**Checklist CL 002** | 6 March 2023

Election checklist (RO Act section 189)

|  |  |  |
| --- | --- | --- |
| **E number**  [insert hyperlink] | **Action officer** | **Date received** Click or tap to enter a date.  **KPI date** Click or tap to enter a date. |
| **Organisation and/or branch name** | | **Org/branch code** |
| **Reason for election**  Expiry of term of office / new offices / insufficient noms / casual vacancy | | **Previous relevant election**  [insert hyperlink] |

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

|  | | **Comments** |
| --- | --- | --- |
| Is this election already on caseHQ? | **Y/N** |  |
| Relevant offices/positions summarised in the free text field under ‘Title’ | **Y/N** |  |
| If lodged by Branch, enter head office on caseHQ as a participant | **Y/N/n/a** |  |
| If lodged by head office and includes offices elected by branch, enter relevant branch on caseHQ as a participant | **Y/N/n/a** |  |
| If insufficient noms or casual vacancy, check entered on caseHQ as matter type: ‘section 189(1) RO Act - Notification of elections for office - Casual vacancy or insufficient nominations’, and link matter/s under ‘Related Matter’ to originating election or elections | **Y/N/n/a** |  |
| PI emailed to AEC through caseHQ, using template letter ‘ORG Letter - prescribed info to AEC’ | **Y/N** |  |

| **Lodgement of prescribed information** | | **Comments** |
| --- | --- | --- |
| Prescribed day [regulation 138(3)] (no less than 2 months before date specified under rules for opening nominations) |  |  |
| Was the PI lodged before the prescribed day? *[If yes, go to the next section ‘Prescribed Information and Statement’]* | **Y/N** |  |
| Has a request for an extension of time been made? | **Y/N/n/a** |  |
| **IF YES:**  Make sure the request is entered on E Matter as ‘Add Event’ with ‘Event Type’ ‘Request for Extension of Time’ with Event Performed ‘Request extension received’  AND  Insert when request made and reasons for request in Comments section below. | **Y/N/n/a** |  |
| Was an extension requested in previous election? | **Y/N/n/a** | [If applicable, matter number of previous request] |
| **IF YES:**  Summarise reasons for request and if granted for the previous decision in Comments section below. | **Y/N/n/a** |  |

| **Prescribed information and Statement (Reg. 138)** | | **Comments** |
| --- | --- | --- |
| Name of each office for which election requested [regulation 138(1)(a)] | **Y/N** |  |
| Reason for election:  Expiry of term of office / new office created / insufficient noms / casual vacancy  *[regulation 138(1)(b)(i), (ii), (iii), (iv)]* |  |  |
| If casual vacancy, evidence of casual vacancy provided | **Y/N/n/a** |  |
| If insufficient nominations, declaration of results of originating election provided by AEC and on caseHQ | **Y/N/n/a** |  |
| Number of each office *[regulation 138(1) (c)]* | **Y/N** |  |
| Electorate identified – branch, section, division name *[regulation 138(1)(d)]* | **Y/N** |  |
| Date and time of opening and closing of nominations *[regulation 138(1)(e)]* | **Y/N** |  |
| Day roll of voters closes *[regulation 138(1)(f)]* | **Y/N** |  |
| Voting system to be used: collegiate *[regulation 138(1)(g)(ii)]* or direct voting *[regulation 138(1)(g)(i)]* |  |  |
| Statement that information lodged under section 189 *[regulation 138(2)]* | **Y/N** |  |
| Statement signed by authorised officer *[regulation 138(2)]* | **Y/N** | [insert name & office] |
| Request for positions other than offices included *[section 187(3)]* | **Y/N** | [If the election concerns office positions AND non-office positions, insert the name(s) of the non-office position(s)] |
| The rules support the statement that the position(s) is a non-office position(s) | **Y/N/n/a** | [insert rule] |
| The rules require that an election be conducted for the non-office position(s) | **Y/N/n/a** | [insert rule] |
| A copy of the org or branch’s written request to the AEC for the election of the non-office position(s) is on caseHQ | **Y/N/n/a** | [insert date of the request] |

| **Rulebook** | | **Comments** |
| --- | --- | --- |
| Date of rulebook used |  | Click or tap here to enter text. |
| Any relevant rule alterations pending?  **NOTE:** if the PI is silent, phone the organisation or branch to ask whether any rule alterations pending, and if so whether they impact the current election. | **Y/N** |  |
| If so, do they impact this election? | **Y/N/n/a** |  |
| **If this election impacted, recommended action:** |  | |

| **Check against relevant election rules (or see attached)** | | | | | | |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Office/ Position and number** | **Election method and electorate** | **Term of office** | **When last election held** | **Notes** | **Election due?** |
| **Details and rule no.** |  |  |  |  |  | **Y/N** |
| **Details and rule no.** |  |  |  |  |  | **Y/N** |
| **Details and rule no.** |  |  |  |  |  | **Y/N** |

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

|  | | **Comments** |
| --- | --- | --- |
| If scheduled election, check election data on entity in caseHQ (Election Alert Programme) | **Y/N** |  |
| If election alert information incorrect, update the information | **Y/N/n/a** |  |

**For internal use only (click on arrow to show more): PRE-Decision**

|  | | **Comments** |
| --- | --- | --- |
| Checked against previous election material | **Y/N** |  |
| caseHQ file note - assessed with copy of Checklist and other notes on caseHQ | **Y/N** |  |
| Print/MNC booked as ‘Prints’ > ‘Add New’ with ‘Print Category Decision’ and ‘Print Type ‘Delegate Decision’ or ‘General Manager Decision’ | **Y/N** |  |
| Generate template decision through caseHQ ‘Org decision – section 189 elections’ selecting relevant prompts | **Y/N** |  |
| Forward all relevant materials to supervisor/Fair Work Commission (Commission) officer for second review | **Y/N** |  |
| Send email to the General Manager or Delegate containing recommendation, risk assessment, notes, draft template decision and checklist and file note email on caseHQ as event type ‘file note’ > ‘file note’ and note in comments ‘email to Delegate/General Manager.’ | **Y/N** |  |

| **Comments** *Insert comments about anything unusual in this election, considerations and actions taken to ensure compliance* |
| --- |
|  |

| **Risk Assessment** | |
| --- | --- |
| **Static Risk:** Medium  **Dynamic Risk:** Satisfied  **Response Level:** One  **Response Option:** Make arrangement for election | Having regard to the Commission risk-based framework, the recommended response is level one and the recommended response option is to make arrangement for election and request for extension of time granted. |

**For internal use only (click on arrow to show more): POST-Decision**

|  | | **Comments** |
| --- | --- | --- |
| If extension requested, enter ‘Add Event’ > ‘Request for Extension of Time’ with event type ‘Extension granted’ or ‘Extension NOT granted’ in caseHQ | **Y/N/n/a** |  |
| Result ‘Election arranged’ or ‘Election arrangement refused’ recorded in caseHQ | **Y/N** |  |
| In the result under the heading ‘Related Prints’ confirm that the Print ID has been related to the result | **Y/N** |  |
| Decision dispatched to org/branch, AEC and other participants | **Y/N** |  |
| Combine file for Website comprising of PI and decision and save using Commission naming convention e.g. 215v-e2019-27.pdf. | **Y/N** |  |
| OCR and optimise file and ensure any private information has been redacted | **Y/N** |  |
| File uploaded to Website (see Commission Reference Guide for process) | **Y/N** |  |
| Attach final checklist as event type ‘file note’ > ‘file note’ | **Y/N** |  |
| Matter closed in caseHQ | **Y/N** |  |

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