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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:** | | |
| --- | --- | --- |
| **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.