

Government Business Board Appointments - Procedure for Probity Checks of Recommended Candidates

A probity check of a candidate must be undertaken prior to their recommendation for appointment, to ensure there are no potential issues with a candidate's suitability for the position.

Probity checks must be completed by:

- the Executive Search Agent for all Director Selection Advisory Panel processes;
- the Business for all Director reappointments;
- the Portfolio Department for all Chair reappointments; or
- as otherwise agreed between the parties.

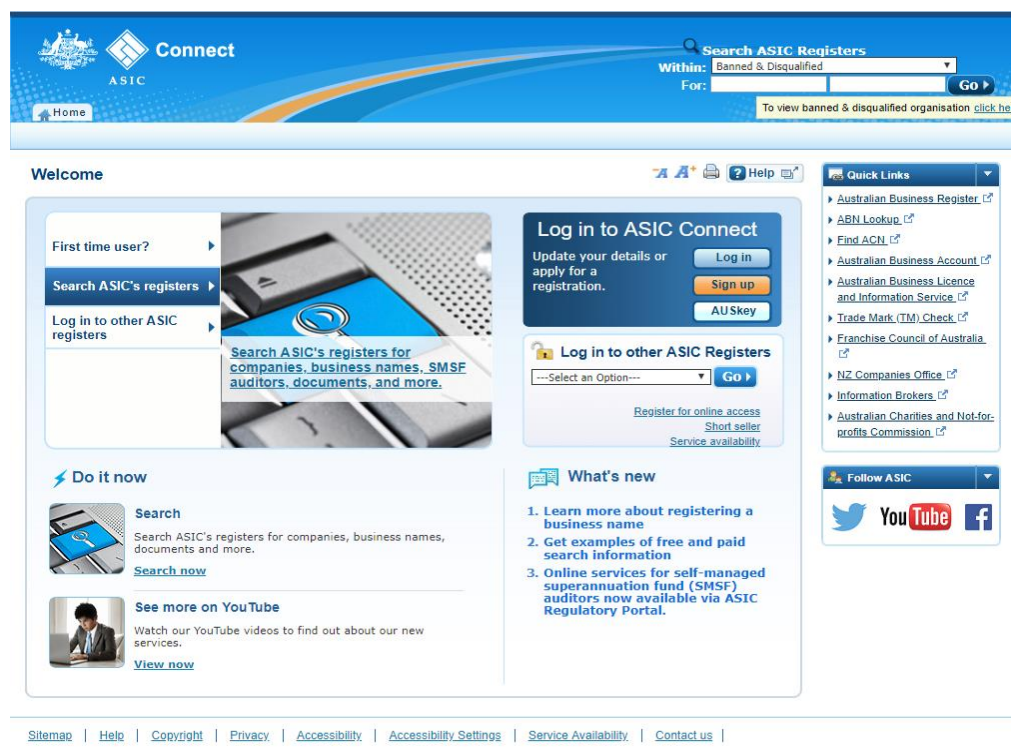
Two online probity checks are required:

- Australian Securities and Investment Commission (ASIC) check; and
- Australian Financial Security Authority (AFSA) check.

All probity checks should be undertaken with two officers present, and appropriate evidence of the completed checks (i.e., screenshots/records) should be obtained.

Australian Securities and Investment Commission (ASIC) Checks

1. Go to <https://asicconnect.asic.gov.au> and under "Search ASIC Registers" select within "Banned & Disqualified".



2. Select search within "Banned & Disqualified". Enter the name of the recommended candidate. Select "Go".

3. If no records are found for that name, the following screen will appear:

The screenshot shows the ASIC Connect search interface. The search criteria are set to 'Within: Banned & Disqualified' and 'For: Family name Given name'. The search term is 'williams xavier'. The results section displays 'Search Results - Banned & Disqualified Persons' with a message: '0 results found for "xavier williams"'. A 'New Search' button is visible at the bottom.

4. If records are found for that name, the following screen will appear:

The screenshot shows the ASIC Connect search interface with search results for 'm smith'. The results are displayed in a table under the heading 'Banned & Disqualified Persons'. There are 6 results found for 'm smith'. The table includes columns for Family Name, Given Name(s), Type, Commenced, Ceased, and Address.

Family Name (*indicates former name)	Given Name(s)	Type	Commenced	Ceased	Address
SMITH	MARILYN CLAIRE	Disqualified Person	24/02/2006	24/02/2009	LATHAM ACT 261
SMITH	MARILYN CLAIRE	Disqualified Person	24/02/2006	24/02/2009	LATHAM ACT 261
SMITH	MARILYN CLARE	Disqualified Person	24/02/2006	24/02/2009	BOMBALA NSW 2
SMITH	MARK RAYMOND	Disqualified Person	23/05/1997	23/05/1999	BULLEEN VIC 310
SMITH	MICHAEL ANDR...	Banned Securities Rep...	01/07/2002	PERMANENT	GLENALTA SA 505
SMITH	CORAL MELVINA	Disqualified Person	27/07/2000	27/07/2003	MONTMORENCY V

Below the table, there is a 'View Results List (PDF)' link and a 'View Details' button. The search interface also shows a 'Back' button and a 'New Search' button.

5. If the name of the candidate is found, further investigation regarding the circumstances of the disqualification will need to be undertaken and confirmation that is indeed the candidate. For example, to ensure that the candidate has not been wrongly accused, or confused with another person of the same name.

Australian Financial Security Authority (AFSA) Checks

- To check the National Personal Insolvency Index (NPII), go to <https://www.afsa.gov.au/online-services-help/bankruptcy-register-search>

The Bankruptcy Register Search (BRS) is an online service you can use to check if someone is or has been in a personal insolvency proceeding such as bankruptcy. It searches the National Personal Insolvency Index (NPII), which contains electronic records of most personal insolvency proceedings in Australia. This includes bankruptcy, debt agreements and personal insolvency agreements. It does not include records on companies, only individuals. For more information, see National Personal Insolvency Index (NPII).

To get the most out of your search, we strongly recommend you read:

- BRS search tips

Search now

Important - If you are bankrupt and want to find out when your bankruptcy will end or if it has ended, you don't need to do a Bankruptcy Register Search. You can get this information for free by using our online form at [need confirmation my bankruptcy has ended](#).

- Select “Search now”.
- Enter the surname and given name of the candidate and drawdown the corresponding relevant ‘search methods’ box as required.
 - To assist with identifying the correct candidate, it is useful to have their middle name and date of birth available.

BRS Bankruptcy Register Search NPII EXTRACTS

Name and Date of Birth Search | AFSA Reference Search

Enter Search Criteria

* Family Name Search Method

* Given Name

Middle Name

Also match records with no middle name

Date of Birth

Also match records with no date of birth

* Email address

Yes please email me my purchased extracts

Search insolvency records started in the last 10 years, plus older undischarged bankruptcies

Search all insolvency records back to 1928

Improve your search

- If the name includes hyphens (-) or apostrophes (') or other special characters these may be entered, but will also match records without them.
- A 'Starts With' or 'Contains' method can help locate the person if you don't know exact details, such as:
 - If the name is a common alias or abbreviation, e.g. A 'Starts With' search for TIM will match TIMOTHY and TIMEON.
 - If you are unsure of the spelling, e.g. A 'Starts With' search for STE will match STEVEN, STEPHEN, STEPHANIE. A 'Contains' search will match STEVEN, STEPHEN, STEPHANIE, ESTELLE and CELESTE.
- Entering a middle name and date of birth may help narrow the results.
- It is recommended that your search also matches records with no middle name and/or date of birth, as these details may not be available for all individuals.
- More information about the Bankruptcy Register Search and search tips.

- Select “Next”.

5. Enter your own email address and ensure that “Yes, please email me my purchased extracts” has been selected.
6. Select “Pay and search”.
7. Enter the relevant payment details and select “Pay \$15.00”.
8. Once the results come back, if the candidate’s name is on the register, there may be a time limit to then request an extract. If the candidate does not appear, there is no need to request an extract.

Finalisation

A probity check file note (refer to *BA-TP1107A*) should be completed and signed by both people undertaking the searches. Appropriate evidence of the completed checks (i.e., screenshots/records) should be obtained.

A probity check checklist (refer to *BA-TP1107B*) should also be completed and attached to the relevant Cabinet Brief.