

# Procedure for Probity Check of Recommended Candidates

A probity check of a candidate must be undertaken prior to their recommendation for appointment. Undertaking the checks is integral to ensuring there are no potential issues with a candidate's suitability for the position.

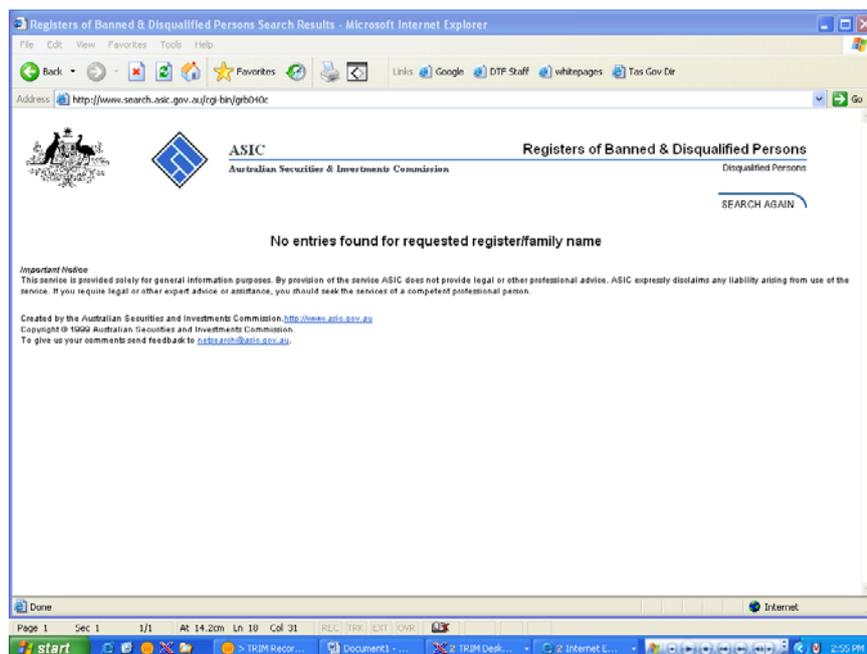
The following probity checks must be completed by the Business (for Directors) or Portfolio Department (for Chairpersons) in relation to recommended candidates:

- Australian Securities and Investment Commission (ASIC) check; and
- Insolvency Trustee Services Australia (ITSA) check.

All probity checks should be undertaken with two officers present.

## Australian Securities and Investment Commission Checks

1. Go to <http://www.moneysmart.gov.au/?referrer=fido.gov.au> and log on to the ASIC "fido" service. Click on the "Tools and Resources" and then select "Check ASIC lists".
2. Scroll down the screen, and under "Check banned advisors and company managers" select the "Registers of Banned and Disqualified Persons" link. Ensure that "disqualified persons" is selected and enter the surname of the recommended candidate. If you anticipate there being multiple records or it is a very common surname (e.g. Smith), provide further details. Press search.
3. If no records are found for that surname the following will appear:



4. If records are found for that surname the following will appear:

Registers of Banned & Disqualified Persons Search Results - Microsoft Internet Explorer

Address: <http://www.search.asic.gov.au/cgi-bin/grb040c>

ASIC  
Australian Securities & Investments Commission

Registers of Banned & Disqualified Persons  
Disqualified Persons  
SEARCH AGAIN

Extracted from ASIC's database at AEST 14:58:22 on 04/09/2009

Document No	Details	
000109309	<b>Name</b>	JONES, Terrence William
	<b>Address</b>	Edward Street, Forbes, NSW, 2871
	<b>Commenced</b>	23/07/1987
	<b>Ceased</b>	23/07/1992
	<b>Comments</b>	No comment made
000087091	<b>Name</b>	JONES, Justin Myles
	<b>Address</b>	Unit 1, 8-10 Ocean Avenue, Double Bay, NSW, 2028
	<b>Commenced</b>	14/03/1988
	<b>Ceased</b>	14/03/1993
	<b>Comments</b>	No comment made
000087090	<b>Name</b>	JONES, Geraldine
	<b>Address</b>	Unit 1, 8-10 Ocean Avenue, Double Bay, NSW, 2028
	<b>Commenced</b>	14/03/1988
	<b>Ceased</b>	14/03/1993
	<b>Comments</b>	No comment made
008687135	<b>Name</b>	JONES, Paul Roy
	<b>Address</b>	Lot 308 Ellison Road, Carrara, QLD, 4211

5. Check the list for the given names of the candidate. If they are not found then they have never been or are not disqualified. If the name of the candidate is found, further checking of the circumstances of the disqualification will need to be undertaken to ensure that the candidate is not wrongly accused (ie two people of the same name).

## Insolvency Trustee Services Australia Checks

1. Checks of the National Personal Insolvency Index need to be undertaken through CITEC Confirm. Log on to the CITEC Confirm website at <http://www.confirm.com.au/>.
2. The log-in area can be found on the right side of the web page. An account will need to be created. Note the Account code: **<INSERT>** and the password: **<INSERT>**.
3. The news screen should be displayed. Press "To Main Menu".
4. The following screen should now appear - select "National Bankruptcy".



5. Enter the surname of the person being checked and then click on “Yes, I would like an additional copy of my results emailed to” and enter your own email address.
6. Click “search”. Once the results come back you only have 6 minutes to then request an extract. To assist with identifying the candidate being searched, have available their middle name and date of birth. If the candidate does not appear, there is no need to request an extract.

## Finalisation

A file note (refer to BA-TPI 107) should be completed and signed by both people undertaking the search.