

PROCESS FOR ASSESSMENT OF MEMBERSHIP APPLICATIONS BY MEMBERSHIP COMMITTEE OF HASANZ

OVERVIEW

- 1 Decisions on whether or not to admit an Applicant as a member of HASANZ are made by the Managing Committee of HASANZ (which operates under the title, and is referred to in this document as, “The Leadership Team”) under rule 14.2 of the Rules of HASANZ. The Leadership Team has formed a sub-committee (“the Membership Committee”) to assess applications on its behalf.
- 2 The Membership Committee assesses applications to determine whether or not an Applicant meets the requirements for membership and makes recommendations to the Leadership Team on whether or not an Applicant should be admitted as an Associate Member or Full Member of HASANZ.
- 3 The Leadership Team has complete and sole discretion on whether or not to admit an Applicant as a Member of HASANZ. The Leadership Team’s decision is final.
- 4 The Membership Committee comprises at least four members, with a quorum of three. All decisions of the Membership Committee must be by consensus.
- 5 The Membership Committee must follow the processes in this document but may depart from them in minor respects or where it does not consider the departure will be unfair to an Applicant (in which case it will advise the Applicant of the change and the reasons for making it).

INITIAL PROCESSING OF APPLICATION

- 6 An application is sent to the Membership Committee co-ordinator who logs the application and checks to see whether the application is complete.
- 7 If the application is complete, the co-ordinator will confirm receipt of the application and notify the Membership Committee of the application received.
- 8 If the application is incomplete, the co-ordinator will send the application back to the Applicant to complete.

Conflict of interest

- 9 Before an application is sent to the Membership Committee for assessment all members of the Membership Committee must advise the co-ordinator whether they have a conflict of interest (see definition in paragraph 28 below) in relation to the application.
- 10 If a member of the Membership Committee has a conflict of interest under paragraph 9 or at any time throughout the assessment process, they must:
 - 10.1 declare the conflict of interest to the rest of the Membership Committee upon becoming aware of it;
 - 10.2 stand down as a member of the Membership Committee for the purposes of assessing the application in conflict; and
 - 10.3 not participate in any deliberations or recommendations to the Leadership Team on the application in conflict.
- 11 For the avoidance of doubt, if a member stands down from the assessment process due to a conflict of interest, that does not affect the constitution of the Membership Committee nor its ability to assess an application and make recommendations to the Leadership Team,

provided a quorum of three members is still met. If the quorum of three members cannot be met, the Membership Committee will co-opt further members of the Leadership Team to join the Membership Committee on a temporary basis.

- 12 The Membership Committee may take any action it considers necessary to manage the conflict of interest to ensure the application is dealt with in a fair and reasonable manner.
- 13 The Membership Committee co-ordinator will advise the Applicant of any conflict of interest and the steps taken by the Membership Committee to manage the conflict.

ASSESSMENT OF APPLICATION BY COMMITTEE MEMBERS

Initial assessment of application

- 14 Each member of the Membership Committee will individually assess an application against the criteria for membership.
- 15 The Membership Committee co-ordinator will arrange a meeting (in person, by phone or by electronic means) for the Membership Committee to discuss and assess an application. At the meeting:
 - 15.1 each member will recount his or her assessment of the application to the rest of the Membership Committee;
 - 15.2 the Membership Committee will explore the reasons for any significant differences of view;
 - 15.3 the Membership Committee will ensure that each member is given an opportunity to express his or her views; and
 - 15.4 the Membership Committee will discuss whether or not the Applicant meets each of the requirements for membership of HASANZ.
- 16 The Membership Committee will make a decision either in the meeting or as soon as possible afterwards either that:
 - 16.1 the Applicant meets the requirements for membership of HASANZ, in which case the Membership Committee will recommend to the Leadership Team that the Applicant be admitted to membership either as a Full Member or an associate Member; or
 - 16.2 the Applicant does not meet the requirements for membership either as a Full Member or an associate Member, in which case the Membership Committee may either:
 - 16.2.1 decide to seek further information or clarification from the Applicant and/or require changes to the application or any of the information provided by the Applicant with the application under paragraphs 18 to 22; or
 - 16.2.2 make a provisional decision to recommend to the Leadership Team that the application for membership be declined, in which case paragraphs 23 and 24 apply.
- 17 The Membership Committee co-ordinator will record the deliberations and the decision of the Membership Committee which will be confirmed by the Membership Committee members after the meeting.

Requests for further information and/or changes to application

- 18 If the Membership Committee decides under paragraph 16.2.1 to seek further information or clarification from the Applicant and/or require changes to the application or any of the information provided by the Applicant with the application, the Membership Committee co-ordinator will:
 - 18.1 advise the Applicant of the Membership Committee's request; and

- 18.2 agree with the Applicant on a date for the Applicant to provide the further information or clarification and/or to make the required changes.
- 19 If the Applicant provides the further information or clarification and/or makes the changes required under paragraph 18, the Membership Committee will consider the further information, clarification and/or changes together with all other information already provided by the Applicant in relation to the application, and may:
- 19.1 seek further information or clarification and/or require further changes to be made in relation to the additional information or changes made in accordance with paragraph 18, in which case paragraphs 18 to 22 also apply;
- 19.2 if it considers the Applicant now meets the requirements for membership either as a Full Member or an Associate Member, recommend to the Leadership Team that the Applicant be admitted as a Full Member or an Associate Member; or
- 19.3 make a provisional decision to recommend to the Leadership Team that the application for membership be declined in which case paragraphs 23 and 24 apply.
- 20 If the Applicant fails to provide the further information or clarification and/or make the required changes within the time period agreed under paragraph 18.2, the Membership Committee will provide the Applicant with a further time period (being no longer than 1 month) in which the Applicant is to provide the information or clarification and/or make the required changes to the application..
- 21 If the Applicant fails to provide the further information or clarification and/or fails to make the required changes within the further time period specified under paragraph 20, the Membership Committee will assess the application on the basis of the information before it. If the Membership Committee:
- 21.1 considers that the Applicant meets the requirements for membership either as a Full Member or an Associate Member, it will recommend to the Leadership Team that the Applicant be admitted as either a Full Member or an Associate Member; or
- 21.2 does not consider the Applicant meets the requirements for membership either as a Full Member or an Associate Member, the Membership Committee will make a provisional decision to recommend to the Leadership Team that the application for membership be declined in which case paragraphs 23 and 24 apply.
- 22 The Membership Committee co-ordinator may at any time in its processing of an application request the Applicant to confirm that the information provided in the Applicant's original application remains current and/or request that the Applicant provide up to date information.

PROCESS THAT APPLIES IF PROVISIONAL DECISION IS TO RECOMMEND THAT APPLICATION BE DECLINED

- 23 If the Membership Committee makes a provisional decision under paragraphs 16.2.2, 19.3 or 21.2 to recommend to the Leadership Team that the application for membership be declined, the Membership Committee co-ordinator will:
- 23.1 advise the Applicant of the Membership Committee's provisional decision and the reasons for it; and
- 23.2 give the Applicant a reasonable period of time (as determined by the Membership Committee and notified by the Membership Committee co-ordinator to the Applicant) to provide any comments on the provisional decision and to provide any additional information the Applicant considers relevant to the Membership Committee.
- 24 If the Applicant provides comments and/or additional information under paragraph 23 or fails to do so within the time frame notified under paragraph 23.2, the Membership Committee will make a decision on the application. The Membership Committee will consider as a whole the

Applicant's original application, any further information, clarification or comments provided and any changes made, and either:

- 24.1 confirm its provisional decision, that the Applicant does not meet the requirements for membership either as a Full Member or an Associate Member and recommend to the Leadership Team that the application for membership be declined; or
- 24.2 determine that the Applicant meets the requirements for membership either as a Full Member or an Associate Member and recommend to the Leadership Team that the application for membership be accepted.

RECOMMENDATIONS AND REPORTS TO THE LEADERSHIP TEAM

- 25 All recommendations of the Membership Committee to the Leadership Team must be in writing and accompanied by a brief report summarising the Membership Committee's process, its assessment of the application and the reasons for its recommendations.
- 26 If a recommendation from the Membership Committee on an application is that the Leadership Team should decline the application, the Leadership Team may (in its discretion):
 - 26.1 provide a copy of the recommendation and report from the Membership Committee to the Applicant and (if the Leadership Team wishes) a copy of the report of the probity advisor on the recommendation; and
 - 26.2 invite the Applicant to make submissions to the Leadership Team on the recommendation either in writing or in person or both.

PROBITY REVIEW

- 27 The Membership Committee's assessment of an application will be reviewed by an impartial third party engaged by the Membership Committee to check that the Membership Committee has followed this process, or is otherwise fair, that its decisions are reasonable, and that its decision has correctly applied the requirements for membership. The probity advisor may advise the Membership Committee during its assessment of an application and will provide a report to accompany the Membership Committee's recommendation to the Leadership Team.

DEFINITION OF TERMS

- 28 Except as otherwise provided in this document or as the context requires, terms defined in the Rules of HASANZ have the same meaning in this document.
- 29 In this document the term "conflict of interest" means any situation where the interests of a member of the Membership Committee could be perceived by a person acting reasonably as compromising the member's ability to assess an application for membership independently, objectively or impartially where:
 - 29.1 "interest" means that:
 - 29.1.1 the member may derive a financial benefit if the application is approved or declined;
 - 29.1.2 the spouse, civil union partner, de facto partner, child or parent of the member may derive a financial benefit if the application is approved or declined;
 - 29.1.3 the member is a member or office holder of the Applicant;
 - 29.1.4 the spouse, civil union partner, de facto partner, child or parent of the member is a member or office holder of the Applicant;
 - 29.1.5 the member is otherwise directly or indirectly interested in the matter other than by reason of being a member of the Membership Committee or a

member of an association that is a member or prospective member of the Society; or

29.1.6 the member has previously expressed strong personal views on the Applicant or on the application such that a person acting reasonably would consider that the member's decision on the application would be unduly influenced by those views; and

29.2 the judgment about whether a member has a conflict of interest on an application will be made taking into account that there are only a limited number of people in the industry with sufficient knowledge, independence and willingness to sit on the Membership Committee.