

# ALC ONLINE COMPLIANCE TOOL

## REASONABLE ENQUIRY USER GUIDE

**AUSTRALIAN LOGISTICS COUNCIL**

**RLSC**  
RETAIL LOGISTICS  
SUPPLY CHAIN  
CODE OF CONDUCT

**Username:**

**Password:**

[Forgotten your password?](#)

Login Clear

iAppraise Developed By:

**i-comply**

iAppraise requires Microsoft Internet Explorer 7.0 or higher, 8.0 recommended  
For best results set screen resolution to 1280 x 1024 +

**TABLE OF CONTENTS**

---

Introduction.....	3
Software Requirements .....	4
Reasonable Enquiries .....	6
Creating a Reasonable Enquiry .....	7
Completing a Reasonable Enquiry.....	12
Submittng a Reasonable Enquiry .....	14

## INTRODUCTION

### **Australian Logistic Council**

Headquartered in the nation's capital, Canberra, the Australian Logistic Council is the peak national body representing the major and National companies participating in the Australian freight transport and logistics supply chain.

ALC's mission is to influence national transport and infrastructure regulation and policy to ensure Australia has safe, secure, reliable, sustainable and internationally competitive supply chains.

### **Retail Logistics Supply Chain (RLSC) Code of Conduct**

ALC launched the RLSC Code of Conduct in 2006. The ten-point code supports a clear chain of responsibility in freight logistics, which involves all parties in the operation from the supplier and retailer to the carrier and logistics provider. The code recognizes the importance of public safety and amenity in retail logistics operations.

The Code also provides a rigorous level of protection via a reasonable steps defense in relation to Chain of Responsibility and OHS legislative compliance requirements.

In a self-regulating system, all code signatories must submit their operations to routine independent audit, and may also make "reasonable enquiry" assessments of associated vendor or transport suppliers to determine compliance with the RLSC.

Audits are conducted by ALC-accredited auditors, with recognized transport safety auditing qualifications. Sharing of audit outcomes by stakeholders in order to bring about continual improvement is encouraged.

Ensuring compliance protects the integrity of the RLSC and protects ALC member organizations.

### **Compliance Auditing Process**

Because ALC relied on a primarily manual process by external auditors, inconsistent audit methodologies, outcomes and reporting emerged, and ALC lacked visibility of outcomes across the sector. Member companies wanted a more consistent and standardized approach with predictable outcomes, and a better process for performing their own self-assessments. ALC needed better visibility of compliance, and a more flexible system to handle changes in compliance requirements and the rapid growth in uptake of the RLSC.

## Online Compliance Tool

ALC and iComply decided to customize iComply's web-based risk and audit solution, iAppraise. ALC enlisted the help of Microsoft Gold Certified partner iComply, because of its compliance solution development experience, and deep understanding of the transport and logistics sector.

With its customized version of iAppraise, ALC has a secure web-based compliance solution allowing:-

- On-demand scheduling of assessments by members;
- Independent assignment of auditors;
- Capture of pay-as-you-go service fees;
- Workflow for the conduct and management of the end-to end auditing and reporting process;
- Standardized audit questionnaires, reports, and issue handling;
- event-driven email reminders;
- Data analysis and sector-wide reporting to support advocacy.

ALC can assign each member and each auditor a unique, secure login to the iAppraise system. After members log in to the secure on-demand compliance portal, they can quickly schedule internal self-assessments or external audits and assign approved auditors. Emails alerts automatically keep all parties informed, and the solution presents standardized questionnaires from a centralized library.

Auditors use mobile software to perform field assessments, and are able to attach any documentary evidence of compliance.

Members can also perform self-assessments to confirm compliance with the RLSC and other safety requirements, and independently maintain internal users of the system via the portal.

## Benefits

With the improved regulatory compliance process made possible by iAppraise, ALC has improved efficiency, streamlined workflow, provided better visibility, and improved flexibility to deal with frequently changing transport and logistics regulations.

## SOFTWARE REQUIREMENTS

### Web Browser:

- **Internet Explorer** – Version 7 or higher is required to operate correctly. It will NOT operate in version 6.
- For best results set screen resolution to 1280 x 1024 +

### Pop Ups:

- Web browsers are sometimes configured to block pop-up windows. Before logging into the program for the first time, please enable pop-ups from this site. You will not be able to gain access if pop-ups are blocked.
- To enable pop ups, right click on the pop up tool bar and select 'Allow pop ups from this site'
  1. Internet Explorer 7  
Tools | Popup blocker | Popup blocker settings.

2. Internet Explorer 8

The same path as for Internet Explorer 7, but the option doesn't always appear on the toolbar with the 'File | Edit | View | Favorites | Tools | Help' options. The 'Tools' option may appear on the right just above the main window.

- In the popup blocker settings add the web address <https://www.iappraise.com.au/alc>
- Close the browser window, and open a new session with the new settings.

## REASONABLE ENQUIRIES

A “Reasonable Enquiry” is a due diligence mechanism to enable ALC Signatories to evaluate if a supply chain partner has the required systems in place to manage their Chain-of-Responsibility legal obligations.

The Reasonable Enquiry consists of a questionnaire comprising 45 critical questions. Respondents are requested to complete an online assessment. Once the questionnaire is completed and Submitted, a report is sent to the ALC Signatory for review.

The Reasonable Enquiry process is as follows:-

1. ALC Signatory sends a requesting email to the vendor or contractor. The ALC Signatory provides a Signatory Reference number, and the following web address:  
<https://www.iappraise.com.au/alc/ReasonableEnquiry.aspx>
2. The vendor or contractor clicks the web address and is required to:
  - a. Insert the provided Signatory Reference number
  - b. Register their details
  - c. Make a \$200.00 payment for the online service
3. The vendor or contractor completes the questionnaire provided
4. The vendor or contractor clicks a Submit button to finalise the process.

**CREATING A REASONABLE ENQUIRY**

1. You will be provided with an Email specifying the URL and Reference Code for your reasonable enquiry checklist. Follow the link or go to the following URL:

<https://www.iappraise.com.au/alc/ReasonableEnquiry.aspx>

(If the link displays an error, please copy the web address and insert it into your browser.)

2. You will be taken to the following page. Enter the Reference Code provided to you. The remaining fields on this page will be automatically completed for you.

**Step 1** Signatory Details    **Step 2** Business Details    **Step 3** Contact Details    **Step 4** Payment Details

**Signatory Details**

**Reference Code:\***

Please fill in the reference code provided to you

**Name:**

**Contact Name:**

**Phone:**

**Email:**

**Declaration:**

I being an authorised representative of the business entity registering on this form, have authority to authorise and verify the information provided in respect of this a Reasonable Enquiry.

I authorise the above ALC Signatory to view, store and use the information provided by me pursuant to the Reasonable Enquiry.

I am aware that giving false or misleading information is a serious offence.

I Agree

Next

**Reference Code field is required!**

[Contact Us](#) / [Terms and Conditions](#)

3. Read the “Declaration” text and tick “I agree”.

**Step 1**    **Step 2**    **Step 3**    **Step 4**  
 Signatory Details    Business Details    Contact Details    Payment Details

**Signatory Details**

**Reference Code:\***  
 T-205  
 Please fill in the reference code provided to you

**Name:**  
 Demo Signatory

**Contact Name:**  
 Tony Stephenson

**Phone:**  
 03 95451452

**Email:**  
 tony.stephenson@icomply.com.au; ken.mcguire@icomply.com.au

**Declaration:**  
 I being an authorised representative of the business entity registering on this form, have authority to authorise and verify the information provided in respect of this a Reasonable Enquiry.  
 I authorise the above ALC Signatory to view, store and use the information provided by me pursuant to the Reasonable Enquiry.  
 I am aware that giving false or misleading information is a serious offence.

I Agree

Next

4. Select the “Next” button to continue on to Step 2

**Declaration:**  
 I being an authorised representative of the business entity registering on this form, have authority to authorise and verify the information provided in respect of this a Reasonable Enquiry.  
 I authorise the above ALC Signatory to view, store and use the information provided by me pursuant to the Reasonable Enquiry.  
 I am aware that giving false or misleading information is a serious offence.

I Agree

Next



5. You will be taken to Step 2.

The screenshot shows a web form titled "Business Details" as part of a four-step process. The steps are: Step 1 (Signatory Details), Step 2 (Business Details), Step 3 (Contact Details), and Step 4 (Payment Details). Step 2 is currently active. The form contains the following fields, all of which are empty:

- Name:\*
- Trading Name:
- ACN:\*
- Street Address:\*
- Suburb:\*
- State:\*
- Post Code:\*
- Phone:\*

At the bottom of the form, there are two buttons: "Previous" on the left and "Next" on the right. Below the form, there is a link: [Contact Us / Terms and Conditions](#).

6. In Step 2, edit the fields for "Business Details" as required.

This screenshot shows the same "Business Details" form as in the previous image, but with sample data entered into the fields:

- Name: Toms Transport
- Trading Name: Toms Transport p/l
- ACN: 123456789
- Street Address: 4 Thomas street
- Suburb: Mount Waverley
- State: Vic
- Post Code: 3135
- Phone: 9222-2032

The "Previous" and "Next" buttons are still present at the bottom of the form, along with the [Contact Us / Terms and Conditions](#) link.

- After filling out all fields, select Next. You will be taken to Step 3.

**Step 1**   **Step 2**   **Step 3**   **Step 4**  
 Signatory Details   Business Details   Contact Details   Payment Details

**Contact Details**

Title:  
Mr

First Name: \*  
Ken

Last Name: \*  
McGuire

Position: \*  
QA Manager

Phone: \*  
04546976

Email: \*  
ken.mcguire@tomstransport.com

Previous   Next

[Contact Us](#) / [Terms and Conditions](#)

- In Step 3, edit the fields for “Contact Details” as required.
- After completing all fields select “next”. You will be taken to the final step (Step 4).

**Step 1**   **Step 2**   **Step 3**   **Step 4**  
 Signatory Details   Business Details   Contact Details   Payment Details

**Payment Details**

Product	Description	Qty	Price	GST
Reasonable Enquiry Self Assessment	A single reasonable enquiry assessment	1	\$250.00	\$25.00
<b>Total:</b>			AUD \$275.00	

Cardholder Name:

Card Number:

Card Expiry Date:      Accepted Cards:   
 01 / 11

Card Verification Number:

Previous   Submit   or   Cancel

[Contact Us](#) / [Terms and Conditions](#)

10. In Step 4, edit the fields for “Payment Details” as required.

Step 1  
Signatory Details
Step 2  
Business Details
Step 3  
Contact Details
Step 4  
Payment Details

**Payment Details**

Product	Description	Qty	Price	GST
Reasonable Enquiry Self Assessment	A single reasonable enquiry assessment	1	\$250.00	\$25.00
			<b>Total: AUD \$275.00</b>	

**Cardholder Name:**

**Card Number:**

**Card Expiry Date:**  /  Accepted Cards:

**Card Verification Number:**

or

[Contact Us](#) / [Terms and Conditions](#)

11. After filling out your payment details, select “Submit” to proceed with purchase. You will be directed to the order confirmation page and a Tax Invoice / Receipt of your order.

**Tax Invoice & Receipt**

**iComply Pty Ltd**  
 (on behalf of Australian Logistics Council)  
 ABN: 77 103 568 752  
 PO Box 3313  
 Suite 41E 200 Jells Road  
 Wheelers Hill Vic 3150  
 www.icomply.com.au

**Invoice Number: 000005**  
**Date: 14/02/2011**

**Ken McGuire**  
**Toms Transport**  
 ACN: 123456789  
 4 Thomas street  
 Mount Waverley Vic 3135

Product	Description	Qty	Price	GST
Reasonable Enquiry Self Assessment	A single reasonable enquiry assessment	1	\$250.00	\$25.00
			<b>Total: AUD \$275.00</b>	

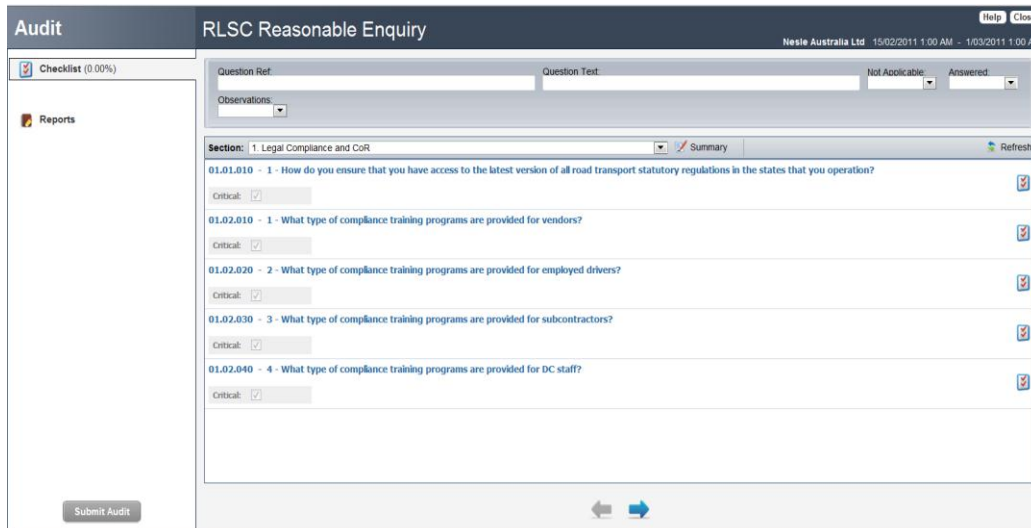
**Payment received in full**

You will shortly receive an email providing a link to the self-assessment.

[Contact Us](#) / [Terms and Conditions](#)

**COMPLETING A REASONABLE ENQUIRY**

1. Navigate to the URL link provided by email following the successful creation of the reasonable enquiry (see “Creating a reasonable enquiry” above for details). You will be presented with the following page:

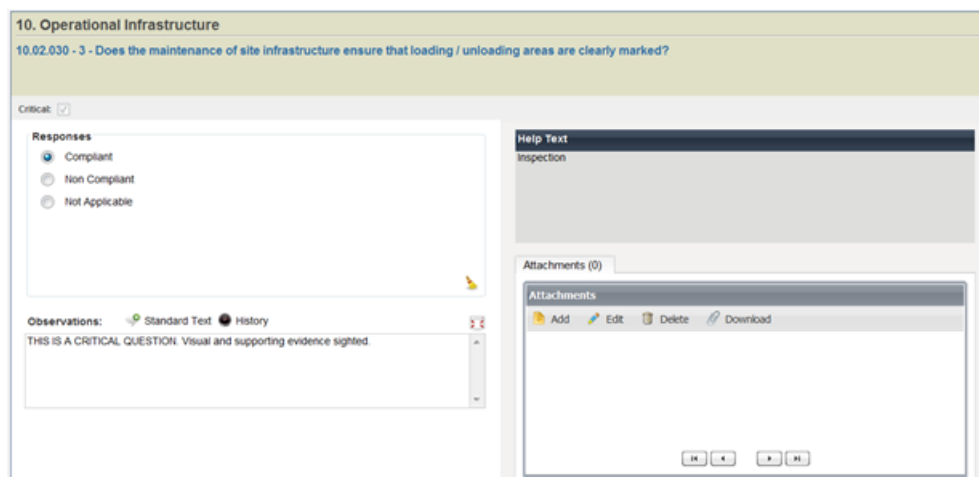


The screenshot displays the 'RLSC Reasonable Enquiry' interface. On the left, there is a sidebar with 'Checklist (0.00%)' and 'Reports'. The main area shows a list of audit questions under the section '1 Legal Compliance and CoR'. Each question is marked as 'Critical' and has a 'Summary' button. The questions are:

- 01.01.010 - 1 - How do you ensure that you have access to the latest version of all road transport statutory regulations in the states that you operation?
- 01.02.010 - 1 - What type of compliance training programs are provided for vendors?
- 01.02.020 - 2 - What type of compliance training programs are provided for employed drivers?
- 01.02.030 - 3 - What type of compliance training programs are provided for subcontractors?
- 01.02.040 - 4 - What type of compliance training programs are provided for DC staff?

At the bottom left, there is a 'Submit Audit' button. At the bottom right, there are navigation arrows.

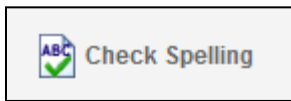
1. The Reasonable Enquiry is a collection of Sections containing Audit Questions. Click the question that you wish to start answering. The **Question Answer** page will display.



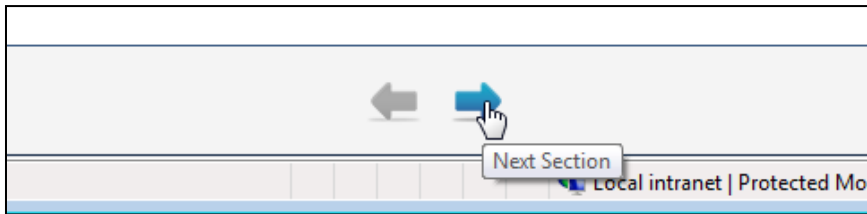
The screenshot shows the 'Question Answer' page for the question '10.02.030 - 3 - Does the maintenance of site infrastructure ensure that loading / unloading areas are clearly marked?'. The question is marked as 'Critical'. The 'Responses' section has three radio buttons: 'Compliant' (selected), 'Non Compliant', and 'Not Applicable'. The 'Observations' section has a text area with the text 'THIS IS A CRITICAL QUESTION. Visual and supporting evidence sighted.' and a 'History' button. The 'Attachments' section has a text area and a 'Help Text' box with the text 'Inspection'. At the bottom, there are navigation arrows.

2. Answer the question by completing the relevant option within the **Responses** box (Compliant, Non-Compliant or Not Applicable).
3. Place any free-text notes in relation to the question in the “Observations” box.

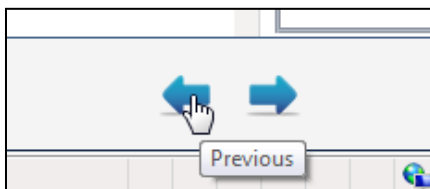
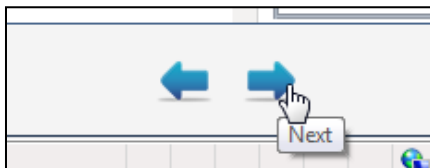
- Click the **Check Spelling** button to check for spellings on Observations.



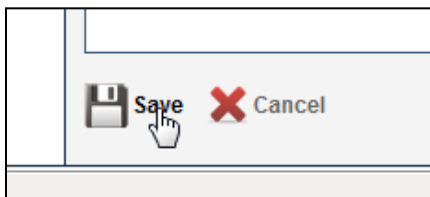
- Add any relevant file attachments (see "Attachments" section of this document below)
- Click the **Next Section** button. The **Next Section** button is the blue arrow pointing to the right, at the bottom of the **Checklist** page. This will take you to the next question. Repeat Steps 2-5 above for each question in the Audit Checklist.



- Clicking the **Next** or **Previous** question navigation buttons will also save your answers before navigating to the next/previous question.

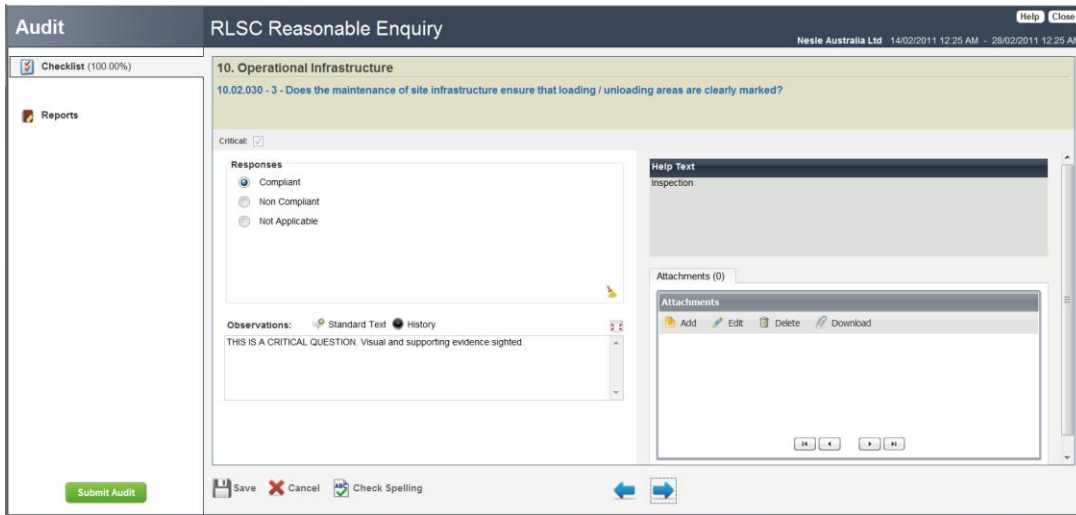


- At any time, you may click the **Save** button to save your answers and return to the **Checklist** page. Alternatively, click the **Cancel** button to discard any unsaved responses for the current question and return to the **Checklist** page.

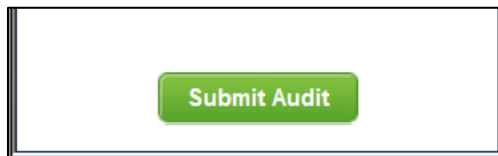


**SUBMITTING A REASONABLE ENQUIRY**

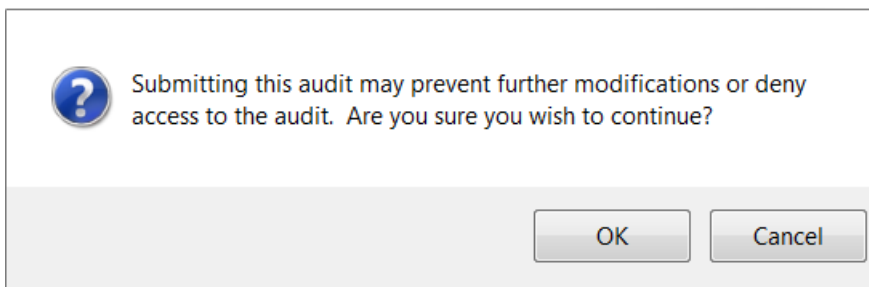
1. Complete all questions given in the reasonable enquiry (see “Completing a Reasonable Enquiry” above for details).
2. Once all questions have been completed, the “Submit Audit” Button will appear in green at the lower left hand corner of the page.



3. Click the “Submit Audit” button.



4. Confirm submission of the Reasonable Enquiry by clicking the “OK” button.



5. You will be taken to a page confirming the successful submission of the Reasonable Enquiry.



6. Click the "Close" button.

