Pricing responses to be separately handled and reviewed. | Copy register. | Copy register (if required), technical evaluations. |  |  |
| Evaluation Panel meeting:   * Non-complying responses * Review technical evaluation * Identify clarifications required * Identify further information required e.g., references * Confirm next steps. |  | Technical evaluations, evaluation panel agenda, attendance records, minutes and papers. |  |  |
| Arrange clarifications (*optional*). | Evaluation plan. | Documented clarifications. |  |  |
| Arrange briefing presentations (*optional*). | Template protocols. | Briefing presentations, agenda and minutes. |  |  |
| Arrange site visits at tenderer sites (*optional*). | Template protocols. | Agenda and records of site visits. |  |  |
| Obtain references, financial viability check (if required). | Reference process protocols. | Reference process protocols. |  |  |
| Obtain all final reports by advisors including sign-offs (if appropriate). |  | Signed final version reports, submitted on letterhead. |  |  |
| Evaluation Panel meeting:   * Consider information from clarifications, reference process, risk review and external advisors * Review consensus scoring * Review financial analysis of pricing responses and VFM scores * Consider negotiations with shortlisted suppliers * If negotiations proposed go to **Negotiations** below, *otherwise* * Select preferred supplier(s). | Evaluation plan. | Evaluation panel minutes, attendance records and reports on negotiations submitted to the evaluation panel.  Final recommendations endorsed by evaluation panel. |  |  |
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| Negotiation (if shortlisting more than one registrant)  *This phase involves negotiating with short listed respondents to an ITS where the evaluation team considers additional value can be achieved.* | | | | |
| Evaluation Panel meeting:   * Shortlist for negotiations * Identify matters for negotiation * Prepare report on status of process and seeking approval to enter negotiations. | Report template (if available). | Evaluation panel minutes and papers. |  |  |
| Obtain approval for negotiations, establish negotiation team. | Negotiation plan template (if available). | Negotiation plan and documented approvals from designated source. |  |  |
| Confirm negotiation venue and advise short listed respondents. Hold negotiations. | Negotiation plan and protocols template. | Records of negotiations. |  |  |
| Evaluation Panel meeting:   * Consider outcomes of negotiations * Review technical scores/consensus scoring * Review financial analysis of pricing responses and VFM scores * Select preferred supplier * Prepare final recommendations. | Evaluation plan. | Evaluation panel minutes, attendance records and reports submitted to the evaluation panel. Final recommendations endorsed by evaluation panel. |  |  |
| Invitation to Supply Evaluation (RFX) cont.  *This phase involves the process for evaluating an invitation to supply which involves submitting firm pricing.* | | | | |
| Probity review of sourcing recommendation/evaluation report. | Probity checklist. | Checklist completed by project manager and probity reviewer (internal) and/or auditor (external). |  |  |
| Submit final evaluation report and confirmation of selection of preferred supplier(s). | Report template. | Sourcing recommendation approval – as per delegation of authority/ governance arrangements. |  |  |
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| Contract Execution and Handover  *In this phase contract/agreements are executed with the successful supplier(s) and all respondents and stakeholders are notified of the outcomes.* | | | | |
| Advise successful tenderer. | Template letter. | Letter to successful tenderer. |  |  |
| Advise unsuccessful tenderer. | Template letter. | Letters to unsuccessful tenderers. |  |  |
| Execute contract/agreement(s). | Draft agreement. | Executed agreement(s). |  |  |
| Identify contract/category manager and advise supplier(s) (if required). |  | Record of notifications. |  |  |
| Register or communicate contract details to internal/external stakeholders (as required). | Template contract guide/schedules. | Records of notifications to stakeholders. |  |  |
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| Contract Implementation  *In this phase the process for ongoing management of the contract are established including supplier meetings and reporting arrangements, and any user groups required.* | | | | |
| Review contract and ensure it is thoroughly understood. Confirm:   * Deliverables * Reporting requirements * KPIs (including delivery dates or any other critical milestones) * Schedule of payments (advise Finance) * Variations process * Establish call up arrangements for contract monitoring. | Draft contract management plan. | Completed contract management plan. |  |  |
| Establish user group (if required). | User group TORs. | Nominations and approval of group membership. |  |  |
| Identify debrief team and meet to:   * Formulate debrief feedback * Determine approach to be taken. | Debrief protocols. | Preparation notes. Debrief protocols. |  |  |
| Arrange debriefs for respondents. |  | Minutes of each de-brief meeting. |  |  |
| Review files and emails and ensure all relevant records have been retained (including electronic). | Archiving protocols, PROV standards. | Original evaluation documents, meeting records, reports and approvals, COI declarations etc. |  |  |
| Dispose of drafts copies and duplicates of documentation according to standard procedures and PROV guidelines. Ensure appropriate filing, archival or disposed of documents. | Archiving protocols, PROV standards. | Destruction records. |  |  |
| Discuss and document lessons learned (if required). | Lessons learned register. | Lessons learned register entries. |  |  |
| Arrange storage/archiving of documents and files as per standard organisation policy and procedures. | Archiving protocols, PROV standards. | Master copies of ITS/EOI responses. |  |  |
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| Contract/Category Management  *This phase involves the ongoing management of the contract including holding supplier and any user groups meetings monitoring supplier performance and arranging any required contract variation.* | | | | |
| Meet with supplier(s) as per contract management plan. | Contract management plan. | Minutes of meetings. |  |  |
| Contract variations approved as per delegation of authority/governance arrangements. | Contract variation document templates | Original correspondence, reports, approvals and agreement amendments related to contract variations. |  |  |
| Receive and maintain contract management information (hard copy and electronic). |  | Contact activity and supplier performance data. |  |  |
| Advise internal/external stakeholders when contract completed. Confirm all payments acquitted. |  | Notifications. |  |  |

Disclaimer

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