Work Instruction:

Allocation of incoming correspondence and Mail handling

This Work Instruction is issued under the authority of the Assistant Commissioner Charity Services and should be read together with the ACNC Policy Framework, which sets out the scope, context, and definitions common to our policies.

Contents

GPO Box 5108 Melbourne VIC 3001
Tel 13 ACNC Fax 1300 232 569
acnc.gov.au

Scope

1. 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.

NB Any enquiries that mention senate estimates or ministers need to be raised with the advice senior manager and advice director.

White mail

Starting the shift

2. At the start of the shift, open the compactus [redacted].
3. Place the mail tray in the advice area, near the lockers.
4. Take any outgoing mail with you to the ATO mailroom when you collect the incoming mail. Outgoing mail is placed in the mail tray throughout the day, the last mail pick up is 3:00pm, after this time outgoing mail and tray should be secured in the compactus at the end of the shift, [redacted]
5. The Advice Services Officer (ASO) scheduled on Allocations takes outgoing mail down to the mailroom twice a day at 10:00am and again at 3:00pm.

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 9:30am and bring it to the Level 1 mailroom for sorting and distributing.
7. 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 or place in the relevant pigeonhole
     - If this personal mail is for one of the executives, and is clearly not of a personal nature, please scan it and email it to their EA and CC in the other two EAs. Deliver the hard copy to the EA.
8. Totals of each type of mail are to be recorded and sent to Advice Manager (Projects).

Scanning and saving

9. Refer to Work Instruction: Scanning incoming mail
10. Each file must be saved according to the following naming convention:

[DATE] _[Charity Name or ABN]_[Type of Correspondence]

For example:

20140424_Charity_Form 3B

20140316_Charity_CMTY CORR

20140330_Charity_Form 4A

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 ASP (ACNC staff portal / iMIS) for processing as work items.
13. The correspondence is either going to be a new work item, or related to a Work Item that already exists in the system. This either will be, as a new work item or as correspondence related to an existing work item. Follow the ‘Create a work item’ section of this Instruction.
14. Include ‘white mail’ in the description field for any postal work items, or in the note in the event of an additional query.

Filing

15. After attaching white mail documents to a work item, ensure the original mail correspondence is labelled with the work item number in the following format: WI #888888.and filed in the compactus as per Work Instruction: Filing and Document Management in the Compactus.

Email

16. The Allocations ASOs monitors the Advice inbox throughout the day. Incoming emails are saved and allocated as work items.
17. Save the email to the 'H:' drive. (i.e. the whole email message including any attachments) using the same naming conventions used for postal mail:

[DATE]_[Charity name or ABN]_[Type of correspondence].

18. Upload the email to iMIS and allocate it as a work item. This either will be, as a new work item or as correspondence related to an existing work item. Follow the ‘Create a work item' section of this instruction.
19. Once attached to a work item in iMIS, drag the email into the appropriate folder (i.e. ‘[month] enquiries’; e.g. April emails)

Correspondence not requiring a work item

The following table lists the types of correspondence that do not require to be attached to a work item and the process to follow for each.

Table 1: Correspondence not requiring a work item

Correspondence relates to	Action
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 - Comms 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. [redacted]
Business Services correspondence **(e.g. invoices)**	Email Business Services at; ACNCBusinessServices@ato.gov.au
Correspondence requesting an ACNC speaker for a presentation, workshop, or conference	Forward email to; Communication@acnc.gov.au CC [redacted] If request received by mail, deliver to [redacted] in comms
Mail labelled confidential and addressed to specific person	Deliver unopened mail to addressee's desk. If correspondence is an email, forward email to addressee.
Correspondence related to an active compliance activity	If the correspondence is a small document, save it to the compliance work item and forward the email to Intelligence@acnc.gov.au If the correspondence is too large for scanning email Intelligence@acnc.gov.au asking them to collect it from the Allocations room
New paper & email registrations (form 1A)	Forward email to registration@acnc.gov.au or deliver hard copy paper application to one of the Registration managers. Double defaults reregistration applications- file Form 1A with advice filing. (see appendix 2).
Freedom of Information	If the correspondence appears to be an FOI request or it states that it is

requests (FOI)	an FOI request, scan the correspondence, email it to the FOI officer, and provide them the hard copy immediately. If the FOI officer is absent, please see a manager. **NB - Do this as soon as the appeal arrives.**
A notice of **application to review a decision** (I.e. an appeal to an objection decision from Administrative Appeals Tribunal or the Federal Court or Supreme Court).	Scan and email corro to the Director of Legal (ATO and ACNC email addresses) and then hand them the hard copy. NB - Do this as soon as the appeal arrives.
Feedback (positive or negative) about an ACNC employee.	Refer to Policy: Complaints and compliments about the ACNC, and Work Instruction: ACNC Complaints Instruction

Creating a new work item or using an existing work item

Do you need to create a work item?

20. Read the correspondence and search for the presence of an existing work item. For example, is the correspondence a:
    - Response to our request for further information on an 'awaiting external info' work item
    - Confirmation of receipt or checking the progress of an application, form, complaint, etc. See table 2.
    - Follow up question to a complicated query.
21. If there is an existing work item:

- before you attach to an existing work item, make sure that the correspondence relates not only to the original query, but also relates to the charity the work items is attached to. There will be some cases where multiple 'dummy' work items were created, so don't just rely on previous the work item number
- Upload the document, and select the appropriate file type, in most cases, this will be 'DOCUMENT'
- Add the code **ADLQ** (additional query), **FDBK(+/-/0)**, and/or **RFUP** and any other information relevant to the work item in the additional comments field.
- Update the due date to 5 (five) days into the future, see appendix 1.
- Allocate it to the appropriate tray (OTHER, FORMS, or CORRO), see appendix 2 and leave it 'unassigned'. Unless the work is to for a particular ASO
- If the work item is being worked on by someone in particular (and needs to be processed by that person), email them to let them know some correspondence

has been received.
NB - Please ensure the staff member will not be on planned leave during the service standard period, if so assign back to the relevant Advice position (e.g. Advice – Corro)

Table 2 Checking progress of a form or complaint

Correspondence	Action
Enquiries on the **progress of an existing complaint** currently with Compliance	Conduct a search on iMIS to confirm the WI number. Attach the correspondence to the Work item and make a note in the Additional Information field. Email the Work item owner and cc intelligence@acnc.gov.au to advise them that correspondence has been attached to the work item
Enquiries on the **progress of an existing registration application** currently with a registrations officer	Conduct a search on iMIS to confirm an active application is with registrations. Attach the correspondence to the WI and make a note in the Additional Information field. Email the WI owner (or, if unassigned, email RegistrationManagers@acnc.gov.au) to advise them that correspondence has been attached to the Work Item. 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
Feedback about the ACNC	As per the ACNC Complaints Work Instruction, create a work item unless the complaint is about staff member. If the feedback is not the main reason for the email or it' a response to our reply to their initial enquiry, add the correspondence to the existing work item and add one of the following the feedback code as per appendix 5 **FDBK +** for positive feedback **FDBK –** for negative feedback **FDBK 0** for neutral feedback such as a broken link on the ACNC website

Create a Work Item

22. If there is no relevant existing work item, create a new work item:
    - Click 'Create a Work Item'
    - Choose which record to attach the work item to
        1. The charity's iMIS record if the enquiry relates to a specific registered charity, or
        2. One of the eight orphan iMIS records if the enquiry does not relate to a specific registered charity. To find the iMIS id of these orphan coder refer to appendix 3.

- Select the Work item 'type' from the drop down menu. Use appendix 4 to decide which type to use.
- DIRECTORATE: Find the corresponding folder in the drop down menu. If the work item is for a particular person select Advice Services.
- TITLE: Enter the type of form or correspondence code; see codes in appendices 4 and 5. Ensure these are as accurate as possible; if the correspondence covers more than one issue, code it according to what the main point of the correspondence is.
- DESCRIPTION: A brief description of the Work Item. If it has been received in the mail, enter 'White mail' into this field and 'Sender: [name]'. If the correspondence includes multiple forms note that here (e.g. Form 3A x 4).
- Attach the document as FILE TYPE: 'DOCUMENT'
- Click "CREATE."
- DUE DATE: Give the work item a due date according to the appropriate service standard. Community Correspondence has a service standard of 5 business days and forms processed by Advice is 7 business days, see appendix 1 to calculate due dates. Other Forms have different due dates, refer to information in appendix 5.
- In the ADDITIONAL NOTES section, note which Advice folder or person the work item will be allocated to; e.g. 'assigned to [Folder or person name]'.
- ASSIGNED TO: Find the corresponding folder or person name in the drop down menu, see appendix 2.
- Upload any additional documents that need to be attached to the work item and click "save and close."

Dummy work items

When correspondence contains multiple form types, create a working item using the title of the most important form, and include both form types in the description. Then create a 'dummy' work item for reporting purposes under the other form title.

Create this work item for the second form type, and include the description 'work items created for reporting purposes only – see original WI #888888'. Allocate it as COMPLETE in the appropriate Advice folder.

For example, if you receive two Form 3A and one Form 3B for one charity – create one work item titled 'Form 3B', then create a second 'dummy' work time titled 'Form 3A', save as complete in the advice folder with a note referring to the 'main' work item.

When you receive correspondence that relates to more than one charity, identify which charity is the most relevant and create the 'main' work item. Create a 'dummy' work item on all other charity records to which the query relates, and save these as complete.

Gov doc attachments

23. If the email contains an organisation's governing document, check that the document does not require redacting of any private information, then save it

separately in accordance with the file naming conventions, and upload it as a 'GOV DOC'.

NB - If the governing document does contain some personal information that needs to be redacted, do NOT save it to iMIS as a 'GOVDOC'. In this case, save the file separately as a 'DOCUMENT' and make a note within the work item that the governing document needs redacting.

References

Scanning Documents Work Instruction

iMIS Work Instruction

ASP User Guide

Version	Date of effect	Brief summary of change
Version 1 - Initial policy	03/12/2012	Initial PP endorsed by approving authority on
Version 2 – Amendment	7/03/2013	Reasons for change. Approved by approving authority on
Version 3 – Amendment	16/11/16	Updated with new process
Version 3.1 – Amendment	09/02/17	Updated process when working with Reporting and Red Tape Reduction
Version 3.2 – Amendment	04/07/18	Updated with new service standards for written enquiries

Appendix 1.1: Correspondence due dates calculations

RECEIVED	DUE DATE	NOTES
> 5pm **FRI** – < 5pm **MON**	**Wednesday Week**	*+ any Public Holidays or L&D Days*
> 5pm **MON** – < 5pm **TUE**	**Thursday Week**	*+ any Public Holidays or L&D Days*
> 5pm **TUE** – < 5pm **WED**	**Friday Week**	*+ any Public Holidays or L&D Days*
> 5pm **WED** – < 5pm **THU**	**Monday Week**	*+ any Public Holidays or L&D Days*
> 5pm **THU** – < 5pm **FRI**	**Tuesday Week**	*+ any Public Holidays or L&D Days*

Appendix 1.2: Forms due dates calculations

RECEIVED	DUE DATE	NOTES
> 5pm **FRI** – < 5pm **MON**	**Wednesday Week**	*+ any Public Holidays or L&D Days*
> 5pm **MON** – < 5pm **TUE**	**Thursday Week**	*+ any Public Holidays or L&D Days*
> 5pm **TUE** – < 5pm **WED**	**Friday Week**	*+ any Public Holidays or L&D Days*
> 5pm **WED** – < 5pm **THU**	**Monday Week**	*+ any Public Holidays or L&D Days*
> 5pm **THU** – < 5pm **FRI**	**Tuesday Week**	*+ any Public Holidays or L&D Days*

Appendix 2: Forms work item details

Form Number	Work Item Type	Allocate to Directorate	Notes	Due Date
AIS XX Annual Information Statement 20XX	**Change charity details**	Advice - Forms	NB – for AIS Extension requests see Appendix 5> AISEXT	**7 days**
Form 1A Registration form (paper) New charity	**Do not create a WI**	Forward email to Registration@acnc/gov.au	Or hand paper form to the Registrations Manager	**28 days**
Form 1A **(**re-registration **Revoked** charity**)**	**Charity Registration**	Registration	Title – 2^{nd} application NB – File Form 1A with Advice filing	**28 days**
Form 1B Treat registration application as being refused	**Charity status review**	Registration		**28 days**
Form 1C Change charity subtype	**Charity status review**	Reg – Subtype Review		**28 days**
NBAD	**Community Corro**	Registration – Non binding advice		**28 days**
Form 2A Ask the ACNC to review a decision		Registration or Compliance	Depends on decision to be reviewed. Notify relevant manager or director immediately	**28 days**
Form 2B Ask for a decision on review to be made		Registration or Compliance	Enter the type as 'Charity registration' and the title as 'Review of registration decision' in the description, include 'Objection to decision not to register.	**28 days**
Form 3A Change of responsible person	**Change charity details**	Advice - Forms		**7 days**
Form 3B Change to charity details	**Change charity details**	Advice – Forms*	*NB – if received specifically in relation to a password request, include the note & assign to 'Advice – Other'	**7 days**

Form 3C Notify contravention or non-compliance	**Community correspondence**	Compliance		**28 days**
Form 4A Request substituted accounting period	**Change charity details**	Reporting	Check for existing SAP (in Financial information tab) or SAP work item Email Reporting with the work item number	**28 days**
Form 4B Group reporting	**Change charity details**	Reporting	Email Reporting with the work item number	**28 Days**
Form 4C AIS Bulk Lodgement	**N/A**	DO NOT create WI – forward scan / email to: reporting@acnc.gov.au		**N/A**
Form 4D Apply to keep charity size	**Change charity details**	Reporting	Email Reporting with the work item number	**7 Days**
Form 5A Apply to deregister a charity	**Charity status review**	Reg - Admin Revoke		**28 days**
Form 5B Report false or misleading statement	**Community correspondence**	Compliance		**2 days**
Form 6A NB - WI is called **COMP** Raise a concern about a charity	**Community correspondence**	Compliance (if clearly within jurisdiction), or Advice corro (if clearly out of jurisdiction), or Senior Manager or a delegate (if unsure of jurisdiction)	NB - WI is called **COMP** Refer to [Charity Concerns Advice Work Instruction V2]()	**7 days**
Form AE Withholding information – PAFs	**N/A**	DO NOT create WI – forward scan / email to: withhold@acnc.gov.au	NB - Hand paper form to the Registrations Admin assistants	**2 days**
Form AF Income tax exempt fund opt-out		DO NOT create WI – forward email to: Registrations' Managers	We create WI once the ITEFs have a record on iMIS	**2 days**
Form AG Confirm charity type		Registrations or Advice	*Speak to Manager*	**TBA**

Form AH Conversion of subtypes - application	**Charity status review**	Registration		**28 days**
NFRM Charity info received <u>not</u> on an approved form	**Change charity details**	Advice - Forms	E.g. Annual Financial Report, Annual Report, etc.	**7 days**

NB - Where one of these forms comes with BAU, allocate to Advice, and send the work item to Registrations when the BAU work is completed.

Appendix 3 - **Orphan Profile Codes**

State	Code
ACT	**246729**
NSW	**246722**
NT	**246723**
QLD	**246724**
SA	**246725**
TAS	**246726**
VIC	**246727**
WA	**246728**
International or unknown	**246730**

Appendix 4 - Work item types

Work item type **Drop down menu**	**Comment**	**Title** **Free text in capitals**
Change charity details	Approved forms indicating a change in charity detail including: • Notification of Change of Charity Details • Responsible Person Change • Paper AIS NB - Emails requesting a change where the form is missing or not required NFRM (for No Form) *This DOES NOT include Form 6A, should be COMP (for complaint)*	Form code (e.g. Form 3B) or NFRM See Appendix 2
Charity status review	Approved forms including: • Notification of contravention or non-compliance • Revoke registration • Treat registration as refused • Charity Subtype Review • Objection to decision	Form code (e.g. Form 2A, From 5A) NB - In the description field include the following 'objection to XXXXX decision'
Community correspondence (refers to how enquiry came in)	Work activities generated by an email or posted letter, for example: When an email or posted letter requires follow up action such as a return call or email *NB - This includes complaints, even when on a **Form 6A***	See Work Item titles in Appendix 5 below
Charity registration	Only used when processing a DD application, not NEW applications	2nd Application

Appendix 5 - Work item types ‘Call’ and ‘Correspondence’

When creating a work item, refer to the following table for the appropriate code:

CODE	Definition/Comment
AIS	Queries or enquiries relating to the AIS **that do not relate to the financial questions.** E.g., What is this? When is due? How do I do it? Questions about activities, countries of operation etc., can I have a paper form? Only include the year for paper forms (AISXX), not for call notes or general correspondence ***NB - Does not include password resets, requests for extension***
AISEXT	Requests for an extension on the AIS If the request has all the details we need i.e. ABN, reasons why they need the extension and a date they can lodge by, then create WI as: NB - Please make sure you forward an email to all the Advice managers, and include the WI number. Create work item Type: ‘Community correspondence’ Due date:5 days Status: ‘Unassigned’ Title: ‘AISEXT’ Additional Note: *Include extension date requested* Assigned to: Advice - manager
AMND	Amending details on a submitted AIS form
FIN	Enquiries regarding financial reporting to the ACNC and other regulators E.g., Does my charity need to submit a financial report? Queries about: the financial questions in the AIS, transitional reporting arrangements, how to calculate revenue, applying for joint and collective reporting, do we need an audit?
OBS	Any queries about ongoing obligations excluding **Governance** - What do we need to tell you about? Queries record-keeping, duty to notify, keeping charity status, how to update RPs, AFS etc.
CLAW	Enquiries about laws affecting charities, including the questions about the interpretation of the ACNC Act. E.g. How to start a charity? What is a charity? What is a federally regulated entity? Which legal structure should we choose? Issues of law that affect their charity status? What is a responsible person? What is a governing doc? What are the different sub-types of a charity? Can they register their organisation as a charity? How do we wind up? Do we need to cancel our ABN before or after we revoke our registration?

	Enquiries relating to NFP's
CDET	Information about on a registered charity. E.g., Is my/X charity registered? What details does the ACNC hold on a charity? Who is our address for service? Confirmation of charity details/ applications.
GVNC	Enquiries regarding governance and governance standards, E.g., Do we need to have an AGM? How long should we keep our minutes? How many board members are too many? How do we make sure our RPs are suitable? What are RP obligations?
WEBS	Password resets, broken links, issues with website, websites are down, website content. Problems with the online registration form Including problems with reissuing AIS passwords and AIS password re-sets. **Note:** All portal access / password requests should be allocated to 'Advice – Other'
FDBK '+' '-' '0'	Feedback regarding ACNC and ACNC processes. **FDBK +** for positive feedback **FDBK –** for negative feedback **FDBK 0** for neutral feedback such as a broken link on the ACNC website *NB – if the feedback is about a staff member do not create a work item and refer to Policy: Complaints and compliments about the ACNC*
DD	All queries re double defaulters
COMP	All complaints about charities, including Form 6As *NB – If correspondence relates to an existing compliance case refer to 'Assigning work items to other Directorates'*
TAX	Enquiries regarding tax, TCC, DGR, ABNs
REGN	Enquiries regarding the ACNC registration process – **excluding Double defaulters.** E.g., How do I register? How long does it take to register? How is the progress of my application? How to complete the registration application.
FDRG	Enquiries regarding fundraising E.g., How do I register for a fundraising licence?
ACNC	For general enquiries about the ACNC E.g., When is the phone line open? What time was the ACNC meeting? Who is on the advisory board? Information on education sessions/webinars
RWTH	Request for internal review of withholding decision