



## Australian Logistics Council Delivers Sector Wide COR Compliance

### Overview

**Country or Region:** Australia  
**Industry:** Transport and Logistics,  
Retail Sector

### Customer Profile

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.

### Business Situation

ALC depended on a manual process to manage compliance across continental Australia for its Retail Logistics Supply Chain Code of Conduct.

### Solution

The ALC deployed iComply's web-based solution iAppraise to manage the complex compliance needs of industry stakeholders: retailers, transport and logistics operators, auditing bodies and regulators.

### Benefits

- Improved efficiency
- Streamlined Workflow and Improved Visibility
- Improved Flexibility
- Sector-wide centralised data

"We believe this is a world-first initiative in industry self-regulation, and it demonstrates our strong commitment to transport safety to government, our members, and to the T & L sector generally"

Michael Kilgariff, CEO, Australian Logistics Council

The Australian Logistics Council (ALC) developed the Retail Logistics Supply Chain Code of Conduct (RLSC) to provide a structured approach to compliance by setting industry agreed best practice standards.

Due to the rapid uptake of the RLSC, ALC needed a more efficient solution to handle its compliance needs. ALC worked with compliance software developer iComply to implement iAppraise, a web-based risk and audit solution.

iAppraise was developed by iComply using Microsoft Visual Studio 2010 and the Microsoft .NET Framework 4.0.

Member companies and approved auditors can now perform assessments on-demand via the ALC compliance portal.

Additionally, ALC has streamlined the compliance workflow, and has provided greater visibility of compliance requirements to its stakeholders. ALC and its members are better prepared to quickly respond to regulatory changes affecting the T&L sector.

## Situation

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.

ALC launched the Retail Logistics Supply Chain (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.

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.

## Solution

After an extensive search, ALC enlisted the help of Microsoft Gold Certified partner iComply, a leading provider of compliance audit software and compliance audit services. ALC chose to partner with iComply because of its compliance solution development experience, and deep understanding of the transport and logistics sector. As Tony Stephenson of iComply states, "Developed using Microsoft .Net and SQL Server technology, iComply's solutions offers a sector-wide approach to compliance, providing a shared self-service platform for regulators, member organisations, and compliance assessors. Our solution also aligns to the Microsoft approach of a common foundation for effective Risk and compliance across the value chain."

ALC and iComply decided to customize iComply's web-based risk and audit solution, iAppraise. iComply developed iAppraise using Microsoft Visual Studio 2010 and the Microsoft .NET Framework 4.0, a software framework that includes a

“Developed using Microsoft .NET and SQL Server technology, iComply’s solution offers a sector-wide approach to compliance, providing a shared self-service platform for regulators, member organisations, and auditing bodies.”

Tony Stephenson, iComply

large library of coded solutions to common programming problems. iComply chose Visual Studio and the .NET Framework because its interoperability with other tools and technologies, which helped to reduce development cost and time. iAppraise runs on Windows Server 2008 Enterprise (64-bit) and Microsoft SQL Server 2005.

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.

As Michael Kilgariff, ALC, states, “We believe this is a world-first initiative in industry self-regulation, and demonstrates our strong commitment to transport safety to government, our members, and to the T & L sector generally.”

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.

### Improved Efficiency

ALC receives significant benefits from the built-in self-assessment capabilities of iAppraise. Member companies can perform multi-site self-assessments on the RLCS requirements. Using intelligent questionnaires provided by iAppraise, appropriate report content is inserted automatically as responses to questions are entered, and content-rich reports, complete with corrective action plans and statistics, are available once the process has been completed.

Accredited external auditors have access to the same powerful features using iAppraise-Lite – a .NET, Windows based mobile application enabling network-independent field audits.

This has significantly improved the efficiency of existing compliance programs and allows the member companies to focus on areas of concern, as identified by the assessment.

### Streamlined Workflow and Improved Visibility

ALC has significantly improved the compliance process with the built-in

## For More Information

For more information about Microsoft products and services, call the Microsoft Sales Information Center at (800) 426-9400. In Canada, call the Microsoft Canada Information Centre at (877) 568-2495. Customers who are deaf or hard-of-hearing can reach Microsoft text telephone (TTY/TDD) services at (800) 892-5234 in the United States or (905) 568-9641 in Canada. Outside the 50 United States and Canada, please contact your local Microsoft subsidiary. To access information using the World Wide Web, go to:

[www.microsoft.com](http://www.microsoft.com)

For more information about iComply visit the Web site at:

[www.icomply.com.au](http://www.icomply.com.au)

For more information about the Australian Logistics Council, visit the website at:

[www.austlogistics.com.au](http://www.austlogistics.com.au)

workflow capability of the iAppraise system. This allows configuration of user access and data visibility at different stages of the audit life-cycle. The solution now takes care of visibility of audit reports, and sends out emails with report attachments when various stages of the process are reached. The system also automatically collects payment from members and auditors for the online service and the system has become an important revenue generator for ALC, enabling the implementation of improvement programs for the sector.

### Improved Flexibility

ALC has improved its ability to react quickly to changing regulations. The iAppraise system can be easily and quickly customized to changes in regulations. As standards, regulations, and codes of practice frequently change in the T & L arena, ALC has been able to easily adapt to the changes and ensure compliance of all its member companies.

With its new compliance solution, ALC is well positioned to support the anticipated requirements arising from national Transport and OHS harmonization due for implementation across all Australian states and territories.

## Microsoft Solutions for the Value Chain

Regulators, Associations and Industry Peak Bodies continue to seek cost-effective compliance solutions that create rapid and sustainable competitive advantage while laying the groundwork for future innovation. Microsoft and its ever-growing partner community develop solutions that help meet the industry-specific needs of producers, manufacturers, transport and logistics services, retailers and consumers worldwide, and help value chain customers realize their full potential.

For more information about Microsoft solutions for the consumer goods industry, go to:

<http://www.microsoft.com/enterprise/industry/consumer-goods/solutions/supply-chain-visibility-collaboration.aspx>

### Software and Services

- Microsoft Visual Studio
  - Microsoft Visual Studio 2010 Ultimate
  - Microsoft Visual Studio Team Foundation Server 2010
- Microsoft Server Product Portfolio
  - Windows Server 2008 Enterprise (64-Bit)

Microsoft SQL Server 2005

### Partner

- iComply