

Australian Education Union

Northern Territory Branch

Financial Management Policies

Version 1

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Change Register

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1.0	24/07/2025	Policy Adopted
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FINANCIAL MANAGEMENT POLICY V1

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Section 1: Background

1. Background

- (a) The Branch Executive has adopted this overarching financial management policy to streamline its suite of policies and to make it easier for Branch Executive Members, Branch Conference Delegates and employees to identify the Branch's financial management processes including in respect of expenditure.
- (b) All employees and Branch Executive Members must familiarise themselves with this Policy.
- (c) The Federal Executive is responsible for making, and amending, the AEU Rules. To the extent of any inconsistency between this Policy and the AEU Rules, the AEU Rules will prevail.
- (d) The Branch Conference is responsible for making, and amending, the Branch Rules. To the extent of any inconsistency between this Policy and the Branch Rules, the Branch Rules will prevail.
- (e) To the extent of any inconsistency between the AEU Rules and the Branch Rules, the AEU Rules will prevail.
- (f) Insofar as this Policy applies to employees, it is to be read in conjunction with the Employment Conditions Policy.
- (g) Employees who breach this Policy may be subject to disciplinary action, up to and including the termination of their employment.

2. Amendments to this Policy

- (a) This policy, and the clauses contained within it, may be amended by the Branch Executive.
- (b) The Secretary may make minor and incidental amendments to this policy that are administrative in nature, such as updating clause numbers and correcting typographical errors.
- (c) The Secretary is not able to make any changes that materially change the meaning or effect of the policy without approval from the Branch Executive.
- (d) This Policy should be reviewed as regularly as the Branch Executive thinks fits and should be reviewed at least once each year following the election of the Branch President or Branch Secretary (as the case may be).
- (e) The Branch Executive will determine a process for addressing disputes arising under this Policy as soon as reasonably practicable.

3. Definitions

3.1 The following definitions apply to this Policy:

- (a) **Act** means the *Fair Work (Registered Organisations) Act 2009* (Cth) or any successor to that legislation;
- (b) **AEU** means the Australian Education Union, an organisation registered pursuant to section 26 of the Act or any successor to that provision;

Section 3: Definitions

- (c) **AEU Rules** mean the Australian Education Union Federal Rules as registered with the Fair Work Commission and as amended from time to time;
- (d) **Branch** means the AEU, Northern Territory Branch;
- (e) **Branch Card** includes any form of financial card linked to a bank account in the name of the Branch;
- (f) **Branch Rules** means the annexure of the AEU Rules in relation to the Branch;
- (g) **Conflict of interest** includes:
 - (i) Where an interest interferes with the proper performance of an employee's or Branch Conference Delegate's duties or responsibilities (actual conflict of interest);
 - (ii) Where an interest may be perceived to interfere with the proper performance of employee's or Branch Conference Delegate's duties or responsibilities, whether or not that is actually the case (apparent conflict of interest); and
 - (iii) Where an interest may interfere with the proper performance of an employee or Branch Conference Delegate's duties or responsibilities in the future (potential conflict of interest).
- (h) **Branch Conference Delegate** means the persons referred to at Branch Rule 7(a), namely the Branch Executive Members and Sub-Branch Delegates;
- (i) **Branch Executive Member** means each member of the Branch Executive that occupies an office listed in Rule 18(a) of the Branch Rules;
- (j) **Employee** means any person in an employment relationship with the AEU in respect of the Branch and, unless the contrary intention appears, includes the FTOs;
- (k) **Immediate family member** means a domestic partner, spouse, child (including adopted), stepchild, parent, step-parent, parent-in-law, grandparent, sibling, and step-sibling;
- (l) **Full-Time Officers** includes, to the exclusion of all others, the Secretary and the President;
- (m) **FTOs** means the Full-Time Officers;
- (n) **Fraud** includes any dishonest activity causing an improper gain to any other person at the Branch's expense or at the possible expense to the Branch, including to the expense of the Branch's reputation. It includes theft, deception with the intention to cause financial advantage (such as falsifying personal leave), intentional destruction of documents, use of falsified documents, and the improper use of information;
- (o) **Material personal interest** means any personal interest in a matter which may cause a person to be positively or negatively affected by a decision of the Branch (including the Branch Executive). They include:
 - (i) any interest that may reasonable influence a Branch Executive Member in respect of how they may vote on a matter;
 - (ii) perceived and actual conflicts of interest;
 - (iii) monetary interests of employees or Branch Executive Members; and

Section 4: Funds and Investments

- (iv) monetary interests of related parties of employees or Branch Executive Members;
- (p) **Material personal interest conflict** means a situation where an employee or Branch Executive Member's duties or responsibilities may be at odds with, or otherwise impact, their material personal interests (including those of their associates);
- (q) **President** means the Branch President referred to in Rule 18(a)(i) of the Branch Rules;
- (r) **Policy** means the policies and procedures contained in this document;
- (s) **Regional Officer** means a person that occupies a position referred to at Rule 30(a) of the Branch Rules.
- (t) **Related party** has the same meaning as section 9B of the Act, or any successor to that provision;
- (u) **Relative** means a spouse, defacto partner, parent, stepparent, child, stepchild, grandparent or sibling.
- (v) **Secretary** means the Branch Secretary referred to in Rule 18(a)(iii) of the Branch Rules;
- (w) **Senior Officers Committee** means the President, Secretary and Treasurer and such other Branch Executive Members as determined by the Branch Executive; and
- (x) **Treasurer** means the Branch Treasurer referred to in Rule 18(1)(iv) of the Branch Rules.

4. Funds and Investments

- (a) The funds and property of the Branch will form the Branch Fund in accordance with the AEU Rules and Branch Rules.
- (b) The Branch Executive will apply the funds and property of the Branch in accordance with Branch Rule 99.

5. Branch vehicles

5.1 Application

- (a) This policy and these procedures apply to all employees that have access to a Branch vehicle, including FTOs.

5.2 Policy principles

- (a) The Branch acknowledges that the provision of vehicles and other Branch property may facilitate employees and FTOs to perform their duties. The provision of vehicles and property may also assist to attract and retain talented personnel.
- (b) Employees (including the FTOs) are permitted reasonable use of Union vehicles for personal needs where such use does not interfere with Union business, involves minimal additional expense to the Branch, involves minimal additional risk to the Branch, and conforms to the terms of this Policy.
- (c) Branch vehicles and other property must be treated with care to maximise their lifespan.

5.3 Use of vehicle procedure

Section 5: Branch vehicles

- (a) The Branch Executive will determine, shortly prior to the commencement of a FTO's term of office, whether that the holder of that office is entitled to the use of a Branch vehicle, and whether the holder of that office is entitled to use that vehicle for reasonable personal use.
- (b) The Branch Executive will determine, when deciding to employ an employee, whether that person is entitled to the reasonable personal use of a Branch vehicle as a condition of their employment.
- (c) The Branch Executive will determine what vehicle, if any, FTOs and employees are to use and whether they are entitled to keep possession of that vehicle outside ordinary business hours.
- (d) If a FTO or other employee is entitled to have possession of a vehicle, that FTO or employee is responsible for ensuring that the vehicle is:
 - (i) roadworthy;
 - (ii) regularly serviced;
 - (iii) repaired promptly;
 - (iv) clean and tidy; and
 - (v) subject to regular tyre and water and oil level checks.
- (e) The Secretary is responsible for ensuring that all Branch vehicles are legally registered and insured.
- (f) The Branch will pay all reasonable costs associated with maintaining the Branch's vehicles in good working order, registration and insurance.
- (g) The Branch Executive has the right to decide what vehicles are purchased and sold by the Branch.
- (h) FTOs and other employees may only drive a Branch vehicle if they are appropriately licensed to drive that type of vehicle.
- (i) If a person is not entitled to the use of a Branch vehicle as a condition of their employment, they may (with permission of the Secretary) use a Branch vehicle for work-related purposes, provided that the vehicle is returned to the Branch office as soon as practicable after the work has been performed.
- (j) If a Branch vehicle in the possession of an employee (including FTOs) is parked at or near the Union office during business hours, the employee must make that Branch vehicle and the fuel card associated with that vehicle available for use by others for work-related purposes.
- (k) If an employee (including an FTO) takes a period of pre-planned leave exceeding one week, they must make the Branch vehicle and the fuel card associated with that vehicle available for use for work-related purposes during the period of that leave.
- (l) If a FTO or other employee uses a Branch vehicle, they must keep a logbook of the journeys that they have driven, which accurately records both business and private use, and complies with the requirements of the Australian Taxation Office. The logbook is to be provided to the bookkeeper each month for Fringe Benefits Tax purposes.

Section 6: Credit cards, debit cards and fuel cards

- (m) If a FTO or other employee is entitled to use a Branch vehicle for reasonable personal use, it is sufficient for the FTO to record in their logbook the kilometres travelled for personal use, without divulging in the logbook the purpose of each journey.
- (n) If a FTO has the right to the personal use of a vehicle, the Branch Executive must not remove that right unless it is satisfied that there has been a material breach of this Policy, and the FTO has been given natural justice in relation to that breach.
- (o) The Secretary may otherwise determine to remove the right of an employee (other than the President) to use Branch vehicles if, in the reasonable opinion of the Secretary, this Policy has not been complied with, or if they are no longer appropriately licensed to drive that type of vehicle.

6. Credit cards, debit cards and fuel cards

6.1 Application

- (a) This policy and these procedures apply to all employees and Branch Executive Members.

6.2 Policy principles

- (a) The Branch acknowledges that, when used appropriately, Branch Cards, including all credit cards and other financial transaction cards such as debit cards and fuel cards linked to a Branch account, can enable FTOs and Branch employees to discharge their duties and functions more efficiently.
- (b) The Branch also acknowledges that the potential for the misuse of Branch Cards may risk the Branch's funds and adversely impact the interests of members that have contributed to those Branch funds.
- (c) It is imperative that all use of Branch Cards is in accordance with this policy and all employees and Branch Executive Members must comply with the procedures below.

6.3 Issuing of Branch Cards procedures

- (a) The FTOs are entitled to be issued with a debit or credit card.
- (b) Any FTO or employee that is entitled to have possession of a Branch vehicle for private and personal use will also be issued with a fuel card which is linked to the vehicle.
- (c) Unless an employee is entitled to a Branch Card as a condition of their employment, the Finance Committee will have discretion to decide whether an employee of the Branch is issued with a Branch Card.
- (d) Branch Cards must only be issued to ongoing employees and to the FTOs in accordance with this Policy.
- (e) The Secretary is responsible for:
 - (i) issuing a Branch Card or Branch Cards to an employee (once approved by the Finance Committee);
 - (ii) issuing a Branch Card or Branch Cards to the Branch President; and

Section 6: Credit cards, debit cards and fuel cards

- (iii) ensuring that, before any Branch Card is issued, the employee or FTO, signs the approved Branch Card declaration form in which the recipient of the Branch Card declares they have read and understood this Policy (the declaration form is contained at **Appendix A**);
- (f) The President is responsible for:
 - (i) issuing a Branch Card or Branch Cards to the Secretary; and
 - (ii) ensuring that, before any Branch Card is issued, the Secretary signs the approved credit card declaration form in which the recipient of the Branch Card declares they have read and understood this Policy (the declaration form is contained at **Appendix A**).

6.4 Use of Branch Cards procedures

- (a) Branch Cards must have credit limits and transaction limits determined by the Finance Committee.
- (b) Branch Cards must be cancelled upon the cessation of a card holder's employment.
- (c) Branch Cards must only be used in accordance with this Policy.
- (d) Branch Cards must only be used for reasonable work-related expenses (other than the purchase of petrol with a fuel card if a FTO or employee has a right to use a Branch vehicle for personal use).
- (e) Reasonable work-related expenses include:
 - (i) payment for parking while conducting Branch business;
 - (ii) payment for travel (e.g., bus tickets) while conducting Branch business;
 - (iii) food and non-alcoholic beverages required while conducting Branch business, such as during travel;
 - (iv) fees associated with industrial matters (e.g., lodgement fees); and
 - (v) other expenses approved by the Secretary.
- (f) Receipts for all expenditure must be retained by the Branch Card holder and dealt with in accordance with the reconciliation process at clause 6.9.
- (g) Branch Card holders must not:
 - (i) use Branch Cards for personal expenditure (other than for the purchase of petrol with a fuel card if a FTO or employee has a right to use a Branch vehicle for personal use);
 - (ii) provide any other person with their issued Branch Card or their Branch Card details, except where it is necessary to do so to promptly incur a work-related expense, or where the Branch Card is a fuel card and it is given to another Branch Executive Member or employee that is using that vehicle;
 - (iii) use Branch Cards in a manner that a reasonable and diligent employee in their position would consider excessive, such as by dining at expensive restaurants;

Section 6: Credit cards, debit cards and fuel cards

- (iv) use Branch Cards for cash advances;
- (v) use Branch Cards to circumvent budget line limits;
- (vi) exceed the limit set for the Branch Card; or
- (vii) use the Branch Card for any transaction which could adversely affect the reputation of the Branch or bring the Branch into disrepute.

6.5 Hybrid transactions procedures

- (a) In the event that a transaction involves both personal use and a reasonable work-related expense, the Branch Card holder must settle the personal part of the transaction before charging the work-related expense to the Branch Card.
- (b) In the event that a Branch Card holder inadvertently charges a personal expense to the Branch Card, they must report this to the Secretary as soon as is reasonably practicable, and repay the amount.
- (c) In the event that the Secretary inadvertently charges a personal expense to the Branch Card, they must report this to the Branch President, and repay the amount.
- (d) This clause does not apply to the purchase of petrol on a fuel card if a FTO or employee has a right to use a Branch vehicle for personal and private use.

6.6 Lost or misplaced Branch Cards procedures

- (a) If a Branch Card holder misplaces or loses their issued Branch Cards, they must report this to the Secretary within 24 hours of becoming aware that the card may be misplaced or lost. If the Secretary is absent, the Branch Card holder must report the lost or misplaced card to the President.
- (b) The Secretary or President must cancel the card as soon as reasonably practicable after being informed that a credit card has been lost.

6.7 Monitoring compliance procedures

- (a) The Secretary is responsible for:
 - (i) monitoring the use of all Branch Cards;
 - (ii) maintaining a register of each card and to whom it has been issued; and
 - (iii) monitoring compliance with these procedures.
- (b) The President is responsible for:
 - (i) monitoring the Secretary's compliance with these procedures;
 - (ii) dealing with matters that involve a conflict of interest for the Secretary.

6.8 Failure to comply with these procedures

- (a) Except in circumstances of fraud, loss or theft, each cardholder will be personally liable for any unauthorised use of Branch Cards.

Section 6: Credit cards, debit cards and fuel cards

- (b) Failure to comply with this policy or these procedures, including by failing to provide receipts within a reasonable timeframe, may result in an employee being directed to forfeit their Branch Card and to instead utilise the reimbursement process at clause 11 of this Policy.
- (c) A direction to forfeit a Branch Card may only be issued by:
 - (i) in the case of a FTO – the Branch Executive;
 - (ii) in the case of another employee – the Secretary.
- (d) The Branch Executive must not direct a FTO to forfeit their Branch Card unless it is satisfied that there has been a material breach of this Policy, and the FTO has been given natural justice in relation to that breach.
- (e) The Senior Officers Committee may suspend a Branch Card at any time if they reasonably suspect that the Branch's funds have been misused by an FTO.
- (f) If the Senior Officers Committee suspends the use of a Branch Card, the affected FTO may apply to the Branch Executive to review that decision. The decision of the Branch Executive will be final.
- (g) The Secretary may suspend a Branch Card used by an employee (other than a FTO) at any time if they reasonably suspect that the Branch's funds have been misused by an employee.
- (h) If an employee is aggrieved by forfeiture or suspension of a Branch Card they may raise their concerns in accordance with any applicable Employment Policy.
- (i) Failure to comply with this policy or these procedures relating to Branch Cards may also result in disciplinary action, up to and including the termination of employment.
- (j) Misuse of a Branch Card may also result in a referral to the police.

6.9 Reconciliation procedures

- (a) Where practicable, each Branch Card holder must provide all receipts to the Branch's accounts officer as soon as practicable and by no later than 7 days after the end of the statement period.
- (b) The relevant Branch Card holder and Accounts Officer must comply with the reconciliation process set out in **Appendix A**.
- (c) The President, Secretary or Treasurer (as the case may be) must not unreasonably refuse to countersign a statement if they believe that the transactions were reasonably incurred for a work-related purpose.
- (d) The Finance Committee will review the monthly Branch Cards reports and report any concerns to the Branch Executive.
- (e) The Branch Executive will review the monthly Branch Cards reports after they have been considered by the Finance Committee.
- (f) If a FTO or employee does not submit receipts or appropriate documentation to support the transactions on a Branch Card within a reasonable time, or if expenses have been incurred that were not for work-related purposes within the meaning of this Policy, the Branch Executive can direct the employee to repay those expenses.



6.10 Return of Branch Cards procedures

- (a) Each card holder must return their Branch Card to the Secretary:
 - (i) on the cessation of their employment; or
 - (ii) when requested by the Secretary.
- (b) In the case of the Secretary, they will return their credit card to the President on the cessation of their employment.
- (c) Once a Branch Card has been returned to the Branch, the Branch Card must be promptly cancelled.

7. Accounting, auditing and financial reporting

7.1 Application

- (a) This policy and these procedures apply to all employees and Branch Executive Members.
- (b) Unless the AEU Rules or the Branch Rules provide otherwise, the financial year of the Branch ends on 31 December in each year.

7.2 Policy

- (a) The Act imposes legal obligations on the Branch with respect to accounting, reporting, and other similar matters. These obligations must be taken seriously.
- (b) Proper financial reporting is critical to ensure that members understand the financial performance and financial position of the Branch.
- (c) The Branch must keep such financial records as correctly record and explain the transactions and financial position of the Branch, including such records required by the Act and the Regulations.
- (d) The Branch Executive must appoint a person having the qualifications prescribed in the Act, and the Regulations, as Branch Auditor.
- (e) The Branch must prepare financial reports, including a general purpose financial report and operating report, in accordance with the Act and the Regulations, as soon as practicable after the end of the financial year.
- (f) The Branch Executive must meet to consider resolving to approve the 'committee of management statement' as soon as practicable after the general purpose financial report has been prepared (**First Meeting**).
- (g) The Branch Secretary must submit the financial reports of the Branch to the Branch Auditor including the committee of management statement approved at the First Meeting.
- (h) The Branch Auditor must have full and complete access to all books and documents of the Branch.
- (i) The Branch Auditor will independently audit the general purpose financial report and operating report and prepare an audit report.

- (j) The Branch must provide to members a copy of the reports required to be provided to the members as required by the Act, including the audit report, within 5 months of the end of the financial year.
- (k) The Branch Executive may resolve, for the purpose of s.26(2) of the Act to provide members of the Branch with a summary of the Branch Auditor's Report, accounts and statements.
- (l) The Branch must invite the Branch Auditor to any meeting of the Branch Executive, or any other governing body, at which the auditor's report is to be considered.
- (m) The Branch Executive must meet to consider the financial reports, including the audit report, after the members have received the material required by the Act, and by no later than 6 months after the end of the financial year (**Second Meeting**).
- (n) The Secretary must sign and lodge a designated officers certificate in the Fair Work Commission within 14 days after the Second Meeting.

8. Approved financial training – Branch Executive

8.1 Application

- (a) This clause applies to all Branch Executive Members.

8.2 Policy

- (a) All members of the Branch Executive must undertake approved financial management training, as required by section 293K of the Act, that covers each of the Branch Executive Member's financial duties, within 6 months of taking up their office, unless an exemption has been granted under the Act.
- (b) The Branch will maintain a register of Branch Executive Members which records the date of their election to their Office and the date that they undertook financial management training.

9. Delegations of authority

9.1 Application

- (a) This policy and these procedures apply to the Branch Executive Members and employees.

9.2 Policy principles

- (a) Delegations of authority can assist in the management of the Branch.
- (b) The authority for all ordinary expenditure belongs to the Branch Executive. However, for operational purposes, the Branch Executive delegates its authority in a manner it deems appropriate.
- (c) All delegations, and the exercise of delegated powers, must be in accordance with this policy and these procedures.
- (d) It is important that all delegations are recorded in a manner transparent to the Branch and all staff.

Section 9: Delegations of authority

9.3 Delegations

- (a) The Branch Executive is the committee of management of the Branch and, when the Branch Conference is not in session, is the supreme governing body of the Branch.
- (b) The Branch Executive is ultimately responsible for the exercise of power in relation to the financial management of the Branch.
- (c) Any delegation of power by the Branch Executive is subject to direction by the Branch Executive regarding how that power is to be exercised.
- (d) The Branch Executive must not delegate the following powers:
 - (i) to adopt the Branch's strategic plan;
 - (ii) to adopt the Branch's business plan;
 - (iii) to adopt the Branch's annual budget;
 - (iv) to approve or amend the committee of management statement required by the Act;
 - (v) any other powers that are expressly reserved for the Branch Executive under the Branch Rules.
- (e) The Branch Executive has resolved to delegate to the positions in the delegations register at **Appendix B** the responsibilities and powers set out in the register.
- (f) Delegations attach to the position and not to the person appointed to, or employed in, the position.
- (g) All delegations must be exercised in accordance with the Act, the rules and this Policy.
- (h) Any Branch Executive Members may recommend to the Branch Executive changes to the delegations register.
- (i) No change to the delegations register will be effective unless recorded in the minutes of a Branch Executive meeting.
- (j) Persons properly authorised to "act" in a position will be able to exercise the delegation of that position unless the Secretary determines otherwise.
- (k) Powers expressly reserved for the following under the Rules cannot be delegated to the Secretary:
 - (i) Branch Conference;
 - (ii) Branch Executive; or
 - (iii) another Branch Executive Member.

9.4 Delegations register

- (a) The Secretary must maintain the delegations register, which will be accessible to all staff as **Appendix B** to this Policy.
- (b) The Branch Executive may amend the delegations register by resolution.

9.5 Sub-Delegations

Section 10: Governance

- (a) Sub-delegations are discouraged except in circumstances where they are necessary to ensure the continued and effective operation of the Branch, such as when a Branch Executive Member or employee is on leave for less than three weeks.
- (b) Where a FTO sub-delegates a function, they must promptly notify the Branch Executive in writing explaining the function that has been delegated and the dates for which the sub-delegation applies.
- (c) Where a Branch Executive Member or employee (other than the FTOs) sub-delegates a function, they must promptly notify the Secretary in writing explaining the function that has been delegated and the dates for which the sub-delegation applies.
- (d) A person who sub-delegates a function remains responsible for the appropriate exercise of the powers or responsibilities of their office or position.

10. Governance

10.1 Application

- (a) This policy and these procedures apply to all employees, Branch Executive Members and Branch Conference Delegates.

10.2 Policy principles

- (a) Governance and financial management of the Branch is conducted in a manner that is:
 - (i) effective;
 - (ii) transparent;
 - (iii) accountable; and
 - (iv) prudent.
- (b) The Branch Executive is responsible for the financial management of the Branch. It is responsible for the prudent management and oversight of the Branch's finances to pursue the Branch's strategic direction and promote the interests of the Branch.
- (c) When the Branch Conference is not in session, the Branch Executive is the supreme governance body of the Branch. Subject only to the Branch Conference, it is responsible for the Branch's strategic direction, compliance with the Branch's legal obligations, overseeing governance, monitoring leadership, among other things.
- (d) The Finance Committee is a subcommittee of the Branch Executive. It serves to support the Branch Executive's financial management of the Branch by providing recommendations to the Branch Executive on matters relevant to the financial management of the Branch and performing such other functions as have been delegated to it.
- (e) The Senior Officers Committee is a subcommittee of the Branch Executive. Its primary purpose is to deal with urgent business that arises between meetings of the Branch Executive that cannot wait to be dealt with by the Branch Executive.
- (f) The Full-Time Officers (the Secretary and the President) are responsible for day-to-day operational matters, subject to the strategic direction adopted by, and resolutions of, the Branch Executive and Branch Conference, and the policies of the Branch.

Section 10: Governance

- (g) This clause relates to governance and financial matters and serve to clarify, and draw attention to, the exercise of powers in accordance with the Branch Rules.

10.3 Branch Conference responsibilities

- (a) The Branch Conference is not responsible for financial management and cannot exercise powers that relate to financial management.
- (b) The Branch Conference otherwise has the power to manage and control the affairs of the Branch, including by amending the Branch rules or directing that the opinion of financial members be obtained on any question by way of plebiscite.

10.4 Branch Executive responsibilities

- (a) The Branch Executive is responsible for:
 - (i) Monitoring and ensuring the Branch's compliance with its legal and financial obligations, along with the objectives, purposes and values of the Branch contained in the Rules;
 - (ii) Ensuring good organisational governance, including by setting and approving policies, making plans, monitoring the Branch's performance against its plans and budgets, establishing sub-committees permitted by the Rules;
 - (iii) Overseeing and monitoring the Branch's finances, including by reviewing, setting, and approving budgets, monitoring the Branch's use of its finances, and overseeing the work of the Finance Committee;
 - (iv) Delegating financial decision making from time to time, in accordance with the delegations register, including to the Finance Committee;
 - (v) Financial reporting, including by considering and approving annual financial statements and reports required by the Act;
 - (vi) Monitoring the performance of the Full-Time Officers, including ensuring that the Secretary maintains all financial records and retains such records for the seven year period required by s 252 of the Act;
 - (vii) Dispute resolution in accordance with the Rules; and
 - (viii) Following resolutions of the Conference, with the exception of any resolutions of the Conference in relation to financial matters.

10.5 Role of the Finance Committee

- (a) The Finance Committee is to meet at least once a month, with the exception that the Finance Committee is not required to meet in January of each year.
- (b) The Finance Committee is comprised of:
 - (i) the Secretary;
 - (ii) the Treasurer; and
 - (iii) such other members as determined by the Branch Executive.

Section 10: Governance

- (c) The President is not a voting member of the Finance Committee but is entitled to observe any meeting of the Finance Committee.
- (d) In the event of a tied vote of the Finance Committee, the casting vote may be exercised by the Treasurer.
- (e) The role of the Finance Committee is to make recommendations to the Branch Executive on matters relevant to the financial management of the Branch.
- (f) The Finance Committee has also been delegated by Branch Executive the responsibilities outlined elsewhere in this policy and summarised in the delegations register.

10.6 Role of the Senior Officers Committee

- (a) The Senior Officers Committee is comprised of:
 - (i) the President;
 - (ii) the Secretary;
 - (iii) the Treasurer; and
 - (iv) such other members of the Branch Executive as determined by the Branch Executive (if any).
- (b) The Senior Officers Committee is delegated the power to make decisions in place of the Branch Executive in circumstances where:
 - (i) an urgent decision must be made;
 - (ii) time is of the essence; and
 - (iii) the Branch Executive would be unable to deal with the matter before the decision must be made.
- (c) The Senior Officers Committee may make a decision under sub-clause (b) if:
 - (i) any member of the Senior Officers Committee convenes a meeting, by giving as much written notice as is practicable in the circumstances, and a majority of the members of the Senior Officers Committee resolve to make the decision; or
 - (ii) a majority of the members of the Senior Officers Committee resolve to make the decision in writing, including by email.
- (d) The Senior Officers Committee may meet by whatever means is practicable in the circumstances, including telephone or audiovisual technology.
- (e) The Secretary may call upon any employee or contractor to attend a meeting of the Senior Officers Committee to provide support, information or technical advice to the committee.
- (f) All decisions of the Senior Officers Committee must be reported to Branch Executive at the first Branch Executive meeting to follow the making of the decision(s) for review and, if appropriate, ratification.
- (g) The Senior Officers Committee may also meet at such other times as it sees fit to discuss the affairs of the Branch.

Section 11: Reimbursements

10.7 Absence of the senior officers

- (a) As provided for by the Branch Rules, in the absence of the President, the Vice-President (General) or Vice-President (TAFE) will occupy the chair, conduct the business and perform the duties of the President.
- (b) If only one of the Vice-President (General) and Vice-President (TAFE) consent to act as the President for the purpose of clause (a), that person will perform the duties of the President in their absence.
- (c) If both the Vice-President (General) and Vice-President (TAFE) consent to act as the President for the purpose of clause (a), the Branch Executive may meet to determine which Vice President will perform the duties of the President in their absence.
- (d) If the absence of the President, Vice-President (General) and Vice-President (TAFE), the Branch Executive may meet to determine which Branch Executive Member will perform the duties of the President in their absence.
- (e) In the absence of the Secretary, the Branch Executive may meet to determine which Branch Executive Member will perform the duties of the Secretary in their absence.
- (f) If a Branch Executive Member is authorised to perform the duties of the President or Secretary in their absence, the Branch Executive may resolve to pay that Acting President or Acting Secretary an honorarium or wage for the period of the absence which must not exceed the salary of the absent FTO.
- (g) In the absence of the Treasurer, the Branch Executive may meet and determine which Branch Executive Member will perform the duties of the Treasurer in their absence.
- (h) Nothing in this clause obliges the Branch Executive to meet if the period of the absence does not materially impact the operations of the Branch.

11. Reimbursements

11.1 Application

- (a) This clause applies to all employees, Branch Executive Members, Branch Conference Delegates and members.

11.2 Policy principles

- (a) The Branch acknowledges that employees, Branch Executive Members and Branch Conference Delegates may be required to incur legitimate expenses in the performance of their duties.
- (b) Other Branch members may also incur legitimate expenses related to Branch business including attending meetings or training.
- (c) The Branch acknowledges that employees, Branch Executive Members, Branch Conference Delegates and members should not be required to meet those expenses personally provided the expenses are authorised, properly incurred, and prudent.
- (d) To protect the Branch's reputation, it is imperative that expenditure is not perceived to be extravagant.

Section 11: Reimbursements

11.3 Reasonable Branch-related expenses

- (a) Employees, Branch Executive Members, Branch Conference Delegates and Branch members may incur reasonable Branch-related expenses provided they comply with this policy.
- (b) Reasonable Branch-related expenses include:
 - (i) payment for parking while conducting Branch business;
 - (ii) payment for travel (e.g. bus tickets) while conducting Branch business;
 - (iii) subject to clause 11.7, food and non-alcoholic beverages required while conducting Branch business, such as during travel;
 - (iv) fees associated with industrial matters authorised by the Branch (e.g., lodgement fees); and
 - (v) other expenses approved by the Secretary that reasonably relate to Branch business.
- (c) Reasonable Branch-related expenses do not include a loan, grant or donation of more than \$1,000.

11.4 Record keeping

- (a) All receipts for reasonable work-related expenses must be retained by the employee or Branch Executive Members who incurs the expense. A photograph of the receipt will be acceptable.

11.5 Authorisation to pay reimbursement

- (a) A person that has paid a Branch-related expense from their own personal funds may apply for a reimbursement if appropriate records of the expenditure have been kept.
- (b) Under no circumstances will a reimbursement be made if the person seeking the reimbursement cannot provide reasonable evidence of what was purchased or obtained by way of the expenditure.
- (c) The Branch Secretary, or a person authorised by the Branch Secretary, will have the power to approve the payment of a reimbursement of work-related expenses in accordance with this policy and the delegations in **Appendix B**.
- (d) All reimbursements must be sought promptly after the expenditure has been incurred.

11.6 Motor vehicle allowance

- (a) If an employee, Branch Executive Member, Branch Conference Delegate or member is required to drive their own personal vehicle for Branch purposes, they are entitled to be reimbursed by the Branch per kilometre travelled based on the applicable ATO rate.

11.7 Meal allowance

- (a) If an employee, Branch Executive Member, Branch Conference Delegate or member travels away from their usual place of work for Branch-related purposes, they are entitled to an allowance for meals as an alternative to applying for a reimbursement.
- (b) The person claiming the meal allowance is to complete and submit the form at **Appendix K**.

Section 12: Ordinary and extraordinary expenditure

- (c) The amount of the meal allowance will be equal to the amounts for breakfast, lunch and dinner contained in the annual review of allowances determination made under the *Public Sector Employment and Management Act 1993* (NT).
- (d) A meal allowance is only claimable when a meal has been purchased by the person claiming the allowance and the AEU or the Branch has not provided a complimentary meal in lieu of an allowance.
- (e) No allowance is payable when complimentary meals are provided including during air travel or when included in conference registration.
- (f) If an employee, Branch Executive Member or Branch Conference Delegate seeks reimbursement for a meal they have purchased instead of a meal allowance, and the reimbursement exceeds the amount of the meal allowance, the Secretary may still approve the payment of that reimbursement if it was reasonably incurred in accordance with this policy.

12. Ordinary and extraordinary expenditure

12.1 Application

- (a) This clause applies to all employees, Branch Executive Members and Branch Conference Delegates.
- (b) This clause is subject to any other clause of this Policy which deals with delegations, procurement or legal assistance.

12.2 Ordinary expenditure

- (a) In accordance with rule 99(d)(2), the Branch Executive may resolve to incur expenditure for ordinary purposes. However, not all expenditure for ordinary purposes requires prior approval from the Branch Executive.
- (b) "Ordinary purposes" include:
 - (i) expenditure on Branch Cards for work-related purposes;
 - (ii) expenditure for the general administration of the AEU or the Branch including the payment of salaries, honoraria, travelling expenses, payroll deductions, taxes, rates, rent, interest of loans, accounts for stationery, printing, hire of premises for meetings, legal costs and disbursements, transcript, telephone, telegraph, telex and postal services and expenses of like kind reasonably incidental to the general administration of the AEU or the Branch.

12.3 Extraordinary expenditure policy

- (a) "Extraordinary purpose" means a purpose not provided for in the AEU Rules or Branch Rules.

12.4 Extraordinary expenditure procedure

- (a) In accordance with Rule 99(d)(3) of the Branch Rules, the Branch must not incur expenditure for an extraordinary purpose unless the following procedure is followed:

Section 13: Cheque signing

- (i) the Branch Conference or Branch Executive must have recommended the expenditure;
- (ii) the recommendation must have been sent to all Regional Councils; and
- (iii) and the recommendation must have been adopted by a majority of the Regional Councils at Regional Council meetings; and
- (iv) the Regions that adopted the recommendation must represent at least two-thirds of the members of the Branch.

13. Cheque signing

13.1 Application

- (a) The policy and these procedures apply to all employees and Branch Executive Members.

13.2 Policy principles

- (a) All cheques issued by the Branch must be signed by at least two authorised persons.
- (b) All cheques issued by the Branch must be appropriately documented.
- (c) Cheques must not be used in circumstances that might bring the Branch into disrepute.

13.3 Cheque authorisation procedures

- (a) Pursuant to Rule 99(c), the Secretary, the President and the Treasurer are the only Branch Executive Members with authority to sign payments from Branch accounts.
- (b) All cheques must be signed by two of the Secretary, President and Treasurer.
- (c) Blank cheques must never be authorised, including where a signatory authorises a cheque before the details on the cheque have been completed.
- (d) Cheques must not be made out to any of the signatories of that cheque personally.

14. Electronic transactions

14.1 Policy and procedure

- (a) The Branch Executive is responsible for determining the financial institution in which monies received on behalf of the Branch are deposited.
- (b) The Secretary, the President and the Treasurer are each responsible for ensuring that monies received on behalf of the Branch are deposited under the name, "Australian Education Union, Northern Territory Branch".
- (c) With the exception of expenditure incurred by way of Branch Cards, all electronic transactions from Branch accounts must be signed by at least two authorised signatories.
- (d) The Branch Executive may develop a process, including a signature form, to facilitate authorisation of payments from Branch accounts.
- (e) In addition to cheque, the following are acceptable electronic transactions:

Section 15: Purchasing, procuring and leasing

- (i) EFT payments;
 - (ii) BPAY;
 - (iii) Direct debit;
 - (iv) International money transfers; and
 - (v) Branch Card.
- (f) A reference to a signature under the Branch Rules, or this policy, means a signature for the purpose of section 9 of the *Electronic Transactions (Northern Territory) Act 2000* or any successor to that legislation.

14.2 Responsibilities

- (a) The Secretary is responsible for ensuring that all staff and Branch Executive Members are aware of this Policy and these procedures.
- (b) The Secretary, the Treasurer and the President are responsible for complying with this Policy and the Branch Rules.

15. Purchasing, procuring and leasing

15.1 Application

- (a) This policy and procedure applies to all employees and Branch Executive Members.

15.2 Policy

- (a) The Branch is committed ensuring that all its financial management processes are ethical, accountable and transparent.
- (b) Branch Executive members are responsible for the financial management and governance of the Branch.
- (c) All major purchasing, procurement and leasing decisions made by the Branch will:
 - (i) be undertaken for the benefit of members;
 - (ii) be made in accordance with the Union's objectives (as set out in the AEU Rules, strategic and operational plans and budget); and
 - (iii) represent the best value for goods and services procured and represent the competitive market rate for any lease.

15.3 Procedure – general

- (a) The Secretary is responsible for advising the Branch Executive on the need to review or revise the policy and procedure for purchasing, procuring and leasing when necessary.
- (b) The Branch Executive is responsible for:
 - (i) developing and reviewing the policy and procedure for purchasing, procuring and leasing contained in this clause; and
 - (ii) determining a list of preferred suppliers.

15.4 Purchasing procedure

- (a) All payments for purchases made by cheque or electronic banking must comply with the requirements contained in clause 13 or clause 14 as the case may be.
- (b) When a purchasing decision is being considered, the purchaser should have regard to the list of preferred suppliers determined by the Branch Executive.
- (c) Generally, the lowest cost option should be chosen for any purchase. However, the cost of a purchase option should be weighed against factors that are otherwise in the best interests of the members and the Branch. A higher priced option may be chosen if the service provider is, for example, more ethical or environmentally friendly or otherwise provides a better service to members for reasons other than cost.

15.5 Procurement procedure

- (a) The Branch’s procurement rules are as follows:

Value of Goods/Services	Procurement Rules
Up to \$1,500	<ul style="list-style-type: none"> • An oral quotation, or quotations, may be obtained, however a written record of all quotes must be kept. • It is not mandatory to obtain more than one quotation, however, the purchase should still represent value for money. • All purchases must be authorised in line with the other clauses of this Policy.
Greater than \$1,500 and up to \$10,000	<ul style="list-style-type: none"> • At least one written quotation for purchases must be obtained. • Those authorised to approve expenditure must be satisfied, and be able to justify, that: <ul style="list-style-type: none"> ▪ the recommended supplier is price competitive for the requirement; and/or ▪ the specific purchase proposal is to the best advantage of the Branch, with regard to the following factors: <ul style="list-style-type: none"> ▪ standard of service; ▪ quality of product; ▪ proximity to requirement; ▪ delivery times; ▪ convenience; and ▪ cost of acquisition. • Regardless of the number of quotations obtained, the quotations obtained must be in line with the market value of such goods or services.
Greater than \$10,000	<ul style="list-style-type: none"> • At least three quotations must be sought and should be invited in writing. If appropriate, this may be facilitated as part of a publicly advertised tender process or through a closed tender process with the Union inviting formal quotations from the preferred supplier list. • Where there are fewer than three potential suppliers, or where exceptional circumstances exist, Branch Executive may resolve to waive the requirement that three quotations be sought. • The following supporting documentation shall be maintained in respect to each transaction: <ul style="list-style-type: none"> ▪ details of for whom, where and why the goods or services are required, in line with the Union’s strategy, budget and objectives;

Value of Goods/Services	Procurement Rules
	<ul style="list-style-type: none"> ▪ confirmation that this expenditure has/has not been budgeted for and from which accounting line monies will be allocated; ▪ a list of those asked to submit a quotation; ▪ a copy of the written request for quotation; ▪ copies of quotations obtained; ▪ criteria used for selecting those asked to submit a quotation; ▪ if fewer than three quotations were obtained, reasons why; and ▪ a full explanation/justification/recommendation for the acceptance of the quotation, which must address all specified selection criteria.

- (b) The Secretary must report all procurement decisions to the Finance Committee at the next meeting after the decision has been made.
- (c) The Secretary must make the supporting documents maintained for the purpose of this policy available for inspection by the Branch Executive, or a Branch Executive Member, if requested.

15.6 Leasing procedure

- (a) All leasing proposals:
 - (i) will be developed by the Secretary in consultation with the Finance Committee;
 - (ii) must be subject to professional advice regarding the suitability of a lease rather than an outright purchase; and
 - (iii) must be endorsed by the Branch Executive prior to acceptance.

16. Receiving gifts and hospitality

16.1 Application

- (a) This policy and these procedures apply to all employees and Branch Executive Members.

16.2 Policy principles

- (a) The Branch's reputation must be beyond reproach. Its reputation will be shaped by the actions of its employees and Branch Executive Members and the integrity they display in the performance of their duties.
- (b) While the Branch acknowledges that, from time to time, receiving gifts and hospitality will be acceptable and advance members' interests, it is critical that the receipt of gifts and hospitality is transparent and does not call into question the integrity of the Branch.
- (c) Consequently, gifts and hospitality may only be received in compliance with this policy and these procedures.
- (d) The *Fair Work Act 2009* (Cth) also contains various offences regarding the receipt of corrupting benefits.
- (e) All employees and Branch Executive Members are required to familiarise themselves of the requirements of the Fair Work Act and not give, receive or solicit any corrupting benefit.

Section 16: Receiving gifts and hospitality

16.3 Meaning of “gifts and hospitality”

- (a) For the purpose of this policy and these procedures, “gifts and hospitality” includes:
- (i) all hospitality, including meals, entertainment, accommodation, tickets to events, provided for no cost or at an uncommercial discount;
 - (ii) in-kind services;
 - (iii) any disposition of property provided without payment (e.g., physical gifts);
 - (iv) cash, cash-like payments (e.g., pre-paid credit cards), electronic payments (including cryptocurrency); and
 - (v) loans,
- to a natural person from or by a member, employer of a member, supplier, potential supplier, employee, or prospective employee of the Branch.
- (b) Gifts and hospitality also includes a payment to a person in relation to the performance of their duties to the Branch (e.g., payments for speaking at conferences).

16.4 Acceptance and disclosure procedures

- (a) Gifts or hospitality offered to, or received by, any person to whom this policy and procedure applies, which exceed \$100, must be disclosed to the Secretary or, in the case of the Secretary, to the President.
- (b) If the price of a gift or hospitality is not readily apparent, a reasonable estimate may be used.
- (c) Gifts or hospitality exceeding the amount of \$100 may only be accepted:
- (i) with the approval of the Secretary; or
 - (ii) in the case of gifts or hospitality to the Secretary, with the approval of the President.
- (d) Gifts provided for activities associated with a person’s duties to the Branch (e.g., fees for speaking) may be accepted but will be held on trust for the Branch and must be paid to the Branch.
- (e) An individual must decline any gift or offer of hospitality, regardless of its value, if there is a reasonable belief that it is being provided in order to secure a particular benefit or to influence the Union’s decision-making around a particular issue, or where it could be perceived by a reasonable person that the giving of this gift or hospitality may have this effect on union decision-making.

16.5 Prohibited conduct procedures

- (a) The following conduct is prohibited:
- (i) soliciting or requesting gifts or hospitality from any member, employer of any member, or supplier of the Branch.
 - (ii) accepting gifts or hospitality if a reasonably prudent unionist would:

Section 17: Giving gifts and hospitality

- (A) perceive the gift or hospitality has been offered solely to influence the recipient in the performance of their duties;
 - (B) suspect the gift or hospitality has been offered to obtain for the person offering the gift an undue benefit; or
 - (C) consider the gift or benefit would undermine the integrity of the Branch.
- (iii) accepting any cash or in-kind payment from an employer of AEU members in contravention of the Act;
 - (iv) accepting cash, cash-like payments, or electronic payments (note, this does not include gift cards) other than in accordance with this Policy;
 - (v) directly or indirectly being party to any bribes.

16.6 Register of gifts and hospitality procedures

- (a) The Secretary must maintain a register of gifts and hospitality (the **Register**) declared in accordance with this clause 16.
- (b) The Register must include:
 - (i) the date the gift or hospitality was offered and that date (if any) it was accepted;
 - (ii) a description of the gift or the hospitality;
 - (iii) the person who provided, or attempted to provide, the gift or hospitality;
 - (iv) the person to whom the gift or hospitality was offered or provided;
 - (v) whether the gift was accepted; and
 - (vi) the name of the person who authorised the receipt of the gift or hospitality.
- (c) The Secretary must provide a copy of the Register to the Finance Committee and to the Branch Executive in December each year (or, if that is not practicable, at the next meeting of the Finance Committee or the Branch Executive following the end of December).

17. Giving gifts and hospitality

17.1 Application

- (a) This policy and these procedures apply to all employees and Branch Executive Members.

17.2 Policy principles

- (a) The Branch's reputation must be beyond reproach. Its reputation will be shaped by the actions of its employees and Branch Executive Members and the integrity they display in the performance of their duties.
- (b) While the Branch acknowledges that, from time to time, giving gifts and hospitality may be reasonable to advance members' interests, however it is critical that the receipt of gifts and hospitality is transparent and does not call into question the integrity of the Branch.
- (c) Consequently, gifts and hospitality may only be given in compliance with this Policy.

Section 18: Detecting and dealing with fraud

- (d) The *Fair Work Act 2009* (Cth) also contains various offences regarding the giving of corrupting benefits.
- (e) All employees and Branch Executive Members are required to familiarise themselves of the requirements of the Fair Work Act and not give, receive or solicit any corrupting benefit.

17.3 The giving of gifts and hospitality

- (a) Gifts or hospitality must not be given by the Branch unless there is a benefit to the AEU, the Branch or its members.
- (b) Gifts or hospitality of up to the amount of \$100 must be approved by the Secretary or President before they are given.
- (c) Gifts or hospitality which exceed the amount of \$100 must be approved by the Branch Executive before they are given.
- (d) Any gift or hospitality which exceeds the amount of \$1,000 must be disclosed as a loan, grant or donation in accordance with the AEU Rules, the Branch Rules and the Act.

18. Detecting and dealing with fraud

18.1 Application

- (a) This policy and these procedures apply to all employees and Branch Executive Members.

18.2 Policy principles

- (a) When fraud occurs in any branch of any union, it damages the Branch, the union and the union movement. Fraud involving members' money is indefensible.
- (b) All employees and Branch Executive Members of the Branch are expected to be ethical in their duties and to take reasonable steps to ensure that others are also ethical in the performance of their duties.
- (c) Fraud and corruption will not be tolerated by the Branch and it will take a strong stance against any suspected fraud or corruption.
- (d) The Branch is committed to investigating suspected fraud and to deal with it appropriately.

18.3 Detection procedures

- (a) The Branch's financial policies and procedures have been designed to prevent and detect fraud.
- (b) All employees and Branch Executive Members must report any suspected fraud in accordance with the procedure at clause 18.4.
- (c) The Finance Committee and the Branch Executive will review all Branch Card transaction reports to identify suspected fraud.

18.4 Reporting suspected fraud procedures

- (a) Suspected fraud must be reported to the Secretary as soon as practicable.

Section 18: Detecting and dealing with fraud

- (b) In the event that the Secretary is suspected of fraud, this must be reported to the President.
- (c) In the event that both the Secretary and the President are suspected of fraud, this must be reported to the Vice President (General).
- (d) Reports of suspected fraud may be verbal or in writing, and may be made anonymously.
- (e) If the fraud is of a serious nature, including suspected theft, the Secretary, President or Vice-President should report this to the Branch Executive.

18.5 Investigation procedures

- (a) As soon as practicable after receiving a report, the Secretary, President or Vice-President will cause an investigation to be commenced. An investigation may be conducted internally or by an external firm.
- (b) To the extent possible, the investigation should:
 - (i) Provide procedural fairness;
 - (ii) Make findings of fact on the balance of probabilities;
 - (iii) Be confidential; and
 - (iv) Result in a report to be presented to the Branch Executive.

18.6 Findings of fraud procedures

- (a) If an investigation finds that an employee or Branch Executive Member engaged in fraud, the Secretary, President, or Vice-President will report the matter to the police.
- (b) Engaging in fraud amounts to serious misconduct and, subject to the Rules, may result in summary dismissal.

18.7 Follow up procedures

- (a) In circumstances where fraud has resulted in financial loss, the Branch should take advice on whether civil action should be pursued against the employee or Branch Executive Member.

18.8 Anti-victimisation procedures

- (a) Employees and Branch Executive Members must not victimise any person who has made a report of suspected fraud.
- (b) Victimisation includes any adverse action, including dismissal, threatened dismissal, bullying, demotion, suspension, or altering a person's position to their prejudice.

18.9 Good faith disclosure procedures

- (a) Provided a disclosure of suspected fraud is made in good faith, an employee or Branch Executive Member will not be subjected to any disciplinary action. This includes circumstances where an investigation does not result in a finding of fraud.
- (b) Vexatious reports of fraud will breach this policy and these procedures and may result in disciplinary action.

Section 19: Loans, grants and donations

- (c) A finding of a vexatious report must not be made unless:
 - (i) The person admits the report was vexatious; or
 - (ii) An external investigation finds, on balance, the report was vexatious.

19. Loans, grants and donations

19.1 Application

- (a) This policy and these procedures apply to the Branch Executive, all employees and Branch Executive Members.

19.2 Policy principles

- (a) The Branch takes its obligations under the Act seriously.
- (b) The Act creates an obligation on the Branch to have rules relating to loans, grants and donations exceeding \$1,000. In turn, the Branch has adopted rules which meet the requirements of the Act.
- (c) All employees and Branch Executive Members are required to comply with Branch Rule 103 and with this Policy.

19.3 Loans, grants and donations

- (a) The Branch must not make any loan, grant or donation of an amount exceeding \$1000 unless it has been approved by the Branch Executive.
- (b) The Branch Executive must not approve a loan, grant or donation unless it has satisfied itself that:
 - (i) the making of the loan, grant or donation would be in accordance with the rules of the Branch; and
 - (ii) in the case of a loan that, in the circumstances, the security proposed to be given for the repayment of the loan is adequate and the proposed arrangements for the repayment of the loan is satisfactory.

19.4 Register of loans, grants and donations procedures

- (a) The Secretary must maintain a register of all loans, grants and donations made by the Branch Executive, whether or not they exceed \$1,000, showing the relevant particulars of any such loans, grants and donations.

19.5 Lodgement procedures

- (a) The Secretary must, as soon as practicable after 30 June each year, lodge with the Fair Work Commission a statement showing the relevant particulars in relation to each loan, grant and donation of an amount exceeding \$1,000 (or a smaller amount if required by the Act).

20. Conflicts of interest and material personal interests

20.1 Application

Section 20: Conflicts of interest and material personal interests

- (a) Sub-clauses 20.3 to 20.7 of this policy apply only to Branch Executive Members.
- (b) All other aspects of this policy and these procedures apply to all employees and Branch Executive Members.

20.2 Policy principles

- (a) The Branch acknowledges that conflicts of interest can arise in the course of Branch business.
- (b) However, it is imperative that conflicts of interests and material personal interests are managed in accordance with this policy and procedures, and in accordance with the Act.
- (c) Failing to comply with this policy and these procedures can expose the Branch and Branch Executive Members to legal liability.
- (d) Broadly, Branch Executive Members and employees must not improperly use, or seek to use, their position, information obtained in the course of their duties, or their status for any benefit or advantage for themselves or another person.
- (e) This Policy and the associated procedures are built on principles of:
 - (i) good governance;
 - (ii) transparency; and
 - (iii) preserving the integrity of the Branch.

20.3 Statutory obligations of Branch Executive Members

- (a) The Act establishes ongoing obligations on Branch Executive Members. These obligations include:
 - (i) disclosing to the Branch any material personal interests in any matter relating to the affairs of the Branch that the Branch Executive Member, or a relative of the Branch Executive Member or, has or acquires; and
 - (ii) disclosing to the Branch all remuneration that the Branch Executive Member receives:
 - (A) because the Branch Executive Member is a member of a board and holds that position solely because of their position as a Branch Executive Member of the AEU or the Branch;
 - (B) because the Branch Executive Member is a member of a board and holds that position because they were nominated by the AEU, the Branch or a peak body; and
 - (C) from a related party of the AEU, in connection with the performance of the Branch Executive Member's duties.

20.4 Procedure for handling material personal interests of Branch Executive Members

Section 20: Conflicts of interest and material personal interests

- (a) If a Branch Executive Member has or acquires a material personal interest in a matter that relates to the affairs of the Branch, they must disclose the matter to the Branch Executive as soon as practicable.
- (b) The disclosure can be made at a meeting of the Branch Executive or individually in writing to each member of the Branch Executive.
- (c) The disclosure must include the nature and extent of the interest, and the affairs of the Branch to which the interest relates.
- (d) A Branch Executive Member may give a standing disclosure in respect of an interest even if the matter is not currently being considered by the Branch Executive.
- (e) A Branch Executive Member that has a material personal interest in a matter that relates to the affairs of the Branch must not be present during any deliberation by the Branch about the matter, and must not take part in any decision of the Branch about the matter.
- (f) A Branch Executive Member's obligation to not be involved in deliberations and decisions will necessitate the Branch Executive Member absenting themselves from any Branch Executive meeting for the period of the deliberations and also refraining from deliberations and decision-making outside of Branch Executive meetings.

20.5 Exceptions to the handling of material personal interests by Branch Executive Members

- (a) Notwithstanding anything set out in sub-clause 20.4, a Branch Executive Member does not need to disclose a material person interest if:
 - (i) the interest arises because the Branch Executive Member is a member, or a representative of a member, of an organisation and the interest is held in common with the other members of the organisation;
 - (ii) the interest arises in relation to the Branch Executive Member's remuneration as a Branch Executive Member;
 - (iii) relates to a contract that the Branch is proposing to enter into which is subject to approval by the members (e.g. by way of general meeting) and will not impose any obligations on the Branch if it is not approved by members;
 - (iv) is in a contract, or a proposed contract, with, or for the benefit of, or on behalf of a related party of the Branch that is a body corporate and merely arises because the Branch Executive Member is on the board of the related party; or
 - (v) the Branch Executive Member has previously given a standing notice about the interest and that notice is still effective.
- (b) Notwithstanding anything set out in sub-clause 20.4, a Branch Executive Member may continue to participate in deliberations and decision-making about a matter if the Branch Executive, by resolution, identifies the nature and extent of the interest and is satisfied that the interest should not disqualify the Branch Executive Member from taking part in deliberations or decision-making about the matter.
- (c) The Branch Executive must be satisfied that there is a reasonable and defensible basis to permit a Branch Executive Member to participate in deliberations or decision-making about

a matter to which they have a material personal interest (e.g. if there is a requirement to provide natural justice to the relevant Branch Executive Member).

20.6 Recording of material personal interests disclosed by Branch Executive Members

- (a) All disclosures of material personal interests by Branch Executive Members must be recorded in the minutes of the meeting at which the interest was disclosed, or if it was disclosed to each member of the Branch Executive individually between meetings, at the next meeting after the disclosure was given.

20.7 Disclosure of material personal interest to members

- (a) If a member of the Branch requests, in writing, to be provided with a copy of any material personal interest disclosures made by Branch Executive Members to the Branch Executive, the Secretary must provide that member with a copy of such disclosures within 28 days of the request.

20.8 Conflicts of interest affecting Branch Executive Members and employees

- (a) While the material personal interests provisions in the Act apply to Branch Executive Members, all Branch Executive Members and employees must also ensure that they appropriately disclose and avoid acting upon any conflicts of interest.
- (b) A conflict of interest may arise where a Branch Executive Member or employee has a personal interest in a matter which could influence, or could be perceived to influence, how they may deal with a matter concerning union business.
- (c) A conflict of interest may also arise where the person who could stand to benefit from the employee's conduct is a relative (namely a spouse, defacto partner, parent, stepparent, child, stepchild, grandparent or sibling) or an entity controlled or owned by a relative.
- (d) Employees also have a statutory obligation to not use their position, or information they have obtained because of their position, to confer a benefit upon themselves or anyone else.

20.9 Disclosing conflicts of interest

- (a) If a Branch Executive Member or employee believes that they may have a conflict of interest in relation to a matter, they must declare the interest and the matter to the Secretary using the form set out at **Appendix C**.

20.10 Dealing with disclosed conflicts of interest

- (a) If a conflict of interest is disclosed to the Secretary, it must be reported to the Branch Executive at the next meeting.
- (b) The Secretary must exercise their reasonable judgment between meetings of the Branch Executive in determining whether the nature of the interest disclosed warrants the matter being treated as a conflict of interest.
- (c) If the Branch Executive, or the Secretary, determines that a conflict of interest has arisen, the Branch Executive or Secretary (as the case may be) must decide whether it is appropriate for the employee to continue to be involved in the matter.

Section 21: Booking of flights policy

- (d) Employees must comply with any direction of the Secretary to not perform work in respect of a matter if the Secretary considers that the employee has a conflict of interest that should preclude them from dealing with that matter.

20.11 Conflicts affecting third parties

- (a) A third party to whom this policy applies (e.g., a relative) is not barred from engaging in business dealings with the Union, if these are fully disclosed, negotiated at arm's length with the Branch without the participation of the person concerned and the Branch Executive has unanimously agreed to the proposed business dealing.
- (b) The Branch will request that service providers declare, during any tender process or at the beginning of the service relationship, any conflicts of interest that exist or arise.

20.12 Register of conflicts of interest and material personal interests

- (a) If a Branch Executive Member declares a material personal interest, or if the Branch Executive determines that a conflict of interest has arisen in respect of a Branch Executive Member or employee, then the Secretary will record that conflict of interest or material personal interest on a Conflict of Interest Register.

20.13 Undisclosed conflicts

- (a) Any employee or Branch Executive Member that believes another employee or Branch Executive Member has an undeclared conflict of interest, or material personal interest, should raise the matter with the Secretary.
- (b) Unless the matter raised in sub-clause (a) is reasonably considered by the Secretary to be vexatious or trivial, the Secretary must handle the report as if the person concerned had made the report.

20.14 Conflicts affecting the Secretary

- (a) If the Secretary believes they may have a conflict of interest in a matter, then she must disclose that conflict of interest to the President using the form at **Appendix C**.
- (b) In any circumstance referred to in sub-clause (a), any powers or responsibilities of the Secretary in this clause 20 in respect of handling a conflict of interest should be discharged by the President.

21. Booking of flights policy

21.1 Application

This policy and these procedures apply to all employees, Branch Executive Members Branch Conference Delegates and Branch members.

21.2 Policy

- (a) The Branch may maintain corporate accounts with Flight Centre, Qantas, Velocity/Virgin or other similar providers.
- (b) The Branch must always choose flights based on the best interests of the Branch, having regard to the purpose of the travel and the objective to minimise the total cost of the travel, including associated accommodation expenses, where possible.



21.3 Procedure

- (a) The President or Secretary may approve Branch funds being used for flights taken by employees, Branch Executive Members Branch Conference Delegates or members where there is a benefit to the AEU, the Branch or its members.
- (b) The President and Secretary should approve each other's flights when paid for using Branch funds.
- (c) Except in exceptional circumstances, or when booked by a FTO using a Branch Card, all flights will be booked by the Branch using its corporate accounts.
- (d) Administration staff will, once approval has been given by the Secretary or President, arrange for flights to be chosen through the Branch's corporate accounts.
- (e) The President or Secretary will then approve the chosen flight if they consider that it is appropriate having regard to the policy in this clause.
- (f) The Finance Committee will be responsible for dealing with any issues regarding the operation of corporate accounts.

21.4 Frequent flyer points

- (a) If a Branch Executive Member, Branch Conference Delegate, employee or member travels by air on union business, they are entitled to accumulate frequent flyer points.
- (b) Branch Executive Members, Branch Conference Delegates, employees and members are entitled to use their accumulated frequent flyer points for personal use, even if those points have been accumulated by travelling on union business.
- (c) The Finance Committee may recommend any amendment to the policy or procedure regarding frequent flyer points to the Branch Executive.

22. Sponsorships

22.1 Application

- (a) This policy applies to all employees and Branch Executive Members.

22.2 Policy

- (a) The Branch Executive is committed to ensuring that its dealings with third party are ethical and in the best interests of members.
- (b) The Branch Executive acknowledges that sponsorships can be a powerful way to build and strengthen partnerships and relationships with third parties that may share common goals with the Branch or the Union.
- (c) The Branch will not enter into any alliance or partnership with any business or organisation, or accept any sponsorship from any business or organisation, that would jeopardise the Branch's integrity or adversely impact the Branch's standing and reputation in the community.

Section 23: Legal Assistance to Members

- (d) The fact of a sponsorship will not entitle sponsors to influence any decisions or policies of the Branch.

22.3 Procedure

- (a) The Secretary, or a person authorised by the Secretary, may negotiate sponsorships with third parties.
- (b) All sponsorships which involve a financial commitment of more than \$1,000 must be formalised by way of a written contractual agreement which deal with the matters set out in **Appendix D**.
- (c) The Secretary may agree to sponsorships for the purpose of the Branch's publications, conferences, symposiums, projects, programs or events, subject to any contrary direction from the Branch Executive.
- (d) All sponsorships agreed to by the Secretary, and the terms of that sponsorship, must be promptly disclosed to the Branch Executive.

23. Legal Assistance to Members

23.1 Application

- (a) This policy and procedure applies to employees and Branch Executive Members in respect of the Branch's members.

23.2 Policy

- (a) The Branch Executive is committed to using reasonable means to support members facing injustice and to pursue employers who fail to uphold conditions to which members are entitled.
- (b) The Branch Executive recognises that legal assistance can be expensive and there is a need to ensure available monies are appropriately utilised.
- (c) The Branch Executive will ensure arrangements are in place to provide legal assistance to members in relation to work-related matters. For the purpose of this sub-clause:
 - (i) arrangements may include negotiating a package of services with a suitable law firm with expertise in employment and/or personal injury law;
 - (ii) any decision to use a new legal service provider, or to approve a panel of legal service providers, must be approved by the Branch Executive; and
 - (iii) any general retainer with a legal service provider must be subject to regular review/retender in the same manner as other service providers.
- (d) The funds available for the provision of legal assistance to members will be as determined in the annual budget adopted by the Branch Executive.
- (e) The Secretary may determine whether to approve a member's case for legal assistance by an approved legal service provider within the agreed budget allocation.
- (f) The Finance Committee may recommend to the Branch Executive to approve a member's case for legal assistance where:

Section 24: Membership Subscriptions

- (i) the legal assistance costs would exceed the agreed budget allocation; and/or
 - (ii) there would be any relaxation of the conditions for legal assistance, other than those set out in this Policy.
- (g) The Branch Executive may consider approving legal assistance for fully financial members and unfinancial members provided that their financial status is restored and automatic subscription payments are arranged before assistance is provided.
- (h) Legal assistance will not be provided for matters which arose at a time when the member was not a member, or was an unfinancial member, unless the Secretary agrees to waive this requirement for strategic reasons, such as where the matter has an impact on other members and its pursuit would have a collective benefit, or in accordance with a circumstance set out in clause 24.
- (i) The procedure for applying for legal assistance and further eligibility conditions are set out in the *Factsheet – Legal Assistance Policy for Members* (contained at **Appendix E**).
- (j) Where this clause refers to a budget allocation, this may include a weekly, monthly or quarterly allocation if the Branch Executive has approved a budget on a weekly, monthly or quarterly basis for legal assistance or expenditure.

23.3 Procedure

- (a) The Secretary must:
- (i) make recommendations to the Branch Executive regarding appropriate legal services providers and the range of legal services that the Branch may seek from legal services providers; and
 - (ii) issue a *Factsheet – AEU NT Legal Assistance Policy for Members* to relevant employees and all members that request legal assistance.
- (b) The Branch Executive must:
- (i) determine the legal services providers and range of legal services which will be made available to members based on the recommendation of the Secretary; and
 - (ii) periodically review and approve the *Factsheet – Legal Assistance Policy for Members* prepared by the Secretary.

24. Membership Subscriptions

24.1 Application

- (a) This policy and procedure applies to employees and Branch Executive Members in respect of the Branch's members.

24.2 Policy and procedure – general

- (a) The Branch Executive is authorised to determine entrance fees, subscriptions, levies and fines for members under rule 11 of the AEU Rules and rule 102 of the Branch rules.
- (b) This policy, the AEU rules, and rule 102 of the Branch Rules, outlines the process by which all entrance fees, subscriptions, levies and fines will be set, the circumstances in which

Section 24: Membership Subscriptions

members are to be treated as financial with the Branch, and any conditions applied to new or prospective members in respect of pre-existing issues.

- (c) Any member may seek the approval of the Branch Executive to waive, in full or in part, their unpaid entrance fees, subscriptions, levies or fines.

24.3 Fee levels

- (a) The Finance Committee must include, in the proposed annual budget, or at such other time as may be necessary, a recommendation to the Branch Executive on the amount of any entrance fees, subscriptions, levies and fines payable by members.
- (b) The Branch Executive is responsible for determining all subscription fees, levies, fines, services to be provided to categories of members and the circumstances in which policy in these areas may be varied.
- (c) The Secretary is responsible for recommending appropriate changes or additions to this policy and procedure to the Branch Executive.
- (d) All employees must ensure they are familiar with, and observe, this policy and procedure.
- (e) Members must pay all entrance fees, subscriptions, levies and fines determined by the Branch Executive.

24.4 Access to representation

- (a) The Secretary must ensure that a prospective member pays an upfront entrance fee equivalent to three months' the subscription (calculated at the time of joining) before they are provided with assistance for matters that occurred when they were not a member.
- (b) The entrance fee will not be required if:
 - (i) the person is in their first three months of employment in public education in the NT;
 - (ii) the Branch Executive waives the entrance fee on the basis that the member established a case for exceptional circumstances. In determining such a case, consideration will be given to the member's personal circumstances, the impact of the matter on the broader Union membership and any evidence that the person was a union member whilst with their previous employer.
- (c) Before accepting an application for membership, and requesting an upfront entrance fee, the Secretary may have regard to any matters to which they are aware which may impact on whether the prospective member is of "general bad character".
- (d) Before requesting an upfront entrance fee, or agreeing to provide representation to a prospective member, the Secretary will consider the nature of the matter for which representation is sought, its implications and any potential conflict with the objects contained in the AEU Rules.
- (e) The Secretary will have the discretion to determine the level of support that is to be provided to members in relation to matters that occurred when they were not a member, subject to any direction of the Branch Executive.
- (f) A member may refer a decision of the Secretary to not provide legal support under clause 24.4(e) to the Branch Executive for its consideration.

Section 24: Membership Subscriptions

- (g) The Secretary will recommend to the Branch Executive, when appropriate, any limitation that should apply to the range of services that the Union will provide to an individual or groups of members for matters that occurred when they were not a member.
- (h) Despite clauses 24.4(a) and 24.4(b), the Secretary will have the discretion to waive the entrance fee if:
 - (i) the support that is to be provided to the member is modest in nature. Examples include providing generic, verbal advice to members or directing members towards applicable policy documents, enterprise agreement clauses or dispute resolution mechanisms; or
 - (ii) the matter for which the member seeks assistance is a matter the Branch is already assisting other members with, such as in the case of issues which affect a class of employee or multiple employees in one workplace.

24.5 Maintaining financiality

- (a) The Secretary must ensure there is adequate infrastructure and mechanisms in place to accurately record and report on membership subscription payments.
- (b) Each month, the Administration Manager must provide a reconciliation report to the Secretary for review and approval. The reconciliation report must record the number of financial members of the Branch and any variance between expected total membership fees from those members and the actual membership fees received.
- (c) To maintain financiality, members must not be more than 60 days in arrears with their subscriptions.
- (d) Unfinancial members have restrictions placed upon their rights, in accordance with the AEU Rules.
- (e) The following procedure applies to manage the number of unfinancial members:
 - (i) One month prior to a member becoming unfinancial due to non-payment of their membership dues, Letter 1 shall be sent to them (see **Appendix F**).
 - (ii) As soon as a member becomes unfinancial they shall be sent Letter 2 (see **Appendix G**).
 - (iii) Three months after a member has become unfinancial they shall be sent Letter 3 (see **Appendix H**).
 - (iv) If no response is received, the person will be sent Letter 4 (see **Appendix I**) via registered post, will cease to be a member and will be removed from the register of members.

24.6 Re-joiners and arrears

- (a) The Secretary will ensure that a member who resigns or ceases to be a member due to unfinanciality and owes a debt to the Union will be requested to pay that debt at the time of re-joining the Union if they seek to re-join the Union within 12 months of incurring the debt.

Section 24: Membership Subscriptions

- (b) If the member refuses to pay the incurred debt, they will be asked to prepare a request to the Branch Executive to waive this debt.

24.7 Waivers

- (i) The Branch Executive will consider any request by a member to waive, in full or in part, any amount of unpaid entrance fees, subscriptions, levies and fines, subject to clause 24.4.
- (ii) The Branch Executive will consider the member's personal circumstances and any proven previous record of union membership. If the waiver is for access to representation, then the impact of the matter at hand on the broader Union membership should also be considered.
- (iii) The Secretary will present to Branch Executive any request by a member to waive unpaid entrance fees (except as outlined in clause 24.4(h)), subscriptions, levies or fines. Alternatively, in an urgent situation, the Secretary may approve a waiver on the condition that, if the Branch Executive does not approve the waiver at its next meeting, then the entrance fee must be paid.
- (iv) In assisting any member who wishes to request their unpaid fees to be waived, Union employees will:
 - (A) offer the member free financial advice through an appointed advisor/company; and
 - (B) advise the member of the range of low cost and discount options they may access through their union membership (e.g. TMB, ME Bank, THF.).
- (v) If a member has been offered free financial advice and been advised of discounted options accessible through their membership but still wishes to request a waiver, the Union employees must assist the member to prepare a written submission to the Branch Executive, explaining the nature of their special circumstances.

24.8 Fee variations

- (a) Members must inform the Branch when their salary point or classification changes, to ensure accurate fee calculations (based on member's salaries).
- (b) No repayments of underpaid fees are sought when members call the Branch to update their salary record so the appropriate fees can be applied.
- (c) The following automatic waivers and reductions in fees apply:
 - (i) Student Teachers are not required to pay fees and will be categorised as "Associate Members".
 - (ii) Members whose employment is ongoing, but whose pay has reduced to nil, can have their fees reduced to the Associate Member rate. This applies in the following circumstances:
 - (A) Unpaid Maternity/Paternity Leave.
 - (B) Sick absence at nil pay and without Workers Compensation for income.

Section 24: Membership Subscriptions

- (C) Members represented through appeals and Fair Work Commission processes following dismissal.
 - (D) Career Breaks (members who are currently not working or are on approved special leave without pay).
 - (E) Retired members and others who wish to retain an association with the Union.
- (d) From time to time specific groups or sections of members and potential members may be selected for targeted recruiting for bargaining and campaigning purposes, in which case reduced fee rates or waived fee periods may be applied.
 - (e) Where the Secretary has reasonable grounds to believe that a member's salary has increased to a different salary increment, and the member has not informed the Branch, the Secretary may notify the member that their membership subscription amount has increased.
 - (f) A member that receives a notice under clause (e) above may appeal the increase in their membership subscriptions to the Branch Executive within three weeks of receiving the notice.

24.9 Refunds

- (a) Where an error has been made by the Union in collecting membership fees members are entitled to a full refund of fees that the Branch was not entitled to collect, for a period of up to three years.
- (b) Where a member has cancelled their membership, but fees continue to be deducted, Union employees will contact third party subscriptions providers (payroll sections or banks) and will endeavour to contact the cancelled member to alert them and request that they contact their bank or payroll provider to end the deduction.
- (c) When an error was made by the member concerned, refunds will only be considered in exceptional circumstances and up to a maximum period of six months prior to the date of the written application for the refund claimed.
- (d) Guidelines that explain members' responsibilities for managing their subscriptions are published on the AEU website and in the Member Handbook, alongside information regarding the process for resigning from membership, changing employer details, changing fee rates and applying for waiver status.
- (e) Applications for refunds can be made by e-mail or letter to AEU NT Membership, who will investigate and determine the amount owed by the Union. Union employees will obtain a nominated bank account from the member and process the refund by an electronic funds transfer or by credit card if fees were paid this method.
- (f) The Branch Executive may authorise a refund of membership fees to a member or prospective member outside of this policy if satisfied that it is reasonable to do so.

24.10 Membership resignations

- (a) Requests for termination of membership, other than where a member has ceased to be eligible to become a member of the Union:
 - (i) must be received in writing (by email, letter or signed resignation form); and

Section 25: Duty Statements

- (ii) will take effect 2 weeks after receipt by the AEU (or any later date indicated in the notice).
- (b) Where a member resigns because they have ceased to be eligible for membership with the Union, the notice of resignation takes effect on the later of:
 - (i) the day the notice is received at the office of the Secretary; or
 - (ii) the day specified in the notice, provided it is no earlier than the day the member ceased to be eligible to be a member of the Union.

25. Duty Statements

- (a) The Branch Rules provides that the Branch Executive is the committee of management of the Branch and shall be the supreme governing body of the Branch between meetings of the Branch Conference.
- (b) The President, Secretary, Treasurer, Vice-Presidents, Women's Officer, Executive Councillors and Regional Secretaries have specific powers and duties under the Branch Rules.
- (c) The Branch Executive has the power to delegate tasks to other members of the Branch Executive provided that the Branch Executive retains ultimate responsibility for the exercise of financial management powers in accordance with the Branch Rules.
- (d) The Branch Executive will prepare duty statements for the holders of Branch offices as soon as reasonably practicable after the commencement of this Policy.
- (e) The Secretary is to provide each Branch Executive Member with a copy of the duty statements, as part of an induction pack, following their being elected to the Branch Executive.

26. Strategic planning

26.1 Policy

- (a) The Branch Executive will identify the Union's priority activities through the creation and implementation of a Strategic Plan.
- (b) The Strategic Plan will:
 - (i) cover a period of time as determined by Branch Executive;
 - (ii) include a full risk management analysis;
 - (iii) detail the specific actions to be done, in order of priority, and the resources needed to achieve them;
 - (iv) include as an annexure a strategic Business Plan to be prepared by the Finance Committee.

26.2 Procedure

- (a) It is the responsibility of the President to develop the implementation of a Strategic Plan in collaboration with the Branch Executive.

Section 27: Investment planning

- (b) It is the responsibility of the Secretary to ensure that the Strategic Plan is effectively implemented.
- (c) It is the responsibility of all employees to assist the President and Secretary to effectively implement the Strategic Plan.
- (d) The President and Branch Executive will develop the Strategic Plan by:
 - (i) reviewing the current Strategic Plan six months prior to its expiration;
 - (ii) calling a special meeting or meetings of the Branch Executive solely for the purpose of discussing and finalising a new Strategic Plan;
 - (iii) inviting employees to give input about the new Strategic Plan;
 - (iv) incorporating decisions of the Branch Conference;
 - (v) giving consideration of the need to seek advice from other parts of the AEU or union movement;
 - (vi) determining the period of time the Strategic Plan will cover.
- (e) Branch Executive will monitor the implementation of the Strategic Plan by receiving a report from the Secretary or their delegate at least once each school semester.
- (f) The Secretary will effectively implement the Strategic Plan by:
 - (i) allocating the specific actions in the plan to appropriate staff;
 - (ii) providing staff with sufficient resources to achieve the actions in the plan;
 - (iii) regularly discussing progress towards achieving the actions at staff meetings; and
 - (iv) reporting to Branch Executive on the achievement of the specific actions at least once each school semester.
- (g) The Strategic Plan will be reviewed every 12 months.

27. Investment planning

27.1 Policy

- (a) The Branch Executive is responsible for:
 - (i) ensuring that the Branch operates within a responsible, sustainable financial framework;
 - (ii) ensuring that the organisation has adequate resources to carry out its work; and
 - (iii) maintaining and extending the assets of the Branch, to provide for its long-term financial viability.
- (b) This policy is designed to ensure that any assets not required for the current operating budget will be invested in accordance with the Investment Plan.

Section 28: Budget process

- (c) The purpose of the Investment Plan is to manage the cash assets not required for current operating expenses to maximise the earnings of such assets, while retaining security and minimising risks.
- (d) All interest and other earnings from such investments are deposited into the Branch's operating account and thus become part of the annual operating budget.
- (e) The Investment Plan should be designed to ensure that the Union:
 - (i) will have funds that are utilised to achieve a balanced operating budget;
 - (ii) creates capital growth and generates income;
 - (iii) will have access to cash to cover current liabilities;
 - (iv) will have access to cash for establishing new projects; and
 - (v) will have access to cash for unforeseen expenses.
- (f) The Investment Plan must conform to the following principles:
 - (i) the priorities set in the Strategic Plan must be adhered to;
 - (ii) investments are to be made with low to medium risk ventures (that is, investments that provide for security of capital over the medium to long term);
 - (iii) the Union will only invest with reputable, established, proven, financial institutions; and
 - (iv) 100% of any share portfolio must be invested with ethical investments.

27.2 Procedure

- (a) The Secretary, in consultation with the Finance Committee, is responsible for recommending an Investment Plan portfolio for consideration by the Branch Executive in the context of the annual Strategic Plan.
- (b) The Finance Committee will investigate investment options and make recommendations to the Branch Executive, in the form of an Investment Plan, as part of the Business Plan element of the Strategic Plan.
- (c) The Branch will, if appropriate, retain an independent investment consultant to provide advice about investment opportunities and maintain a portfolio of investments.
- (d) The Finance Committee will annually review the performance of the investment portfolio and report to the Branch Executive.
- (e) The Secretary will receive information about and keep track of the progress of all investments, and report on the progress of the investments to the Branch Executive.
- (f) The Investment Plan will be reviewed every 12 months as part of the Strategic Plan.

28. Budget process

- (a) The Secretary is responsible for preparing a draft annual budget, with the assistance of the Treasurer and in consultation with the Finance Committee.

Section 28: Budget process

- (b) The Branch Executive is responsible for the approval of the annual budget.
- (c) The budget process will be as follows:
 - (i) the Secretary will, with the assistance of the Treasurer and in consultation with the Finance Committee, consider the Branch's Strategic Plan and prepare a draft annual budget which supports the effective implementation of the Strategic Plan;
 - (ii) the Secretary will take all reasonable steps to ensure that the draft annual budget is presented to the Branch Executive by the second last Branch Executive meeting for the year for consideration; and
 - (iii) the Branch Executive will use its best endeavours to ensure that the annual budget is passed before the commencement of the financial year to which it relates.
- (d) If the annual budget has not been passed before the commencement of the financial year to which it relates, the persons responsible for financial expenditure in the delegations register should exercise their reasonable discretion to incur expenditure in accordance with the previous year's budget or, if a draft budget has been prepared, the draft budget.
- (e) However, if there is any doubt about whether expenditure should be incurred, or the amount of expenditure to be incurred, the expenditure should be deferred until such time as the Branch Executive next meets to approve the expenditure, or until the budget has been approved.
- (f) While the Branch's budgets are approved on an annual basis, for the purpose of the delegations register in Appendix B, the Branch Executive can decide to set a weekly, monthly or quarterly budget for a specific item of expenditure at the time it approves its annual budget.



APPENDIX A – BRANCH CARD FORM

Credit/Debit Card Issue Form

Name of AEU (NT Branch) Credit/Debit Card holder: _____

I acknowledge that the AEU Corporate Credit/Debit Card is issued to me under the following conditions.

Use

This card is the property of the Australian Education Union and must only be used for work-related purposes.

1. I will keep this card in my possession and will maintain it securely.
2. I will not disclose the PIN or access code to anyone.
3. I will use this card in accordance with the Branch's *Financial Management Policy*.
4. I will immediately report any unauthorised use or loss of the card to the issuing financial institution and to the AEU Accounts Officer.

Monthly reconciliation

1. Receipts in physical or electronic form must be sought for all transactions incurred on the card.
2. Receipts annotated with the cardholder's name and budget line descriptor or code is provided to the accounts officer as soon as practicable and within 7 days of the end of the statement period.
3. BAS and IAS statements are lodged with the ATO quarterly, therefore all transactions must be reconciled promptly to ensure fees and penalties are not incurred by AEU NT.
4. The accounts officer will produce a monthly statement from the relevant financial institution and give this statement to the cardholder to annotate with transaction details.
5. The cardholder will complete, sign and return the monthly statement to the accounts officer within 7 days of the end of the statement period to verify that the statement is accurate and that the transactions were reasonably incurred for work-related purposes.
6. Other than in the case of the Secretary or President, the accounts officer will provide the signed monthly statement of each cardholder to the Secretary and President to sign confirming that, in their opinion, that the transactions were reasonably incurred and work-related.
7. Each FTO must annotate and sign their own monthly statement as an accurate record of work-related expenses they have reasonably incurred and countersign the other FTO's monthly statement if they are satisfied that the transactions were reasonably incurred and work-related.
8. If the Secretary or President is not available to countersign a monthly statement, the accounts officer may request that the Treasurer countersigns the statement in the FTO's absence.
9. All monthly statements (whether signed and annotated or otherwise) must be uploaded to the Branch's document management system for scrutiny by the Branch Executive and Finance Committee.
10. The accounts officer will reconcile the transactions using the Branch's accounting software and, where available, upload receipts to the Branch's accounting software.

Change in card holder details



Section 0: APPENDIX A – BRANCH CARD FORM

I will immediately advise the Accounts Officer of any change in name or contact details.

Upon termination

I will immediately return my card to the Accounts Officer upon the cessation of my employment with the Australian Education Union, or at any other time if instructed to do so by the Branch Secretary.

Declaration

I acknowledge that I have read and understood the Branch's *Financial Management Policy*.

Signed: _____

Date: _____





APPENDIX B – DELEGATIONS REGISTER

Activity	Delegations	Conditions
Appointment and termination of all employees	Branch Executive	On recommendation from selection or disciplinary panel
Personnel & staff policies	Branch Executive	Branch Executive receives recommendations from Branch Conference Delegates for approval
Remuneration of employees	Branch Executive	Branch Secretary has limited power to employ additional staff on a temporary contract, casual or consultant basis
Appointment of contractors and temporary staff	Branch Secretary	Branch Secretary has limited power to employ additional staff on a temporary contract, casual or consultant basis
Leave requests from Secretary	Branch President	Efforts will be made to ensure that either Secretary or President is available during the other's period of leave
Leave requests from President	Branch Secretary	(As above)
Leave requests from employees	Branch Secretary	May consult the President in cases of conflict
GOVERNANCE AND FINANCIAL DELEGATIONS		
Negotiate sponsorship arrangements	Secretary or sub-delegate	If sub-delegate, subject to approval of Secretary
Authorise sponsorship arrangements	Secretary	Subject to compliance with this Policy and any contrary direction of the Branch Executive. All sponsorships agreed to must be promptly disclosed to Branch Executive.
Determine organisational structure of Union	Branch Executive	
Develop and approve strategic plans, including risk assessment,	Branch Executive, in collaboration with the Branch President	

Section 0: APPENDIX B – DELEGATIONS REGISTER

and monitor their implementation		
Effectively implement strategic plans	Secretary	
Business case for new services, or new initiatives and projects in the strategic plan	Secretary	May sub-delegate as appropriate
Develop and approve Investment Plan	Branch Executive	The Secretary, in consultation with the Finance Committee, is responsible for recommending an Investment Plan to Branch Executive
Approve business plans and annual operational and capital budgets	Branch Executive	The Secretary is responsible for preparing a draft annual budget, with the assistance of the Treasurer and in consultation with the Finance Committee
Allocate budget amounts	Branch Executive	<p>The Secretary, with the assistance of the Treasurer and Finance Committee will propose budget amounts for approval by Branch Executive.</p> <p>The Branch Executive may set a budget for individual items of expenditure on a weekly, monthly, quarterly or annual basis.</p>
Set membership subscriptions, entrance fees and fines	Branch Executive	The Finance Committee must make recommendations to the Branch Executive regarding the amount of any entrance fees, subscriptions, levies and fines payable by members
Regulatory compliance and responding to regulatory correspondence	Secretary	
Filing regulatory reports	Secretary	
Instigate or defend legal actions and proceedings	Branch Executive	Day-to-day instructions to be provided by the Secretary, or

Section 0: APPENDIX B – DELEGATIONS REGISTER

		other person appointed by the Branch Executive
Obtain legal or taxation advice	Secretary	Subject to approval of Branch Executive
Execute industrial and other agreements and documents	Two of the President, Secretary, Vice-President (General) and Vice-President (TAFE)	
BAS and tax lodgement	Bookkeeper	Subject to direction of Secretary
Execute purchases, contracts and agreements committing the union to expenditure: (a) up to \$1,000, if there is no allocated budget; or (b) up to \$10,000, if within an allocated budget.	Secretary	The Branch Executive may set a budget for individual items of expenditure on a weekly, monthly, quarterly or annual basis
Execute purchases, contracts and agreements committing the union to expenditure: (a) over \$1,000, if above the allocated budget, or if there is no allocated budget; or (b) over \$10,000, within an allocated budget.	Branch Executive	Secretary to prepare proposal and seek approval of the Branch Executive. The Branch Executive may set a budget for individual items of expenditure on a weekly, monthly, quarterly or annual basis.
Approval of the giving of gifts or hospitality up to the amount of \$100	President or Secretary	
Approval of the receipt of gifts or hospitality up to the amount of \$100	Secretary (or the President, if the gift is to the Secretary)	
Approval of appropriate travel arrangements for employees, Branch Executive Members, Branch Conference Delegates or members where there is a benefit to the AEU, the Branch or its members	President or Secretary	

Section 0: APPENDIX B – DELEGATIONS REGISTER

Ensure that all Branch vehicles are legally registered and insured	Secretary	
Determining appropriate legal service providers and range of legal services	Branch Executive	To be recommended by the Secretary
Determining to provide legal assistance to members in accordance with approved budgets (up to an amount of \$10,000 for a single member or issue)	Secretary	The Branch Executive may set a budget for individual items of expenditure on a weekly, monthly, quarterly or annual basis
Determining to provide legal assistance to members outside approved budgets or for an amount exceeding \$10,000 for a single member or issue	Branch Executive	To be recommended by the Secretary. The Branch Executive may set a budget for individual items of expenditure on a weekly, monthly, quarterly or annual basis.
Approving legal assistance to members beyond agreed budgets, or on different conditions to this Policy	Branch Executive	To be recommended by the Finance Committee. The Branch Executive may set a budget for individual items of expenditure on a weekly, monthly, quarterly or annual basis.
Appoint auditor	Branch Executive	
Liaise with auditor	Secretary	
Open and close union bank accounts	Secretary	Subject to direction and approval of Finance Committee
Branch Cards approval and setting of limits	Finance Committee	
Issuance of Branch Cards	Secretary	Once approved by the Finance Committee
Monitoring the use of Branch Cards and compliance with Branch Card policy	Secretary	

Section 0: APPENDIX B – DELEGATIONS REGISTER

List of authorised cheque signatories	NT Branch Rules – all cheques must be signed by two of the Secretary, President and Treasurer	
Reimbursement	Secretary or sub-delegate	All staff reimbursements to be approved by Secretary or delegate of the Secretary in accordance with this Policy
Determine non-budgeted expenditure (of more than \$1,000)	Branch Executive	Finance Committee or Secretary may make recommendations to Branch Executive. The Branch Executive may set a budget for individual items of expenditure on a weekly, monthly, quarterly or annual basis.
Authorise personnel to conduct EFT disbursements	Two of the authorised signatories	Subject to direction of the Finance Committee
Member Liaison Account allocation	Secretary	Up to \$200 per annum
Write off debts, including outstanding membership subscriptions etc.	Branch Executive	
Determining which bank/s the Union uses	Finance Committee	Subject to the direction of the Branch Executive
Liaise with banks used by Union	Finance Committee	Subject to direction of Branch Executive
Branch Executive dispute resolution	Branch President	
Financial risk management plan	Branch Executive	Finance Committee to propose financial risk management plan to the Branch Executive for approval
Obtain insurance	Secretary/Bookkeeper	Subject to approval of Branch Executive
Public relations/media commentary	Secretary	



Section 0: APPENDIX B – DELEGATIONS REGISTER

General authority to manage the day-to-day operational activities and requirements of the AEU NT Office and affairs	Secretary	Subject to direction of Branch Executive
Development of the Strategic Plan	President	In collaboration with the Branch Executive
Implementation of the Strategic Plan	Secretary	President and employees to assist with implementation. Implementation to be overseen by the Branch Executive.



APPENDIX C – CONFLICT OF INTEREST DECLARATION FORM

Name	Position	Date	Nature of interest	Nature of conflict	Action taken/recommendations	Further comments

Declaration

I confirm that I have disclosed all my financial and non-financial interests, and those of all my immediate relatives. I understand that it is my responsibility to disclose any additional interests as they arise as soon as practicable.

Signed: _____

Secretary signature: _____

Date: _____

APPENDIX D – CONTRACTS FOR THE PROVISION OF SPONSORSHIP

Sponsorship contracts and letters of agreement involving the Union should normally include the following clauses:

1. **Description of the Sponsorship Alliance:** The contract will contain a comprehensive description of the item, project or event around which the sponsorship alliance is constructed, including a list of obligations for both parties. Obligations of the parties in market research or sponsorship analysis will be explicitly itemised in the contract. (See also item 7 below.)
2. **Terms of Agreement:** the dates for commencement and conclusion of sponsorship alliances must be included in the contract.
3. **Key Personnel:** The contract will include the names of the individuals from both parties primarily responsible for the sponsorship, and to whom issues regarding the contract are to be referred.
4. **Limitations on and Approval of the Use of the Union's Name:** The following clause limits the use of our name by the sponsor in its own internal and external promotion and advertising as per the negotiated arrangements: *'Neither party, in any situation, whether within or outside the parameters of the sponsorship, shall be deemed to be the spokesperson for, or the representative, of the other party.'* The accepted use of the Union's word mark, or logo must be stipulated in all contracts and agreements.
5. **Exclusivity:** The Union may wish to offer outright or industry exclusivity to a sponsor, or the sponsor may request such exclusivity within the sponsorship alliance. Where relevant, the following statement regarding exclusivity will be included in the contract: *'The Union agrees that [Name of Sponsor] shall be the sole and exclusive sponsor of [Name of Initiative] for the term of this agreement.'*
6. **Financial Terms and Schedule of Payments:** The total value and payment schedule of the sponsorship agreement between the parties will be clearly identified in the contract.
7. **Obligations of the Parties to Each Other:** The obligations of the parties are dependent upon the form of the alliance and will be determined on an individual basis. Responsibility for any market research or program or evaluation duties, reporting, and approvals will be specified in the contract, along with specific criteria and methodologies for the evaluation of the sponsorship.
8. **Breach of Contract:** The contract should stipulate what shall occur in the case of a breach of contract; for example: *'Prior to initiating formal notification of breach of contract, the parties will undertake all appropriate and reasonable efforts to resolve the matter. Should these efforts not prove successful, either party may notify the other of breach of contract in writing, sent by mail or courier, return receipt requested. Such notification will request a written response by a specific date. A failure to respond, or to rectify a material breach, by the specific date will constitute cause for dissolution of the contract.'*
9. **Right to Discontinue the Sponsored Program or Event:** The contract shall ensure the Union reserves the right to cancel the sponsorship should circumstances dictate.



APPENDIX E – FACTSHEET – AEU NT LEGAL ASSISTANCE POLICY FOR MEMBERS

FACTSHEET – AEU NT Legal Assistance Policy for Members

1. Assistance provided

- (a) AEU NT makes provision for legal assistance to members in matters connected with their employment in instances where the matter cannot be resolved directly with the employer.
- (b) AEU NT does not normally provide legal assistance in matters that are not work-related. However, where a formal arrangement with a law firm is in place, members may request access to the firms' services (including, potentially, at a discounted rate if available).
- (c) AEU NT officers and employees provide industrial advice to members about their employment entitlements and employment law rights. Where matters cannot be resolved with the employer and/or require formal legal advice and/or court representation, AEU NT will consider contributing in whole or in part to the cost of such legal assistance. Generally, these matters will be within the jurisdiction of the Northern Territory Magistrates Court, including the Work Health Court or Teachers Registration Board, the Federal Court or the Fair Work Commission.
- (d) Assistance may be available where the AEU NT Branch believes that the member has a valid claim and that injustice would arise if assistance were not provided. Examples of such situations include:
 - (i) the pursuit of entitlements under the Work Health & Safety Act, Return to Work Act or the Fair Work Act;
 - (ii) action for recovery of withheld wages or other entitlements;
 - (iii) defence of charges or actions brought under the Public Sector Employment and Management Act;
 - (iv) applications to the Anti-Discrimination Commission or a relevant Ombudsman.
- (e) The AEU NT Branch will consider requests for legal assistance to defend civil actions or criminal charges where they have arisen within the normal employment relationship.

2. Conditions required for legal assistance to be provided

- (a) As legal assistance can be a considerable expense in any single case, the AEU NT will usually only consider providing assistance where the following conditions are satisfied:
 - (i) the applicant has acted according to the AEU NT's Code of Ethics;
 - (ii) the applicant has truthfully supplied the AEU NT and its legal advisers with all relevant information;
 - (iii) the matter for which assistance is sought has arisen directly from the member's employment;
 - (iv) the member was a fully financial member of the AEU NT at the time the matter arose;



- (v) the member is defending the action or pleading not guilty to the allegation or charge;
- (vi) AEU NT legal assistance has been sought, and approval given prior to any legal costs being incurred. No reimbursement for legal expenses already incurred will be considered;
- (vii) the member agrees to use the AEU NT's solicitors unless the AEU NT determines otherwise and if it decides otherwise, the Branch may impose such conditions as it believes suitable;
- (viii) the member agrees to share relevant information with the AEU NT (including, potentially, the waiver of privilege in respect of advice that is obtained).

3. **Procedures for seeking legal assistance from the AEU NT Branch**

- (a) In the first instance, the member should contact a Full-Time Officer or an AEU NT employee. A Full-Time Officer will advise whether it is a matter for which the member should apply for legal assistance.
- (b) The member seeking assistance must complete the AEU NT Application for Legal Assistance form, available through the AEU NT Office, and send it to a Branch employee or Full-Time Officer.
- (c) The Branch employee or Full-Time Officer may refer the matter to the Secretary for approval, who may decide to refer the matter to the Branch Executive to consider further.
- (d) The Branch will advise the member of its decision, either to support or not support the application, or request further information.
- (e) Approval may be given by the Branch subject to conditions, including an obligation for the member to personally satisfy any adverse costs order imposed against them in a legal proceeding.
- (f) Where approval is given by the Branch, and the member obtains a favourable costs order in a legal proceeding, the member must reimburse the Branch for those legal fees to the value of the costs order.
- (g) In all cases where legal assistance is granted, the AEU NT Branch Executive reserves an absolute discretion to discontinue such assistance at any time.
- (h) Where a member discontinues a legal action without the AEU NT Branch's consent, the AEU NT reserves its right to withdraw legal assistance funding and is entitled to the reasonable reimbursement of legal costs already paid.

4. **Police interviews**

- (a) The only information a citizen is legally obliged to give the police is their name and address. If arrested, it is unwise to engage in discussion with police without first obtaining legal advice.
- (b) Members are strongly advised not to plead guilty without first consulting a solicitor.

5. **Confidentiality**

- (a) Members should note that the proceedings of the AEU NT Branch Executive are entirely confidential in respect to cases where the Union provides legal assistance to members.



Section 0: APPENDIX E – FACTSHEET – AEU NT LEGAL ASSISTANCE POLICY FOR MEMBERS

If a member thinks they need legal assistance they should contact the AEU NT Branch Office at once. There are many situations in which employers may accept responsibility for the defence of teachers and educators. The Union can explain to members how to seek employer defence provided by the Department.



Section 0: APPENDIX F – LETTER 1

APPENDIX F – LETTER 1

[or email/text/phone message]

Dear **[Member's Name]**

On **[insert date]** the attached account was sent to you.

As of today, the AEUNT has not received any fees from you for two months. Members who are more than 60 days in arrears with their fees are no longer a financial member of the Union.

During any period when you are not a financial member you are not entitled to access the services provided by the Union, including free legal advice.

The Union has been greatly appreciative of your previous contributions and looks forward to your continued membership. If you are experiencing any hardship (financial or otherwise), or your employment circumstances have changed, please contact our office and speak with one of our Officers.

Alternatively, you may restore your financial status by paying your outstanding fees.

Again, please don't hesitate to contact our office on 8948 5399 or via email admin@aeunt.org.au if we can assist you further.

Yours sincerely

Branch Secretary

[Insert Date]



Section 0: APPENDIX G – LETTER 2

APPENDIX G – LETTER 2

Dear

Further to our letter dated [Letter 1] the AEU NT has not received any payment of your outstanding membership fees.

Accordingly, please find attached a further statement, which indicates the amount outstanding to the end of the current quarter.

Until payment of the balance indicated in the statement is received you will continue to be an unfinancial member and will not be eligible for the full range of benefits and protections that AEU NT membership offers.

Remember, if you are experiencing hardship, or your circumstances have changed, then please contact our office on 8948 5399 or via email admin@aeunt.org.au.

Yours sincerely

Branch Secretary

[Insert Date]



Section 0: APPENDIX H – LETTER 3

APPENDIX H – LETTER 3

Dear

As advised in previous correspondence dated [Letter 1]. And [Letter 2] you have an outstanding debt to the Union of \$[INSERT].

Unless we receive a response from you about settling this account within fourteen days from the date of this letter, your membership will be cancelled.

Should you wish to discuss this matter then please contact our office on 8948 5399 or via email admin@aeuntorg.au.

Yours sincerely

Branch Secretary

[Insert date]



Section 0: APPENDIX I – LETTER 4

APPENDIX I – LETTER 4

Dear

The AEU NT has previously advised you of your outstanding membership dues on three separate occasions [insert dates of Letters 1, 2 and 3].

Unfortunately, I am now required to advise you formally that your Union membership has been cancelled effective from [14 days after Letter 3].

Should you wish to re-join the Union at any point in the future, please do not hesitate to contact us on 8948 5399 or via email admin@aeunt.org.au.

Yours sincerely

Branch Secretary

[Insert Date]