

ACIF - ASSISTING ORGANISATIONS IN MEETING THEIR CODE RESPONSIBILITIES

The purpose of this checklist is to assist Code Participants in assessing their internal compliance programs when signing up and complying with an ACIF Code. This information does not in any way limit the obligations of Code Signatories under the ACIF Code Administration and Compliance Scheme or particular Industry Codes to which the checklist applies.

COMPLIANCE CHECKLIST

ACIF C566:2005 RIGHTS OF USE OF NUMBERS INDUSTRY CODE

GENERAL CHECKLIST

1. Is your organisation aware that by signing up to this code, you agree to abide by the ACIF Code Administration and Compliance Scheme.	Yes ☐
2. Does your organisation understand the requirements of the Code Administration and Compliance Scheme, including the potential for awarding a graduated scale of sanctions for breaches of Codes.	Yes ☐
3. Has your organisation had regard to the requirements under the Australian Standard AS 3806:1998 - Compliance Programs in implementing internal compliance systems as appropriate? For example: • does the organisation have clear policies supporting its commitment to comply with this Code and how this will be carried out? • does the organisation have a system for identifying, recording and rectifying non-compliance with this Code? • does the organisation have a visible and accessible complaints handling system to record complaints from a variety of sources? • how often does the organisation review its compliance program to ensure its effectiveness? <i>(Further information regarding internal compliance programs is contained in ACIF's Code Administration and Compliance Operating Guidelines)</i>	Yes ☐ Yes ☐ Yes ☐ 6 months ☐ 12 months ☐ 24 months ☐

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COMPLIANCE CHECKLIST

ACIF C566:2005 *RIGHTS OF USE OF NUMBERS* INDUSTRY CODE CODE SPECIFIC CHECKLIST

You should only tick "N/A" box if your organisation does not provide the service that is applicable to the Clause.

1. Is your organisation aware of, and able to fulfil the requirements to keep a record of any persons authorised to issue and recover numbers as set out in section 7 of the Code?	Yes ☐	N/A ☐
If you have ticked N/A then please provide a brief explanation of why these Clauses/Sub-Clauses are not applicable to your organisation.		
2. Does your organisation have policies and procedures in place to ensure that if a number reservation service is offered, reserved numbers will not be issued or reserved to third parties in accordance with sections 8.1.1 and 8.1.2 of the Code?	Yes ☐	
3. Does your organisation have policies and procedures in place to ensure your service contracts recognise that a customers' Rights of Use ("RoU") over a number arise when that number is issued to them (see sections 8.2.1 and 8.2.2) ?	Yes ☐	
4. Does your organisation have policies and processes in place which ensure that customers are informed about RoU in accordance with section 8.2.3 and 8.10.1?	Yes ☐	
5. If your organisation offers a managed number block service, does it have processes in place to administer managed number blocks in accordance with code rules?	Yes ☐	N/A ☐
If you have ticked N/A then please provide a brief explanation of why these Clauses/Sub-Clauses are not applicable to your organisation.		
6. Does your organisation have policies and procedures in place to ensure that numbers are quarantined and issued after recovery in accordance with the rules in section 8.9 and the Telecommunications Numbering Plan 1997?	Yes ☐	

Further information on planning and implementing effective internal compliance programs can be obtained by calling ACIF on 02 9959 9111.