

ACIF C525:2005 HANDLING OF LIFE THREATENING AND UNWELCOME CALLS 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 Handling of Life Threatening and Unwelcome Calls 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 Handling of Life Threatening and Unwelcome Calls 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 C525:2005 Handling of Life Threatening and Unwelcome Calls 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 [N.B. The references below match the clause numbering in the Code]	
3.1	Handling of Life Threatening Calls	
3.1.4	Does your organization have policies and procedures to ensure that all requests for assistance in relation to life threatening calls are handled expeditiously and without unreasonable delay?	<input type="checkbox"/> Yes
3.1.5	When your organization becomes aware of a Life Threatening situation, do you have policies and procedures in place to ensure that the Customer is told to call the police directly, and also to report the facts to the police or emergency service organization?	<input type="checkbox"/> Yes
3.1.8 - 3.1.15	Does your organisation have policies and procedures in place to initiate or cooperate with other CSPs in a call trace?	<input type="checkbox"/> Yes
3.1.6	Does your organization have policies and procedures in place to provide information required by the police in life threatening call situations?	
3.2	Contact Point for Life Threatening Calls	

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3.2.1	Does your organisation have a Call Trace Coordination Centre (CTCC) available 24 hours a day 7 days a week?	<input type="checkbox"/> Yes
3.2.2	Does your organisation ensure that its contact information for the CTCC is kept up to date?	<input type="checkbox"/> Yes
3.2.4 – 3.2.6	Does your organisation have processes and procedures in place to notify relevant parties of any change in CTCC information, and to retain records in relation to the notification?	<input type="checkbox"/> Yes
3.3	Handling of Unwelcome Calls	
3.3.2 /3.3.5	Does your organisation have processes and procedures in place to ensure that the call come within Code rules on what constitutes an unwelcome call?	<input type="checkbox"/> Yes
3.3.6 – 3.3.8	Does your organisation have processes and procedures in place to properly advise the customer on the handling of unwelcome calls?	<input type="checkbox"/> Yes
3.3.9 – 3.3.10	Does your organisation have policies and procedures in place to ensure cooperation with other CSPs in the handling of unwelcome calls?	<input type="checkbox"/> Yes
3.3.17 -3.3.20	Does your organisation have policies and procedures in place to send warning letters in accordance with the Code?	<input type="checkbox"/> Yes
3.4	Contact Point for Unwelcome Calls	
3.4.1 – 3.4.2	Does your organisation have a nominated contact point for the handling of unwelcome calls, and processes to inform your providing Carrier or CSP of changes to that information?	<input type="checkbox"/> Yes
3.5	Call Tracing	
3.5.1- 3.5.4	Does your organisation have process and procedures in place to undertake call tracing using agreed standards and processes?	<input type="checkbox"/> Yes
3.5.5 - 3.5.7	Does your organisation test their ability to identify the calling party and retain records of the test outcomes?	<input type="checkbox"/> Yes
3.6	Confidentiality and Record Keeping	
3.6.1	Does your organisation ensure that the access, disclosure and use of customer information is in accordance with legislation and kept to the minimum necessary for compliance with the Code?	<input type="checkbox"/> Yes
3.6.6 – 3.6.7	Does your organisation retain copies of all completed life threatening and unwelcome call requests for three years?	<input type="checkbox"/> Yes

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

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(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)	<p>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:</p> <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

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:

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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.