**Checklist CL 011** | 6 March 2023

# Notification of change checklist (multiple changes) (RO Act section233)

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| **AR caseHQ Number:** |  | **Action Officer:** |  |
| **Org. Code:** |  | **Organisation Name:** |  |
| **Lodgement Date:** |  | **Branch Name (if applicable):** |  |

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|  | **DO NOT PROCESS NOCS UNTIL AFTER THE ANNUAL RETURN IS FILED.** |

| **Lodgement** |  |  |  |  |
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| Notification uploaded on the AR matter **that the notification changes** | **Y/N** | **Y/N** | **Y/N** | **Y/N** |
| Date stamp affixed or email with date | **Y/N** | **Y/N** | **Y/N** | **Y/N** |
| Notification lodged within 35 days | **Y/N** | **Y/N** | **Y/N** | **Y/N** |
| If no, how many days late? | **No. of days** | **No. of days** | **No. of days** | **No. of days** |
| If no, check last two acknowledgements of notifications of change: |  |  |  |  |
| Previous acknowledgement letter indicates that all notifications were on time | **Y/N/n/a** | **Y/N/n/a** | **Y/N/n/a** | **Y/N/n/a** |
| Second last acknowledgement letter indicates that all notifications were on time | **Y/N/n/a** | **Y/N/n/a** | **Y/N/n/a** | **Y/N/n/a** |

**For internal use only (click on arrow to show more): check caseHQ and website**

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| Check that this NoC has been loaded to website on the AR matter **that the notification changes**. | **Y/N** |
| If uploaded, check that private information redacted or removed | **Y/N/n/a** |
| If not uploaded, OCR the NoC, remove or redact any private information and upload to the website | **Y/N/n/a** |
| Check that this NoC is on caseHQ on the AR matter **that the notification changes** | **Y/N** |
| If NoC changes the **list of offices and/or office holders**:  forward the NoC to GT training admin officer | **Y/N/n/a** |
| If the NoC changes **key office holders**:  Secretary  President  CEO (if an office)  ED (if an office)  Assistant Secretary  Update the relevant office holders on caseHQ by:  deleting previous office holder from the list of related entities of the org/branch  adding new office holder as a related entity of the org/branch  make sure you save the changes by selecting ‘save’ on the entity | **Y/N/n/a** |
| If the NoC changes **a primary contact**:   * change the relationship from ‘contact’ to ‘primary contact’ * change the relationship of previous to ‘contact’ * make sure you save these changes by selecting ‘save’ on the entity * make sure the new primary contact’s preferred email address is the org/branch’s preferred email address:   + either check ‘preferred contact’ in the relevant email address details on the new primary contact’s entity details, or you may need to create a new email address and check ‘preferred contact’   + If there is already a preferred, but different, email address, UNCHECK ‘preferred contact’ on this old email address, but do NOT inactivate the old email address * check whether the previous primary contact is the contact for any open the Commission matters * if so, change the contact details on the matter to the new office holder for those matters, UNLESS it is an I matter * if it is an I matter advise the relevant action officer that the primary contact for this organisation has changed | **Y/N/n/a** |
| If the NoC changes the **address of organisation/branch**  ‘add’ the new address on caseHQ by selecting ‘add’ in the address field   * + enter the ‘effective date’ which is the date of commencement of the new address   + enter the date the NoC was received   ‘inactivate’ the old address of the org/branch on caseHQ   * + enter the ‘effective date’ which is the date the old address ceased   + enter the date the NoC was received   make sure you save the changes by selecting ‘save’ on the entity  if there is an open I matter, advise the relevant action officer | **Y/N/n/a** |
| If the NoC changes **the preferred email address of the org/branch**:  change the preferred email address on caseHQ by ‘adding’ a new email address and marking as ‘preferred’ and removing the ‘preferred check’ on old email address. If the old email address is no longer valid at all, ‘inactivate’ the old email address  make sure you save the changes by selecting ‘save’ on the entity  change the preferred email address of the primary contact on caseHQ, as per the instructions for the org/branch  if there is an open I matter, advise the relevant action officer | **Y/N/n/a** |
| If NoC advises of **cessation of branch(es)**  enter the date the NoC received into the relevant field in the entity(ies)  cancel the entity(ies) on caseHQ  check whether the entit(ies) are a party to any open matters, and if so consider whether the matter should be closed or remain open  if there is an open I matter, advise the relevant action officer  delete the branch(es) as related entities of the organisation  update the website to remove the names of the branch(es) | **Y/N/n/a** |

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| **Declaration** |  |  |  |  |
| **Name and position of officer signing:** | | | | |
| Statement signed by secretary or prescribed officer [reg 150] | **Y/N** | **Y/N** | **Y/N** | **Y/N** |
| Declaration that the information is correct statement of the changes made to the records [s233(2)] | **Y/N** | **Y/N** | **Y/N** | **Y/N** |
| The changes are able to be ascertained from the document lodged  **NOTE: Notification should only show changes and not the entire list of its officers (unless the changes are discernible)** | **Y/N** | **Y/N** | **Y/N** | **Y/N** |

| **Minimum required information for a change to:** | |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Officers (incoming):** [section 230(1)(c)] | the names, addresses & occupations of persons holding office | **Y/N/n/a** | **Y/N/n/a** | **Y/N/n/a** | **Y/N/n/a** |
| **Officers (departing):** [section 230(1)(c)] | name and office | **Y/N/n/a** | **Y/N/n/a** | **Y/N/n/a** | **Y/N/n/a** |
| **Address of org/branch:** [reg 147(d)] | STREET address of new office | **Y/N/n/a** | **Y/N/n/a** | **Y/N/n/a** | **Y/N/n/a** |
| **Branch (new):** [reg 147(b), section 230(1)(b), section 230(1)(c)] | Record of name and STREET address of branch  New offices created  New holders of office | **Y/N/n/a** | **Y/N/n/a** | **Y/N/n/a** | **Y/N/n/a** |
| **Branch (closed):** [reg 147(c), section 230(1)(b), section 230(1)(c)] | Record of name of branch  Offices abolished  Officers departing | **Y/N/n/a** | **Y/N/n/a** | **Y/N/n/a** | **Y/N/n/a** |
| **Offices:** [section 230(1)(b)] | A list of new or abolished offices in the org/branch | **Y/N/n/a** | **Y/N/n/a** | **Y/N/n/a** | **Y/N/n/a** |

| **Do NOT file (DNF) if:** |  |  |  |  |
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| The declaration was NOT made in the correct terms | **File/DNF** | **File/DNF** | **File/DNF** | **File/DNF** |
| The declaration was NOT signed or signed by someone other than the Secretary or prescribed officer | **File/DNF** | **File/DNF** | **File/DNF** | **File/DNF** |
| The changes are unable to be discerned | **File/DNF** | **File/DNF** | **File/DNF** | **File/DNF** |
| Addresses are not provided for officers | **File/DNF/n/a** | **File/DNF/n/a** | **File/DNF/n/a** | **File/DNF/n/a** |
| Occupations of officers are not listed | **File/DNF/n/a** | **File/DNF/n/a** | **File/DNF/n/a** | **File/DNF/n/a** |
| Address for Branch/Org office is not a street address or is missing | **File/DNF/n/a** | **File/DNF/n/a** | **File/DNF/n/a** | **File/DNF/n/a** |

**For internal use only (click on arrow to show more): Assessed**

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| Upload checklist as ‘File Note’ > ‘Assessed’ | **Y/N** |

**For internal use only (click on arrow to show more): Private Information**

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| If private information (e.g. private address) provided:  **request** the org to lodge a redacted version for publication on the website (and advise even if redacted the private information may be inspected by any person under regulation 20), and  **request** the org to consider keeping a non-private address (such as the org’s address or a PO Box) as a record of the address of their office holders (to protect the privacy of their office holders) | **Y/N/n/a** |
| **Comments:** | |

**For internal use only (click on arrow to show more): Resolve DNF issues**

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| Call org to resolve DNF issues. Record as ‘**File Note’** > ‘**Action Sought’** | **Y/N/n/a** |
| If cannot be resolved by phone:   1. prepare template letter to org/branch ‘the Commission\_Generic\_Letter’; 2. template letter checked by another staff member for complex issues; 3. send letter via outlook (do NOT send through caseHQ); and 4. upload letter sent as **‘Document Sent’ > ‘Action Sought’** | **Y/N/n/a** |
| Action resolved? If YES, record as ‘File Note’ or ‘Document received’ > ‘Sought Action Complete’ | Y/N/n/a |
| **Comments:** | |

**For internal use only (click on arrow to show more): Finalisation**

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| Prepare acknowledgement letter to org/branch:  for changes to officer holders, use template: ‘ORG Annual returns - acknowledge - notification office holders’;  for all other changes, use template: ‘ORG Annual returns - acknowledge - notification – org’ | **Y/N** |
| **IF NOT LATE:**  do not check boxes for ‘letter one/two/three re lateness’ | **Y/N/n/a** |
| **IF LATE** for the first time:  fill in relevant paragraph that ‘notification was not lodged within prescribed period of 35 days’ and how many days late, AND  check box for ‘letter one re lateness’  **IF LATE** previously and pattern of lateness identified:  fill in relevant paragraph that ‘notification was not lodged within prescribed period of 35 days’ and how many days late, AND  check box for ‘letter two re lateness’, AND  insert the number of instances of lateness which can be more than the number of letters sent (there may be more than one instance of lateness in each letter), AND  refer to compliance for consideration, AND  change the risk assessment (see below);  raise a Q Matter:  make sure the free text ‘notes’ field on the edit page of the Q matter states that the query is about late notification of change, AND  link the Q matter to the AR in the ‘related matter’ field, AND  allocate the Q matter to the relevant compliance officer, AND  in the AR matter file note the reference to compliance | **Y/N/n/a** |
| Dispatch acknowledgement letter via caseHQ | **Y/N/n/a** |
| If unable to dispatch through caseHQ, send via outlook.  Upload as ‘**Document sent’** > ‘**Advice for new holders of office**’ (for changes to officer holders) OR as ‘**Document sent’** > ‘**Acknowledgement letter**’ (for all other changes) | **Y/N/n/a** |
| **Comments:** | |

| **Risk assessment** | |
| --- | --- |
| Having regard to the Commission risk-based framework, the recommended response level and option is?   * **Static Risk:** High * **Dynamic Risk**: Choose an item. * **Response Level:** Choose an item. * **Response Option:** Choose an item. | Having regard to the Commission risk-based framework, the recommended response is level One and the recommended response option is to File notification of change |

**For internal use only (click on arrow to show more): Processing**

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| Change comment in caseHQ against the receipt of the notification from ‘NOT YET ACKNOWLEDGED’ to ‘ACKNOWLEDGED DATE [Date acknowledged]’ | **Y/N** | **Y/N** | **Y/N** | **Y/N** |
| Record ‘**Result**’ > ‘**Notification of change to records filed’**. Insert comment about which NOC or NOCs are being resulted. | **Y/N/n/a** | **Y/N/n/a** | **Y/N/n/a** | **Y/N/n/a** |

**For internal use only (click on arrow to show more): Filing**

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| Upload to the website:   * the filing letter so that it follows the NoC(s) * if amended NoC received, remove original NoC from website and replace with amended NoC   Make sure you:  redact any private information  OCR and optimise documents | | **Y/N** |
| Upload final checklist to caseHQ as ‘**File note’** > ‘**File note**’ OR upload to result. Insert comment ‘final checklist’ | | **Y/N** |
| Matter closed or allocated to compliance or remains because more NoC(s) have been lodged | **Closed/not closed** | |
| Name of compliance action officer to whom matter allocation | **NAME/n/a** | |

**Date:** Click or tap to enter a date.