

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 C515:2003 PRE-SELECTION 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 <input type="checkbox"/>
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 <input type="checkbox"/>
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: <ul style="list-style-type: none">• 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 <input type="checkbox"/> Yes <input type="checkbox"/> Yes <input type="checkbox"/> 6 months <input type="checkbox"/> 12 months <input type="checkbox"/> 24 months <input type="checkbox"/>

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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 committed to allow customers to use Access Override Codes for other carriers and carriage service providers while being pre-selected to you?	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
If you have ticked N/A then please provide a brief explanation of why these Clauses/Sub-Clauses are not applicable to your organisation. <hr/> <hr/> <hr/>		
2. Does your organisation's Customer Authority Form (CAF) meet the minimum requirements set out by this Code? (see Schedule 2)	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
If you have ticked N/A then please provide a brief explanation of why these Clauses/Sub-Clauses are not applicable to your organisation. <hr/> <hr/> <hr/>		
3. Does your organisation have the mechanisms to ensure the CAF and its associated records are available for audit?(see Section 16)	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
If you have ticked N/A then please provide a brief explanation of why these Clauses/Sub-Clauses are not applicable to your organisation. <hr/> <hr/> <hr/>		

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4. Is your organisation committed to have your Bilateral Agreements with other Code signatories incorporate all elements of this Code? (see Section 9)	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
If you have ticked N/A then please provide a brief explanation of why these Clauses/Sub-Clauses are not applicable to your organisation. <hr/> <hr/> <hr/>		
5. Is your organisation committed to have internal processes that meet the requirements of this Code? (see Sections 8 to 19)	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
If you have ticked N/A then please provide a brief explanation of why these Clauses/Sub-Clauses are not applicable to your organisation. <hr/> <hr/> <hr/>		
6. Is your organisation committed to provide advice to customers of their pre-selection status? (see Section 20)	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
If you have ticked N/A then please provide a brief explanation of why these Clauses/Sub-Clauses are not applicable to your organisation. <hr/> <hr/> <hr/>		

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