



Work Instruction:

Allocation of incoming correspondence and Mail handling

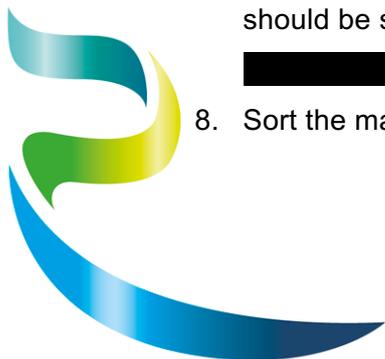
This Instruction outlines how all incoming information is triaged and allocated and includes all incoming mail, emails, and faxes. It does not include telephone calls.

Starting the shift

1. At the start of the shift, open the compactus. [REDACTED]
[REDACTED]
2. Place the mail tray in the Advice area, near the Advice entrance.
3. Move any concern emails from charityconcern@acnc.gov.au to advice@acnc.gov.au for case creation
4. Check junk folders in both email accounts, move any legitimate emails to advice and delete any emails that are spam. If you are unsure what is spam please speak to a manager.
5. Check the bounce back folder and if the inbox and mail has been allocated, please work on clearing the folder using the bounce back work instruction.

Getting the mail

6. The staff from the Ground Floor mailroom will send an email to advice@acnc.gov.au when the mail is ready to be collected. The ASO scheduled on Allocations collects the mail before 10:30am and brings it to the Level 1 mailroom for sorting and distributing.
7. Take any outgoing mail with you to the ATO mailroom when you collect the incoming mail. Outgoing mail is placed in the Advice mail tray throughout the day, and the last mail pick up is 3:00pm. After this time, outgoing mail and the tray should be secured in the compactus at the end of the shift. [REDACTED]
[REDACTED]
8. Sort the mail into the following categories:



- **Business as Usual (BAU):** Correspondence received for processing by Advice Services (forms, written enquiries, etc.)
- **Return to Sender (RTS):** Mail that has been sent back to the ACNC
- **Personal:** Mail marked 'personal' and/or 'confidential' for ACNC staff deliver to the addressee
- **Mail for a commissioner, deliver to their executive assistance.**

Scanning and saving

9. Refer to Work Instruction: Scanning incoming mail
10. Each file must be saved in line with the naming conventions work instruction
11. This can be done on the stand-alone computer or by sending the scanned documents to advice@acnc.gov.au and saving them to the H: Drive.
12. Once saved, the documents can be uploaded to a case – either a new case or an existing case in the system. See below for additional instructions.
13. When creating a new case, under Origin select 'Mail'.

Filing

14. After attaching white mail documents to a case, ensure the original mail correspondence is labelled with the date received and filed in the compactus as per Work Instruction: Filing and Document Management in the Compactus.

Email

15. The Allocations ASO monitors the Advice inbox throughout the day.
16. If the email was a reply to an email sent from a case, there will be a CRM number, e.g. 'CRM:00018000082' in the subject line and the incoming email is automatically saved in the case.
17. Most incoming emails are saved and then uploaded to a case – either a new case or an existing case in the system.
18. When creating a new case, under Origin select 'Email'.
19. Save the email to the H: Drive. (i.e. the whole email message including any attachments) in line with the **naming conventions work instructions**
20. Once saved and uploaded in a case, the email is moved to the relevant month folder in Outlook

Fax

21. Managers are to monitor the fax inbox throughout the day (inbox in ATO environment).
22. Faxes will be forwarded via email to advice@acnc.gov.au
23. The email is then saved and uploaded to a case – either a new case or an existing case in the system. See below for additional instructions.
24. When creating a new case, under Origin select 'Fax'.
25. Save the email to H: Drive. (i.e. the whole email message including any attachments) in line with the **naming conventions work instructions**
26. Once saved and uploaded in a case, the email is moved to the relevant month folder in Outlook.

Case already exists

27. If the correspondence relates to an existing case, search for the case.
28. If there is an existing case
 - If the case status is 'Completed', change it to 'In-progress'
 - If the case status is 'In progress', do not change it
 - Change to due date to seven working days from the date we received the correspondence.
29. Check to see if the email has automatically attached to the case. If it didn't attach, follow the following steps:
30. Under 'Documents', click the **+** sign
 - a. For document title, enter the name of the document
 - b. Document Title: Enquiry, Concern or Form
 - c. Document Type: Email In
 - d. Press save
 - e. Click 'Attach' and then 'Choose file'
 - f. Attach the email
31. In the analysis section of the case add any relevant notes. This may include the following codes:
 - **FDBK(+/-/0)** = Feedback Positive, Negative or Neutral **and/or**
 - **RFUP** = Registration Follow Ups

32. Change the case Owner to Advice Services, or if the case is already assigned to an Advice Officer, email the owner of the case to let them know correspondence has been attached to the case
33. If the case is assigned to another directorate, email them to notify of the additional correspondence.

Create a case

34. If there is no relevant existing case, create a new one.

General enquiries, internal disputes and charity concerns

35. For General Enquiry or Complaints

- Select case type 'General Enquiry' or 'Complaint'
- Select relevant Enquiry type or Complaint type (see Appendix 1 below for relevant type).

Please note: Form 3C: Notification of contravention or non-compliance is to be created the same as a complaint. Email intelligence@acnc.gov.au with the case number once its created

- Ensure the correct charity is selected – you can search by name or ABN
- Select the relevant Origin type
- Under Analysis enter name of sender and brief summary of the request then save the case.
- Attach the email by
 - Under 'Documents', click the **+** sign
 - For document title, enter the name of the document, i.e. [YYYYMMDD_Charity or Sender Name]
 - Document Title: Enquiry, Concern or Form
 - Document Type: Email In or document
 - Press save
 - Click 'Attach' and then 'Choose file'
 - Attach the email
- Change the case status is 'In Progress'
- Update the submission date field to reflect the date we receive the correspondence.
- Save the case, to make sure the due date has populated as seven working days from the submission date.

- Allocate the case to “Advice Services” team in-tray for general enquiries or internal disputes or ‘Compliance’ for complaints.
 - For internal disputes, determine if there are any underlying charity concerns that Compliance needs to review, if there is assign to Compliance. If the issue is an internal dispute only, email the Advice Managers the case number.
- Save the case.

Forms

36. For forms follow the same process but when selecting case type:

- Select the relevant case type, by selecting the relevant iApply form, e.g. Change AFS or Manual form (**All AIS are manual forms**).
- If you select Manual form, under Form Type select the relevant form type
- If you are allocating a Form 3B with multiple changes e.g. AFS change and Legal name change, select one relevant iApply form (e.g. AFS change) and make a note of the other changes also being requested via the form.
- **Paper AIS** - Access the charity’s details page, under the Financial Reporting tab select the relevant AIS year and change the status to ‘submitted’.
Annual reporting>select AIS year>Report Status – submitted. Then update Date received.

Single request for multiple charities

37. If an email/mail is received in relation to Bulk 3A Form (spreadsheet)

- NGE RP with ‘BULK 3A’ in the notes
- Assign the case to the first charity listed in the spreadsheet
- Check to see if there are any withholding requests (see Section E of the bulk spreadsheet), if there is include this in the notes section
- Change the case status to ‘In Progress’
- Allocate the case to “Advice Services” team in-tray.

38. For other forms like general enquiries or charity concerns;

- When the email/mail refers to 10 or less charities, create a case under each charity

- When the email/mail refers to over 10 charities, create a case under the first charity referred to in the correspondence, and create a 'dummy case' under all the other charities.

A 'dummy case' is a quick case that is created with minimum information to highlight a change or contact received about that charity. The dummy case includes the case reference number where the majority of the information is saved.

Correspondence not requiring a case

39. Not all correspondence received require to be uploaded in a case, refer to table 1. However, these emails must be moved to the relevant month folder in Outlook.

Table 1: Correspondence not requiring a case

Correspondence relates to	Action
Follow up 'thank you' emails	Move email to monthly folder without creating a case unless the email also has specific feedback about the ACNC or a follow up question.
Correspondence from Ministers or Government Officials	Send scanned copy or email to Media@acnc.gov.au CC Director of Education and Public Affairs (EPA) and Advice Services, and if the matter relates to an operational area, the Director responsible NB - EPA will handle the hardcopy from here, allocate file numbers and file
Personal correspondence to a commissioner	Deliver unopened hardcopy to the appropriate Executive Assistant; if they are unavailable place it in the ACNC Exec pigeonhole. If correspondence is an email, forward email to the relevant Executive i.e. Gary or Murray NB: This only applies if the correspondence is marked Personal and in-confidence. Otherwise it is BAU
Business Services correspondence (e.g. invoices)	Email Business Services at; ACNCBusinessServices@ato.gov.au

<p>Correspondence requesting an ACNC speaker for a presentation, workshop, or conference</p>	<p>Forward email to;</p> <p>media@acnc.gov.au</p> <p>CC [REDACTED]@acnc.gov.au</p> <p>If request received by mail, deliver to [REDACTED] in EPA</p>
<p>Mail labelled confidential and/or addressed to specific person</p>	<p>Deliver unopened mail to addressee's desk.</p> <p>If correspondence is an email, forward email to addressee.</p>
<p>Correspondence related to an active compliance activity</p>	<p>If the correspondence is a small document, save it to the compliance case and forward the email to Intelligence@acnc.gov.au</p> <p>If the correspondence is too large, deliver it to the Compliance team.</p>
<p>New registrations paper & email (Form 1A)</p>	<p>Scan, email then deliver paper applications to one of the Registration managers.</p>
<p>Freedom of Information requests (FOI)</p>	<p>If the correspondence appears to be an FOI request, email it to foi@acnc.gov.au and cc Director of Legal</p> <p>NB - Do this as soon as the FOI request arrives.</p>
<p>A notice of application to review a decision (Form 2A)</p> <p>(I.e. an appeal to an objection decision from Administrative Appeals Tribunal or the Federal Court or Supreme Court).</p>	<p>Scan and email to the relevant directorate</p> <p>NB - Do this as soon as the appeal arrives.</p>

Feedback (positive or negative) about an ACNC employee	Refer to Policy: Complaints and compliments about the ACNC , and Work Instruction: ACNC Complaints Instruction
Blank emails from customers	Move directly to monthly folder
Charity Tick	Forward to charitytick@acnc.gov.au
Enquiries on the progress of an existing registration application (RFUP)	<p>Conduct a search in Dynamics to confirm an active application is with registrations.</p> <p>Attach the documents to the Case and make a note. Email the Case owner (or, if unassigned, email Registration@acnc.gov.au) to advise them that correspondence has been attached to the Case.</p> <p>Use the code RFUP. Use 'RFUP+' if the customer is also providing positive feedback about the ACNC or 'RFUP-' if the customer is providing negative feedback about the ACNC</p>

Appendix 1: General enquiry types

1. Whether the case is automatically or manually created, we need to select the enquiry type.

Table 1: Enquiry type

Type	Definition - Enquiries about.....	Examples
ACNC	<p>Questions about the ACNC, our people, processes and policies.</p> <p>It includes questions about meeting requests, whether we have certain publications or resources, and the name of our minister. Contact Details</p> <p>Does not include feedback about the ACNC, i.e. does not include compliments or complaints about ACNC staff or about ACNC resources. Feedback goes under Feedback.</p> <p>Does not include how to navigate the website or issues with the website. These go under Password, portal and website.</p>	<ul style="list-style-type: none"> • Who is the ACNC Commissioner • What are the ACNC contact details • Can I talk to another directorate/Commissioner/ ACNC person? • I want to complain about the ACNC to your minister, where do I send the letter to? • What's your policy/procedure on XYZ • I have a meeting with ACNC person, can you tell them I am running late • I have a meeting with ACNC person, can I confirm venue/time.
AIS and reporting	<p>Questions about the AIS, SAP and streamlined reporting through the AIS.</p> <p>Does not include:</p> <ul style="list-style-type: none"> • AIS extensions • AIS amendments or • Accessing/navigating the portal • How to submit the AIS 	<ul style="list-style-type: none"> • Do I need to submit an AIS • Which charities must submit an AIS • When is the AIS due • Who can submit an AIS • Financial questions about the AIS (where do I report gains made from sales of shares?) • Financial questions within the AIS (where do I record gains from sales of shares) • Non-financial questions within the AIS (what do I select for beneficiaries if we help animals?) • Request for paper AIS • How do I change my reporting period? • What reporting period is the AIS for? • If I submit the AIS, do I also need to report to CAV/Fair Trade/etc? • I received a remainder but have already submitted.

AIS extension	Anything related to AIS extensions	<ul style="list-style-type: none"> Request for an AIS extension Who can request an extension? What is the process for requesting an extension? Circumstances under which extensions granted
AIS amendment	Anything related to amending the AIS	<ul style="list-style-type: none"> Process for requesting an AIS amendment Requests to resubmit the AIS I have made a mistake on the AIS. What do I do? I received an email saying that I can now resubmit my AIS, why did I get it and what do I do now?
Charity and NFP law	<p>Questions about charity and NFP law and how it applies to their organisation or another organisation.</p> <p>Includes questions relating to:</p> <ul style="list-style-type: none"> ACNC Act, Charities Act and Regulations Common law charity questions State based incorporated associations <p>Does not include questions about how to tell us of a specific change. For example, 'how do I apply to change my charity subtype' goes under Password, portal, website.</p> <p>Does not include questions about charity governance. For example, 'can a charity's RP also hold paid position within the charity' goes under Governance and obligations.</p>	<ul style="list-style-type: none"> Where in the Act does it say..... Why can't a sole trader/individual be a charity How or where is NFP defined Questions about changing subtype, becoming a PBI or HPC I'm already registered, will changing my objects make me a PBI? What do you mean by RPs? We've just realised that we have contravention of the ACNC Act – do we need to submit a form (Form 3C or Form 5B)
DGR reform	Questions about the DGR reform and DGR review	<ul style="list-style-type: none"> Do I have to send you a copy of the self-assessment tool? I read about the ACNC reviewing PBIs, does my charity need to be worried? I got a letter about the ACNC reviewing charities I want to apply for DGR but ROCO is closing down so should I apply to the ACNC? I have DGR with REO but I heard I now need to apply to the ATO, is that right?
Double defaulter	Any questions about any aspect of the double defaulter process from NOIR through to revocation, questions about objections, and reregistration.	<ul style="list-style-type: none"> How can I re-register? Why have I been revoked? I got a letter saying that we will be revoked. Extension requests for NOIR

	<p>Does not include 'how to submit outstanding AIS' or 'how to log into portal to reregister', these go under Password, portal and website.</p> <p>Does not include adding an AP so that they can submit AIS or reregister if this is all the call is about. This goes under Specific Charity Information.</p>	
<p>Feedback</p>	<p>Any feedback about the ACNC including staff, resources, website, and portal.</p> <p>Description must include FDBK+, FDBK- or FDBK0</p>	<ul style="list-style-type: none"> • The portal is so slow • Your staff are so helpful/friendly • You should have more factsheets on • I want to complaint about one of your staff • You should tell me the progress of my charity concern, I'm going to the minister
<p>Fundraising and donations</p>	<p>Any questions about fundraising or donations (as long as they are not DGR/tax related).</p> <p>The question may be from a charity or from a member of the public.</p> <p>Includes questions about the laws and regulations surrounding fundraising.</p>	<ul style="list-style-type: none"> • Do I need a fundraising licence? • Do I need to register for a fundraising licence in each state and territory if I fundraise online? • Can I hold fundraising activities? • Can we do a raffle, hold an alcohol licence, auction stuff to raise funds? • I want to donate to a charity, what do I need to look for? • Where can I find a list of philanthropic or government grants to apply to? • Charity admin costs • Do not call register and getting donations requests • I don't think this charity is using the donations in the way they said they would
<p>Governance</p>	<p>Questions about governance</p> <p>Includes questions about the process, managing and addressing issues about:</p> <ul style="list-style-type: none"> • Conflict of interest • AGMs 	<ul style="list-style-type: none"> • What is appropriate re: admin costs/employee costs? • Are we following our gov docs? • Our RP is bankrupt, is that ok? • What are my obligations as a registered charity? • I am registered with ASIC/ORIC/Fair Trading etc. who do I report to? • How can we change our legal structure? • We need to appoint a new auditor; how should we do this?

	<ul style="list-style-type: none"> • Auditors, including how to select and who to report the change to • Company secretary • Membership, becoming a member, keeping members register • Governance standards • External conduct standards • Record keeping • Ongoing obligations • RPs • Winding up • Other regulators • Following governing documents and clauses 	<ul style="list-style-type: none"> • How do we appoint a new RP? • Can the director get a paid job in the charity? • What process do we follow to wind up, do we need administrators?
Password and website	<p>Any questions about the portal and website. Including help with getting into the portal, navigating the portal and reporting issues with the portal, register and website.</p> <p>Also includes all questions about how to notify the ACNC of charity changes.</p>	<ul style="list-style-type: none"> • How do I tell you of a change in RP, gov doc, subtype etc. • How do I submit our annual report- I cant find the AIS button on the Portal • My password doesn't work • Issues with portal or website such as broken links • Using the portal, website and register • How do I book into a webinar, how do I log into the webinar, will I get a recording of the webinar
Specific organisation information	<p>Any question specifically about a registered charity or NFP's details. Includes questions about making changes to charity record that does not require an approved form.</p>	<ul style="list-style-type: none"> • What is my AFS? • Who are my RPs? • Can I update the positions of current RPs? • There is a typo in our address • Can I please add an authorised person? • Is the organisation ABC registered with you? • How can I contact charity XWY? • Why can't I see my charity on the register?
Tax	<p>Any tax or ATO related question including:</p> <ul style="list-style-type: none"> • DGR* • State tax concessions • GST and FBT 	<ul style="list-style-type: none"> • What tax concessions is my organisation eligible for? • What do I need to do to get tax concession on out charity's car rego? • How can I apply for DGR • Should I have gotten a tax receipt for my donation?

	*Does not include DGR reform or DGR review questions.	
Starting a charity	<p>Questions about how to start a charity, includes customers who only have a general idea, to customers who need to log back into the portal to complete or resubmit application.</p> <p>Includes questions about:</p> <ul style="list-style-type: none"> • Legal structure • Clauses required • Having gov doc <p>Does not include questions about logging into portal. For example, 'I want to complete/resubmit my application but forgot my password', goes under Password, portal and website.</p>	<ul style="list-style-type: none"> • What legal structure should I choose? • Do I need a winding up clause? • How can I start/resume a registration application? • I have an idea about starting a charity..... • What do I need to do to start a charity • How do I register my NFP • Why should I register / what are the benefits
Internal Dispute	<p>Questions about how to proceed when there is a disagreement over a decision between board members, or between the board and the members.</p> <p>This may include disagreements about whether an RP has been correctly elected to removed.</p>	<ul style="list-style-type: none"> • The Chairman has set up another committee illegally and is trying to remove us • I was removed from the board, this was not per our constitution A resolution was not passed, but the Chair is going through with it anyway. I disagree with this