Template

Governance, conflicts of interest   
and financial arrangements

# Instructions

This template will help you to show how your association would address issues with governance, conflicts of interest and financial arrangements that may occur while administering a scheme. It also asks about your association’s improvement cycle and consumer protection outcomes.

It includes 26 questions. Enter your response in the space indicated. Provide examples wherever possible and supporting documents as needed.

For help completing this template, see the Governance, conflicts of interest and financial arrangements [guidance](https://www.psc.gov.au/sites/default/files/SAF/SAF_Module_1/1_Guidance_Governance.pdf).

# Questions

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| Governance |
| 1. How does your association and its governing body maintain the confidence of the public, professionals, employers and other key stakeholders? |

Add your association’s response to this question here. Type over or delete this text.

Use the Body text style to complete your answer. If you need more styles, use built-in styles:

* Heading 2 and Heading 3
* Bullet list, Numbered list.

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| 1. Does your association respond to its regulatory commitments with diligence, or does it have the capacity to do so? |

Add your response.

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| 1. Are your association’s key documents managed appropriately, using version control mechanisms? Provide evidence to support your answer, including any examples of minutes outlining changes to governance documents such as its constitution. |

Add your response.

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| 1. Is your association a public company limited by guarantee?   If you answer ‘yes’, please answer questions a–d. If you answer ‘no’, then go to question 5. |

Add your response.

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| 1. Does the secretary have suitable qualifications or experience for the role? |

Add your response.

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| 1. Does the secretary fulfil standard secretarial responsibilities, such as organising annual general meetings of members? |

Add your response.

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| 1. Does the governing body comply with statutory requirements, including those under the Corporations Act 2001 (Cth), section 250N? |

Add your response.

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| 1. Does the governing body show an arm’s length process for tenders and service-level agreements, including having written policies? |

Add your response.

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| Conflicts of interest and related matters |
| 1. What mechanisms does your association use to identify conflicts of interest? |

Add your response.

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| 1. What mechanisms are in place to manage conflicts of interest? Provide evidence such as registers, policy documents and details of quality assurance systems. |

Add your response.

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| 1. Have there been times when your association has managed conflicts of interest, as stipulated in the documents in question 6? |

Add your response.

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| 1. What mechanisms are in place to prohibit secret commissions? Provide evidence such as policy documents and details of quality assurance systems. |

Add your response.

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| Financial arrangements |
| 1. Do your association’s financial statements report negative equity or satisfy any indicators of insolvency? Provide audited financial statements and a 2-year cash flow forecast to support your answer. |

Add your response.

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| 1. Does your association’s cash flow rely on ongoing loans from individual association members? |

Add your response.

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| 1. Does your association’s cash flow show associated entities controlled by other governing officers of the association (such as the president)? |

Add your response.

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| 1. Does your association’s cash flow show over-reliance on sponsorship from related entities, which may pose a conflict of interest? |

Add your response.

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| 1. Does your association appear to have the financial resources, or to be sufficiently independent of its directors or governing officers, to:  * supervise its risk management strategies * oversee disciplinary arrangements * represent its members’ interests? |

Add your response.

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| Improvements |
| 1. What are the consequences of nonconformance with your governance documents and conflicts of interest policies? |

Add your response.

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| 1. How does your association plan to improve its policies? What are its strategies to address consumer harms and risks? Provide details. |

Add your response.

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| 1. What roles and responsibilities do your association’s executive and governing body take in protecting consumers? How does your governing body seek relevant independent expert advice to support its decision-making? |

Add your response.

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| 1. How does your association communicate to members and the public about its governance, conflicts of interest and financial arrangements? How do you assess and improve this communication? |

Add your response.

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| 1. How do you measure the effectiveness of your policies to ensure professional conduct? How often do you do this? Measures could be qualitative, such as measures of satisfaction, or quantitative, such as numbers or dollar amounts. |

Add your response.

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| 1. How do these measures help your association to continually improve its policies and protect consumers of the services your members provide? |

Add your response.

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| Consumer protection outcomes |
| 1. In your association’s improvement cycle, how are trends found in conduct and competence processes used to inform policy revisions? Trends could be data from consumer claims, notifications and complaints. |

Add your response.

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| 1. Describe how your association’s improvement cycle identifies and incorporates best practice. |

Add your response.

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| 1. In your association’s improvement cycle, how are an improvement’s purpose and benefits identified and confirmed? How are adequate resources assigned to the improvement? |

Add your response.

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| 1. Is your association’s improvement process free of inappropriate or conflicted influence from government, the profession, employers or other interested parties? |

Add your response.

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| 1. How does your association engage and consult with stakeholders to ensure alignment? Stakeholders could be members, the public, consumers, regulators and related occupational associations. |

Add your response.

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| 1. What practical measures does your association use to assess the effectiveness of each improvement? These could be data collection, collation, analysis and reporting to the governing body. |

Add your response.

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| 1. What improvement cycle changes need approval by the governing body and formal approval at a general meeting of members? |

Add your response.