Checklist

IM Legal and Regulatory Framework Guideline

Use the below to support your understanding and implementation of the guidance provided in the GuideBook: IM Legal and Regulatory Framework Guideline.

Establish IM Legal and Regulatory Framework Principles

— Review and align with the principles when working through the development and management of the Framework.

Identify IM Legal, Regulatory and Other Compliance Requirements

— Review and assess all potentials sources including engaging stakeholders and consulting with your organization legal advisors.

IM Legal and Regulatory Framework (Matrix and Personnel Listing)

— Compile the requirements into a matrix and personnel table, gather approval by leadership and communicate to the organization.

Compliance Requirement Details

— Determine information needs, tracking mechanisms, controls, reporting / verification frequency.

Training and Awareness

— Provide training and other self-service materials to provide continued awareness of the compliance requirements.

Implement IM Compliance Management System

— Review OCIO-issued Quick Reference - IM Compliance Management to implement an IM Compliance Management System as part of the organization's IM Program.

Verify IM Compliance

— Determine how the verification process for compliance requirements.

Enforce IM Compliance

— Enforce clearly documented and communicated requirements in your organization; ensure infractions are regularly addressed.

Manage IM Compliance Performance

— Regularly track and report on positive and negative results; tracking results over time.

Communicate IM Compliance Results

— Communication to all stakeholders will require a number of different channels and various levels of detail.

Monitor and Verify

— Review and validate compliance, performance and capacity.