**Checklist CL 012** | 20 October 2023

Officer and related party disclosure statement checklist (RO Act section 293J)

 **This document is used by the Fair Work Commission (the Commission) staff to complete a assessment of officer and related party (ORP) disclosure statements lodged under the Fair Work (Registered Organisations) Act 2009.**

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| **caseHQ Number** |  | **Action Officer** |  |
| **Org. Code** |  | **Organisation Name** |  |
| **Lodgement Date** |  | **Branch Name** |  |
| **Financial Year End** |  |

| **Lodgement** |
| --- |
| Statement lodged within six months of end of financial year? (section 293J(1)) | **Y/N** |
| If late, contact the organisation to establish the reason for lodging late. | **Y/N/NA** |
| If organisation has no, or insufficient, reason refer to Supervisor to discuss if further action required.  | **Y/N/NA** |

### For internal use only (click on arrow to show more): Uploaded to CaseHQ and the website

| caseHQ: Check statement is lodged  | **Y/N** |
| --- | --- |
| Website: Check that statement has been loaded to the website and any private information redacted. If not, upload to the website NOW, ensuring any private information has been redacted | **Y/N** |

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| **Declaration** |
| **Name & position of officer signing:** |
| Signed by an office holder or signed by a person authorised to sign on behalf of the organisation or branch (Regulation 16A(2)) | **Y/N** |

| **Content of statement** |
| --- |
| Last year’s filing letter | If issues were identified in last year’s filing letter, have those issues been corrected this year? | **Y/N/NA** |
| Top five rankings of officers(section 293BC) | Are the names and office positions provided for any listed officers? NOTE: template has default NIL statement | **Y/N/NA** |
| Relevant remuneration and non-cash benefits(section 293BC) | Are dollar amounts and form of non-cash benefit listed against the officer or covered in the declaration? NOTE: template has default NIL statement | **Y/N/NA** |
| Payments to related parties and declared persons or bodies(section 293G) | Are the relevant details provided or covered in the declaration? NOTE: template has default NIL statement | **Y/N/NA** |
| ADDITIONAL step for Payments to related parties and declared persons or bodies(section 293G | Where there is a related party payment (officers and their spouses see s.9B) – send s.293F letter and reporting unit must provide a response setting out the decision-making process where there is a material personal interest. **NOTE: Section 293F correspondence is NOT TO BE PUBLISHED.** This is not required if s.293F correspondence was exchanged in the previous year. | **Y/N/NA** |

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

| caseHQ: Enter the Compliance data on the front edit screen of the ORP* Y or NA blue boxes = yes
* N blue boxes = no
* If compliance = N, advise the Governance Assistant Director.

**NOTE:** this is a measure of initial compliance. The compliance measure is whether the statement was compliant during the initial assessment.  | **Y/N** |
| --- | --- |

| **Do NOT file – Action Sought for the following circumstances**  |
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| Do not file and **seek amended statement to be re-lodged** if the ORP:* is NOT signed by an officer, or by another person authorised to sign
* is NOT dated
* does NOT include details specified in the content of statement above (e.g. name, office, amount, etc) NOTE: the default wording of the new template includes a NIL statement
* has NOT corrected issues identified in last year’s filing letter.
* has NOT used the FWC template
 |
| Action sought (if any) |

**For internal use only (click on arrow to show more): Resolve Do not file issues**

|  |  |
| --- | --- |
| caseHQ: If action sought is required:Enter file note – assessed, and attach partially completed checklist.Enter file note – event type ‘action sought’.  | **Y/N/NA** |
| caseHQ: When action is resolved, enter file note ‘action sought completed’ | **Y/N/NA** |

| **Risk assessment** |
| --- |
| Having regard to the Commission risk-based framework, the recommended response level and option is? Static Risk: HIGH Dynamic Risk: SatisfiedResponse Level: OneResponse Option: File ORP statement | Having regard to the Commission risk-based framework, the recommended response is level one and the recommended response option is to File ORP statement |

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

|  |  |
| --- | --- |
| caseHQ: If there was no action sought, upload checklist as ‘File note: assessed’  | **Y/N** |
| caseHQ: Preparing acknowledgement letter * Use template: ‘ORP Statement Review Acknowledgement’
* Copy letter to national body if statement is for a branch, or caseHQ/template states that particular persons to be copied.
 | **Y/N** |
| caseHQ: Dispatch OR send via Outlook and upload to matter history as event category ‘document sent’ and event type ‘acknowledgement letter’ | **Y/N** |
| caseHQ: Result as ‘statement filed’. | **Y/N** |
| Website: Compile documents to be added to the website ‘pdf’ document: * do not include cover emails or letters, s.293F correspondences, internal or other ancillary documents.
* If the ORP statement has been amended, remove the original statement and upload the amended statement
* Documents checked for any private material to be redacted
* OCR and optimise documents
* Upload to website and check on the website that publication is correct
 | **Y/N** |
| caseHQ: CLOSE, attach finalised checklist and note in comments that documents have been uploaded to the website. | **Y/N** |

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