

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 C570:2003 MOBILE NUMBER PORTABILITY
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? <p><i>(Further information regarding internal compliance programs is contained in ACIF's Code Administration and Compliance Operating Guidelines)</i></p>	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 aware that it must comply with the Code from the date indicated on the signatory form as the first date of participation?	Yes <input type="checkbox"/>	
2. Is your organisation aware of, and able to fulfil the minimum requirements for Customer Authorisations in Section 10 of the Code?	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. Is your organisation aware of, and able to fulfil the minimum requirements for providing Customers information in Section 6.3 of the Code?	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 aware of, and able to fulfil the minimum requirements for Privacy and Use of Information in Section 6.2 of the Code?	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. Does your organisation have policies and processes in place which ensure that all staff involved in MNP processes, and/or with access to MNP information, conform with the provisions of this Code and relevant legislation?	Yes <input type="checkbox"/>	
6. Does your organisation have automated processes in place to support MNP transactions as specified in the Code, the ACIF G 573:2003 Mobile Number Portability IT Specifications (Parts 1, 2 and 3) Industry Guideline and the ACIF G575:2001 Mobile Number Portability Ported Number Register Industry Guideline?	Yes <input type="checkbox"/>	
7. 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 request, access to their records of the port?	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.