



PURPOSE

This policy provides instruction to Departmental staff regarding the process for engaging probity auditors and the circumstances under which these auditors should be used. Probity auditors are engaged to verify that procurement processes are undertaken in compliance with government policy and procedures.

SCOPE

This procedure is ongoing.

POLICY STATEMENT

Engagement of Probity Auditors

If there appears to be a need for a probity auditor, the advice of the Manager, Goods & Services Procurement or the Manager, Construction Procurement **must** first be engaged. There is an Across Government Panel for probity auditors; please refer to the Procurement Services Panel:
<http://extra.dpc.sa.gov.au/StrategicContracts/>

Where a probity auditor is to be engaged, the scope of services to be provided must be clarified and confirmed with the auditor prior to their engagement.

2. Use of Probity Auditors

Probity Auditors are not normally required for routine, straightforward contracts.

Probity Auditors must only be used in accordance with the following guidelines:

Preparation of Procurement Documentation (e.g. Evaluation Plans, Probity Plans)

- Unless approved otherwise by the Manager, Goods & Services Procurement or Manager, Construction Procurement, Probity Auditors must not be engaged to prepare Evaluation Plans, Probity Plans etc. These documents **must** be based on standard Department templates and the role of a Probity Auditor is to only provide comment on the documents prepared by Departmental staff.
- Except where a separate Probity Plan is required to comply with State Procurement Board Guidelines, details of probity processes are annexed to Acquisition Plan and a separate Probity Plan is not required.

Prior to Close of Tenders

- For high value or high risk contracts, a probity auditor may provide a briefing about the probity requirements to all staff involved in the evaluation process (i.e. panel members and specialist staff) prior to the evaluation commencing, and may attend the mandatory briefing to tenderers.
- If clarification workshops held prior to the close of tenders (e.g. with shortlisted tenderers on complex, high risk projects – refer [PR358](#)), a probity auditor **must** attend each workshop to ensure that each tenderer is provided with the same opportunities and treated fairly.
- If interviews or workshops are conducted to assess and score subjective criteria such as teamwork and leadership, a probity auditor **must** attend each interview / workshop to ensure that each tenderer is provided with the same opportunities and treated fairly.

At the Close of Tenders

- At the close of tenders for high value or high risk contracts, a probity auditor may be engaged to provide independent verification that the requirements of [PR360](#) “Receipt and Opening of Tenders” have been complied with. Internal Audit Section should normally provide this service and an external auditor may only be used to provide this service if the prior approval of the Manager, Goods & Services Procurement or Manager, Construction Procurement has been obtained.

During Tender Evaluation and After Contract Award

- Where an evaluation panel is meeting to assess each tenderer’s scores against technical evaluation criteria, it is not necessary for a probity auditor to attend. However, for very high value contracts, an auditor may attend some key meetings when the scores are being finalised.
- Where unforeseen circumstances occur during an evaluation process (for example, a conflict of interest becomes apparent), a direction should be obtained from the Manager, Goods & Services Procurement or Manager, Construction Procurement, who may then contact a probity auditor to provide ad-hoc advice.
- When debriefing unsuccessful tenderers (refer [PR369](#)), a probity auditor may attend the debriefing to verify to the tenderers that the information being given by Departmental staff is correct.

3. Reports from Probity Auditors

Probity auditors **must** provide reports regarding compliance with probity procedures to the Project Manager / Director responsible for the management of the project being audited in all cases. In the event that a matter raised in a report is contentious, the Director Finance & Procurement has the authority to make a final determination on the matter.

DEFINITIONS

All definitions not specific to this policy are available in the Procurement Governance & Policy [Glossary of Terms](#). Defined terms are in italics.

REFERENCES AND RELATED DOCUMENTS

PR358 Workshops Guideline

PR360 Receipt and Opening of tenders

PR369 Debriefing Unsuccessful Tenderers

Correspondence to applicants, including letters of acceptance or rejection

[PR226-1](#)

DOCUMENT APPROVAL

Approval Date:	14 November 2018
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Policy Contact Officer:	Team Leader Policy
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Division:	Finance & Procurement
Policy Owner:	Chief Executive