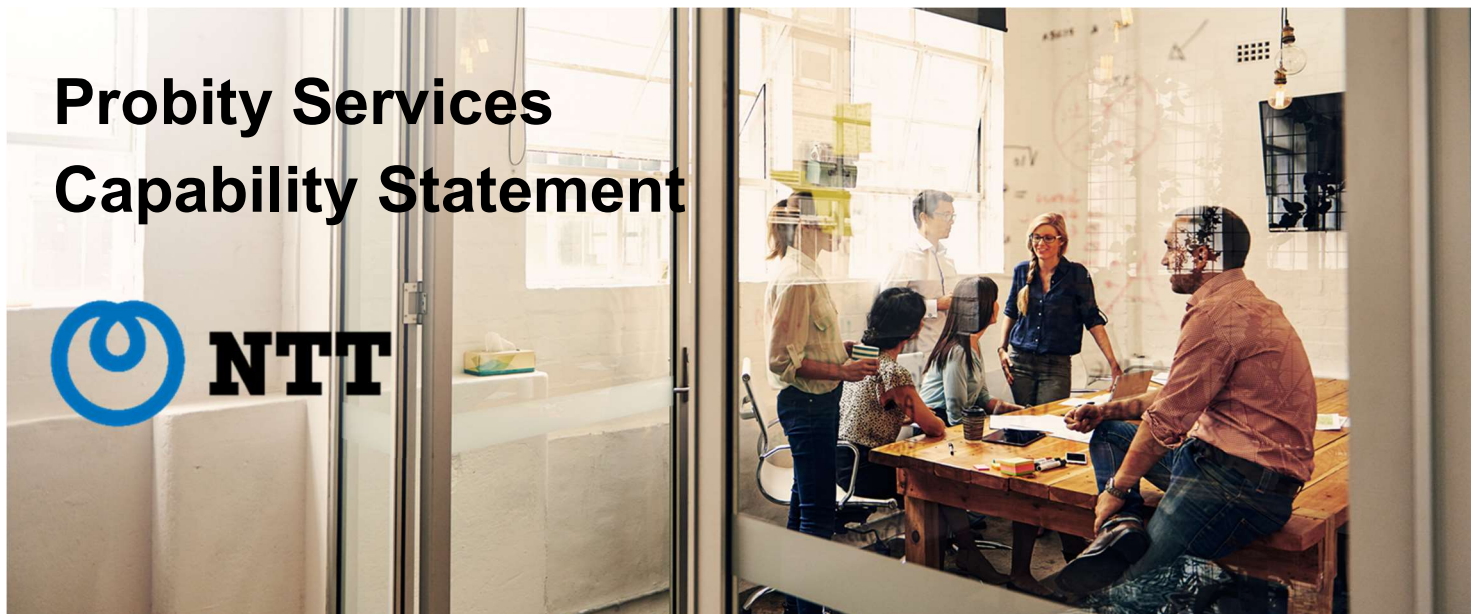


Probity Services Capability Statement



NTT Audit & Assurance delivers consulting and assurance capability to clients addressing **probity advisory, probity auditing and associated services**

We have a range of Probity Practitioners who can provide both probity advisory and auditing services. We help our clients proactively mitigate risks throughout the procurement process and provide assurance that those processes are compliant with regulations, policies and best practice guidelines.

The New South Wales and Victorian State and Local Government are two of our specialist Probity Services assurance focus areas. We provide probity services to a range of Victorian Local Government Entities and Victorian State Government Departments and Agencies.

We are currently a member of the Victorian Government Professional Advisory Services Panel for probity advisory and probity auditing services and have been a member of the Victorian State Government Probity Practitioners Panel since its inception in 2001.

Our team has strong, demonstrated skills and experience in major procurement processes, with a clear understanding of the implications of working within the State Procurement and Local Government framework and achieving effective commercial outcomes.

Our capabilities

As Probity Practitioners, we have the capabilities to review and examine the relevant procurement documentation in both the Expression of Interest (EoI) and Request for Proposal (RFP) stages to ensure compliance with procurement policies, guidelines and other requirements as stipulated by the Local Government Act 1989, the Victorian Local Government Best Practice Procurement Guidelines 2013 and Victorian Government Purchasing Board (VGPB).

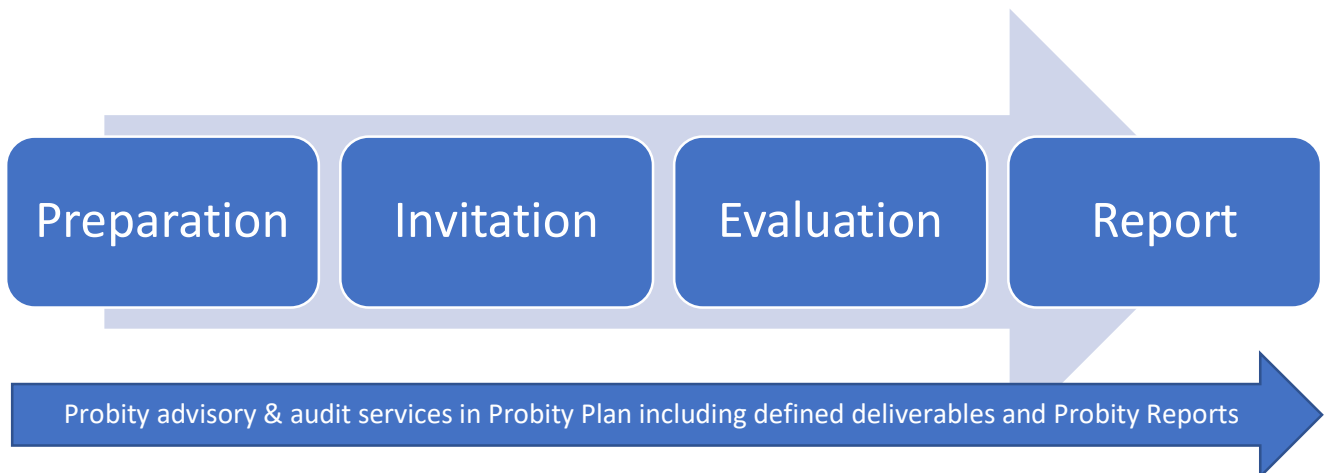
NTT maintains a diverse range of general and specialised probity capabilities including:

- Probity Advisory and Probity Auditing
- Risk Management
- Internal Audit
- Financial Management Consulting
- Fraud and Corruption Control
- Business Assurance

NTT's Probity Model

We provide proactive advice to ensure that there will be a sound procurement exercise and that it is delivered in the most transparent, effective and efficient way. We have had successful engagements with procurement projects in a variety of situations for example construction, infrastructure, professional services for major projects, human services and transport services.

Specifically, our approach includes providing defined Probity Services across the Procurement process (EoI / RFQ / RFP), with key Probity Deliverables for the following steps summarised in the diagram below:



Underpinning our Probity Model we have a detailed methodology to provide pragmatic advice, manage potential probity risks and achieve optimal outcomes for our client's procurement and contracting processes. We share our methodology in our detailed Probity Proposals and Probity Plans and have developed artefacts that can be tailored where necessary.

Better Practice

NTT is ISO 9001 accredited and has well-established quality control practices. We have an excellent understanding of probity best practices and procurement legislative and best practice requirements.

We regularly refer to the relevant Government Policies, Guidelines, and legislation to ensure that we provide high-quality advice and probity advisory services. We regularly review guidance from anti-corruption bodies such as NSW ICAC and Victorian IBAC for probity best practices and integrate this guidance with our Probity Model.

NTT Probity Advisors have significant experience reviewing and advising on procurement processes are members of relevant professional associations and comply with ethical behaviour and conduct requirements.

Staff Qualifications and Experience

Our staff are professionally qualified including Certified Internal Auditors (CIA), Chartered Accountants / Certified Practising Accountants (CA/CPA) and including specialisations such as CRMA, CISO and ISACA and are experts at providing advice on processes.

Our Lead Probity Practitioners are highly experienced probity professionals with an excellent understanding of Victorian and NSW Government requirements. They have over 20 years' experience in providing probity advice to State and Local Government Clients and extensive experience in business assurance and compliance.

NTT's Probity Experience

NTT's probity experience includes the following state and local government entities:

Victoria

- Department of Transport
- Department of Education & Training
- Department of Justice and Regulation
- Department of Human Services
- Department of Environment Land Water and Planning
- Country Fire Authority
- Victoria Police
- Royal Children's Hospital
- City of Moonee Valley

New South Wales

- NSW Health
- NSW Procurement
- Transport NSW
- Dept of Planning, Industry & Environment
- NSW Treasury
- SICorp
- Tourism Australia
- ABC

Case Study

Infrastructure Project – Probity Advisory

We acted Probity Advisors to a State Government Department for the establishment of rail infrastructure to link major port infrastructure to the outer metropolitan area.

Throughout this project, we provided probity advice as required on all aspects of the conduct of the project.

The project had an expression of interest (Eoi) stage and a Request for Proposal (RFP) stage.

As part of this project, we performed the following.

- Prepared a probity plan to ensure effective handling of probity matters during both procurement processes
- Attended all project team meetings as requested by the Project Manager
- Attended all steering committee meetings in relation to the project
- Provided a probity briefing for all relevant staff involved in the procurement process
- Ensured that all conflicts of interest statements were obtained
- Attended all evaluation committee meetings
- Attended meetings with respondents to the procurement to ensure consistency and fairness of treatment.
- Reviewed all internal documents e.g. evaluation reports and proposed market documents (e.g. RFP documents) relating to the process from a probity perspective
- Reviewed relevant correspondence and to ensure compliance with probity
- Provided sign-offs where required
- Provided timely and appropriate advice on any probity issues arising during the process



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We are NTT

Together we help people, clients and communities move confidently into the digital future.



Everything we do is driven by our purpose, vision and shared values.

Our purpose

Contributing to society by resolving social issues through our business operations.

Our vision

Your valued partner that can be trusted and is committed to long term relationships.

Our shared values

Connect, Trust and Integrity inform all our decision making.

We believe that the best of human traits are brought to life by our company: authenticity, quality, commitment, trust and integrity.

We have a global, forward-looking view that is agile, dynamic, competitive and innovative. **We are NTT.**

