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**Checklist** **CL 033** | 25 February 2025

# **Annual Return checklist – for an organisation with Branches** (RO Act section 233)

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| **CaseHQ Number for AR** |  | **Lodgment Date** | Click to enter a date |
| **Organisation Name** |  | **KPI date (4-week assessed)** | Click to enter a date |
| **Organisation Code** |  | **KPI date (8-week assessed)** | Click to enter a date |
| **Action officer** |  | | |

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| **DO NOT PROCESS NOCS IN RELATION TO THIS ANNUAL RETURN UNTIL AFTER THE ANNUAL RETURN HAS BEEN FILED** |

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| **Lodgment** |  |
| Date stamp affixed or email with date | **Y/N** |
| Lodged on or before 31 March in the year it is due, in accordance with reg. 149 | **Y/N** |
| If late, check whether AR was lodged on or before 31 March for the previous 2 years. If not discuss with Governance and Protected Disclosures Team Assistant Director or Director | **Y/N/n/a** |

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

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| **In this section:**  **Y = information is correct in caseHQ and on the website OR the information was incorrect but has been corrected**  **N = information in caseHQ or on the website is incorrect and has not been corrected** | |
| Check ‘Total Membership’ is recorded in caseHQ on the front details/edit screen.  If membership figures are identical to previous year’s AR, immediately discuss with Governance and Protected Disclosures Team Assistant Director or Director | **Y/N** |
| Check AR has been uploaded to the website (if not already on the website – redact private information, OCR, optimise and upload) | **Y/N** |
| Make sure caseHQ correctly records the Primary Officer and **key office holders for the organisation and each branch namely\***:   * Secretary * Assistant Secretary * President * CEO or Executive Director (if an officer)   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 * ensure only single primary contact listed * make sure you save the changes by selecting ‘save’ on the entity   \* **NOTE:** take a risk-based approach: if an organisation has many branches, just check the key office holders for the top two levels (e.g. national and divisional levels of the organisation) | **Y/N** |
| Make sure caseHQ correctly records the **address of the organisation and each of its branches\***:   * if the address has changed, ‘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 * ‘inactivate’ the old address of the org/branch on caseHQ   + enter the ‘effective date’ which is the date the old address ceased * save the changes by selecting ‘save’ on the entity page * if there is an open INV/INQ matter, advise the relevant action officer   \* **NOTE:** take a risk-based approach: if an organisation has many branches, just check the primary contacts for the top two levels of the organisation | **Y/N** |
| If the Annual Return states that **a branch(es) has been created**, the action officer:   * **MUST NOT CREATE THE NEW BRANCH** **on caseHQ** as the creation of a new branch may impact FR, ORP, LGD and GT exemption matters on caseHQ. * **MUST** immediately**:** * email the Director, Financial Analysis, Education & Advice Team about the change. The email **MUST** attach a copy of the relevant AR to provide all details of the changes. * send an email to all ROSB as an FYI to notify of the changes to the branch(es) - **DO NOT** attach AR.   The Director will organise the creation of the new branch(es) on caseHQ. | **Y/N/n/a** |
| If the Annual Return states that **a branch(es) has ceased**, the action officer:   * **MUST NOT DEACTIVATE THE OLD BRANCH on caseHQ** as cessation of an old branch may impact outstanding FR, ORP, LGD matters on caseHQ. * **MUST** immediately: * email the Director Financial Analysis, Education & Advice Team about the change. The email **MUST** attach a copy of the relevant AR to provide all details of the changes. * send an email to all ROSB as an FYI to notify of the information about the branch(es) – **DO NOT** attach AR.   The Director will organise the deactivation of the old branch(es) on caseHQ. | **Y/N/n/a** |
| If caseHQ and/or our website does NOT match the list of branches in the AR, immediately advise the Director, Financial Analysis, Education and Advice Team | **Y/N/n/a** |
| Consider whether there are any other issues which affect our records in caseHQ, e.g. a different name of the organisation or branch. If so, advise the Director, Financial Analysis, Education and Advice Team | **Y/N/n/a** |

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| **List issues raised in last year’s AR (if any)** | **Has the issue re-occurred in this AR?** |
|  | **Y/N/n/a** |

## Assessing the AR

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| **Assessing the information in the AR declaration** | |  |
| Name & position of **officer** signing |  | |
| Statement signed by secretary or prescribed **officer** [reg. 150]  An ‘Executive Director’ is generally NOT a prescribed officer (check with rules whether they have voting rights etc.) | | **Y/N** |
| Are all Divisions and/or Branches covered by the AR? If not, advise Assistant Director | | **Y/N** |
| A register of members has been kept and maintained during preceding year [sections 230(1)(a), 230(2), 233(1)(a)] | | **Y/N** |
| A copy of records required to be kept under paragraphs 230(1)b), (c) and (d) are certified by declaration to be a correct statement of information [section 233(1)(b)] | | **Y/N** |
| A record of the organisation and each branch office address [reg. 147(d)] | | **Y/N** |
| A record of the name of each branch of the organisation [reg. 147(a)] | | **Y/N** |
| A record of the name of each branch that commenced or ceased operation in the previous 12 months [reg.147(b) & (c)] | | **Y/N** |
| A record of the number of members on 31 December in the previous year [reg. 147(f)] | | **Y/N** |
| A list of the offices in the organisation and each branch has been provided [section 230(1)(b)] | | **Y/N** |
| A list of the names, postal addresses and occupation of persons holding office at the time the declaration is signed has been provided [section 230(1)(c)] | | **Y/N** |
| A statement about whether any election is due this year and details of each election due provided [reg. 147(e)] | | **Y/N** |
| If the organisation has entered into a section 151(1) RO Act agreement, a record of the number of members who were ineligible State members [reg. 147(g)] | | **Y/N/n/a** |

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

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| On the AR front details/edit screen, enter the ‘Compliance data’ – ‘Y’ if AR was lodged on or before 31 March, ‘N’ if not | **Y/N** |
| On the front details/edit screen of the AR, enter whether or not an election due this year | **Y/N** |
| Add ‘file note – assessed’ and upload checklist completed to this point on the AR matter | **Y/N** |

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| **Actions sought (if any)** |
| After discussion with Governance and Protected Disclosures Team Assistant Director or Director, action sought (if any) |

### For internal use only (click on arrow to show more): Processing when issues resolved

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| In caseHQ record either ‘Document Received’ ‘sought action completed’ OR ‘File Note’ ‘sought action completed’ | **Y/N/n/a** |

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| Having regard to the Commission risk-based framework, the recommended response level and option is?  Static Risk: High  Dynamic Risk: Satisfied  Response Level: One  Response Option: File Annual Return | Having regard to the Commission risk-based framework, the recommended response is level one and the recommended response option is to file the Annual Return |

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

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| Prepare acknowledgement letter on caseHQ, use ‘AR Filing Letter’ template. Select relevant paragraphs. | **Y/N** |
| Dispatch letter through caseHQ | **Y/N** |
| Enter in caseHQ, ‘Result’ – ‘Return filed’ | **Y/N** |
| Combine filing letter with the lodged AR (original or amended AR, if any). Redact any private information i.e. the signature, residential addresses, etc. | **Y/N** |
| Save the document as a pdf, using the naming convention: code-file-name.pdf, for example: 188v-ar2024-142.pdf  Use only lower case and hyphens, no spaces, or strange characters | **Y/N** |
| OCR and optimise the document | **Y/N** |
| Upload pdf document to website | **Y/N** |
| CaseHQ – Enter ‘file note’ – ‘file note’ attach final checklist. | **Y/N** |
| CaseHQ – Close Matter. DO NOT LEAVE MATTER OPEN ON CASEHQ | **Y/N** |

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