

VERIFICATION OF IDENTITY (VOI) CHECKLIST



**LAW
INSTITUTE
VICTORIA**

NOVEMBER 2015

FULL NAME OF THE PERSON BEING IDENTIFIED:

DATE THE IDENTIFICATION WAS PERFORMED: FILE NO:

OTHER DETAILS OF FILE TO WHICH VOI RELATES

Name:

Description:

MEANS OF IDENTIFICATION (tick at least one)

- Verification of Identity Standard (see below)
 Previous verification within 2 years (go to page 2)
 Other reasonable steps (go to page 2)
 Mortgagee etc verifying mortgagor (go to page 2)

IF VERIFICATION OF IDENTITY STANDARD USED (tick each completed item)

A — INDIVIDUAL

- Face to face interview
 Sighted the originals of the documents listed below (VOI Documents)
 Copied the VOI Documents and certified the copies as true copies of the originals
 Retained copies of the VOI Documents (electronically or in safe custody – not solely in the client's file) Note any that are not copied or retained (retain copies for 7 years)
 Compared photo ID with facial features of the person being identified (noting shape of mouth, nose, eyes, position of cheek bones etc.)

B — CORPORATIONS & INCORPORATED ASSOCIATIONS

- Existence & identity confirmed by:
 current ASIC search
 other (specify)
 Established who is authorised to sign by:
 s129(2) Corporations Act
 other (specify)
 Verified the identity of each individual signing or affixing the seal (complete extra checklists as required)

C — ATTORNEYS

Details as shown in the Power of Attorney (Power):

* of donor/principal

* of the Attorney

* date of Power

- Confirmed that this transaction is authorised by the Power (Note: enduring powers must be for financial matters)
 Copied the Power and certified the copy as a true copy of the original
 Verified the identity of each Attorney (complete extra checklists as required)

D — DOCUMENTS USED TO IDENTIFY ACCORDING TO THE VOI STANDARD

<ul style="list-style-type: none"> The documents you need to use to identify the individual under each category are marked in grey. Start with category 1. If the individual cannot meet category 1, move to category 2, and so on. Documents must be current (or for Australian passport expired w/in 2 yrs) 	Australian or foreign passport	Australian driver licence or photo card	Marriage or Change of name certificate (if required)	Medicare, Centrelink or DVA card	Full birth, citizenship or descent certificate	Full birth certificate	Another form of government issued photo ID	Foreign passport only	Another form of government issued ID
Category 1									
Category 2									
Category 3									
Category 4: Option (a)									
Category 4: Option (b)									
Category 5(a): non Australian citizens									
Category 5(b): non Australian citizens									

E — ARE FURTHER STEPS REQUIRED TO VERIFY?

If there are non-genuine identity documents, lack of reasonable likeness with photo ID, discrepancies between documents and person or between signatures etc. insert or annex details and describe the extra steps taken.

Print Full Name of Identity Verifier Signature of Identity Verifier

VOI CHECKLIST (CONTINUED)

IF VERIFICATION BY OTHER REASONABLE STEPS I.E. NOT THE VOI STANDARD

Checklist of factors to be considered

Complete one form for each person. Circle or highlight relevant items. ('Positive' factors may indicate that a lesser degree of VOI is required.)

Factor	Positive	Negative	Insert any relevant detail
Acquiring estate or interest	✓		
Disposing of an interest		Caution	
Disposing apparently at full value	✓		
Disposing not at full value – arm's length		Warning	
– related party		Caution	
Client is (also) mortgaging to a bank etc.	✓		
Client is a mortgagor from a private lender		Caution	
Client is a mortgagee	✓✓		
Client has/will produce paper Title	✓		
Person's identity verified (within last 2 years)	✓✓		
Person – is your relative	✓		
– is personal friend	✓		
– is existing client (2+ years)	✓		
– is overseas/interstate/remote	✓		
– is aged/infirm/immobile	✓		
Have you met face to face (if so, when)	✓		

List of VOI Documents sighted

If documents have been produced to you which are not sufficient to satisfy the VOI Standard, they may still be relevant to prove that reasonable steps were taken. List below any VOI Documents sighted, noting if they were originals, copies or certified copies and whether or not the person identified had similar facial features to the person in any photograph, whether you compared signatures etc. If possible copy all documents, and certify each copy as a true copy of the original.

Documents sighted	Original	Certified	Copy	Compared signature	Comment
Australian passport – current/if expired, when?					
Foreign passport					
Driver's licence – current/if expired, when?					
Change of name certificate					
Marriage certificate					
Full birth certificate					
Extract of birth					
Other government photo ID document					
Other government non photo ID document					
Identity Agent Certification in approved form					
Other					

Verification of Authority/Right to Deal

If a Corporation, Association or Attorney, the existence, identity and authority of the persons authorised to affix the seal/the Attorney must also be verified (see sections B & C on page 1)

If previous verification within 2 years:

Date/year of previous verification:

If not verified by you, by whom?

If a mortgage transaction and you rely on a mortgagee or identity agent to identify mortgagor (Tick one)

- Received and checked Identity Agent Certification in approved form
 Received written confirmation from mortgagee that it has applied the VOI Standard
 Satisfied myself that the mortgagee had taken reasonable steps by (insert details)