**XXXXXX OPENCHAIN COMPLIANCE CHECK**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Nº** | **Spec** | **Checklist** | **Yes** | **No** | **Next steps** | **Responsable** | **Priority** |
| 1.a | 1.1; 1.1.1 | Do you have a documented policy that governs FOSS license compliance of the Supplied Software distribution (e.g., via training, internal wiki, or other practical communication method)? |  |  |  |  |  |
| 1.b | 1.1. | Is the policy internally communicated? |  |  |  |  |  |
| 1.c | 1.1.2 | Do you have a documented procedure that  communicates the existence of the FOSS policy to all Software Staff? |  |  |  |  |  |
| 1.d | 1.2 - 1.2.1 | Do you have FOSS training materials (e.g., slide decks or online course) covering the following topics? |  |  |  |  |  |
|  | 1.2 | * The FOSS policy and where to find it. |  |  |  |  |  |
|  | 1.2 | * Basics of Intellectual Property law pertaining to FOSS and FOSS licenses, |  |  |  |  |  |
|  | 1.2 | * FOSS licensing concepts (including the concepts of permissive and copyleft licenses), |  |  |  |  |  |
|  | 1.2 | * FOSS project licensing models |  |  |  |  |  |
|  | 1.2 | * Software Staff roles and responsibilities pertaining to FOSS compliance specifically and the FOSS policy ingeneral, |  |  |  |  |  |
|  | 1.2 | * Process for identifying, recording and/or tracking of FOSS components contained in Supplied Software? |  |  |  |  |  |
| 1.e | 1.2.2 | Do you track the completion of the training for all Software Staff? |  |  |  |  |  |
| 1.f | 1.2; 1.2.3 | Have 85% or more of the Software Staff completed a FOSS training within the last 24 months? |  |  |  |  |  |
| 1.g | 1.3 | Do you have a process for reviewing the Identified Licenses to determine the obligations, restrictions and rights granted by each license? |  |  |  |  |  |
| 1.h | 1.3.1 | Do you have a documented procedure to review and document the obligations, restrictions and rights granted by each Identified License  governing the Supplied Software. |  |  |  |  |  |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Nº** | **Spec** | **Checklist** | **Yes** | **No** | **Next steps** | **Responsable** | **Priority** |
| 2.a | 2.1, 2.2.1 | Have you assigned individual(s) responsible for receiving external FOSS compliance inquiries (“FOSS Liaison”)? |  |  |  |  |  |
| 2.b | 2.1.1 | Is the FOSS Liaison function publicly identified (e.g. via an email address and/or the Linux Foundation’s Open  Compliance Directory)? |  |  |  |  |  |
| 2.c | 2.1.2, 2.2.3 | Do you have a documented procedure that assigns  responsibility for receiving FOSS compliance inquiries? |  |  |  |  |  |
| 2.d | 2.2.1 | Have you assigned a person, group or function responsible for managing internal FOSS compliance? The FOSS Compliance role and FOSS Liaison can be the same  individual. |  |  |  |  |  |
| 2.e | 2.2.2 | Is legal expertise pertaining to FOSS compliance accessible to the FOSS Compliance Role (e.g., internal or external)? |  |  |  |  |  |
| 2.f | 2.2.3 | Have you assigned responsibilities to develop and maintain FOSS compliance policy and processes? |  |  |  |  |  |
| 2.g | 2.2.4, 2.1.2 | Do you have a documented procedure for handling review and remediation of non-compliant cases? |  |  |  |  |  |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Nº** | **Spec** | **Checklist** | **Yes** | **No** | **Next steps** | **Responsable** | **Priority** |
| 3.a | 3.1.1 | Do you have a documented procedure for identifying, tracking and archiving information about the collection of FOSS components from which a Supplied Software release is comprised? |  |  |  |  |  |
| 3.b | 3.1.2 | Do you have FOSS component records for each Supplied Software release which demonstrates the documented procedure was properly followed? |  |  |  |  |  |
| 3.c | 3.2.1 | Have you implemented a procedure that handles at least the following common FOSS license use cases for the FOSS components of each supplied Supplied Software release? |  |  |  |  |  |
|  | 3.2 | * distributed in binary form; |  |  |  |  |  |
|  | 3.2 | * distributed in source form; |  |  |  |  |  |
|  |  | * integrated with other FOSS such that it may trigger copyleft obligations; |  |  |  |  |  |
|  | 3.2 | * contains modified FOSS |  |  |  |  |  |
|  | 3.2 | * contains FOSS or other software under an incompatible license interacting with other components within the Supplied Software; |  |  |  |  |  |
|  | 3.2 | * contains FOSS with attribution requirements |  |  |  |  |  |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Nº** | **Spec** | **Checklist** | **Yes** | **No** | **Next steps** | **Responsable** | **Priority** |
| 4.a |  | Do you have a documented procedure that describes a process that ensures the Compliance Artifacts are distributed with Supplied Software as required by the Identified Licenses? |  |  |  |  |  |
| 4.b |  | Do you archive copies of the Compliance Artifacts of the Supplied Software? |  |  |  |  |  |
| 4.c |  | Can you easily retrieve the archived copies of the Compliance Artifacts of the Supplied Software? |  |  |  |  |  |
| 4.d |  | Are the copies of the Compliance Artifacts archived for at least as long as the Supplied Software is offered or as required by the Identified Licenses (whichever is longer)? |  |  |  |  |  |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Nº** | **Spec** | **Checklist** | **Yes** | **No** | **Next steps** | **Responsable** | **Priority** |
| 5.a | 5.1 | Do you allow employees to contribute to FOSS projects on behalf of your organization? |  |  |  |  |  |
| 5.b | 5.1.1 | Do you have a documented FOSS contribution policy? |  |  |  |  |  |
| 5.c | 5.1.2 | Is your Software Staff aware of the existence of the FOSS Contribution Policy (e.g. via training, internal wiki, or other practical communication method)? |  |  |  |  |  |
| 5.d | 5.2 | Provided the FOSS contribution policy permits contributions, do you have a documented procedure that describes the FOSS contribution process? |  |  |  |  |  |