

CHECKLIST

MONITORING AND MANAGING RISKS FOR INDIVIDUALS

This checklist helps individuals to monitor and regularly review and assess the management of their conflicts of interest and the situations to which the management strategies have been applied.

Ability to monitor and review

Yes No

Have I been able to adequately monitor the situation in which I have identified my conflict of interest?

Have I been able to adequately monitor the actions taken to implement my management strategy?

Do I need assistance from my manager or an objective third party to continue to monitor and/or reassess the situation?

Choosing the management strategy

Yes No

Have my original determination and management decisions allowed me to act, and be seen to act, in a fair, impartial and objective manner?

Are there any residual tensions between my original determination and any decisions taken by management?

If there are any tensions, have I taken steps to discuss and/or resolve these with my manager?

Implementing the management strategy

Yes No

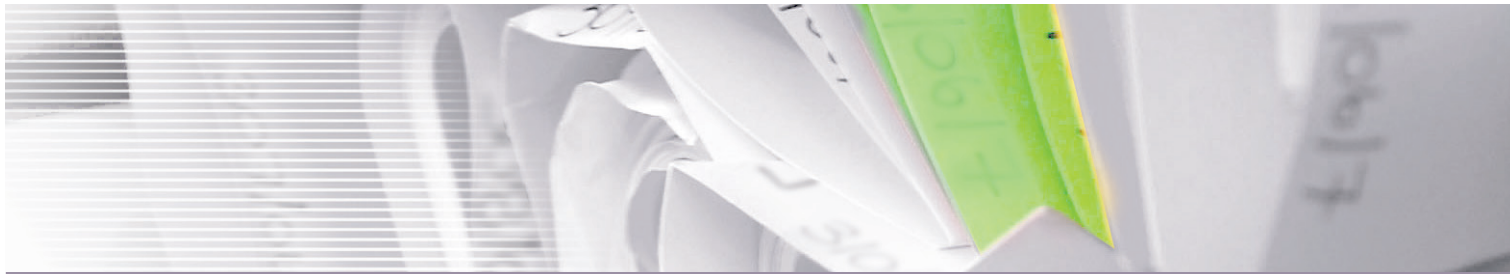
Have I properly implemented the strategy selected to manage my conflict of interest?

Have I carried out and recorded all actions and decisions involved within this management strategy faithfully and transparently?

Have I ensured that my actions or decisions have not breached the boundaries set by the management strategy?

Have I experienced any problems implementing this management strategy which may have an impact on the situation?





Changes to the situation

Yes No

Are there any changes to the situation since I implemented the management strategy?

Have I notified my manager of any changes to the situation?

Is the management strategy still adequate for the situation?

Have I received any reports of perceptions held by others that the conflict of interest is having an influence on my actions and/or decisions?

Making adjustments

Yes No

Do I need to make formal adjustments to the conflict of interest disclosure that I have already made about this situation?

Do I need to disclose further conflicts of interest that have impacted on this situation?

Should my management strategy be adjusted in any way to suit the changed situation?

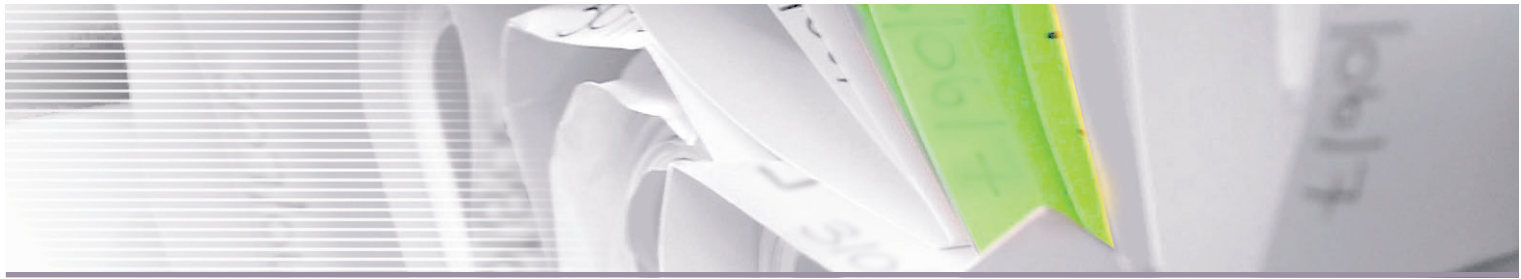
Can I determine what needs to be changed in the management strategy to ensure impartiality, fairness and protection of the public interest?

Do I need to seek further advice from my manager or an independent third party to help determine the most appropriate changes to my management strategy?

If I do not need to change my management strategy, do I still need to make changes to the manner in which it is implemented?

Do the planned changes to my management strategy and/or its implementation ensure continuous openness and transparency?





Maintaining transparency

Yes No

Have I identified and documented the facts and circumstances governing my review and assessment of, and decision on, how I should continue to handle the situation?

Have I formally recorded all disclosures, reassessments, further decisions made and actions taken?

Have I ensured that everyone affected by any changes to this management strategy and/or its implementation has been notified?

Does my management strategy and its implementation based on this review and assessment allow me to continue to act, and be seen to act, in a fair, impartial and objective manner?

Adapted from CMC Qld and NSW ICAC resource: 'Managing Conflicts of Interest in the Public Sector - toolkit.'

