

3.4 PLANNING PHASE

EXHIBIT M – Compliance Management (CM) Workbook Checklist

Document Name	Compliance Management (CM) Workbook Checklist
Document Number	3.4M
When/How Used	Used to ensure all necessary information has been entered into the CM Workbook for both multi and single program before it is sent for inclusion into the national database. The CM Workbook Coordinator will set up this checklist electronically at the same time the CM Workbook is set up. The responsible person will indicate by placing their initials, in the appropriate field that a specific task has been completed.
Created on	June 4, 2003
Last Updated On	February 28, 2007
Document Owner	
Division	Compliance Management HQ
Contact	Contact your local compliance verification office at: http://cbsa.gc.ca/contact/listing/indexpages/index-e.html

Other Stakeholders

Compliance Management Workbook Checklist

CVO = Compliance Verification Officer
MGR = Responsible Manager

Step #	Task	Responsible person	Initials
1.	Folder has been set up on the shared network drive.	WBC	
2.	CM Workbook files have been created for the company in the folder on the shared network drive. File/Folder name: _____ Date CM Workbook created: _____	WBC	
3.	CM Workbook coordinator has notified case owner that the CM Workbook has been set up and ready for input.	WBC	
4.	Complete the Client Profile and Import History worksheets in the Input file.	CVO	
5.	Complete all fields on the Input worksheet identified with an * paying particular attention to; Sample Number Vendor Name	CVO	
6.	Verify that the lines in error for the programs reviewed have an Error Type and Reason for error selected. There should be no red "Xs" on any of the spreadsheets.		
	Classification	CVO	
	Valuation	CVO	
	Origin	CVO	
	Accounting for Goods	CVO	
	Other Programs (SIMA – Special Authority)	CVO	
7.	Ensure there is no Error! message on any of the worksheets.	CVO	
8.	Open the Roll-up file and verify that all calculations are complete and there are no #VALUE!, or #REF! Errors on both the Roll-up worksheet and the Results worksheet.	CVO	
9.	For MP Verification, open the Interim Report and ensure that it is linked to the CM Workbook, and that the information has been properly transferred.	CVO	
10.	Ensure that the information entered on the Client Profile and Import History worksheets of the Input file have been correctly completed.	MGR	

Compliance Management Workbook Checklist

CVO = Compliance Verification Officer

MGR = Responsible Manager

11.	Verify that the lines in error for the programs reviewed have an Error Type and Reason for error selected. There should be no red "Xs" on any of the worksheets.	MGR	
12.	Ensure there is no Error! message on any of the worksheets.	MGR	
13.	Notify the CM Workbook coordinator that the file is complete and housed on the shared drive. This will include the completed Final Verification Report or Final Letter.	MGR/CVO	
14.	All required fields on the Client Profile and Import History worksheets in the Input file have been completed.	WBC	
15.	Insure that the essential fields on the Input worksheet have been populated for the sample. Sample Number Vendor Name	WBC	
16.	Run the data dump portion of macro. E-mail the encrypted file including the Final Report or Letter to Research and Analysis. Date e-mailed: _____	WBC	