

ACIF C540:2007 LOCAL NUMBER PORTABILITY INDUSTRY CODE



The purpose of this checklist is to assist Code Signatories in assessing their internal compliance programs when signing up and complying with the Local Number Portability Code. This information does not in any way limit the obligations of Code Participants under Communications Alliance's Code Administration and Compliance Scheme or the Local Number Portability Code.

Communications Alliance¹ Compliance Checklist

About this checklist

ACIF G514:2003 Code Administration and Compliance Scheme provides that all Signatories must ensure that their operations are fully compliant with each Code to which they are a Signatory. To this end, all Signatories to ACIF C540:2007 Local Number Portability Code are required to complete and submit this Compliance Checklist when becoming a Signatory to the Code.

This Compliance Checklist is intended to:

- provide Code Signatories with an opportunity to cross check internal compliance processes and systems against the key requirements of the Call Charging and Billing Accuracy Code; and
- assist Communications Alliance to identify any areas of potential non-compliance.

Please note, Signatories have the primary responsibility for ensuring their own compliance with the Code. This Compliance Checklist does not limit the obligations of Signatories to comply with the Code and Communications Alliance does not warrant that successful completion of this Compliance Checklist will suffice to ensure that a Signatory's operations are fully compliant with the Code.

Signatory details

Name of Signatory	
Address	
Date of signing Code	

Part A	Checklist	
6	General	
6.2	Is your organisation aware of, and able to fulfil the minimum requirements for Privacy and Use of Information?	<input type="checkbox"/> Yes <input type="checkbox"/> n.a.
7	Standard porting process	
7.1	Is your organisation aware of, and able to fulfil the minimum requirements for Customer Authorisations?	<input type="checkbox"/> Yes <input type="checkbox"/> n.a.
	Is your organisation aware of, and able to fulfil the minimum requirements for providing Customers information?	<input type="checkbox"/> Yes <input type="checkbox"/> n.a.

If the response to any of the above is "not applicable", please attach a brief explanation.

Part B	Compliance	
(a)	Does the compliance program clearly allocate responsibility for particular compliance tasks?	<input type="checkbox"/> Yes

ACIF C540:2007 LOCAL NUMBER PORTABILITY INDUSTRY CODE



The purpose of this checklist is to assist Code Signatories in assessing their internal compliance programs when signing up and complying with the Local Number Portability Code. This information does not in any way limit the obligations of Code Participants under Communications Alliance's Code Administration and Compliance Scheme or the Local Number Portability Code.

(b)	Does your compliance program specify the person(s) within the business who has primary responsibility for ensuring compliance with and handling complaints regarding this Code?	<input type="checkbox"/> Yes
(c)	Has your business conducted training for relevant staff on the requirements of the Code?	<input type="checkbox"/> Yes
(d)	Does your business have a procedure for handling complaints regarding this Code?	<input type="checkbox"/> Yes
(e)	Has the compliance program been approved by senior management?	<input type="checkbox"/> Yes
(f)	Is your organisation aware that by signing up to this code, you agree to abide by the Communications Alliance Code Administration and Compliance Scheme?	<input type="checkbox"/> Yes
(g)	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?	<input type="checkbox"/> Yes
(h)	Has your organisation had regard to the requirements under the Australian Standard AS 3806:2006 - 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? 	<input type="checkbox"/> Yes <input type="checkbox"/> Yes <input type="checkbox"/> Yes <input type="checkbox"/> 6 mths <input type="checkbox"/> 12 mths <input type="checkbox"/> 24 mths
(i)	Is your organisation aware that it must comply with the Code from the date indicated on the signatory form as the first date of participation?	<input type="checkbox"/> Yes <input type="checkbox"/> n.a
(j)	Does your organisation have policies and processes in place which ensure that all staff involved in LNP processes, and/or with access to LNP information, conform to the provisions of this Code and relevant legislation?	<input type="checkbox"/> Yes <input type="checkbox"/> n.a
(k)	Does your organisation have automated processes in place to support LNP transactions as specified in the Code and the ACIF G602:2007 Local Number Portability IT Specifications and Operations Manual Industry Guideline?	<input type="checkbox"/> Yes <input type="checkbox"/> n.a
(l)	Does your organisation keep records for a minimum of 2 years or as required by legislation establishing that the port is authorised in accordance with relevant Code rules and that the customer has, on	<input type="checkbox"/> Yes <input type="checkbox"/> n.a

ACIF C540:2007 LOCAL NUMBER PORTABILITY INDUSTRY CODE



The purpose of this checklist is to assist Code Signatories in assessing their internal compliance programs when signing up and complying with the Local Number Portability Code. This information does not in any way limit the obligations of Code Participants under Communications Alliance's Code Administration and Compliance Scheme or the Local Number Portability Code.

	request, access to their records of the port?	
--	---	--

If your response to any of (i) to (l) is "not applicable", please attach a brief explanation.

By submitting this Compliance Checklist to Communications Alliance, the Signatory represents that the information in this Compliance Checklist is, to the best of its knowledge, true and correct as of the date of this Compliance Checklist.

Signature of authorised signatory	
Print name	
Position	
Date	

Please ensure that the Compliance Checklist has been signed and additional information attached before it is submitted to Communications Alliance. Please mail completed forms to: Compliance Manager, Communications Alliance Ltd, PO Box 444, Milsons Point NSW 1565.

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

¹ Communications Alliance Ltd was formed in 2006 to provide a unified voice for the Australian communications industry and to lead it into the next generation of converging networks, technologies and services. ACIF is a division of Communications Alliance.