

7.3 Checklist—compliance program

- ☐ Has someone been designated with overall responsibility for code compliance?
 - Does that person have sufficient ‘clout’—or access to a person with the authority—to ensure that code obligations are carried out?
 - Has a compliance plan been developed covering such things as:
 - roles and responsibilities of people implementing various aspects of and procedures for compliance with the code
 - time lines indicating when code obligations are to be carried out
 - resources to be applied in the compliance program
 - priorities
 - how compliance obligations will be embedded in operational practices and procedures
 - processes for identifying, reporting and responding to compliance failures?
- ☐ Has the compliance officer systematically worked through the code to determine what aspects of the code apply to your organisation and in what circumstances?
- ☐ Have workable code procedures, practices, documentation and processes been developed for those circumstances where the code applies?
- ☐ Has a system (including e.g. responsibilities and time lines) to implement these procedures, practices, documentation and processes been put in place?
- ☐ Has the compliance officer set up a code record-keeping system?
- ☐ Has the compliance officer set up a monitoring program to ensure compliance with procedures, practices, documentation and processes?
- ☐ Does your program include procedures for continual improvement (e.g. audits and reviews, preferably external)?