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**Checklist CL 001** | 18 July 2024

# Notification of change (NOC) checklist

# RO Act section 233

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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.** |

| **NOC lodgement on CaseHQ and FWC website** |
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| Date stamp affixed or email with date | **Y/N** |
| Notification lodged within 35 days commencing from date of change | **Y/N** |
| If no, how many days late? | **No. of days** |
| If no, check previous acknowledgement letter to see if previous NOCs were lodged on time: | **Y/N/n/a** |

| **Declaration** |
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| **Name and position of officer signing:**  |
| Statement signed by secretary or prescribed officer [reg 150] | **Y/N** |
| Declaration that the information is a correct statement of the changes made to the records [section233(2)] | **Y/N** |
| Changes can 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** |

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

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|  | **IF ‘N’ APPEARS IN RESPONSE TO THE ABOVE TABLES FOR ‘DECLARATION’ OR ‘MINIMUM INFORMATION REQUIRED ABOUT THE CHANGE’, THE ACTION OFFICER MUST REQUEST THE ORGANISATION/BRANCH TO LODGE AN AMENDED NOC**  |

| **Updating CaseHQ according to the changes in the NOC** |
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| If the NOC changes **key office holders**:* President, or Vice President;
* Secretary, or Assistant Secretary;
* CEO (if an office), or Executive Director (if an office);

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 **the 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
* ensure 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 Commission matters
* if so, change the contact details on the matter to the new office holder for those matters, UNLESS it is an INQ/INV matter
* if it is an INQ/INV 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 INQ/INV matter, advise the relevant action officer
 | **Y/N/n/a** |
| If NOC advises **creation of a new branch(es**):* create new branch(es) as an entity(ies) on caseHQ
* the org code must start with the code of the organisation and must be in the format ‘NNNL-LLL’ where N=a number and L=a letter
* insert the date the NOC received into the relevant field on the new entities on caseHQ
* make sure they have a primary contact
* make sure they are a related entity of the organisation (Branch)
* update website to list new branch(es)
* ensure the branch names are available options when loading documents to the web
* ensure the branch codes are available options when loading documents to the web
 | **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 entity(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 INQ/INV 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** |

| **Updating CaseHQ according to the changes in the NOC** |  |
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| Upload checklist as ‘File Note’ > ‘Assessed’ | Y/N |

| **Risk Assessment** |
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| 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 |

| **Finalising NOC in CaseHQ and uploading letter on FWC website** |
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| On CaseHQ 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’
* if NOC was lodged late, for the first time or there is a pattern of late lodgements, select relevant paragraphs in template letter.
 | **Y/N** |
| Dispatch acknowledgement letter via CaseHQ or Outlook | **Y/N** |
| On CaseHQ, for each NOC filed in the acknowledgement letter, change comment from **‘NOT YET ACKNOWLEDGED’** to ‘**ACKNOWLEDGED**’ (insert date of letter and action officer’s initials) | **Y/N** |
| On CaseHQ enter ‘**Result**’ > ‘**Notification of change to records filed’**. Insert comment about which NOC(s) are being resulted, and upload Final Checklist. | **Y/N** |
| Upload the acknowledgment letter following the relevant NOC(s) onto the FWC website. If an amended NOC was lodged, remove the original NOC\* and replace with amended NOC redacting any private information. OCR and optimise the documents. | **Y/N****Y/N/n/a** |
| On Case HQ , ‘Close Matter’ > ‘Electronic File’ > ‘ROC - public file’ | **Y/N** |

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

\*Don’t remove original NOC if it has been acknowledged.