

# Compliance Checklist

To help you comply with your obligations under the law, and demonstrate best practice, here is a useful checklist which you can use to test yourself about key areas:

- ✚ Front line staff preparedness
- ✚ Processes for ATI requests
- ✚ Records management
- ✚ Contracts

## FRONTLINE STAFF PREPAREDNESS

### Do your staff:

- ✚ Know about the Act?
- ✚ Take it seriously
- ✚ Know where to find your Statement of Organisation and Functions?
- ✚ Know what's in your Statement of Organisation and Functions?
- ✚ Know about the duty to advise and assist?

### Also ask yourself:

- ✚ Will your staff recognize an ATI request?
- ✚ Will they be able to assist the Applicant?
- ✚ Are they able to issue a valid refusal notice?
- ✚ Are they able to issue a valid notice if you don't hold the information?

## PROCESSES FOR ATI REQUESTS

- ✚ Will you be able to respond within 30 days?
- ✚ Who decides whether information should be disclosed?
- ✚ What happens when there are disagreements about disclosure?
- ✚ What plans do you have for seeking comments from third parties?
- ✚ Are your reviews processes in place?
- ✚ Will your review process be completed within 30 days?

## **RECORDS MANAGEMENT**

- ✚ Have you carried out an information audit?
- ✚ Do you know where all your information is and what you hold?
- ✚ Do you hold information on behalf of someone else? Is this clearly marked?
- ✚ Does someone hold information on your behalf?
- ✚ Have you taken steps to implement **ISO Standard 15489**?

## **EXISTING CONTRACTS**

- ✚ Does your staff know how to deal with requests for information about existing contracts?
- ✚ Do they know how to deal with confidentiality clauses in existing documents?
- ✚ Do your contractors know about ATI?
- ✚ Will your contractors respond in time to allow you to make a decision within 30 days?
- ✚ Do contractors know what response is required if they don't want information disclosed?
- ✚ What will you do if they don't respond in time?

## **NEW CONTRACTS**

- ✚ Have you amended your contract terms?
- ✚ Does all of your staff involved in procurement know the rules on confidentiality clauses?
- ✚ Will you tell potential contractors about ATI?