

BOARD POLICIES

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1. CONSENT TO ACT AS A DIRECTOR

I hereby agree to act as a Director of the National ELT Accreditation Scheme Ltd and give notice of the following particulars:

Title

First name

Surname

Former first name

Former surname

Usual residential address

Date of birth

Place of birth

Business occupation

Directorships of public companies or companies which are subsidiaries of public companies

.....

.....

I declare that:

- *I am not disqualified from managing a corporation, within the meaning of the Corporations Act 2001 (Cth) and*
- *I have not been disqualified by the Australian Charities and Not-for-profits Commissioner at any time during the previous year from being a responsible person (what the ACNC Act calls a 'responsible entity') of a registered charity.*
- *While I am a Responsible Person for **NEAS**, I agree to notify this charity as soon as possible if I do become disqualified from managing a corporation within the meaning of the Corporations Act 2001 or am disqualified by the Australian Charities and Not-for-profits Commissioner. Responsible Persons are the members of a charity's governing body who share responsibility for the governance of the charity (called 'responsible entities' under the ACNC Act).*

Signature

Date

2. BOARD CONFIDENTIALITY AND NON-DISCLOSURE AGREEMENT

INTRODUCTION

Board confidentiality is important. It encourages open and frank discussion at meetings, helps facilitate the development of vision and the implementation of an effective strategy to achieve that vision, and protects information that is confidential, personal, or relates to employment, commercial or legal matters.

PURPOSE

The purpose of this policy is to facilitate effective governance of NEAS (The National ELT Accreditation Scheme) by ensuring Board confidentiality.

POLICY

Board members must keep confidential all information pertaining to matters dealt with by the Board. This includes board meeting minutes, agendas, reports to the Board and associated documents, and information contained in those documents.

The obligation to maintain confidentiality continues to apply even after a person has left the Board. Maintaining confidentiality as a general rule will also help ensure observance by Board members of the following legal duty:

A person who obtains information because they are, or have been, a member of the Board must not improperly use the information to:

- gain an advantage for themselves or someone else; or
- cause detriment to the organization
- If a request is made for access to one or more Board Papers, the Board may on a case by case basis resolve to provide access to the document/s. In considering this request, the Board will have regard to:
 - the importance of maintaining confidentiality to facilitate effective board meetings;
 - the importance of complying with the law – including privacy law - and recognizing that the law sometimes creates duties to disclose or protect information;
 - whether the person requesting the document is a member, and the important role of members in holding the Board accountable; and
 - the need to be consistent in the way that documents are treated, and the consequence of establishing any precedents or expectations.

Nothing in this policy is intended to prevent the Board from seeking confidential legal, accounting, financial or other expert advice from independent professionals to assist the Board in carrying out its functions.

Any person [such as CEO or Secretary] who is not a member of the Board but is present at a Board meeting (or part of a meeting) must maintain in confidence all information obtained as a result of their participation in the meeting.

Board Papers means all written communications to Board member/s including without limitation monthly/quarterly board papers, submissions, minutes, letters, memoranda, board committee and sub-committee papers and copies of other documents referred to in any of the abovementioned documents made available to the Board member as a Board member during his or her time in office.

RESPONSIBILITIES

The Chair is responsible for bringing this policy to the attention of prospective Board members. Requests for access to Board Papers should be made to the Secretary who should include consideration of the request as an item on the Board agenda.

PROCEDURES

The CEO shall ensure that Board Papers are created, maintained and distributed in a manner which is consistent with their confidential status. They shall be kept separately from other (non-confidential) documents and stored in a manner which limits access to them by unauthorized persons (including employees).

In circumstances where a request for access to Board Papers has been made, and there is reason to believe that there are laws governing the disclosure or non-disclosure of the document, the CEO will obtain legal advice on the matter to assist the Board in its consideration of the request.

RELATED DOCUMENTS

- Travel Policy
- Code of Conduct and Code of Ethics
- Conflict of Interest
- NEAS Disaster Recovery Plan
- NEAS Media Relations Policy and Procedures
- NEAS ICT Policy

3. BOARD RECRUITMENT AND INDUCTION

OUTCOME

Appointment of well qualified and experienced Board Directors that form an effective Board team and add value leading NEAS to achieve its vision and mission.

POLICY STATEMENT

Management of recruitment and induction for the appointment of Directors is the responsibility of the Board. The Board needs to ensure that there is an effective selection process to facilitate selection of the best available candidates taking into consideration qualifications, experience and Board composition. The Board also needs to ensure that there is an effective induction process to provide new Directors with an in depth understanding of the organization and the operation of the Board.

PROCESS AND COMPLIANCE

Administrative and procedural coordination of the Appointment of Directors is coordinated by the Company Secretary in consultation with the Board. Elections and board appointments are governed by and must conform with the legal, ethical and regulatory requirements of;

- NEAS Constitution;
- NEAS Articles of Association and/or Memorandum;
- Australian Securities Investments Commission and
- Australian Charities and Non-for-profits Commission

Final appointment as a Director is dependent on the completion and signing of Board policy documents prior to formal commencement of appointment to the Board.

ELECTED DIRECTORS

1. Nominations will be sought from interested candidates, by broadcasting the requirement to fill a Directorial vacancy to the membership, using the electronic and other communications channels that are regularly utilised in the course of NEAS business;
2. Interested candidates will be required to submit their nomination for election by a nomination deadline that shall be no less than four weeks after the initial broadcast announcing the vacancy. No nominations will be accepted for consideration if received after the deadline;
3. The Board shall be responsible for approving all candidates for nomination once the deadline has been passed and after their credentials for nomination confirm eligibility;
4. The election will be announced within a week of the closure of nominations, and to take place no less than four weeks after the announcement of the election date;
5. The election will be held at a venue and time to be confirmed by the Board and communicated by the Company Secretary;
6. Election procedures will conform to readily accepted protocols whereby;
 - Only one vote per member organisation will be allowed
 - a returning officer in the form of Company Secretary is appointed to run the election

- proxy voting procedures are managed and adhered to by the Company Secretary
 - counting votes shall be undertaken by Company Secretary who shall announce the victor, once a clear majority has been confirmed and
7. Following Board approval, the successful candidate/s will be offered a Director position. The Chair will make the appointment offer by telephone and a formal written offer will follow.

INDEPENDENT DIRECTORS

Selection Procedure

1. Expressions of Interest will be sought from suitable candidates through one or more of the following: Direct advertising through: Australian Institution of Company Directors (website posting); Women of Boards (website posting); Seek (website posting); Herald or other newspaper (advertisement); Board Director networks. Refer to Appendix 1 for sample Board Director advertisement;
2. Before advertising Board vacancies, the Board will undertake a Board skills analysis/gap analysis to determine specific skills required. The sample Board Director advertisement will be edited accordingly;
3. Candidates for Independent Board Director role will be required to make formal application including letter addressing the selection criteria and submission of Curriculum Vitae (CV);
4. Applications will be reviewed by the Board and CEO and short listed for progression towards appointment;
5. Short listed candidates will be invited to interview with the Board and Chief Executive Officer. (refer to Appendix 2 for sample interview questions);
6. Reference checks will be undertaken for candidates being considered for appointment and
7. Following Board approval, the successful candidate/s will be offered a Director position. The Chair will make the appointment offer by telephone and a formal written offer will follow.

Induction

1. Each new Director will be provided with a copy of the Board Handbook;
2. Each new Director will be assigned a 'buddy' Director who will assist their induction to the Board. The buddy will contact the new Director prior to their first Board meeting to further discuss the role and workings of the Board and to answer any queries. The buddy will assist the new Director through their first few meetings, greet them on arrival, phone between meetings, etc;
3. A formal induction will be organised for each new Director prior to attendance at their first Board meeting and
4. Each new Board member will also be invited to an induction with the CEO. This induction will further explain the role and workings of NEAS.

APPENDIX 1

Sample Board Director Advertisement

The Board of NEAS is calling for expressions of interest from individuals who have the necessary skills, qualifications and experience to contribute to the governance and strategic direction of NEAS as Board Directors.

NEAS endorses English language centres in universities, colleges and high schools. Endorsed centres are granted the NEAS Quality Mark, which is internationally recognized and valued by students, teachers and governments.

NEAS is a not-for-profit organisation. Its operations are funded by fees for services provided to members and by government grants related to specific contracts.

The role of the Board is to ensure appropriate governance and compliance by the organisation and to provide strategic direction.

Skills and Experience Required

NEAS is currently seeking applications for a vacant Board position from professionals who have expertise in the following area/s.

- Governance
- Quality Assurance
- Marketing / Public relations
- Legal and Compliance
- Financial and Risk Management
- Management /Organisational Development
- Human Resources
- Other

This is a paid position and as such annual directors' fees are set at \$6,000 plus superannuation.

How to Apply

If you are interested, please complete an *Expression of Interest Form* and forward with your CV to Chair: neas@neas.org.au

For information about the role or to obtain an *Expression of Interest Form* please contact Chair on (agreed contact number) or by email: neas@neas.org.au

APPENDIX 2

Sample Board Interview Questions

1. What prompted you to apply to be a Director of NEAS
2. What is your particular interest in NEAS?
3. What skills and experience would you bring to the role?
4. Advise the candidate of Board Director expectations and ascertain their commitment to these:
 - Board Meetings: 5 to 6 per annum, 5 to 8 hours in duration
 - Strategic Planning Meeting: 1 day per annum (linked to a Board Meeting)
 - Annual Conference: 3 days
 - Ad hoc attendance at meetings, e.g. meetings with government or stakeholders or special events
 - Email or telephone communication between meetings, 4 hours per month

4. CODE OF CONDUCT AND ETHICS

OVERVIEW

Purpose

The NEAS Code of Conduct and Ethics (Code) governs all NEAS operations and the conduct of Directors, employees, consultants, contractors, members of the assessment panel and all other people when they represent NEAS (Personnel).

Provision of this Code

A copy of this Code will be given to all incumbent and new Personnel.

Questions – Interpretation & Enforcement of this Code

Any questions relating to the interpretation or enforcement of this Code should be forwarded to the Operations Manager.

GENERAL PRINCIPLES

Compliance with Laws

NEAS and its Personnel are expected to comply, at all times, with all applicable laws. They are also expected to conduct NEAS operations in keeping with the highest legal, moral and ethical standards.

Performance of Duties by Personnel

All Personnel of NEAS must conduct the business of NEAS with the highest level of ethics and integrity in relation to each other and all others with whom they deal.

Personnel must act:

- i. ethically, honestly, responsibly and diligently;
- ii. in full compliance with the letter and spirit of the law and this Code; and
- iii. in the best interest of NEAS.

Breach of the Code

Any breach of applicable laws accepted ethical commercial practices or other aspects of this Code will result in disciplinary action. Depending on the severity of the breach, such disciplinary action may include reprimand, formal warning, demotion or termination of employment/engagement (as the case may be).

Similar disciplinary action may be taken against any manager who directly approves of such action or has knowledge of the action and does not take appropriate remedial action.

Breach of applicable laws or regulations may also result in prosecution by the appropriate authorities. NEAS will not pay, directly or indirectly, any penalties imposed on any Personnel as a result of a breach of law or regulation.

Reporting Breaches of the Code

All Personnel are requested to report immediately any circumstances which may involve a breach of this Code to the Operations Manager, the Executive Director or the Chair.

It is in the best interests of NEAS for all Personnel to immediately report any observation of a breach of this Code.

COMPLIANCE WITH LAWS AND REGULATIONS

NEAS Operations – Compliance with Laws

The operations of NEAS must be conducted in compliance with all laws and regulations applicable in Australia and in the jurisdictions in which NEAS' operations and activities are being undertaken.

Observing the Letter and Spirit of the Law

Compliance with the law means observing the letter and spirit of the law as well as managing the business of NEAS so that NEAS and its Personnel are recognised as “good corporate citizens” at all times.

CONFIDENTIAL INFORMATION

Non-Disclosure of Confidential Information

The guarantee of confidentiality NEAS gives to its client colleges is a crucial element in the ELICOS industry's acceptance of NEAS as the accrediting and monitoring body.

Personnel must not disclose confidential NEAS information to any third party without the prior consent of the Executive Director, or if required by law.

Confidential NEAS Documents

Personnel must maintain the confidentiality of all NEAS' documents and must not disclose any information contained within the documents to any third party without the prior consent of the Executive Director.

All materials available to Personnel about a provider should be confidentially disposed of with the exception of copies kept in the NEAS office

Personal Gain

Personnel must not use NEAS' information for the purpose of directly or indirectly obtaining personal gain.

CONFLICT OF INTEREST

Use of Position for Personal Benefit

Personnel must not use their position for personal benefit independent from the business of NEAS or to benefit any other business or person.

Taking Advantage of Property

Personnel must not take advantage of any property or information belonging to NEAS, or opportunities arising from those, for personal benefit independent from the business of NEAS or to benefit any other business or person.

Managing conflicts

Personnel will declare any potential conflict of interest and excuse themselves from any NEAS activity where there is the potential for a perceived conflict of interest.

Should an unforeseen conflict arise during the course of NEAS work, the individual should declare the conflict to the Executive Director immediately.

In the case of the Board, the Constitution states a Director who has a material personal interest in a matter that is being considered at a Board meeting must not:

- Be present while the matter is being considered; or
- Vote on the matter

unless permitted by the Corporations Act.

TRANSPARENCY

Dealings with ELICOS provider institutions by NEAS personnel should be at all times open and transparent. The purpose of a site visit or investigation should be made clear to the provider at the outset and any problem identified should be openly discussed with the appropriate representative of the provider.

UNACCEPTABLE PAYMENTS & CONTRIBUTIONS

Personnel's Responsibilities

Personnel must not seek or accept any type of compensation, fee, commission or gratuity from a third party in connection with the operations of NEAS.

GIVING OR RECEIVING GIFTS

Personnel must not give, seek or accept in connection with the operation of NEAS any gift, entertainment or other personal favour or assistance which goes beyond common courtesies associated with accepted ethical commercial practice. For avoidance of doubt, any gift (or series of gifts) received by Personnel from the one party which might, as a matter of judgement, fall outside the ambit of this paragraph, must be reported to the Operations Manager with full details of the background of the gift.

PROTECTION OF NEAS ASSETS

Responsibilities of Personnel

Personnel are responsible for taking all prudent steps to ensure the protection of NEAS' assets and resources. Personnel should take care to minimise the possibility of theft or misappropriation of NEAS' assets and resources by any person.

Assets used for NEAS Purpose only

Personnel must ensure that NEAS' assets and resources are used only for the purposes of NEAS and in accordance with appropriate authorisations.

Personnel may make reasonable use of NEAS resources such as telephone, email, fax or computers for personal reasons during the course of their working day, for example, banking, medical needs, making appointments etc, provided this does not interfere with the day to day work of NEAS or the individual's workload or incur unreasonable costs to NEAS.

NEAS credit cards, travel cards or funds may not be used for any activity outside the scope of normal NEAS activities. Travel expenses will be reimbursed as detailed in NEAS' Travel Policy and any other expenses will only be reimbursed on the presentation of receipts.

NEAS letterhead and business cards may only be used for NEAS business. Personnel must not identify him-/herself as acting on behalf of NEAS unless under the direction of the NEAS Board or Executive Director.

PROPER ACCOUNTING

Accounting Roles

Personnel must ensure that all NEAS' accounting records accurately and fairly reflect, in reasonable detail, all underlying transactions and all of NEAS' cash, assets and liabilities.

Maintenance of Accounting Records

Accounting records must be maintained in accordance with relevant accounting standards and any financial and accounting policies issued by NEAS.

DEALING WITH SUPPLIERS

Purchase of goods and services for NEAS should be conducted in accordance with NEAS delegations of authority and other relevant policies.

DEALING WITH AUDITORS

Personnel must fully co-operate with the external auditors of NEAS.

Personnel must not make a false or misleading statement to the external auditors of NEAS and must not conceal any relevant information from the external auditors of NEAS.

UNAUTHORISED PUBLIC STATEMENTS

Unauthorised Statements

Personnel must not, without prior consent of the NEAS Board which may be included in the terms of engagement or as advised from time to time, directly or indirectly state that they are representing NEAS or its public position in respect of any matter.

Unauthorised Activity

Personnel must not directly or indirectly engage in any activity which could by association cause NEAS public embarrassment or other damage.

5. DISASTER RECOVERY PLAN

INTRODUCTION

This Disaster Recovery Plan (DRP) captures, in a single repository, all of the information that describes NEAS's ability to withstand a disaster as well as the processes that must be followed to achieve disaster recovery.

DEFINITION OF A DISASTER

A disaster can be caused by man or nature and results in NEAS' IT department not being able to perform all or some of their regular roles and responsibilities for a period of time. NEAS defines disasters as the following:

- One or more vital systems are non-functional
- The building is not available for an extended period of time, but all systems are functional within it
- The building is available, but all systems are non-functional
- The building and all systems are non-functional

The following events can result in a disaster, requiring this Disaster Recovery document to be activated:

- Fire
- Flash flood
- Pandemic
- Power Outage
- War
- Theft
- Terrorist Attack

PURPOSE

The purpose of this DRP document is twofold: first to capture all of the information relevant to the enterprise's ability to withstand a disaster, and second to document the steps that the enterprise will follow if a disaster occurs.

Note that in the event of a disaster the first priority of NEAS is to prevent the loss of life. Before any secondary measures are undertaken, NEAS will ensure that all employees, and any other individuals on the organization's premises, are safe and secure.

After all individuals have been brought to safety, the next goal of NEAS will be to enact the steps outlined in this DRP to bring all of the organization's groups and departments back to business-as-usual as quickly as possible. This includes:

- Preventing the loss of the organization's resources such as hardware, data and physical IT assets
- Minimizing downtime related to IT
- Keeping the business running in the event of a disaster
- This DRP document will also detail how this document is to be maintained and tested.

SCOPE

The NEAS DRP takes all of the following areas into consideration:

- Network Infrastructure

- Servers Infrastructure
- Telephony System
- Data Storage and Backup Systems
- Data Output Devices
- End-user Computers
- Organizational Software Systems
- Database Systems
- IT Documentation

DISASTER RECOVERY TEAMS & RESPONSIBILITIES

In the event of a disaster, different groups will be required to assist the IT department in their effort to restore normal functionality to the employees of NEAS. The different groups and their responsibilities are as follows:

- Disaster Recovery Lead(s)
- Disaster Management Team

The lists of roles and responsibilities in this section have been created by NEAS and reflect the likely tasks that team members will have to perform. Disaster Recovery Team members will be responsible for performing all of the tasks below. In some disaster situations, Disaster Recovery Team members will be called upon to perform tasks not described in this section.

Disaster Recovery Lead

The Disaster Recovery Lead is responsible for making all decisions related to the Disaster Recovery efforts. This person's primary role will be to guide the disaster recovery process and all other individuals involved in the disaster recovery process will report to this person in the event that a disaster occurs at NEAS, regardless of their department and existing managers. All efforts will be made to ensure that this person be separate from the rest of the disaster management teams to keep his/her decisions unbiased; the Disaster Recovery Lead will not be a member of other Disaster Recovery groups in NEAS.

Role and Responsibilities

- Make the determination that a disaster has occurred and trigger the DRP and related processes.
- Initiate the DR Call Tree.
- Be the single point of contact for and oversee all of the DR Teams.
- Organize and chair regular meetings of the DR Team leads throughout the disaster.
- Present to the Management Team on the state of the disaster and the decisions that need to be made.
- Organize, supervise and manage all DRP test and author all DRP updates.

Contact Information
Patrick Pheasant
0434 881 060

DISASTER MANAGEMENT

Role & Responsibilities

- Set the DRP into motion after the Disaster Recovery Lead has declared a disaster
- Determine the magnitude and class of the disaster
- Determine what systems and processes have been affected by the disaster
- Communicate the disaster to the other disaster recovery teams
- Determine what first steps need to be taken by the disaster recovery teams
- Keep the disaster recovery teams on track with pre-determined expectations and goals

- Keep a record of money spent during the disaster recovery process
- Ensure that all decisions made abide by the DRP and policies set by NEAS
- Get the secondary site ready to restore business operations
- Ensure that the secondary site is fully functional and secure
- Create a detailed report of all the steps undertaken in the disaster recovery process
- Notify the relevant parties once the disaster is over and normal business functionality has been restored
- After NEAS is back to business as usual, this team will be required to summarize any and all costs and will provide a report to the Disaster Recovery Lead summarizing their activities during the disaster.

Contact Information

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Ana Bratkovic 0439 034 495

Denise Taylor 0419 624 681

David Shearer 0407 287 570

FACILITIES

Role & Responsibilities

- Ensure that the standby facility is maintained in working order
- Ensure that transportation is provided for all employees working out of the standby facility
- Ensure that hotels or other sleeping are arranged for all employees working out of the standby facility
- Ensure that sufficient food, drink, and other supplies are provided for all employees working out of the standby facility
- Assess, or participate in the assessment of, any physical damage to the primary facility
- Ensure that measures are taken to prevent further damage to the primary facility
- Work with insurance company in the event of damage, destruction or losses to any assets owned by NEAS
- Ensure that appropriate resources are provisioned to rebuild or repair the main facilities in the event that they are destroyed or damaged
- After NEAS is back to business as usual, the Disaster Management Team will be required to summarize any and all costs and will provide a report to the Disaster Recovery Lead summarizing their activities during the disaster

NETWORK

Role & Responsibilities

- In the event of a disaster that does not require migration to standby facilities, the team will determine which network services are not functioning at the primary facility
- If multiple network services are impacted, the team will prioritize the recovery of services in the manner and order that has the least business impact.
- If network services are provided by third parties, the team will communicate and co-ordinate with these third parties to ensure recovery of connectivity.
- In the event of a disaster that does require migration to standby facilities the team will ensure that all network services are brought online at the secondary facility
- Once critical systems have been provided with connectivity, employees will be provided with connectivity in the following order:
 - All members of the DR Teams
 - All employees and Board Members
- Install and implement any tools, hardware, software and systems required in the standby facility
- Install and implement any tools, hardware, software and systems required in the primary facility

- After NEAS is back to business as usual, this team will be summarize any and all costs and will provide a report to the Disaster Recovery Lead summarizing their activities during the disaster

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SERVER

Role & Responsibilities

- In the event of a disaster that does not require migration to standby facilities, the Disaster Management Team will determine which servers are not functioning at the primary facility
- If multiple servers are impacted, the Disaster Management Team will prioritize the recovery of servers in the manner and order that has the least business impact. Recovery will include the following tasks:
 - Assess the damage to any servers
 - Restart and refresh servers if necessary
 - Ensure that secondary servers located in standby facilities are kept up to date with system patches
 - Ensure that secondary servers located in standby facilities are kept up to date with application patches
 - Ensure that secondary servers located in standby facilities are kept up to date with data copies
 - Ensure that the secondary servers located in the standby facility are backed up appropriately
 - Ensure that all of the servers in the standby facility abide by NEAS' server policy
 - Install and implement any tools, hardware, and systems required in the standby facility
 - Install and implement any tools, hardware, and systems required in the primary facility
- After NEAS is back to business as usual, the Disaster Management Team will summarize any and all costs and will provide a report to the Disaster Recovery Lead summarizing their activities during the disaster

Contact Information

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APPLICATIONS

Role & Responsibilities

- In the event of a disaster that does not require migration to standby facilities, the Disaster Management Team will determine which applications are not functioning at the primary facility
- If multiple applications are impacted, the Disaster Management Team will prioritize the recovery of applications in the manner and order that has the least business impact. Recovery will include the following tasks:
 - Assess the impact to application processes
 - Restart applications as required
 - Patch, recode or rewrite applications as required
 - Ensure that secondary servers located in standby facilities are kept up to date with application patches
 - Ensure that secondary servers located in standby facilities are kept up to date with data copies
 - Install and implement any tools, software and patches required in the standby facility
 - Install and implement any tools, software and patches required in the primary facility

- After NEAS is back to business as usual, the Disaster Management Team will be summarize any and all costs and will provide a report to the Disaster Recovery Lead summarizing their activities during the disaster

Contact information

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OPERATIONS

Role & Responsibilities

- Maintain lists of all essential supplies that will be required in the event of a disaster
- Ensure that these supplies are provisioned appropriately in the event of a disaster
- Ensure sufficient spare computers and laptops are on hand so that work is not significantly disrupted in a disaster
- Ensure that spare computers and laptops have the required software and patches
- Ensure sufficient computer and laptop related supplies such as cables, wireless cards, laptop locks, mice, printers and docking stations are on hand so that work is not significantly disrupted in a disaster
- Ensure that all employees that require access to a computer/laptop and other related supplies are provisioned in an appropriate timeframe
- If insufficient computers/laptops or related supplies are not available, the team will prioritize distribution in the manner and order that has the least business impact
- The Disaster Management Team will be required to maintain a log of where all of the supplies and equipment were used
- After NEAS is back to business as usual, the Disaster Management Team will be required to summarize any and all costs and will provide a report to the Disaster Recovery Lead summarizing their activities during the disaster

SENIOR MANAGEMENT

Role & Responsibilities

- Ensure that the Disaster Recovery Team Lead is held accountable for his/her role
- Assist the Disaster Recovery Team Lead in his/her role as required
- Make decisions that will impact the company. This can include decisions concerning:
 - Rebuilding of the primary facilities
 - Rebuilding of data centers
 - Significant hardware and software investments and upgrades
 - Other financial and business decisions

COMMUNICATION

Role & Responsibilities

- Communicate the occurrence of a disaster and the impact of that disaster to all NEAS' employees
- Communicate the occurrence of a disaster and the impact of that disaster to authorities, as required
- Communicate the occurrence of a disaster and the impact of that disaster to all NEAS' partners
- Communicate the occurrence of a disaster and the impact of that disaster to all NEAS' clients
- Communicate the occurrence of a disaster and the impact of that disaster to all NEAS' vendors
- Communicate the occurrence of a disaster and the impact of that disaster to media contacts, as required

- After NEAS is back to business as usual, the Disaster Management Team will be required to summarize any and all costs and will provide a report to the Disaster Recovery Lead summarizing their activities during the disaster

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FINANCE

The Disaster Management Team will be responsible for ensuring that all of NEAS' finances are dealt with in an appropriate and timely manner in the event of a disaster. The Disaster Management Team will ensure that there is money available for necessary expenses that may result from a disaster as well as expenses from normal day-to-day business functions.

Role & Responsibilities

- Ensure there is sufficient cash on-hand or accessible to deal with small-scale expenses caused by the disaster. These can include paying for accommodations and food for DR team members, incremental bills, etc.
- Ensure there is sufficient credit available or accessible to deal with large-scale expenses caused by the disaster. These can include paying for new equipment, repairs for primary facilities, etc.
- Review and approve Disaster Teams' finances and spending
- Ensure that payroll occurs and that employees are paid as normal, where possible
- Communicate with creditor to arrange suspension of extensions to scheduled payments, as required
- Communicate with banking partners to obtain any materials such as checks, bank books etc. that may need to be replaced as a result of the disaster

Contact Information

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CALL TREE

In a disaster recovery or business continuity emergency, time is of the essence so NEAS will make use of a Call Tree to ensure that appropriate individuals are contacted in a timely manner. The Disaster Recovery Team Lead calls all employees and Board

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COMMUNICATING DURING A DISASTER

In the event of a disaster NEAS will need to communicate with various parties to inform them of the effects on the business, surrounding areas and timelines. The Communications Team will be responsible for contacting all of NEAS' stakeholders.

COMMUNICATING WITH THE AUTHORITIES

The Communications Team's first priority will be to ensure that the appropriate authorities have been notified of the disaster, providing the following information:

- The location of the disaster
- The nature of the disaster
- The magnitude of the disaster
- The impact of the disaster
- Assistance required in overcoming the disaster
- Anticipated timelines

Authorities Contacts

Police Department 000

Fire Department 000

NEAS Landlord: Phillip 0417 433 212

Emergency building contact: Tim 0404 222 200

COMMUNICATING WITH EMPLOYEES

The Communications Team's second priority will be to ensure that the entire company has been notified of the disaster. The best and/or most practical means of contacting all of the employees will be used with preference on the following methods (in order):

- Telephone to employee mobile phone number
- E-mail (via corporate e-mail where that system still functions)
- E-mail (via non-corporate or personal e-mail)
- Telephone to employee home phone number

The employees will need to be informed of the following:

- Whether it is safe for them to come into the office
- Where they should go if they cannot come into the office
- Which services are still available to them
- Work expectations of them during the disaster

EMPLOYEE CONTACTS

WhatsApp Group that includes following contacts:

Patrick Pheasant 0434 881 060

Ana Bratkovic 0439 034 495

Denise Taylor 0419 624 681

David Shearer 0407 287 570

Erika Sommer 0404 474 081

Cameron Heath 0403 955 335

Ben Colthorpe 0434 559 361

Marion Bagot 0499 228 104

Di Price 0416 937 834

Jacky Ronan 0430 007 758

COMMUNICATING WITH CLIENTS

After all of the organization's employees have been informed of the disaster, the Communications Team will be responsible for informing clients of the disaster and the impact that it will have on the following:

- Anticipated impact on service offerings
- Anticipated impact on delivery schedules
- Anticipated impact on security of client information
- Anticipated timelines

Crucial clients will be made aware of the disaster situation first. Crucial clients will be E-mailed first then called after to ensure that the message has been delivered. All other clients will be contacted only after all crucial clients have been contacted.

Crucial Clients

NEAS Board Members

Denise Taylor 0419 624 681

Christine Bundesen 0418 739 005

Tanya Buchanan 0431 381 713

Jim Langridge 0412 423 990

David Yoo 0414 700 777

Katherine Olston 0415 244 712

Heather Thomas 0413 607 609

COMMUNICATING WITH VENDORS

After all of the organization's employees have been informed of the disaster, the Communications Team will be responsible for informing vendors of the disaster and the impact that it will have on the following:

- Adjustments to service requirements
- Adjustments to delivery locations
- Adjustments to contact information
- Anticipated timelines

Crucial vendors will be made aware of the disaster situation first. Crucial vendors will be E-mailed first then called after to ensure that the message has been delivered. All other vendors will be contacted only after all crucial vendors have been contacted.

Vendors encompass those organizations that provide everyday services to the enterprise, but also the hardware and software companies that supply the IT department. The Communications Team will act as a go-between between the DR Team leads and vendor contacts should additional IT infrastructure be required.

Crucial Vendors

David Shearer 0407 287 570

DEALING WITH A DISASTER

If a disaster occurs in NEAS, the first priority is to ensure that all employees are safe and accounted for. After this, steps must be taken to mitigate any further damage to the facility and to reduce the impact of the disaster to the organization.

Regardless of the category that the disaster falls into, dealing with a disaster can be broken down into the following steps:

1. Disaster identification and declaration
2. DRP activation
3. Communicating the disaster
4. Assessment of current and prevention of further damage

5. Standby facility activation
6. Establish IT operations
7. Repair and rebuilding of primary facility

Disaster Identification and Declaration

Since it is almost impossible to predict when and how a disaster might occur, NEAS must be prepared to find out about disasters from a variety of possible avenues. These can include:

- Firsthand observation
- System Alarms and Network Monitors
- Environmental and Security Alarms in the Primary Facility
- Security staff
- Facilities staff
- End users
- 3rd Party Vendors
- Media reports

Once the Disaster Recovery Lead has determined that a disaster had occurred, s/he must officially declare that the company is in an official state of disaster. It is during this phase that the Disaster Recovery Lead must ensure that anyone that was in the primary facility at the time of the disaster has been accounted for and evacuated to safety according to the company's Evacuation Policy.

While employees are being brought to safety, the Disaster Recovery Lead will instruct the Communications Team to begin contacting the Authorities and all employees not at the impacted facility that a disaster has occurred.

DRP Activation

Once the Disaster Recovery Lead has formally declared that a disaster has occurred s/he will initiate the activation of the DRP by triggering the Disaster Recovery Call Tree. The following information will be provided in the calls that the Disaster Recovery Lead makes and should be passed during subsequent calls:

- That a disaster has occurred
- The nature of the disaster (if known)
- The initial estimation of the magnitude of the disaster (if known)
- The initial estimation of the impact of the disaster (if known)
- The initial estimation of the expected duration of the disaster (if known)
- Actions that have been taken to this point
- Actions that are to be taken prior to the meeting of Disaster Recovery Team Leads
- Scheduled meeting place for the meeting of Disaster Recovery Team Leads
- Scheduled meeting time for the meeting of Disaster Recovery Team Leads
- Any other pertinent information

If the Disaster Recovery Lead is unavailable to trigger the Disaster Recovery Call Tree, that responsibility shall fall to the Disaster Management Team Lead

Communicating the Disaster

- Refer to the "Communicating During a Disaster" section of this document.
- Assessment of Current and Prevention of Further Damage
- Before any employees from NEAS can enter the primary facility after a disaster, appropriate authorities must first ensure that the premises are safe to enter.

- The first team that will be allowed to examine the primary facilities once it has been deemed safe to do so will be the Facilities Team. Once the Facilities Team has completed an examination of the building and submitted its report to the Disaster Recovery Lead, the Disaster Management, Networks, Servers, and Operations Teams will be allowed to examine the building. All teams will be required to create an initial report on the damage and provide this to the Disaster Recovery Lead within 24hrs of the initial disaster.
- During each team's review of their relevant areas, they must assess any areas where further damage can be prevented and take the necessary means to protect NEAS' assets. Any necessary repairs or preventative measures must be taken to protect the facilities; these costs must first be approved by the Disaster Recovery Team Lead.

Standby Facility Activation

The Standby Facility will be formally activated when the Disaster Recovery Lead determines that the nature of the disaster is such that the primary facility is no longer sufficiently functional or operational to sustain normal business operations.

Once this determination has been made, the Facilities Team will be commissioned to bring the Standby Facility to functional status after which the Disaster Recovery Lead will convene a meeting of the various Disaster Recovery Team Leads at the Standby Facility to assess next steps. These next steps will include:

1. Determination of impacted systems
2. Criticality ranking of impacted systems
3. Recovery measures required for high criticality systems
4. Assignment of responsibilities for high criticality systems
5. Schedule for recovery of high criticality systems
6. Recovery measures required for medium criticality systems
7. Assignment of responsibilities for medium criticality systems
8. Schedule for recovery of medium criticality systems
9. Recovery measures required for low criticality systems
10. Assignment of responsibilities for recovery of low criticality systems
11. Schedule for recovery of low criticality systems
12. Determination of facilities tasks outstanding/required at Standby Facility
13. Determination of operations tasks outstanding/required at Standby Facility
14. Determination of communications tasks outstanding/required at Standby Facility
15. Determination of facilities tasks outstanding/required at Primary Facility
16. Determination of other tasks outstanding/required at Primary Facility
17. Determination of further actions to be taken

During Standby Facility activation, the Facilities, Networks, Servers, Applications, and Operations teams will need to ensure that their responsibilities, as described in the "Disaster Recovery Teams and Responsibilities" section of this document are carried out quickly and efficiently so as not to negatively impact the other teams.

Restoring IT Functionality

Refer to the "Restoring IT Functionality" section of this document.

Restoring IT Functionality

Should a disaster actually occur and NEAS need to exercise this plan, this section will be referred to frequently as it will contain all of the information that describes the manner in which NEAS' information system will be recovered.

This section will contain all of the information needed for the organization to get back to its regular functionality after a disaster has occurred. It is important to include all Standard Operating Procedures documents, run-books, network diagrams, software format information etc. in this section.

Current System Architecture

XERO, Google Drive, Microsoft 365, Amazon Data-Base (NEAS CRM)

IT Systems

XERO, Google Drive, Microsoft 365

Criticality Rank-One System

XERO, Google Drive, Microsoft 365, Amazon Data-Base (NEAS CRM)

Maintenance

The DRP will be updated annually or any time a major system update or upgrade is performed, whichever is more often. The Disaster Recovery Lead will be responsible for updating the entire document, and so is permitted to request information and updates from other employees and departments within the organization in order to complete this task.

Maintenance of the plan will include (but is not limited to) the following:

1. Ensuring that call trees are up to date
2. Ensuring that all team lists are up to date
3. Reviewing the plan to ensure that all of the instructions are still relevant to the organization
4. Making any major changes and revisions in the plan to reflect organizational shifts, changes and goals
5. Ensuring that the plan meets any requirements specified in new laws
6. Other organizational specific maintenance goals

During the Maintenance periods, any changes to the Disaster Recovery Teams must be accounted for. If any member of a Disaster Recovery Team no longer works with the company, it is the responsibility of the Disaster Recovery Lead to appoint a new team member.

Testing

NEAS is committed to ensuring that this DRP is functional. The DRP should be tested every year in order to ensure that it is still effective. Testing the plan will be carried out as follows:

1. Walkthroughs- Team members verbally go through the specific steps as documented in the plan to confirm effectiveness, identify gaps, bottlenecks or other weaknesses. This test provides the opportunity to review a plan with a larger subset of people, allowing the DRP project manager to draw upon a correspondingly increased pool of knowledge and experiences. Staff should be familiar with procedures, equipment, and offsite facilities (if required).
2. Simulations- A disaster is simulated so normal operations will not be interrupted. Hardware, software, personnel, communications, procedures, supplies and forms, documentation, transportation, utilities, and alternate site processing should be thoroughly tested in a simulation test. However, validated checklists can provide a reasonable level of assurance for many of these scenarios. Analyse the output of the previous tests carefully before the proposed simulation to ensure the lessons learned during the previous phases of the cycle have been applied.
3. Parallel Testing- A parallel test can be performed in conjunction with the checklist test or simulation test. Under this scenario, historical transactions, such as the prior business day's transactions are processed against preceding day's backup files at the contingency processing site or hot site. All reports produced at the alternate site for the current business date should agree with those reports produced at the alternate processing site.
4. Full-Interruption Testing- A full-interruption test activates the total DRP. The test is likely to be costly and could disrupt normal operations, and therefore should be approached with caution. The importance of due diligence with respect to previous DRP phases cannot be overstated.

5. Any gaps in the DRP that are discovered during the testing phase will be addressed by the Disaster Recovery Lead as well as any resources that he/she will require.

6. NEAS INFORMATION AND COMMUNICATION TECHNOLOGY RESOURCES (ICT RESOURCES)

POLICY

All Users will be lawful, efficient, economical and ethical in their use of the NEAS's ICT Resources, which are provided to create, preserve, transmit and apply knowledge through teaching, research, creative works and other forms of scholarship.

DEFINITIONS

ICT Resources

All of the NEAS's Information and Communication Technology Resources and facilities including, but not limited to: mail, telephones, mobile phones, voice mail, SMS, facsimile machines, email, the intranet, e-Services, secureID, computers, printers, scanners, leases or uses under Licence or by agreement, any off site computers and associated peripherals and equipment provided for the purpose of NEAS work or associated activities, or any connection to the NEAS's network, or use of any part of the NEAS's network to access other networks.

User/s

All employees, including casual employees, who have been granted access to, and use of, the NEAS's ICT Resources. A member of the public reading public NEAS web pages from outside the NEAS is not by virtue of that activity alone considered to be a User.

Principles

1. NEAS's ICT Resources exist and are maintained to support the work of the organisation. NEAS reserves the right to monitor the use of its ICT Resources and to deal appropriately with Users who use its ICT Resources in ways contrary to the conditions of use set out in this policy.
2. Materials produced using NEAS's ICT Resources are to be generated subject to the relevant NEAS policies (e.g. privacy and recordkeeping).
3. NEAS will exercise its rights with regard to web based and other electronic documents in accordance with its Intellectual Property Rule.
4. NEAS accepts no responsibility for loss or damage, consequential loss or damage, or loss of data arising from the use of its ICT Resources or the maintenance of its ICT Resources.

Coverage

This policy document applies to all Users of NEAS's ICT Resources.

Conditions of Use

Use of NEAS's ICT Resources is restricted to legitimate NEAS purposes only. Staff usage will depend on the nature of their work. The use of NEAS ICT Resources through non-NEAS (including personally owned) equipment is also subject to this policy. To assist Users to understand the implications of the above condition the following examples of prohibited and permitted use are provided. These examples are indicative only.

- a. NEAS will not tolerate its ICT Resources being used in a manner that is harassing, discriminatory, abusive, rude, insulting, threatening, obscene or otherwise inappropriate. It is illegal to use any ICT Resource to harass, menace, defame, libel, vilify, or discriminate against any other person within or beyond NEAS. It is important to understand that in matters of discrimination and harassment it is the reasonable perception of the recipient and not the intention of the sender that is significant. Users may be individually liable if they aid and abet others who discriminate against, harass or vilify colleagues

- or any member of the public. Users who adversely affect the reputation of another person may be sued for defamation by that aggrieved person.
- b. Users must not use NEAS's ICT Resources to collect, use or disclose personal information in ways that breach NEAS's Privacy Policy.
 - c. Users must respect and protect the privacy of others.
 - d. Users are forbidden to use ICT Resources to access, store or transmit pornographic material of any sort.
 - e. The use of ICT Resources for gambling purposes is forbidden.
 - f. NEAS forbids the use of its ICT resources in a manner that constitutes an infringement of copyright. The law permits copying and/or printing only with the permission of the copyright owner, with a few very limited exceptions such as fair use for study or research purposes (this exception itself is subject to numerous provisos and conditions in the Copyright Act). Accordingly, Users must not download and/or store copyright material, post copyright material to NEAS websites, transfer copyright material to others or burn copyright material to CD ROMs or other storage devices using ICT Resources, unless the copyright material is appropriately licensed. Copyright material includes software, files containing picture images, artistic works, live pictures or graphics, computer games, films and music (including MP3s) and video files.
 - g. ICT Resources must not be used to cause embarrassment or loss of reputation to NEAS.
 - h. NEAS does not permit the use of its ICT Resources for unauthorised profit making or commercial activities.
 - i. All internet content made available on NEAS's ICT Resources must comply with NEAS's policy on Internet Content.
 - j. Users must not use ICT Resources in inappropriate ways, which are likely to corrupt, damage or destroy data, software or hardware, either belonging to NEAS or to anyone else, whether inside or outside the network. They may only delete and alter data as required by their authorised NEAS activities *Note: This does not apply to specially authorised NEAS computing staff who may be required to secure, remove or delete data and software, and dispose of obsolete or redundant ICT Resources as part of their ICT Resource management duties.*
 - k. Users must not attempt to repair or interfere with or add any devices (whether hardware or components) to, any ICT Resource, unless they are authorised and competent to do so. All faults or suspected faults must be reported to either the relevant departmental computer services officer.
 - l. ICT Resources must not be used to distribute unsolicited advertising material from organisations having no connection with NEAS or involvement in its activities.
 - m. Users of NEAS issued accounts must identify themselves and not use a false identity.
 - n. NEAS email lists generated for formal NEAS communications must not be used for other than NEAS business.
 - o. Unless via a personally paid account, files may only be accessed or downloaded if they are work or study related. In any case, files may only be downloaded if it is legal to do so and steps have been taken to ensure that the files are free from viruses and other destructive codes.
 - p. Files may only be attached to email messages if the sender believes they are free from viruses and has taken steps to ensure that they do not contain viruses or other destructive code.
 - q. Users must not attempt to gain unauthorised access to any computer service. The use of another person's login, password or any other security device (e.g. SecurID, digital signature or biometric identification) is not permitted. Nor must Users exploit any vulnerabilities in systems or (except authorised staff when checking security of systems as part of their duties) use any technology designed to locate such vulnerabilities or circumvent security systems. Such behaviour is likely to be a breach of Part 6 of the NSW Crimes Act 1900 and if proven would potentially be considered serious misconduct and accordingly may be dealt with under relevant disciplinary provisions. The matter may also be referred to the police and/or the Independent Commission Against Corruption.
 - r. Users must not use ICT Resources for the purposes of subscribing to and accessing fee-based services that are for personal use only, unless the subscription or access is from a personally paid account and the Users personally pay the fees for the services and the services are legal.
 - s. Users must not facilitate or permit the use of NEAS's ICT Resources by persons not authorised by the NEAS e.g. Users must not set up a wireless relay base station from their NEAS accounts.

- t. Limited minor and incidental personal use may be allowed, but it is a privilege and must not interfere with the operation of ICT resources, burden NEAS with incremental costs, interfere with the User's employment or other obligations to NEAS and is subject to compliance with NEAS policies. Users should be aware that personal use of the NEAS's ICT Resources may result in the NEAS holding personal information about the User and/or others which may then be accessed and used by the NEAS to ensure compliance with this, and other policies.

Monitoring

- a. Use of ICT Resources is not considered private. Users of ICT Resources should be aware that they do not have the same rights as they would using personally owned equipment through commercial service providers.
- b. NEAS's electronic communication systems generate detailed logs of all transactions and use. All Users should be aware that NEAS has the ability to access these records and any backups. In addition, system administrators have the ability to access the content of electronic communications and files sent and stored using NEAS's equipment.
- c. Users should be aware that details of telephone numbers called are recorded and can be accessed.
- d. NEAS reserves the right to audit regularly and monitor the use of its ICT Resources to ensure compliance with this policy.
- e. NEAS also reserves the right to look at and copy any information, data or files (including non-NEAS material) created, sent or received by Users using, or while connected to, NEAS's ICT Resources in the event of a suspected breach of this or other policies.

Response to Breaches

- a. NEAS reserves the right to withdraw, restrict or limit any User's access to its ICT Resources if a breach of these conditions is suspected. Any such suspected breach may also be investigated under other NEAS processes and may result in disciplinary action being taken against the offender in accordance with those processes. This may include a request to reimburse costs (e.g. for unreasonable personal use), disciplinary action (including termination of employment/suspension of candidature) and /or criminal prosecution.
- b. Further NEAS reserves the right to remove or restrict access to any material within NEAS domain. Such decisions will be communicated to the appropriate supervisor and account holder.

Security, Confidentiality and Privacy

- a. Matters of a confidential nature should only be conveyed or stored in an electronic format when adequate security measures have been taken.
- b. While NEAS communications systems are electronically safeguarded and maintained in accordance with current best practice, no guarantee can be given regarding the protection confidentiality, privacy or security of any information.
- c. Email and other records stored in ICT Resources may be the subject of a subpoena, search warrant, discovery order or application under the NSW Freedom of Information Act 1989. Disclosure outside NEAS of any personal information, irrespective of its format, will be in accordance with the NSW Privacy and Personal Information Protection Act 1998, the Health Records and Information Protection Act 2002, NEAS's Privacy Policy and its Privacy Management Plan.
- d. While the NSW Privacy and Personal Information Protection Act, and the NSW Health Records and Information Protection Act 2002 and the expression of these in the NEAS Privacy Policy, regulate the collection, management, use, security and disclosure of personal information, the Act and the Policy do not confer an automatic right of privacy for Users accessing ICT Resources. NEAS may collect and receive personal information of Users and others in the course of managing the operation and use of its ICT Resources and that information can be used in connection with efforts to ensure that Users comply with all relevant laws and NEAS policies.
- e. Communications on NEAS business in any format or media are official records, subject to statutory record keeping requirements and the NEAS Recordkeeping Policy. This includes email sent and

received by staff members on any NEAS related matter. Staff need to be conscious of the need to preserve official communications in accordance with the relevant NEAS guidelines on the management of electronic records. Care should be taken before deleting any electronic communication that it is not required to be kept as evidence of a decision, authorisation or action.

- f. Sending an email on an official NEAS matter is similar to sending a letter on NEAS letterhead. Such email transactions should be handled with the normal courtesy, discretion and formality of all other NEAS communications. Users should not write anything in an email that they would not sign off in a memorandum.

7. MEDIA RELATIONS

As a not-for-profit charity to further education, NEAS, its programs, activities, and plans are of special interest to the public. It is important to present NEAS in a manner that is both accurate and consistent with NEAS' mission. Therefore, it is NEAS' responsibility to provide accurate and consistent information to avoid any misunderstanding, misinterpretation, or confusion.

In the interest of orderly, consistent and proactive management of the information released to the Media, the following policy and procedures are in effect:

POLICY

The primary NEAS Spokesperson is the Chief Executive Officer (CEO) at 02 9905 9275 / mobile: 0434 881 060. In the CEO's absence, the General Manager at 02 9905 9275 / mobile 0439 034 495 will serve in that capacity. The NEAS Board Chair may also act in this capacity as called upon at 02 9954 6077, mobile 0419 624 681.

NEAS Staff may provide broad, general information in responses to NEAS inquiries. However, for matters that require more detailed information, or that are of a political, or sensitive nature, the Chief Executive Officer, General Manager or Chair will respond accordingly.

PROCEDURES

Responses to Inquiries from the Media

1. Board members and staff will **not** respond to inquiries from the media concerning matters such as personnel issues, crisis management, emergencies, NEAS policies and fiscal operations. Instead, such inquiries should *immediately* be directed to the NEAS Spokesperson and/or delegate, who will respond accordingly.
2. Board members and staff may respond directly to media inquiries on ordinary, day-to-day matters such as course information, awards, special events, scholarships, publications, etc. However, all inquiries should be reported immediately to the NEAS Spokesperson.

The **NEAS Spokesperson** will:

- Be informed promptly when any member of the NEAS community receives inquiries from the news media
- Keep the Chair, Board and Staff informed of all relevant media situations and inquiries
- Consult with the Chair to prepare statements for the Chair to release to the Media
- Inform NEAS Board and Staff of all relevant media situations and inquiries

The **NEAS Spokesperson** will:

- Distribute all NEAS news releases, review and approve those prepared by other members of the organisation and check with relevant personnel ensure news releases are accurate and consistent
- Keep the Chair and other Board and Staff informed of all relevant media situations and inquiries by direct communication
- Retain and file copies of all news releases distributed by NEAS

Emergency Response Statement

In the event of an emergency, the NEAS Spokesperson will work with members of the Emergency Operations Staff (see NEAS Crisis Management Policy) to gather information and coordinate distribution to NEAS Board, staff, members and the local community.

1. Prepare and issue official statements regarding NEAS operations to the Media
2. Compose and distribute email notifications to the NEAS community
3. Work with the marketing team to provide emergency updates on the NEAS Web page and social media accounts (Facebook, Twitter, etc.)

Following initial notifications of emergency, the NEAS Spokesperson will prepare update notifications as needed.

8. LEAVE

Rationale

Flexible work practices can enable employees to manage personal needs and get their work done without an adverse impact on the organisation or their colleagues. Many employers recognise that it is beneficial to the workplace to have employees with a diversity of life experiences and personal characteristics including employees with family responsibilities.

Aim

- to retain valued and experienced employees;
- to encourage employees to take leave to relax and for recreation;
- to attract employees who may be planning to have children in the future;
- to enable an employee to have children without giving up employment or career;
- to enable an employee to care for sick relatives;
- to acknowledge the employee for their long term contribution to the organisation;
- to ensure that NEAS is appropriately staffed at all times.

Policy Statement

This policy is designed to clearly outline all the requirements of employees contemplating leave. The policy follows federal and state legislation and ensures the responsibilities of the employer and employee are identified. All policies follow the relevant legislation and regulations from time to time.

Leave Policies include:

- Annual Leave
- Personal Leave
- Parental Leave
- Long Service Leave
- Time in Lieu
- Leave Without Pay
- Compassionate Leave
- Community Service Leave

Annual Leave

Rationale

This policy is for all purposes in accordance with and should be read in light of the provisions of the *Annual Holidays Act (NSW) 1944* (as amended). If this policy should be found to conflict with the provisions of the *Act*, the *Act* shall apply.

Annual Leave under the *Annual Holidays Act* applies to all full-time and part-time employees of NEAS and will accrue and be credited on a monthly basis (12.66 hours per calendar month) and will be available to be taken at any time after it has been credited, subject to approval.

Period of Annual Leave

Employees are entitled to 20 days (pro rata for part-time employees) Annual Leave for each year of employment, on their ordinary rate of pay. Casual employees do not accrue Annual Leave; their pay rate includes a loading for Annual Leave.

Accrual of Annual Leave while an employee is absent

Annual leave will accrue while the employee is absent provided the contract of employment is not terminated. This applies in the case of:

- Annual Leave;
- Personal / Carers' Leave (whether paid or not);
- Compassionate Leave;
- Long Service Leave ;
- Community service leave;
- Leave of absence granted by NEAS (whether paid or not);
- Paid Public Holidays (when they fall due on regular working days); and
- absences while receiving workers' compensation and accident pay.

The only periods of leave not counted for the purpose of accruing Annual Leave are:

- Parental Leave – maternity, paternity or adoption (staff do accrue during the paid component of parental leave)

Taking Annual Leave

Employees will be encouraged to take recreational leave on a regular basis to ensure that no more than 30 day entitlement is outstanding at any given time.

NEAS may require and direct an employee to take Annual Leave by giving one month's notice in writing to the employee (CEO, GM and direct manager).

The taking of Annual Leave is subject to work requirements. Where an employee is entitled to Annual Leave credits and applies to use part of that leave, the Chief Executive Officer (CEO) or General Manager (GM) will either approve the application or negotiate with the employee alternative dates for leave. Employees should lodge an application for leave in advance of requirements giving as much notice as possible. In the case of leave requests for more than two weeks, applications should be submitted at least four weeks in advance of commencement date of anticipated leave. Discuss your requirements with the Team to ensure that your workload can be covered.

Application for Leave

Employees applying for Annual Leave must submit by email to the CEO, GM and direct line manager. Outlook Calendars need to be checked to ensure the office is staffed suitably (ie at least one manager and one staff member in attendance).

- Forward to the CEO, GM, direct line manager for approval.
- Approved applications will be given to the CEO or GM. If the balance of the leave entitlement is enough to cover the period requested, the CEO or GM will notify the applicant by e-mail, that the leave application has been approved.
- If the applicant does not have enough entitlements accrued, the form will be returned to the CEO or GM who will discuss alternate arrangements with the applicant.
- Annual Leave should then be added to your Outlook Calendar and marked clearly so it can be read by other staff when making appointments.

When applying for Annual Leave please note that:

- Having leave accrued does not guarantee that leave applications will be approved;
- All accrued Time in Lieu must be used before using accrued Annual Leave;
- All applications in excess of 20 consecutive days must be approved by the CEO.

Public Holiday during Annual Leave

Where a designated public holiday for which the employee is entitled to payment occurs during a period of Annual Leave, the public holiday is not deducted from the Annual Leave entitlement.

Annual Leave payment at termination of employment

When employment ceases, the employee will be entitled to be paid for all accrued Annual Leave at that time. The employee will be paid the value of any outstanding leave credits, plus that of any pro rata entitlement for which the employee is eligible. This will be calculated using the employee's rate of salary at the date of termination.

Personal Leave

Rationale

The Personal Leave under the NEAS awards allows an employer and employee to agree to use leave entitlements flexibly to meet family obligations, to take leave for personal illness or injury, or to care for sick family members.

Definition

Personal Leave covers the following:

- non work related personal illness or injury;
- medical appointments for illness or routine examinations that cannot be scheduled outside of work hours;
- care for immediate family member* or household member who is ill or injured and for whom the employee has primary care responsibilities (but not simply to undertake normal caring responsibilities);
- for personal requirements associated with birth, adoption or fostering a child;
- death of a family member; or
- other emergency reason approved by the CEO.
-

* An employee may take approved leave to care for a family member, and by definition this includes a person related by blood, marriage or affinity and is intended to reflect the diverse nature of families.

Personal Leave entitlements

Full-time permanent NEAS employees will accrue Personal Leave at the rate of 10 (ten) days for each year of employment. Permanent part-time employees will accrue Personal Leave on a pro rata basis. Personal Leave is cumulative on an annual basis.

However, Personal Leave entitlements are not paid out on termination of employment by either party.

Entitlements to Personal / Carer Leave

An employee is entitled to be paid Personal / Carer Leave for an absence:

- for genuine non-work related personal illness or injury;
- for medical appointments for illness or routine examinations that cannot be scheduled outside of work hours;
- to care for immediate family or household members who are ill or injured and for whom the employee has caring responsibility;
- for personal requirements associated with birth, adopting or fostering a child (including where the employee is the non-primary care giver);
- for personal requirements associated with the death of a family member or close friend; or - Compassionate leave
- for other emergency reasons considered appropriate and approved at the discretion of the CEO.

During the Probationary Period, new employees will be entitled to Personal Leave for each completed 4 week period as follows:

- first 4 weeks: no Personal Leave is accrued
- after 4 weeks and less than 8 weeks: 1 day is accrued
- after 8 weeks and less than 12 weeks: 2 days are accrued

After the Probationary Period is successfully completed and the new employee is permanently appointed in their role, Personal Leave will be accrued at a rate of 10 days per annum.

Should a new employee be unwell during the Probationary Period for a longer period than the above mentioned, they will need to take leave without pay.

Where a new employee needs more than their entitlement during the Probationary Period, the CEO may suggest applying for Annual Leave but they may choose leave without pay.

Leave notification

If you are unable to attend work due to illness or other reason it is important to communicate this to the CEO, GM and your direct line manager as soon as possible on the first day you will not be in the office. This will ensure that the required employees are advised each day of any employee absences.

Please apply for leave immediately on Xero. Employees are encouraged to provide a medical certificate for instances where Personal Leave is utilized (see Proof of Illness below for requirements).

Personal Leave should then be added to your Outlook Calendar and marked clearly so it can be read by other staff when making appointments.

Notice required

An employee who wishes to take Personal Leave associated with birth, adoption or fostering a child, or for other emergency reasons, the employee must advise the CEO or GM as soon as possible the:

- reason for the request
- expected length of absence.
-

Proof of illness

An employee who is to be absent due to illness for more than two days or on the working day before or after a public holiday or immediately prior to or following a period of Annual Leave and claims Personal Leave, is required to provide a satisfactory/acceptable medical certificate from a qualified medical practitioner or statutory declaration stating the nature and duration of the illness. An employee who fails to provide a medical certificate or statutory declaration in such circumstances will not be entitled to be paid Personal Leave.

When an employee claims Personal Leave to care for an immediate family or household member, a medical certificate from a qualified medical practitioner or statutory declaration is required, stating the nature and duration of the illness, and name of the family or household member.

The CEO may require an employee:

- to provide satisfactory/acceptable medical evidence supporting a claim for leave (whether paid or unpaid) in relation to any illness (but such request cannot be made retrospectively); or
- to attend a medical examination with an appropriately qualified medical practitioner in order to determine the employee's fitness for work.
-

Circumstances when the CEO may require the above include:

- repeated and frequent single day or short term absences;

- a pattern of absenteeism; or
- a long term absence.

The CEO may treat an absence of an employee as leave without pay if the employee:

- falsely claims Personal Leave for the absence; or
- does not comply with proof of illness in relation to the absence.

If an employee does not comply with proof of illness or falsely claims Personal Leave for an absence, the CEO will discuss the appropriate use of Personal Leave with the employee and the CEO may revoke the provision of Personal Leave for the period.

If an employee is absent on long term Personal Leave through illness or injury, the CEO will regularly:

- review the leave and reason for it; and
- based on appropriate assessment by a qualified medical practitioner decide when the employee:
 - can return to work for normal or alternative duties; or
 - should have a graduated return to work.

In the case of work related injury (a workers' compensation claim) the insurer will pay a certain percentage of the total hours the employee was absent. NEAS will then pay the difference from the accrued Personal Leave owing to that employee.

The approval of Personal Leave to a non-primary caregiver is at the discretion of the CEO.

Where the employee anticipates that absences for care provision may be regular or for extended periods, the employee is required to discuss his/her requirements with the CEO or GM so that alternative means of balancing NEAS operational requirements and the carer's responsibilities can be explored.

Parental Leave

Rationale

Parental Leave comprises three elements: maternity leave, paternity leave and adoption leave. This is available to all permanent employees of NEAS. The capacity of employees to combine work and parenting responsibilities has been improved substantially by the existence of anti-discrimination legislation making maternity and pregnancy discrimination unlawful. The positive attitudes of management and other employees towards family friendly policies can create a supportive culture within the organisation for employees planning to have a family. Parental Leave will be administered in accordance with the Parental Leave provisions of the *Fair Work Act 2009* and the *NES*.

Eligibility for Parental Leave

Parental Leave is unpaid leave available to employees in connection with pregnancy, birth of a child or adoption of a child. Parental Leave also includes the pregnancy of the employee's spouse (including de facto spouse) or birth of the employee's child.

Parental Leave is only available to the primary caregiver of the child. Consequently an employee may not take Parental Leave at the same time as their partner, whether the partner works for NEAS or not.

Leave Entitlement

An employee is entitled to a maximum of 52 weeks unpaid Parental Leave provided that:

- the Parental Leave does not extend beyond the child's first birthday
- the employee has worked for NEAS for at least 12 continuous months immediately before commencing Parental Leave, or since returning from the end of previous Parental Leave.

In addition, an employee may request to extend the unpaid Parental Leave period by a further 52 weeks. Any such extension must be agreed to by the CEO and may be refused on reasonable business grounds.

Notice required and requirements before taking leave

An employee must give NEAS notice in writing (addressed to the CEO) at least 10 weeks prior to the expected date of commencement of Parental Leave.

The application must state:

- The dates on which it is intended to commence and end the leave
- The anticipated date of delivery to be on a Medical Certificate by the Obstetrician/Doctor or a notice from the adoption agency stating the date of placement.

Extended or shortened Parental Leave

Once notice has been given the employee can lengthen the period of Parental Leave only once. The employee must give at least 14 days notice in writing, stating the length of time of leave extension required. The period cannot be extended beyond 52 weeks or past the first birthday of the child without the consent of the CEO. Parental Leave can only be extended or shortened with the consent of NEAS. The employee is required to make an application in writing 14 days prior to anticipated commencement date.

Parental Leave should then be added to your Outlook Calendar and marked clearly so it can be read by other staff when making appointments.

Contact prior to returning to work

Employees on Parental Leave are required to contact NEAS, by contacting the CEO, at least 20 working days (preferably 6 weeks) prior to their approved return to work date and confirm and/or negotiate arrangements.

Return to work

When an employee returns to work after a period of Parental Leave the CEO will endeavour to place the employee in the position held prior to taking Parental Leave. If that position is no longer available, the CEO will place the employee in an available or vacant position nearest in status and remuneration to their previous position and for which the employee has the requisite skills or experience.

Employees on Paternal Leave are required to contact the CEO at least 20 working days prior to their approved return to work date in order to confirm details about their return.

NEAS will take all reasonable steps to accommodate an employee's carer responsibilities upon their return from Parental Leave (including the consideration of the option of working part-time for an agreed period of up to two years from the date of the child's birth).

Long Service Leave

Rationale

This policy is for all purposes in accordance with and should be read in light of the provisions of the Long Service Leave Act (as amended). If this policy should be found to conflict with the provisions of the Act, the Act shall apply.

Leave entitlement

Employees are entitled to two months (8.67 weeks) paid leave when they have been continuously employed by the NEAS for ten years. An additional one month's leave will be accrued for every five years of service after the first 10 years.

Part-time

Part-time employees are entitled to long service leave on a pro rata basis.

Notice for Long Service Leave

The taking of Long Service Leave requires the approval of the CEO, which will be subject to work requirements.

The CEO may direct an employee to take Long Service Leave to which the employee is entitled by giving one month's notice.

An employee may request to take their Long Service Leave by giving at least one month's notice. The approval of such a request is at the discretion of the CEO.

It is NEAS policy to encourage employees to take Long Service Leave when due. If an employee wishes to defer his/her Long Service Leave when due, he/she must make a request for special arrangements for consideration by the CEO.

Employees who have worked for NEAS for at least five years at the time of termination may in special circumstances be entitled to a pro rata payment of Long Service Leave.

Employees who have worked for NEAS for at least 10 years at the time of termination are entitled to pro rata payment of Long Service Leave.

Long Service Leave should then be added to your Outlook Calendar and marked clearly so it can be read by other staff when making appointments.

Time In Lieu

Rationale

This policy recognises that employees have responsibilities outside the workplace that may on occasion need to be attended to during normal business hours. It also recognises that employees may work, travel or attend work related events outside normal business hours.

Time in Lieu – informal

Time in Lieu – informal allows staff flexibility to attend to such matters without having to take Annual Leave. Up to four hours informal Time in Lieu can be negotiated in a given week on an occasional basis. This time will need to be made up during the week or the fortnight containing the leave at times agreed by the CEO. A lunch break of less than 30 minutes will not be approved. Informal Time in Lieu can be used for the following:

- personal business appointments; or
- attending child care or school functions, including meetings with teachers/carers; or
- attending appointments related to care for family members; or
- attending to household matters including appliance service calls and deliveries that cannot be scheduled outside of work hours; or
- attending the funeral of a non-family member.
-

Time in Lieu – formal

Time in Lieu - formal makes provision for staff who work on weekends as a regular part of their job.

Formal Time in Lieu will accrue in relation to work performed on weekends provided such work has been approved in advance. All Time in Lieu - formal should be taken as soon as possible after it accrues and must be taken within 2 months of it accruing or it will be forfeited. No more than 6 days (45.6 hours) entitlement may be accrued at any given time. That is, if 45.6 hours of Time in Lieu – formal is accrued, no more time can be accrued until some or all of the accrued leave is taken. Accrued Time in Lieu - formal must be used first when applying for leave (other than Personal Leave).

Formal Time in Lieu will accrue in the following instances:

- for work on weekends negotiated with and approved in advance by CEO, Time in Lieu will accrue at the rate of one hour for each hour worked.
- For attendance at NEAS approved courses or conferences held outside of normal work hours and where the participant is not a presenter or directly involved in organizational or administrative activities, Time in Lieu may be accrued at the rate of one hour for each hour worked of the course/conference attended as approved in advance by the CEO. As attendance at a course or conference is voluntary claiming Time in Lieu is not mandatory.
- In other circumstances at the discretion of the CEO.

Time in Lieu should then be added to your Outlook Calendar and marked clearly so it can be read by other staff when making appointments.

Leave Without Pay

Rationale

NEAS recognises the value of employees being able to achieve a balance between work responsibilities and personal commitments. Flexible work practices can enable employees to manage personal needs and get their work done without an adverse impact on the organisation or their colleagues.

It is understood that on some occasions employees may need longer periods of leave than those provided by NEAS annual leave and personal leave policies. In these circumstances employees may apply for leave without pay.

Policy

Leave without pay may be used for many purposes including, but not restricted to, travel, self-development, study, career break, or to meet family responsibilities.

Leave without pay is available to all permanent employees who have completed 12 months service with NEAS. Employees are able to apply once every two years for a period of up to two weeks as a block of leave. The taking of leave without pay may be restricted to a certain time of the year in accordance with operational needs.

Any other entitlement such as Annual Leave or Time in Lieu accrued must be taken prior to leave without pay. Approval of application for leave without pay is dependent upon team requirements, workloads and CEO agreement.

Approval for leave without pay may be granted for an agreed period. Such approval does not necessarily ensure approval to participate for further periods.

Leave without pay arrangements are not intended to substitute where an employee's fitness for work is in question. In this case personal leave and workers compensation (if applicable) should be considered in the first instance.

Procedure

Employees interested in taking leave without pay must apply by email to the CEO, GM and direct line manager to officially express interest in making use of this policy.

Prior to submission of email application the employee should discuss the application with the CEO, sharing information regarding proposed leave date and work arrangements to cover responsibilities during the leave period.

Leave Without Pay should then be added to your Outlook Calendar and marked clearly so it can be read by other staff when making appointments.

Resources and References

- Annual Holidays Act (NSW) 1944
- Fair Work Act 2009
- National Employment Standards (NES)
- Long Service Leave (NSW) 1955
- Fair Work Ombudsman - www.fairwork.gov.au
- Office of Industrial Relations - www.industrialrelations.nsw.gov.au
- Australian Human Rights and Equal Opportunity Commission - www.hreoc.gov.au

9. TRAVEL

OVERVIEW

Purpose

Domestic and international travel is an essential part of achieving NEAS' strategic objectives. This policy is intended to ensure that there are clear guidelines for domestic and international travel.

This Policy has been approved by the Board of Directors and will be reviewed biennially.

Provision of this Policy

A copy of this Policy will be given to all incumbent and new Personnel.

Implementation & Administration of this Policy

Any questions relating to the implementation of this Policy should be forwarded to the Chief Executive Officer.

SCOPE

This Policy applies to all employees and board members.

POLICY PRINCIPLES

Approval

1. All Board, staff and contractor travel must be booked and paid for by the individual and then claimed for at the following board meeting or in the case of external contractors within the following invoice cycle.
2. International travel - employees must obtain approval of the proposed travel budget, purpose and destination before they travel internationally, from the Chief Executive Officer and Board.
3. Travel expenses will be authorised and reimbursed by the Chief Executive Officer.

Expenses

1. NEAS will meet expenses directly incurred in the pursuit of NEAS activities by those travelling on behalf of NEAS and in connection with approved NEAS activities, within Australia and overseas.
2. Expenses incurred when an employee travels away from their ordinary residence in the course of their duties, may include reimbursement for accommodation and incidental expenses related to the travel.
3. Expenses incurred in the course of travel, will be approved in accordance this Travel Policy.
4. Expenses eligible for reimbursement include air travel, accommodation, breakfast and evening meals and minor incidental expenses including short-term (less than one day) parking, taxis and public transport.
5. Employees will be required to maintain a travel diary.
6. Employees whom have been issued a credit card, must use this in order to pay for approved travel expenses, except for accommodation and flights. All expenses need to be claimed for reimbursement with receipts using the expense claim form.
7. Receipts are required for all items of expenditure and must be submitted with monthly credit card statements.

8. For private vehicle use, the standard ATO kilometre rates will be used for reimbursement.
9. For private vehicle use, employees must provide details of kilometres travelled in accordance with a copy of the purposes associated with the trip, the dates and times of travel and destination. (see example at Attachment A)
10. For private vehicle use, kilometres travelled will be calculated based using the following formula being;
 11. the return distance between the NEAS offices and the destination
 12. the distance is calculated by the shortest possible route using "Google maps"

Safety and Insurance

1. Destinations with a travel warning of "Do not travel" or "reconsider your need to travel" or otherwise considered to be high risk will not be approved.
2. Travel insurance will be provided by NEAS to all staff approved for international travel on NEAS business.
3. The accommodation chosen should provide a safe and secure environment which is conveniently located and provides value for money.
4. Class of travel and reward programs
5. Air travel is to be booked as the cheapest, suitable airfare.
6. Employees can use frequent flyer points or personal funds to upgrade travel class.
7. Loyalty and frequent flyer points accrued as a result of NEAS travel can be retained by employees.

Entertainment

1. Only expenses associated with the entertainment of members, potential members or sponsors (such as meals, coffee or tea), will be paid for on behalf of NEAS, to a maximum of \$40.00 each.
2. Receipts for all expenses associated with entertainment must be retained, along with the purpose of the meeting and the attendees.
3. Entertainment expenses consumed by NEAS employees may be reimbursable to NEAS upon return, or be subject to fringe benefits tax if items *s.* and *t.* aren't observed.

Employee Travel Responsibilities

1. It is the responsibility of the employee to ensure they have the required passport and inoculations when travelling on NEAS business.

Personal Leave and Business Travel

1. Personal leave can be taken before or after the business segment of travel, on the basis that personal travel is not funded by NEAS.
2. The personal leave component may not exceed the time dedicated to work, or a fringe benefits tax liability will be incurred by the employee concerned.
3. Travel insurance and other expenses are the responsibility of the employee for any personal leave component of their travel arrangement

Return to Work and Time in Lieu

1. Time in lieu may be provided at the conclusion of any work-related travel on the following basis:
 - i. Clearly established parameters confirming the work-related timeframes associated with the request and;
 - ii. Written approval from the Chief Executive Officer

Booking and Paying For Travel

1. Travel expenses will be considered in association with NEAS approved annual budget
2. The cheapest airfare will be booked
3. All booking expenses and payments made in advance of travel should be made on NEAS Corporate Credit Card
4. A pre-established upper limit per night per NEAS employee travelling is established in relation to overnight accommodation / domiciliary expenses and listed on the NEAS 2019 Travel Budgeting.

Travel Allowances and Per Diem Rates

1. Per diem claims are not paid at NEAS. Actual expenses are paid on corporate credit cards or claimed for reimbursement with receipts by employees without corporate cards.
2. Accommodation for overseas travel is to be reimbursed on an actual receipt basis. Accommodation selected should be in accordance with above.
3. Claims cannot be claimed if either the accommodation or meals are provided or included in the event cost, such as at conferences.

Traveller Safety and Traveller Obligations

1. Monitor DFAT website for variations of travel warnings before commencing travel. Advise ED if any adverse change.
2. Avoid carrying large amounts of cash while travelling.
3. Ensure you have a means of communication with NEAS whilst travelling.

Travel Diaries and Reports

1. A Travel Diary is to be maintained to record activities
2. A Report must be prepared following any overseas trip, covering, outcomes and follow up actions.
3. Reports due and any expense acquittals must be completed and submitted within 2 weeks of return to work.

Breach of Policy

1. Any breach of this Policy may result in disciplinary action.

APPENDIX A: NEAS TRAVEL POLICY AND BUDGET FOR NEAS STAFF AND BOARD

| Maximum Allowances (Domestic) | | | | | | |
|-------------------------------|---|---|---|---|---------------------------------|--------------------|
| | Metropolitan* | | Regional/Remote* | | Total for Normal Visit (2 days) | |
| State | Travel Fee | Travel Fee | Travel Fee | Travel Fee | Metropolitan | Regional |
| | (Exclusive of GST) | (Inclusive of GST) | (Exclusive of GST) | (Inclusive of GST) | (Inclusive of GST) | (Inclusive of GST) |
| ACT | Ground Transport-\$100 | Ground Transport-\$110 | Incidentals- O/Night-\$125 Accom-\$185 Flights-\$450 Ground Transport-\$100 | Incidentals- O/Night-\$125 Accom-\$185 Flights-\$450 Ground Transport-\$110 | \$ 110.00 | \$ 860.00 |
| NSW | Ground Transport-\$100 | Ground Transport-\$110 | Incidentals- O/Night-\$125 Accom-\$185 Flights-\$450 Ground Transport-\$100 | Incidentals- O/Night-\$125 Accom-\$204 Flights-\$495 Ground Transport-\$110 | \$ 110.00 | \$ 934.00 |
| NT | Incidentals- O/Night-\$125 Accom-\$216 Flights-\$300 Ground Transport-\$100 | Incidentals- O/Night-\$125 Accom-\$238 Flights-\$450 Ground Transport-\$110 | Incidentals- O/Night-\$125 Accom-\$216 Flights-\$450 Ground Transport-\$100 | Incidentals- O/Night-\$125 Accom-\$223 Flights-\$495 Ground Transport-\$110 | \$ 968.00 | \$ 968.00 |
| QLD | Ground Transport-\$100 | Ground Transport-\$110 | Incidentals- O/Night-\$125 Accom-\$205 Flights-\$450 Ground Transport-\$100 | Incidentals- O/Night-\$125 Accom-\$223 Flights-\$495 Ground Transport-\$110 | \$ 110.00 | \$ 953.00 |
| SA | Incidentals- O/Night-\$125 Accom-\$157 Flights-\$450 Ground Transport-\$100 | Incidentals- O/Night-\$125 Accom-\$173 Flights-\$495 Ground Transport-\$110 | Incidentals- O/Night-\$125 Accom-\$157 Flights-\$450 Ground Transport-\$100 | Incidentals- O/Night-\$125 Accom-\$173 Flights-\$495 Ground Transport-\$110 | \$ 903.00 | \$ 903.00 |
| TAS | Ground Transport-\$100 | Ground Transport-\$110 | Incidentals- O/Night-\$125 Accom-\$132 Flights-\$450 Ground Transport-\$100 | Incidentals- O/Night-\$125 Accom-\$146 Flights-\$495 Ground Transport-\$110 | \$ 110.00 | \$ 876.00 |
| VIC | Ground Transport-\$100 | Ground Transport-\$110 | Incidentals- O/Night-\$125 Accom-\$173 Flights-\$450 Ground Transport-\$100 | Incidentals- O/Night-\$125 Accom-\$191 Flights-\$495 Ground Transport-\$110 | \$ 110.00 | \$ 921.00 |
| WA | Ground Transport-\$100 | Ground Transport-\$110 | Incidentals- O/Night-\$125 Accom-\$233 Flights-\$450 Ground Transport-\$100 | Incidentals- O/Night-\$125 Accom-\$257 Flights-\$495 Ground Transport-\$110 | \$ 110.00 | \$ 987.00 |

Allowances (International)

| Country | Travel Fee (exclusive of GST) | | Travel Fee (Inclusive of GST) | | | Total Per Visit (2 nights, 3 days) |
|----------------|---|------------------------------------|--|-------------------------|------------------------|------------------------------------|
| Vietnam | Incidentals- O/Night Accom- Flights- Transport-\$110 | \$125 \$291 \$2250 Ground | Incidentals- \$125 Transport-\$110 | O/Night Accom- \$320 | Flights- \$2475 Ground | \$ 3,600.00 |
| Cambodia | Incidentals- O/Night Accom- Flights- Transport-\$110 | \$125 \$199 \$2500 Ground | Incidentals- \$125 Ground Transport-\$110 | O/Night Accom- \$218.90 | Flights- \$2750 | \$ 3,673.00 |
| Taiwan | Incidentals- O/Night Accom- Flights- Transport-\$110 | \$175 \$158 \$2000 Ground | Incidentals- \$175 Transport-\$110 | O/Night Accom- \$173.80 | Flights- \$2200 Ground | \$ 3,733.00 |
| United States | Incidentals- O/Night Accom- Flights- Transport-\$110 | \$175 \$231 \$2700 Ground | Incidentals- \$175 Transport-\$110 | O/Night Accom- \$254.10 | Flights- \$2970 Ground | \$ 4,115.00 |
| United Kingdom | Incidentals- O/Night Accom- Flights- Transport-\$110 | \$230 \$360 \$3748 Ground | Incidentals- \$230 Transport-\$110 | O/Night Accom- \$398 | Flights- \$4123 Ground | \$ 5,715.00 |
| New Zealand | Incidentals- O/Night Accom- Flights- Transport-\$110 | \$175 \$236 \$1182 Ground | Incidentals- \$175 Transport-\$110 | O/Night Accom- \$259.60 | Flights- \$1301 Ground | \$ 2,456.00 |
| Japan | Incidentals- O/Night Accom- Flights- Transport-\$110 | \$230 \$382 \$1750 Ground | Incidentals- \$230 Transport-\$110 | O/Night Accom- \$420.20 | Flights- \$1925 Ground | \$ 3,567.00 |
| Germany | Incidentals- O/Night Accom- Flights- Transport-\$110 | \$230 \$276 \$3748 Ground | Incidentals- \$230 Transport-\$110 | O/Night Accom- \$259.60 | Flights- \$4122 Ground | \$ 5,442.00 |

*All travel allowances have been determined based on ATO Taxation Determination.

<https://www.ato.gov.au/Business/PAYG-withholding/In-detail/Allowances,-leave-payments-and-repayments/Travel-allowances-and-PAYG-withholding/?page=1#R>
Some locations may vary. Please see ATO taxation determination 2016 for exact amounts.

*International accommodation allowances are calculated using: https://aoprals.state.gov/web920/per_diem.asp

10. TRAVEL EXPENSE CLAIM FORM

| TRAVEL EXPENSE CLAIM FORM | | | | | |
|---|-----------------------|----------------------|----|--|-------------|
| Name: | [Type here] | | | Date: | [Type here] |
| Attendance at: (Meeting or event name) | [Type here] | | | Meeting/event Date: | [Type here] |
| I seek reimbursement of my TRAVEL expenses in connection with my attendance at the above meeting/event. | | | | | |
| Ground Transport Taxi, Shuttle, Bus | | Total of Receipts \$ | | Valid Tax Invoice Receipts must accompany this claim | |
| Air Travel | | Ticket Price \$ | | Valid Tax Invoice Receipts must accompany this claim | |
| Accommodation | Check In Check Out | Total Price \$ | | Valid Tax Invoice Receipts must accompany this claim | |
| Incidentals | | Total Price \$ | | Valid Tax Invoice Receipts must accompany this claim | |
| Private Vehicle Use | | Total Price \$ | | Mileage and vehicle type must be listed | |
| | | Total Claim | \$ | [Type here] | |

| Claims should be submitted within <i>four weeks</i> of the meeting or event being held. | | | | | |
|---|------------------|-----------------------------|----|---------|--|
| Payment to: | | | | | |
| Name or Institution: | [Type here] | | | | |
| Bank Details: | BSB: [Type here] | Account Number: [Type here] | | | |
| Total Amount: | \$ [Type here] | GST Component | \$ | Nett \$ | |
| Payee Reference: | [Type here] | | | | |
| Signature: | | | | | |

OFFICE USE ONLY

| Approved | RFP | Account | Class |
|----------|-----|---------|-------|
| | | | |

11. BUSINESS CONTINUITY

This Business Continuity Policy forms part of the Risk Management Framework at NEAS. Business Continuity Planning sits alongside disaster recovery planning and is part of NEAS' overall risk management procedures.

By the adoption of Business Continuity Management best practices NEAS endeavours to ensure that business critical functions are not compromised by a major disruptive event.

Under this policy NEAS shall, in the event of a disaster:

- Act to ensure that critical business processes can be continued;
- Use its best endeavours to meet the needs of staff, members, the wider community and other key stakeholders; and
- Safeguard its reputation and public image.

OBJECTIVES

This Policy:

- Defines NEAS' Business Continuity Management (BCM) process and allocates responsibility for the BCM and Business Continuity Planning (BCP) processes; and
- Outlines the structures NEAS has developed in order to provide timely availability of all key resources necessary to re-establish the critical business processes to a level of operation that is acceptable to the Board.

SCOPE

This Policy is applicable to all staff (including casual staff) of NEAS.

Definitions

"Disaster"

An unexpected disruption to normal business of sufficient duration to cause unacceptable loss to the organisation necessitating disaster recovery procedures to be activated.

"Disaster Recovery"

Activities and procedures designed to return the organisation to an acceptable condition following a disaster.

"Business Continuity"

The uninterrupted availability of all key resources supporting essential business functions.

"Business Continuity Management"

Provides for the availability of processes and resources in order to ensure the continued achievement of critical objectives.

"Business Continuity Planning"

A process developed to ensure continuation of essential business operations at an acceptable level during and following a disaster.

RESPONSIBILITIES

Board

Business Continuity Management is a component of the overall risk management function of NEAS, overseen at a strategic level by the Board.

Chief Executive Officer

The Chief Executive Officer provides leadership to ensure NEAS maintains operational functioning at all times.

Operations Manager

The Operations Manager ensures the Business Continuity Plan is sufficiently detailed, is communicated to staff and is tested to enable NEAS to recover from an incident and continue to provide a service to clients within acceptable timeframes.

Staff

All staff are responsible for understanding arrangements in the event of an incident.

BUSINESS CONTINUITY PLANNING

NEAS has identified:

- The likely scenarios that may result in disruption to the business.
- What is important to protect, provide or operate during a disruption i.e. the critical business functions and processes.
- The people, infrastructure and data resources required to maintain a minimal acceptable level of operations.
- Communications requirements and the methods and channels of dissemination.

Possible Disaster Scenarios

Possible scenarios where the BCP may be required are:

- Inability of staff to attend work, e.g. transport chaos, pandemic, illness affecting all staff
- Systems failure – no access to systems for more than 1 day

Critical Business Functions

Functions/processes that must be maintained during a disaster are:

- Finance systems;
- Processing of accreditation/registration applications; and
- Communication to providers/contract partners/stakeholders/staff.

It is expected that the above would be up and running within three business days of a disaster occurring.

Finance systems

Payments to NEAS can be made electronically (EFT or by credit card) through internet banking managed by Westpac. If the NEAS office is inaccessible, payments by cheque will be held with other mail by the Australia Post until such time as accessibility to the NEAS office is resumed.

In order for staff to process invoices and payments through remote access to the NEAS network, an upgrade will be required to enable the server to run 'Terminal Services'. It is expected that this will be undertaken with the system-wide upgrade, foreshadowed at the 2010 AGM, once the move to new premises has been completed.

In the interim, payments by NEAS to suppliers can be made through internet banking.

Accreditation/registration applications

Increasing use is being made of electronic submission of accreditation documentation. However, some documents (e.g., statutory declarations) are still required in hard copy. Preliminary assessments can be made

of documentation submitted electronically, while documents submitted in hard copy will be held by Australia Post until such time as accessibility to the NEAS office is resumed.

Communication to providers/contract partners/stakeholders/staff

Staff have remote access to email and to some data. However, in order to facilitate remote access by staff to the providers database and data files, an upgrade will be required (see above).

In the interim, a duplicate of the providers database is stored securely online, and limited staff access has been established through a secure login.

General note

Data files and the providers database are backed up daily and a back-up copy is stored off-site. Electronic versions of the procedures manual can be accessed remotely by staff. Contingency funding is included in the budget to replace the server and tape drive if they are destroyed or damaged, and practicable measures for electronic storage of hard copies of documents will be explored as part of the system upgrade identified above.

Minimal Operations

Minimum requirements to function during a disaster:

- Ability to invoice, receipt for services delivered, pay salaries
- Ability to access database of providers
- Ability to process accreditation applications

Communications

Operations Manager will draft any communications required to the Board and members to ensure all are aware of a disaster and the impact it may have had. The ED will approve and distribute these communications (Operations Manager as back up)

Communications required are those needed for Critical Business Functions (above), for example, communications to Board, members, providers, staff etc

BCP Testing and Training

A full BCP test is not considered necessary as the main mechanism to maintaining access to data and systems is through staff having remote access, process manuals being in place for key processes and that there is back up of systems and individuals.

Staff will be briefed regularly to ensure they are familiar with the business continuity measures to be implemented.

The BCP will be reviewed and updated on an annual basis.

12. FRAUD INDICATORS CHECKLIST

This Section outlines common areas of fraud and the indicators of possible fraud by staff. Below is a checklist to be reported against regularly by senior management.

COMMON AREAS OF FRAUD

1. Assets

Pilfering

| | Y | N |
|---|---|---|
| Is there an up to date comprehensive asset register that is periodically subject to physical stock take and reconciled with the financial ledger? | | |
| Is accountability and responsibility assigned for each asset? | | |
| Is there segregation of duties for purchasing, receiving and paying for assets? | | |
| Is there a maintenance schedule kept for assets to monitor, apart from other factors such as reliability, spare parts usage or software upgrades? | | |
| Is there an auditable inventory system for significant consumables & spare parts? | | |
| Is usage of significant consumables monitored (e.g. compared to previous years or months)? | | |

Misusing assets (e.g. work time, motor vehicle, tools. Publishing facilities, phone)

| | Y | N |
|---|---|---|
| Are any staff receiving and/or making an inordinate number of private phone calls, especially on their own private mobile phone. Whilst at work for an extended period? | | |
| Does the management structure adequately monitor staff outputs to the extent where all significant staff time at work can be accounted for? | | |
| Is it likely that any staff who regularly work back do so to use company equipment for commercial gain? | | |

Substituting old goods for new

| | Y | N |
|--|---|---|
| Are asset serial numbers recorded in the asset register and are they periodically checked as well as the asset number? | | |
| Is work sporadically checked in detail to ensure that new parts/equipment have been installed and not substituted for old or inferior parts/equipment? | | |

Writing off recoverable assets or debts

| | Y | N |
|--|---|---|
| Is there segregation of duties between the officer deciding or recommending on writing off an asset and the officer responsible for disposal of the asset? | | |
| Are written off assets properly disposed of? | | |

| | | |
|--|--|--|
| Is every endeavor made to obtain payment from debtors prior to write off? | | |
| Are processes in place to monitor payment of written off debts. such as making further requests for payment? | | |

Unauthorised selling or trading of intellectual property

| | | |
|---|---|---|
| | Y | N |
| Is the intellectual property adequately protected (e.g. through trademarks. confidentiality clauses and appropriate security measures)? | | |

2. Staff

False Claims (e.g. sick leave, overtime, expenses, workers' compensation or Cabcharge)

| | | |
|--|---|---|
| | Y | N |
| Are qualifications, previous places of employment and references verified prior to appointing staff? | | |
| Do managers and supervisors take note of staff absence to ensure the appropriate leave is recorded as taken? | | |
| Is sick leave monitored for potential abuse? | | |
| Is sufficient detail recorded on cab charges and expense reimbursements to allow for periodic audits and are periodic audits undertaken? | | |
| Are workers' compensation claims actively managed and regularly reviewed? | | |
| Is the instance of workers' compensation significantly higher than the industry norm? | | |

Over Payment (e.g. non-existent staff/consultants. delay payroll terminations. falsify records)

| | | |
|--|---|---|
| | Y | N |
| Are payroll terminations reconciled with human resource records? | | |
| Is the payroll reconciled concerning pay levels? | | |

Nepotism, Patronage

| | | |
|--|---|---|
| | Y | N |
| Are recruitment and selection guidelines followed? | | |
| Are all positions advertised? | | |
| Do selection panels include a member from outside the company? | | |

3. Supplies

Collusion between staff and supplier (Purchasing non-existent stock, charging for work not performed or sub-standard work accepted)

| | Y | N |
|---|---|---|
| Are processes in place to minimise the risk of collusion. such as job rotation and segregation of duties? | | |
| Are all invoices verified? | | |
| Are the purchasing guidelines followed? | | |
| Is there segregation of duties between the purchaser, the receiver of goods purchased and the accounts payable functions? | | |
| Are processes in place to verify receipt of goods and completion of work undertaken by suppliers? | | |

Cheques made to false persons

| | Y | N |
|---|---|---|
| Are accounts regularly paid and reconciled? | | |
| Have any suppliers complained about their invoices not being paid? | | |
| Have the External Auditors passed comment on the controls in the accounts payable function? | | |
| Do tender specifications eliminate potential bidders through over specification? | | |
| Have the winning tenders been low in price but any benefit gained been nullified through contract variations? | | |
| Is one contractor regularly winning tenders and yet is no cheaper or even more expensive than the industry average? | | |

Theft of official purchasing authority or cash

| | Y | N |
|---|---|---|
| Are there adequate security measures to protect purchasing instruments? | | |
| Are the whereabouts of all purchasing instruments known and is accountability assigned for each instrument? | | |
| Are corporate cards collected promptly when the respective officer leaves the organization? | | |
| Is the cash regularly reconciled and the amount held kept to a minimum? | | |
| Are there appropriate security measures in place for petty cash? | | |

Misuse of Corporate Credit Card/Purchase Orders (e.g. overcharging, paying invoice twice)

| | Y | N |
|--|---|---|
| Is sufficient detail noted on Corporate Credit Card or PO purchases? | | |
| Are invoices promptly verified to allow early detection of possible misuse? | | |
| Is Corporate Credit card usage regularly audited to confirm purchases occurred and that goods were received? | | |

Using agency discounts/tax exemptions for private purposes

| | Y | N |
|--|---|---|
| Are purchasing instruments used for only use? | | |
| Purchasing items for personal use with purchasing instruments is not permitted - even if the amount is immediately reimbursed to the company | | |

4. Service Delivery

Collusion between staff and client (e.g. services undercharged, invoice/infringement not raised, records go missing, benefits overpaid)

| | Y | N |
|--|---|---|
| Are processes in place to minimise the risk of collusion, such as job rotation and/or segregation of duties? | | |
| Are processes in place to reconcile service delivery with charges raised? | | |
| Are benefit payments and records audited? | | |

POSSIBLE INDICATORS OF FRAUD

It is important to note that the presence of one or more of the following indicators does not mean that fraud is occurring. The presence of one or more of these factors might prompt inquiries, but they should not create an assumption of Fraud. There may be other factors causing the indicators to occur. Therefore, these indicators should be viewed from a wider context.

Work Practices

| | Y | N |
|---|---|---|
| Are there missing expenditure vouchers & unavailable official records? | | |
| Is crisis management coupled with a pressured business environment? | | |
| Are there excessive variations to budgets or contracts? | | |
| Is there lack of Board oversight? | | |
| Are bank and ledger reconciliations not maintained or unable to be balanced? | | |
| Are there excessive movements of cash funds or transactions between accounts. | | |
| Are there unauthorised changes to systems or work practices? | | |
| Are lowest tenders or quotes passed over with minimal explanation recorded? | | |
| Are there lost assets? | | |
| Is there absence of controls and audit and management trails? | | |

Employee Behaviour

| | Y | N |
|--|---|---|
| Do staff refuse, evade or delay producing files, minutes or other records? | | |
| Are there unexplained employee absences? | | |

| | | |
|---|--|--|
| Is there gambling while at work? | | |
| Is there frequent borrowing money from fellow employees while at work? | | |
| Do personal creditors appear at the workplace? | | |
| Are staff covering up inefficiencies? | | |
| Is there excessive staff turnover? | | |
| Do employees have outside business interests or other jobs which conflicts with their duties? | | |
| Are there signs of excessive drinking or drug abuse? | | |
| Are managers bypassing subordinates? | | |
| Are subordinates bypassing managers? | | |
| Is there secretiveness? | | |
| Are there marked character changes? | | |
| Is there excessive or apparent total lack of ambition? | | |
| Is there excessive control of records by one officer? | | |
| Do staff refuse to comply with normal rules and practices? | | |

13. FRAUD POLICY

PURPOSE

NEAS expects the highest standards of integrity from all staff, particularly in respect of the employees' accountability for NEAS' assets, including monies and confidential information entrusted to them or received by them in the course of exercising their work.

NEAS takes a serious view of any misappropriation on the part of any staff. Disciplinary action shall be taken against any employee who is found to be in breach of any of their fiduciary or legal duties to NEAS in connection with assets entrusted to them or received by them. Such breaches include, without limitation, fraudulent misappropriation of assets or criminal breach of trust.

EXECUTIVE DIRECTOR'S RESPONSIBILITY

It is the responsibility of the Chief Executive Officer to be aware of areas of exposure and risks associated with the handling of the company's funds, assets and information. The Chief Executive Officer establishes and reviews internal controls and procedures to prevent and detect improprieties. Any impropriety shall be reported to the Chief Executive Officer or Chair of the Board.

It is the responsibility of the Executive Director, and other management as appropriate, to conduct reviews of the control systems and procedures to cover the areas of higher exposures and risk so as to reasonably provide assurance to the Board of the proper conduct and adherence to the controls and procedures implemented by the Chief Executive Office and other management. The Chief Executive Officer will conduct a quarterly review following the checklist provided at Appendix A and report the results of this to the Board.

It is also the responsibility of the external auditor to assist in the conduct of investigations into misappropriation by employees as required by the Chief Executive Officer and/or the Board.

INVESTIGATION, PROCEDURES AND GUIDELINES

To ensure that all investigations and disciplinary actions in respects of misappropriation are conducted in a fair and consistent manner, the following procedures and guidelines shall be adhered to:

- a) It shall be the responsibility of every employee to notify his/her manager immediately in the event that he/she has reasonable grounds to believe any misappropriation on the part of any other employee.
- b) Upon receipt of such notification, the manager shall conduct a preliminary investigation to determine whether there is a prima facie case. If a prima facie case is established, the manager shall promptly advise the Chief Executive Officer or the Chair of the Board.
- c) The Chief Executive Officer or the Board shall conduct an investigation to establish and verify the relevant facts and may request the assistance of the external auditor in forming a Panel to conduct the investigation.
- d) In conducting the investigation, proper inquiry procedures shall be followed.
- e) All proceedings and actions by the Panel shall be documented and/or minutes taken. The Panel shall submit its report to the Chief Executive Officer and /or the Board within seven (7) days of the date of its final sitting to conclude its findings.
- f) All acts of misappropriation committed by employees constituting criminal acts will be reported to the relevant law enforcement authorities and appropriate disciplinary action taken.
- g) All proven cases of acts of misappropriation committed by employees shall be reported to the Board as soon as the cases are proven in the opinion of the Investigation Panel.

NON-ADHERENCE TO THIS POLICY

Employees who knowingly conceal any acts of misappropriation by a fellow employee shall be deemed to have abetted those acts of misappropriation (if proven) and may be subject to disciplinary action under this Policy.

Employees who irresponsibly report alleged misappropriation on the part of any other employee may also be subject to disciplinary action under this Policy.

APPENDIX A: CHECKLIST FOR QUARTERLY REVIEWING OF INDICATORS OF FRAUD

| Assets | Y | N | OWNER |
|--|---|---|-------|
| Is there an up-to-date comprehensive asset register that is periodically reconciled with the financial ledger? | | | |
| Is usage of significant consumables monitored (e.g. compared to previous periods)? | | | |
| Does the management structure adequately monitor staff outputs? | | | |
| Is there segregation of duties between the officer deciding or recommending on writing off an asset and the officer responsible for disposal of the asset? | | | |
| Is the intellectual property adequately protected (e.g. through trademarks, copyright, confidentiality clauses and appropriate security measures)? | | | |

| Staff | Y | N | OWNER |
|---|---|---|-------|
| Are qualifications, previous employment and references verified prior to appointment? | | | |
| Is leave taken with approval, appropriately recorded and periodically monitored? | | | |
| Is the instance of workers' compensation significantly higher than the industry norm? | | | |
| Is payroll reconciled with regard to pay levels and salary/leave payments? | | | |

| Accounts payable and receivable | Y | N | OWNER |
|--|---|---|-------|
| Are all invoices verified? | | | |
| Is there segregation of duties between the purchaser and the accounts payable functions? | | | |
| Are accounts regularly paid and reconciled? | | | |
| Are processes in place to reconcile service delivery with charges raised? | | | |
| Have the External Auditors commented on controls in the accounts payable function? | | | |

| Cash and corporate credit cards | Y | N | OWNER |
|--|---|---|-------|
| Are corporate cards collected promptly when an officer leaves the organization? | | | |
| Is cash on hand regularly reconciled and the amount held kept to a minimum? | | | |
| Are there appropriate security measures in place for petty cash? | | | |
| Are invoices promptly verified to allow early detection of possible misuse? | | | |
| Is corporate credit card usage regularly audited to confirm purchases occurred and that goods were received? | | | |

| Work Practices | Y | N | OWNER |
|---|---|---|-------|
| Are there excessive variations to budgets or contracts? | | | |
| Is there lack of Board oversight? | | | |
| Are bank and ledger reconciliations not maintained or unable to be balanced? | | | |
| Are there excessive movements of cash funds or transactions between accounts? | | | |
| Are there unauthorised changes to systems or work practices? | | | |
| Is there absence of controls and audit and management trails? | | | |

| Employee Behaviour | Y | N | OWNER |
|---|---|---|-------|
| Are there unexplained employee absences? | | | |
| Are staff covering up inefficiencies? | | | |
| Is there excessive staff turnover? | | | |
| Do employees have outside business interests/jobs which conflict with their duties? | | | |

| | | | |
|--|--|--|--|
| Is there excessive control of records by one officer? | | | |
| Do staff refuse to comply with normal rules and practices? | | | |

14. DELEGATIONS OF AUTHORITY

OVERVIEW

Purpose

This Delegations of Authority Policy determines the level of approval that any person must obtain before committing NEAS to any expenditure, transaction or exposure. This Policy has been approved by the Board of Directors and will be reviewed annually.

Provision of this Policy

A copy of this Policy will be given to all incumbent and new Personnel.

Implementation & Administration of this Policy

Any questions relating to the implementation of this Policy should be forwarded to the Chief Executive Officer. The General Manager will support the Chief Executive Officer by being primarily responsible for the administration of this Policy on a day-to-day basis.

RESPONSIBILITIES

- This Policy applies to all officers, employees and contractors of NEAS.
- The Board of Directors is responsible for approval of this Policy (and any amendments).
- No authority may be delegated without the prior written authority of the Chief Executive Officer.
- No person has the authority to enter a transaction or expend money not expressly approved by this Policy without the prior written authority of the Chief Executive Officer or the Board as appropriate.
- Delegations must only be exercised in the employee's normal area of authority unless they have written approval to act in a position, e.g. during a permanent incumbent's absence.
- All delegations to persons acting in roles must be in writing.
- All managers must ensure that all employees in their area of organisational responsibility are aware of and comply with this Policy.
- Where an item of expenditure is not specifically mentioned or there is any other ambiguity in this Policy, please refer to the General Manager or, in his/her absence the Chief Executive Officer.
- Individuals must seek approval from the delegated authority level.
- No member of staff can authorise expenditure in relation to themselves.

SCOPE

This Policy covers the following areas:

- Business Plan & Budget
- Strategic Items
- Capital Expenditure – budgeted and unbudgeted
- Operating Expenditure – budgeted and unbudgeted
- Governance
- Insurance
- Human Resources

The limits of authority established by this Policy supersede all other delegations, unless otherwise noted in the NEAS Constitution.

Unless shown otherwise, monetary limits are expressed in Australian dollars. For application in other currencies, monetary limits should be converted at the prevailing exchange rate.

BREACH OF THIS POLICY

Any breach of this Policy may result in disciplinary action.

Delegated Authority Matrix

| Area of Delegation | Board | Level 1 Chief Executive Officer | Level 2 Manager level |
|---|---|---|---|
| <u>Budget & Business Plan</u> | Approve annual business plan and budget with provision for quarterly re-forecasts | Develop and recommend annual business plan & budget to the Board Implement budget & business plan as approved by the Board | Implement budget & business plan as approved by the Board |
| <u>Strategic items</u> This includes new projects, business development | Approve | Recommend to the Board for approval | Nil |
| <u>Budgeted Capital expenditure (items to values below)</u> | | | |
| < OR = \$25,000 (e.g. information and communication technology, furniture and fixtures, etc.) | | Approve if within Board approved budget | Nil |
| >\$25,000 | Approve | Recommend to the board, including a cost/benefit analysis and business case | Nil |
| <u>Non-budgeted Capital expenditure</u> | | | |
| All items | Approve | Recommend to the board | Nil |
| <u>Budgeted Operating expenditure (items to values below)</u> | | | |
| Except as provided below if < OR = \$30,000 | | Approve if within Board approved budget | <\$10,000 if within Board approved budget |
| >\$30,000 | Approve | Recommend to the board | Nil |
| Expenditure by the CEO and staff | Chair to approve expenditure by the CEO | CEO to approve expenditure by senior managers, if within budget. To Board as variation to budget | Senior managers to approve expenditure of own staff if within budget. To CEO, then Board, if variation to budget |
| Overseas travel | Approve | Recommend to Board with rationale/benefits | Recommend to CEO, then Board |
| Premises leases/rent | Approve any new leases or | Approve if within approved budget and existing lease | - |

| Area of Delegation | Board | Level 1 Chief Executive Officer | Level 2 Manager level |
|--|---|---|--------------------------|
| | material variation to current lease | | |
| Advertising/sponsorship | Approve budget and items to same supplier to values over \$25,000 | Up to \$25,000 (for items to same supplier) if within approved budget | Recommend to CEO |
| Consultancies | Approve budget and items to same supplier to values over \$30,000 | Up to \$30,000 (for items to same supplier) if within approved budget | Recommend to CEO |
| <u>Non-budgeted Operating expenditure</u> | | | |
| < OR = \$25,000 | | Approve and advise Board | Nil |
| >\$25,000 | Approve | Recommend to the Board | Nil |
| <u>Treasury*</u> | | | |
| Investments | Approve | All investment proposals to Board for approval | Nil |
| Bank guarantees | Approve | Recommend to the Board | Nil |
| Bank accounts | | Approve and advise Board | Nil |
| Bank account signatories – establish or change | | Approve and advise Board – two members of staff acting jointly to always be signatories | Nil |
| <u>Governance</u> | | | |
| Policies | Approve | Recommend to the Board | Nil |
| Company Secretary | Nominate Independent Director to act as Company Secretary. Functions are delegated to CEO. | Refer to Appendix 1 | |
| <u>Insurance</u> | | | |
| Company Insurance Policies (including changes to those Policies) | Approve | Recommend | Nil |
| <u>Human Resources</u> | | | |

| Area of Delegation | Board | Level 1 Chief Executive Officer | Level 2 Manager level |
|---|------------------------------|--|--------------------------|
| Board remuneration | Within limits set by members | | |
| Appointments, promotions, dismissals and contracts for employees, consultants and contractors | Approve for CEO | Approve for staff | Nil |
| Remuneration, annual performance bonuses and remuneration reviews | Approve for CEO | Approve for staff within budgeted amounts | Nil |
| Leave, overtime, allowances, expenses | Chair to approve for CEO | Approve for staff | |
| <u>Revenue</u> | | | |
| Fees | Set fees | Implement within Board approved parameters | |

- To maintain a registered office, and to notify ASIC/ACNC of any change within 28 days;
- To lodge notices with ASIC/ACNC regarding personal details of directors and secretaries;
- To lodge financial reports with ASIC
- Managing board processes – board and committee papers and circulation of agendas, minutes, discussion papers, proposals for the board and its committees;
- Ensuring members' and directors' meetings are properly called and held;
- Ensuring the necessary registers are established and properly maintained and ensuring that the company's financial records are maintained, and reports prepared in accordance with the requirements of the Act;
- Ensuring records of members' and directors' meetings are kept in compliance with the Act and the organisation's constitution
- Understanding and ensuring the company complies with its statutory obligations, ensuring requirements
- of ASIC and other regulators are met, including continuous disclosure;
- Providing or procuring advice for directors regarding application of the Act, company constitution, ASX requirements and other legal
- and regulatory requirements;
- Development, implementation, communication and maintenance of compliance policies, processes and procedures.

15. GRIEVANCE RESOLUTION

CONFLICT / GRIEVANCE RESOLUTION

Outcome

Effective and harmonious resolution of issues within the Board.

Policy Statement

The Board has mechanisms in place to deal with conflict and grievances that threaten the effectiveness of Board operation.

Process

In implementing this policy the Board ensures that:

- a. There is an opportunity at each Board meeting for Directors to reflect and raise any concerns or issues.
- b. A process for addressing conflict has been established and is followed. Actions are taken to achieve resolution and attempt to prevent similar occurrences.

GRIEVANCE PROCEDURE

Outcome

Provide effective guidelines for the resolution of grievances within the Board.

Policy Statement

Where the Board or a director seeks to resolve a grievance within the Board the following procedure will be implemented.

Definition of Grievance

The Board has determined that a grievance can be identified as unresolved issues which disrupt the functioning of the Board.

Process

Should a grievance arise Directors could implement the following as appropriate:

- Attempt to resolve grievances as quickly and as close to the source as possible
- Attempt to resolve issues internally with consideration to due process
- Work to clearly identify and document issues of concern and actions taken to resolve the grievance
- Utilise Board reflection time as the first opportunity to raise any issues regarding decision making processes and conduct as a group
- Where conflict continues between Directors and key advisors of the Board, the Chair should arrange to meet with parties in an attempt to identify and resolve the issues
- Where issues relate to the conduct of the Chair, other Directors will agree and record a mechanism to resolve the issues with the Chair.
- Where issues relate to the conduct of the CEO, Directors will agree and record a mechanism to resolve the issues with the CEO. The CEO may have access to an independent mediator.
- Where the issue is seen to be disruptive to Board business, the Board as a whole should be consulted.

Date Effective

April 2017

| Date to be Reviewed | Board Meeting Reviewed | Board Comments |
|----------------------------|-------------------------------|-----------------------|
| April 2018 | | |
| June 2019 | | |

16. PRIVACY

WHO WE ARE

Our website address is: <https://www.neas.org.au>

WHAT PERSONAL DATA WE COLLECT AND WHY WE COLLECT IT

Comments

When visitors leave comments on the site, we collect the data shown in the comments form, and also the visitor's IP address and browser user agent string to help spam detection.

An anonymised string created from your email address (also called a hash) may be provided to the Gravatar service to see if you are using it. The Gravatar service privacy policy is available here <https://automattic.com/privacy>. After approval of your comment, your profile picture is visible to the public in the context of your comment.

Media

If you upload images to the website, you should avoid uploading images with embedded location data (EXIF GPS) included. Visitors to the website can download and extract any location data from images on the website.

Your Subscription

Inserting your name and email into our newsletter subscription allows us to send you a bi-weekly newsletter under NEAS NEWS. This service may include advertisements from our sponsors, under our bi-weekly newsletter. Your contact information stored via subscribing will never be given out to 3rd parties.

If you would like to unsubscribe you can contact us at neas@neas.org.au or unsubscribe when you receive your next NEAS NEWS.

Cookies

If you leave a comment on our site you may opt-in to saving your name, email address and website in cookies. These are for your convenience so that you do not have to fill in your details again when you leave another comment. These cookies will last for one year.

If you have an account and you log in to this site, we will set a temporary cookie to determine if your browser accepts cookies. This cookie contains no personal data and is discarded when you close your browser. When you log in, we will also set up several cookies to save your login information and your screen display choices. Login cookies last for two days, and screen options cookies last for a year. If you select "Remember Me", your login will persist for two weeks. If you log out of your account, the login cookies will be removed. If you edit or publish an article, an additional cookie will be saved in your browser. This cookie includes no personal data and simply indicates the post ID of the article you just edited. It expires after 1 day.

Embedded content from other websites

Articles on this site may include embedded content (e.g. videos, images, articles, etc.). Embedded content from other websites behaves in the exact same way as if the visitor has visited the other website.

These websites may collect data about you, use cookies, embed additional third-party tracking, and monitor your interaction with that embedded content, including tracing your interaction with the embedded content if you have an account and are logged in to that website.

Analytics

Who we share your data with

The data we share is for promotional and charitable purposes only and does not include any personal information. Data is mined using google analytics and stored based on the recommended settings of google.
How long we retain your data

If you leave a comment, the comment and its metadata are retained indefinitely. This is so we can recognise and approve any follow-up comments automatically instead of holding them in a moderation queue. For users that register on our website (if any), we also store the personal information they provide in their user profile. All users can see, edit, or delete their personal information at any time (except they cannot change their username). Website administrators can also see and edit that information.

What rights you have over your data

If you have an account on this site, or have left comments, you can request to receive an exported file of the personal data we hold about you, including any data you have provided to us. You can also request that we erase any personal data we hold about you. This does not include any data we are obliged to keep for administrative, legal, or security purposes.

Where we send your data

Visitor comments may be checked through an automated spam detection service.

Your contact information

Please contact neas@neas.org.au for any other information regarding personal data.

How we protect your data

Your data is stored via Campaign Monitor on their online database. This is stored using Two-factor authentication and are aligned with the ISO 27001 standard. For more information on the security of the data of Campaign monitor please visit www.campaignmonitor.com/trust/security/

17. EXTERNAL CONDUCT

EXTERNAL CONDUCT STANDARD 1: ACTIVITIES AND CONTROL OF RESOURCES

- Take reasonable steps to ensure its activities outside Australia are consistent with its not-for-profit purpose and character
- Maintain reasonable internal control procedures to ensure that funds, equipment, supplies and other resources are used outside Australia in a way that is consistent with the charity's not-for-profit purpose and character, and
- Take reasonable steps to ensure that funds, equipment, supplies and other resources provided to third parties outside Australia (or within Australia for use outside Australia) are applied:
- In accordance with the charity's not-for-profit purpose and character, and
- With reasonable controls and risk management processes in place.

Controls

1. Ensure all overseas activities and funding requests are properly approved. Have clear policies outlining the approval process and keep records of decisions.
2. Make sure the charity's funds and projects are approved by more than a single person.
3. Use secure, monitored services when transferring funds – for example, formal banking systems – and ask recipients to confirm receipt of the funds.
4. Check the reputation and experience of third parties to decide whether they are suitable and whether they share the charity's values.
5. Make sure third parties have appropriate management policies and procedures.
6. Have written agreements with third parties that clearly set out the functions and responsibilities of everyone involved.
7. Have thorough recruitment procedures for staff and volunteers that include appropriate background checks.
8. Monitor overseas projects – including those undertaken by third parties – and ask for regular reports on progress and finances. Review the progress reports at each board meeting.
9. Establish procedures to detect wrongdoing – keep records of transactions and review them to ensure they're accurate and consistent with approved funding levels.
10. Keep a register of the charity's equipment and monitor its use. Make sure the equipment is stored securely.
11. Monitor the continued eligibility of the charity's beneficiaries.
12. Make sure the charity has a process that allows people to report suspected wrongdoing without fear, recrimination or disadvantage.

EXTERNAL CONDUCT STANDARD 2: ANNUAL REVIEW OF OVERSEAS ACTIVITIES AND RECORD-KEEPING

- The records must be kept for each financial year in which a charity:
- operates outside of Australia, or
- gives funds or other resources to third parties for use outside Australia.

Controls

- the types of activities it conducted outside Australia on a country-by-country basis
- details of how its activities outside Australia enabled it to pursue and achieve its purpose on a country-by-country basis
- details of all expenditure relating to its activities outside Australia on a country-by-country basis

- details of any procedures and processes it used to monitor its overseas operations
- a list of the third parties it worked with outside Australia
- details of any documented claims of inappropriate behaviour by its employees or Responsible Persons outside Australia, and actions it took in response. This might involve documenting information if it breaks Australian or overseas laws or breaches its own code of conduct.

A charity's records should be:

- complete, accurate and legible
- prepared on a timely basis
- kept in English or in a form that can be easily translated to English
- stored safely
- kept for at least 7 years.

EXTERNAL CONDUCT STANDARD 3: ANTI-FRAUD AND ANTI-CORRUPTION

External Conduct Standard 3 requires a charity to take reasonable steps to:

- minimise any risk of corruption, fraud, bribery or other financial impropriety by its Responsible Persons, employees, volunteers and third parties outside Australia, and
- identify and document any perceived or actual material conflicts of interest for its employees, volunteers, third parties and Responsible Persons outside Australia.

Controls

- Have clear policies and adequate controls for proper and ethical financial management. Ensure staff, volunteers and others that work with the charity are familiar with them
- Establish thorough and appropriate recruitment procedures for staff and volunteers, particularly for anyone with financial or project oversight
- Supervise staff involved in fundraising, managing money or financial reporting
- Keep detailed financial records and regularly check financial statements for any signs of financial wrongdoing
- Have a way for staff, volunteers and others that work with the charity to report suspected wrongdoing without fear, recrimination or disadvantage
- Implement a clear conflicts of interest policy and keep an updated conflicts of interest register. Address any conflicts of interest when selecting third parties.
- Thoroughly check a third party's reputation and experience before choosing to work with them. Make ethical conduct and good financial oversight a key criterion when selecting partners
- Ensure there is a clear written agreement with each third party that sets out the functions and responsibilities of the people involved, and properly monitors activities.

EXTERNAL CONDUCT STANDARD 4: PROTECTION OF VULNERABLE INDIVIDUALS

External Conduct Standard 4 requires a charity to take reasonable steps to ensure the safety of vulnerable individuals overseas. It applies where individuals are:

- being provided with services or accessing benefits under programs provided by the charity (whether directly or through collaboration with a third party)
- engaged by the charity, or a third party in collaboration with the charity, to provide services or benefits on behalf of the charity or third party.

Controls

- Develop a policy that commits the charity's staff, volunteers, third parties and visitors to protecting vulnerable individuals. Make the safety of vulnerable people an important criterion when selecting third parties.
- Develop a code of conduct outlining appropriate behaviour when working with vulnerable people.
- Ensure staff, volunteers and visitors are aware they must report suspected abuse within the charity.
- Ensure the privacy of vulnerable people is always protected.
- Establish thorough staff and volunteer recruitment processes, including adequate background checks.
- Ensure staff and volunteers are suitably qualified in safeguarding vulnerable people and properly supervised when working with them.
- Have a procedure for confidential complaints that is accessible for all vulnerable persons, staff, volunteers and third parties. Deal with complaints appropriately, sensitively and promptly.
- Ensure staff and volunteers working overseas have access to suitable housing, food, insurance, medical services and communications. Establish an emergency exit plan for staff and volunteers working in conflict zones or other dangerous locations.
- Thoroughly check the legal status, reputation and procedures of third parties. Ensure they have the appropriate registrations and licenses to conduct activities with vulnerable people, and that they meet required standards. Have written agreements that clearly set out roles and responsibilities of third parties and monitor third parties' activities through regular reporting and checks.

18. NEAS CODE OF ETHICS

This Code of Ethics is a statement of the ethical principles, values and behaviours expected of staff at NEAS. It flows from the following statements in NEAS' Strategic Plan:

NEAS: VISION

LEAD GLOBAL PRACTICE IN QUALITY ASSURANCE IN EDUCATION & TRAINING

NEAS: MISSION

- Support the achievement of quality outcomes for Education & Training globally
- Advance Global Quality Assurance in Education & Training
- Empower knowledge partnerships with Education & Training communities

NEAS: PRINCIPLES

| QUALITY ASSURANCE | SCOPE AND RECOGNITION | PARTNERSHIPS | PEOPLE AND CULTURE |
|--|---|---|--|
| Quality is at the heart of everything we do. | We are the global leaders and innovators in quality assurance | Strategic engagement underpins our services. We position for purpose. | We strive for excellence, we listen, we learn. We are here to make a difference. |

The Code of Ethics is intended to assist staff to identify and resolve ethical issues that might arise during their employment. It is designed to guide them in their dealings with staff, providers, members and local, national and international communities. The Code of Ethics puts forward a set of general principles rather than detailed prescriptions. It stands beside, but does not exclude or replace, the rights and obligations of staff and students under common law or legislation. The Code of Conduct then provides more specific information about the organisation's policies, rules and expectations based on these principles.

The Code of Ethics is based on three universal ethical principles. These are:

Equity and Justice

People are to be treated fairly – not discriminated against, abused or exploited. Justice is concerned with power sharing and preventing the abuse of power. In a just community all members can access opportunities that allow for their full participation in that community.

Respect for People

People should be treated as individuals with rights to be honoured and defended. Respect empowers others to claim their rights and to achieve their potential. Respect for the rights of other people is the basis on which individuals become members of a community and accept their social responsibilities to behave with integrity. Membership of a community means that individuals not only have rights but also duties and responsibilities to others to act openly and honestly. Demonstrating respect for persons requires, for example, dealing with disagreements by reasoned argument rather than by using language (words, style and tone) that have the effect of inappropriately attacking or demeaning the listener.

Personal and Professional Responsibility

The principle of taking personal and professional responsibility requires not only that people avoid doing harm to others but also that they exhibit courteous behaviour, upholding the standards expected of all members of the ELT community as part of achieving a common good. In so doing they are expected to protect the rights of others and respect the diversity of cultures and peoples. Those well positioned to assert their rights have a reciprocal duty to exercise care towards those who depend on them for their wellbeing. This principle involves

stewardship of assets, resources and the environment. When a conflict arises between a staff member's self-interest and duty to NEAS, the issue should be disclosed to an appropriate manager.

The Code of Ethics underpins a Code of Conduct that outlines the actions or procedures applicable to employees at NEAS for a range of specific ethical issues.

NEAS CODE OF CONDUCT

The Code of Conduct is based on principles, values and behaviours outlined in the Code of Ethics. This Code applies to all staff of NEAS. Contractors, their employees and representatives, and visitors engaging in any endorsement-related activity are expected to conduct themselves in a manner consistent with this Code.

The Code of Conduct underlines:

- The rights of employees to be treated fairly and equitably in the workplace;
- Avenues for resolving complaints or breaches of policies and Codes; and

The legal and ethical obligations and expectations of all staff to act in accordance with the expressed standards of conduct, integrity and accountability contained in relevant legislation, company policies and Agreements.

The objectives of the Code are to:

- Provide direction to staff and students around expected conduct whilst affiliated with the organisation;
- Assist staff and students in dealing with ethical issues in ways that reflect NEAS values and standards;
- Promote professionalism and excellence;
- Express shared assumptions and organisational values;
- Provide staff and members with direction in ethically ambiguous situations;
- Detail the organisation's social responsibilities; and
- Provide a statement on public accountability and corporate governance.

The Code does not supersede other policies or agreements NEAS has in place. The Code of Conduct does not and cannot cover every possible situation. You can, however, test yourself on whether your behaviour is ethical by asking yourself five questions:

- Would I be happy to have what I am saying or doing be on the public record or appear on the front page of the newspaper?
- Does what I am saying or doing serve a purpose beyond self-interest?
- Would I like to be spoken to or treated in this way?
- How will taking this action reflect on my character, or the reputation of the organisation?
- What would the organisation be like if we all made decisions like this or behaved in this way?

Obligation of Individuals

Individuals employed at NEAS are responsible for their own behaviour and obliged to conduct themselves in the following manner with regard to each and every undertaking associated with NEAS business:

- Behave honestly and with integrity;
- Act with care and diligence;
- Treat everyone with respect and courtesy and without harassment;
- Use NEAS property and money efficiently, carefully and honestly with due authorisation and without misappropriation;
- Comply with all applicable laws;
- Comply with any lawful or reasonable direction given by a person with the authority to give the direction;
- Behave in a way that upholds the values, integrity and reputation of NEAS

Failure to act in accordance with these obligations can be a cause for investigation and appropriate remedial action.

19. COMPLAINTS MANAGEMENT

Policy Objective

To provide a consistent framework that promotes the timely and equitable resolution of complaints raised by NEAS members, external stakeholders and members of the public.

Policy Statement

NEAS recognises that complaints may arise from time to time that need to be dealt with and appropriately managed. The procedure illustrates the framework for managing and resolving complaints or concerns raised by NEAS members, external stakeholders and members of the public.

If a formal complaint is made more than 12 months after the event complained of, the Complainant will need to show cause to the General Manager as to why the complaint should be considered. NEAS does not typically respond to anonymous complaints under this procedure but will treat all complaints as confidential.

Procedure

1. A complaint is to be submitted in writing and addressed to the General Manager. Complaints can be submitted electronically via neas@neas.org.au or in a physical format to:

General Manager
NEAS
Level 211, 25-29 Berry Street
North Sydney. NSW 2060

2. The General Manager or delegated staff member acknowledges receipt of the complaint and responds to the Complainant by email in writing, informing them of a pending outcome within 28 days.
3. Complaints relating to NEAS service levels:
 - are sent to the Operations Manager
 - a response will be sent to the Complainant in writing within 28 days
4. If the Complainant is dissatisfied with the outcome of the procedure, they have 28 days from the date of the final correspondence to submit an appeal in writing, addressed to the Chief Executive Officer. Appeals can be submitted electronically via ceo@neas.org.au or in a physical format to:

Chief Executive Officer
NEAS
Level 211, 25-29 Berry Street
North Sydney. NSW 2060

5. The complaint or appeal will be reviewed at the next scheduled Board Meeting.
6. The Board considers the complaint or appeal and notifies the Complainant of its decision in writing via the Chief Executive Officer. The correspondence is to be filed electronically.
7. Matters relating to a Centre's Quality Endorsement are addressed in NEAS' Appeals Against Decisions of the NEAS Accreditation/Quality Endorsement Committee Policy.

Linked Documents

Policy – Appeals Against Decisions of the NEAS Accreditation (and/or Quality Endorsement) Committee