

### XXX OPENCHAIN COMPLIANCE CHECK

Nº	Spec	Checklist	Yes	No	Next steps	Responsible	Priority
1.a	1.1	Do you have rules that govern FOSS license compliance of the Supplied Software distribution?					
1.b	1.1.	Are these rules internally communicated?					
1.c	1.1.1	Are these rules documented?					
1.d	1.1.2	Is your Software Staff aware of the rules that govern FOSS license compliance of the Supplied Software distribution?					
1.e	1.1.2	Do you document, how you make your Software Staff aware of the existing procedures that govern FOSS license compliance of the Supplied Software distribution? The FOSS policy and where to find it.					
1.f	1.1.2	Do you make your software staff aware of the existence of the FOSS policy using at least one of the following methods?					
1.f.i		- Training					
1.f.ii		- Internal documentation					
1.f.iii		- Other practical communication methods?					
1.g	1.2.3	Have 85% or more of the Software Staff attended a FOSS training within the last 24 months?					
1.h	1.2.1	Does this training cover all of the following topics:					
1.h.i		Basics of IP law pertaining to FOSS and FOSS licenses					
1.h.ii		FOSS licensing concepts (including the concepts of permissive and copyleft licenses)					
1.h.iii		FOSS project licensing models					

1.h.iv		Software Staff roles and responsibilities pertaining to FOSS compliance specifically and the FOSS policy in general					
1.h.v		Process for identifying, recording and/or tracking of FOSS components contained in Supplied Software					
1.i		Do you use one or more of the following FOSS course materials:					
1.i.i		- Slide decks					
1.i.ii		- Online Couces					
1.i.iii		- Other training material?					
1.j		Do you track the completion of the course for all Software Staff?					
1.k	1.2.2	Do you provide a written test to track the completion of the course for all Software Staff?					

Nº	Spec	Checklist	Yes	No	Next steps	Responsible	Priority
2.a	2.1,	Have you assigned an individual or a group of persons responsible for managing internal FOSS compliance?					
2.b		Is the FOSS compliance management activity sufficiently resourced regarding					
2.b.i	2.2	- Time allocated to perform the role					
2.b.ii	2.2.	- Budget allocated to the role?					
2.c	2.1.2	Have you assigned responsibilities to develop and maintain FOSS compliance policy and processes?					
2.d	2.1.1	Is legal expertise pertaining to FOSS compliance accessible to the FOSS Compliance Role (e.g., could be internal or external)?					
2.e		Have you assigned individual(s) responsible for receiving external FOSS compliance inquiries ("FOSS Liaison")?					
2.f		Is the FOSS Liaison function publicly identified in one of the following ways:					
2.f.i		- Email address?					
2.f.ii	2.1	- Linux Foundation's Open Compliance Directory?					
2.f.iii	2.1	- Another practical way?					
2.g	2.1	Can third parties reach the FOSS Liaison by way of electronic communication?					
2.h	2.2.4	Does the FOSS Liaison respond to FOSS compliance inquiries?					
2.i		Does the FOSS Liaison make commercially reasonable efforts to respond to FOSS compliance inquiries as appropriate?					

2.j		Can the FOSS Liaison escalate FOSS compliance issues to resolve them?					
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Nº	Spec	Checklist	Yes	No	Next steps	Responsible	Priority
3.a	3.1.	Do you identify all FOSS components and their respective Identified Licenses from which Supplied Software is comprised?					
3.b	3.1	Do you list all FOSS components and their respective Identified Licenses from which Supplied Software is comprised?					
3.c	3.1	Is there a procedure for identifying and listing all FOSS components and their respective Identified Licenses) from which Supplied Software is comprised?					
3.d	3.1	Is this procedure documented?					
3.e	3.1	Do you archive the list of FOSS components and their respective Identified Licenses from which Supplied Software is comprised?					
3.f	3.1	Is there a procedure for archiving all FOSS components and their respective Identified Licenses from which Supplied Software is comprised?					
3.g	3.1	Is this procedure documented?					
3.h	3.2	Have you set up a FOSS program?					
3.i	3.2	Is this FOSS program capable of handling at least the following typical FOSS use cases encountered by Software Staff for Supplied Software?					
3.i.i		- Distribution in binary form.					
3.i.ii		- Distribution in source form.					
3.i.iii		- Integration with other FOSS such that it may trigger copyleft obligations.					
3.i.iv		- Contains modified FOSS.					

3.i.v		- Contains FOSS or other software under an incompatible license interacting with other components within the Supplied Software.					
3.i.vi		- Contains FOSS with attribution requirements.					
3.j	3.2.1	Are you addressing the typical FOSS use cases encountered by Software Staff for Supplied Software?					
3.k	3.2.1	Have you implemented a process to address these typical FOSS use cases?					

Nº	Spec	Checklist	Yes	No	Next steps	Responsible	Priority
4.a	4.1	Does the FOSS program ensure that the Supplied Software is accompanied by the required artifacts that might include the following information, if required by the license					
4.a.i		- copyright notices,					
4.a.ii		- copies of Identified Licenses,					
4.a.iii		- modification notifications,					
4.a.iv		- attribution notices					
4.a.v		- prominent notices,					
4.a.vi		- source code,					
4.a.vii		- "written offers?					
4.b	4.1.1	Do you ensure the above Distributed Compliance Artifacts are distributed with Supplied Software?					
4.c	4.1.1	Have you set up a process to ensure the above Distributed Compliance Artifacts are provided with Supplied Software?					
4.d	4.1.1	Is this process documented?					
4.e	4.1.1	Is this process available to the Software Staff?					
4.f	4.1.2	Do you archive copies of the Distributed Compliance Artifacts of the Supplied Software (e.g., legal notices, source code, SPDX documents)?					
4.g	4.1.2	Can you easily retrieve the archived copies of the Distributed Compliance Artifacts of the Supplied Software (e.g., legal notices, source code, SPDX documents)?					
4.h	4.1.2	Is the archived planned to exist for at least as long as the Supplied Software is offered or as					

		required by the Identified Licenses (whichever is longer)?					
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Nº	Spec	Checklist	Yes	No	Next steps	Responsible	Priority
5.a	5.1	Do you allow contributions of your employees to FOSS projects on behalf of the organization?					
5.b	5.1	Do your employees have to follow rules, when they contribute to FOSS projects on behalf of the organization?					
5.c	5.1.1	Are these rules captured in a written policy ("FOSS Contribution Policy")?					
5.d	5.1.2	Is your Software Staff aware of the existence of the FOSS Contribution Policy?					
5.e	5.1.2	Do you make your Software Staff aware of the FOSS Contribution Policy using at least one of the following methods?					
5.e.i		- Training,					
5.e.ii		- Internal documentation,					
5.e.iii		- Another practical communication method?					
5.g	5.2	Does the FOSS Contribution Policy cover considerations that might include the following?					
5.g.i		- Legal approval for license considerations,					
5.g.ii		- Business rationale or approval,					
5.g.iii		- Technical review of code to be contributed,					
5.i.iv		- Community engagement and interaction,					

5.g.v		- Adherence to project-specific contribution requirements					
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