



Eaco: Supplier Compliance Management

USER GUIDE

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INTRODUCTION

“If you think compliance is expensive, try non-compliance” - Paul McNulty (former U.S. Deputy Attorney General)

Compliance Management has become a fundamental part of modern business. Clients are demanding more, government regulations are becoming stricter and it is simply good management practice to manage the risks associated with operating your organisation.

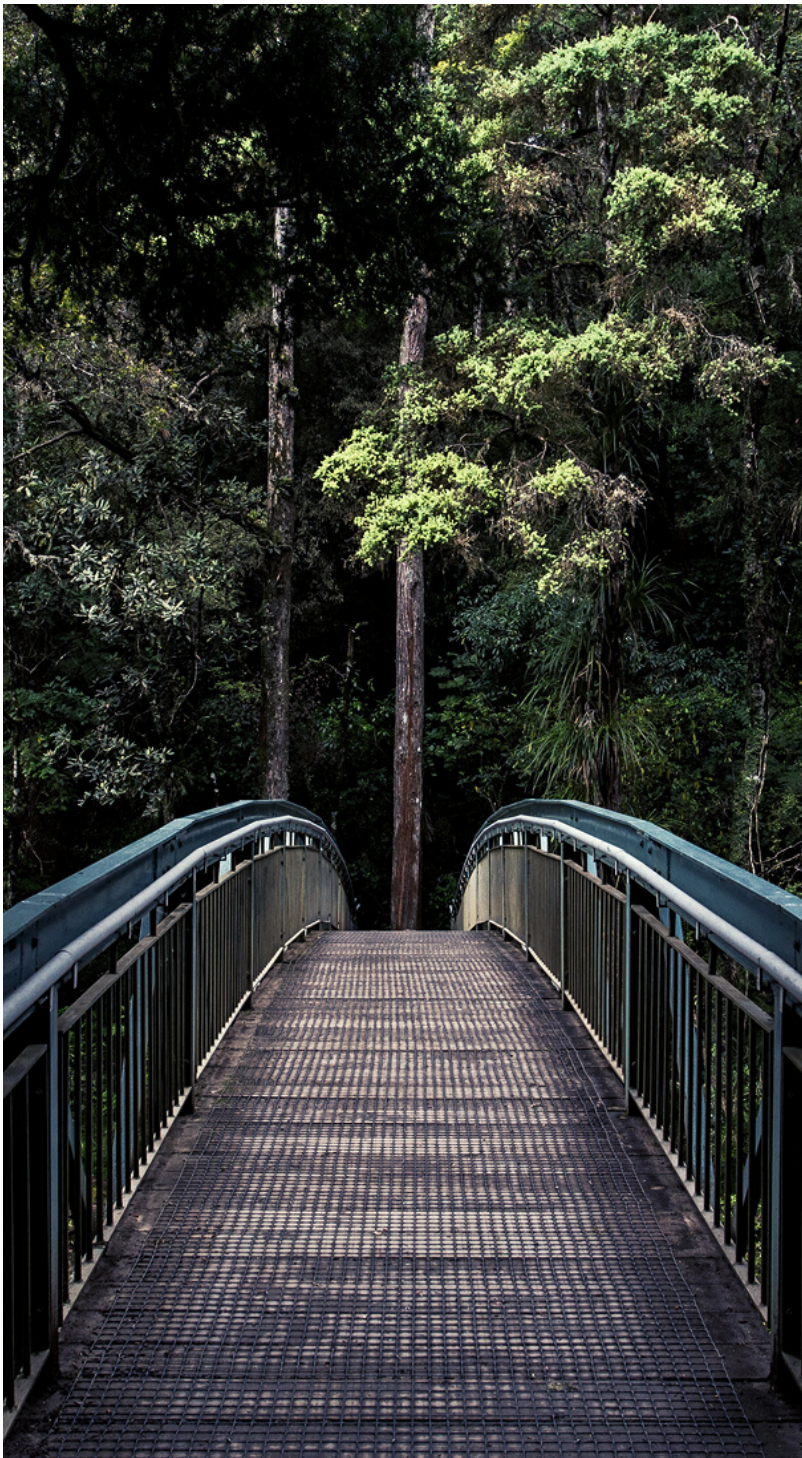
Eaco's Supplier Compliance Management functionality is designed to help you meet all of those obligations whilst simplifying the process for you, ultimately acting as a bridge between the need to get a job done and the need to ensure a Supplier has the right to get a job done. Eaco's Compliance Management system enables you to specify the types of compliances that you would like your staff and suppliers to meet. These compliance types can include:

- Licences
- Insurances
- Certifications
- Associations
- Qualifications
- Statutory Checks
- InductionsTraining
- Courses, etc.

You specify exactly what the compliance standards are for your staff and suppliers and the Eaco System will help you verify who is meeting those standards. Once set, you can use the Eaco System to request proof that your staff and suppliers fulfil the compliance requirements. Each individual and/or company is provided with a portal to login and upload their compliance data for you including:

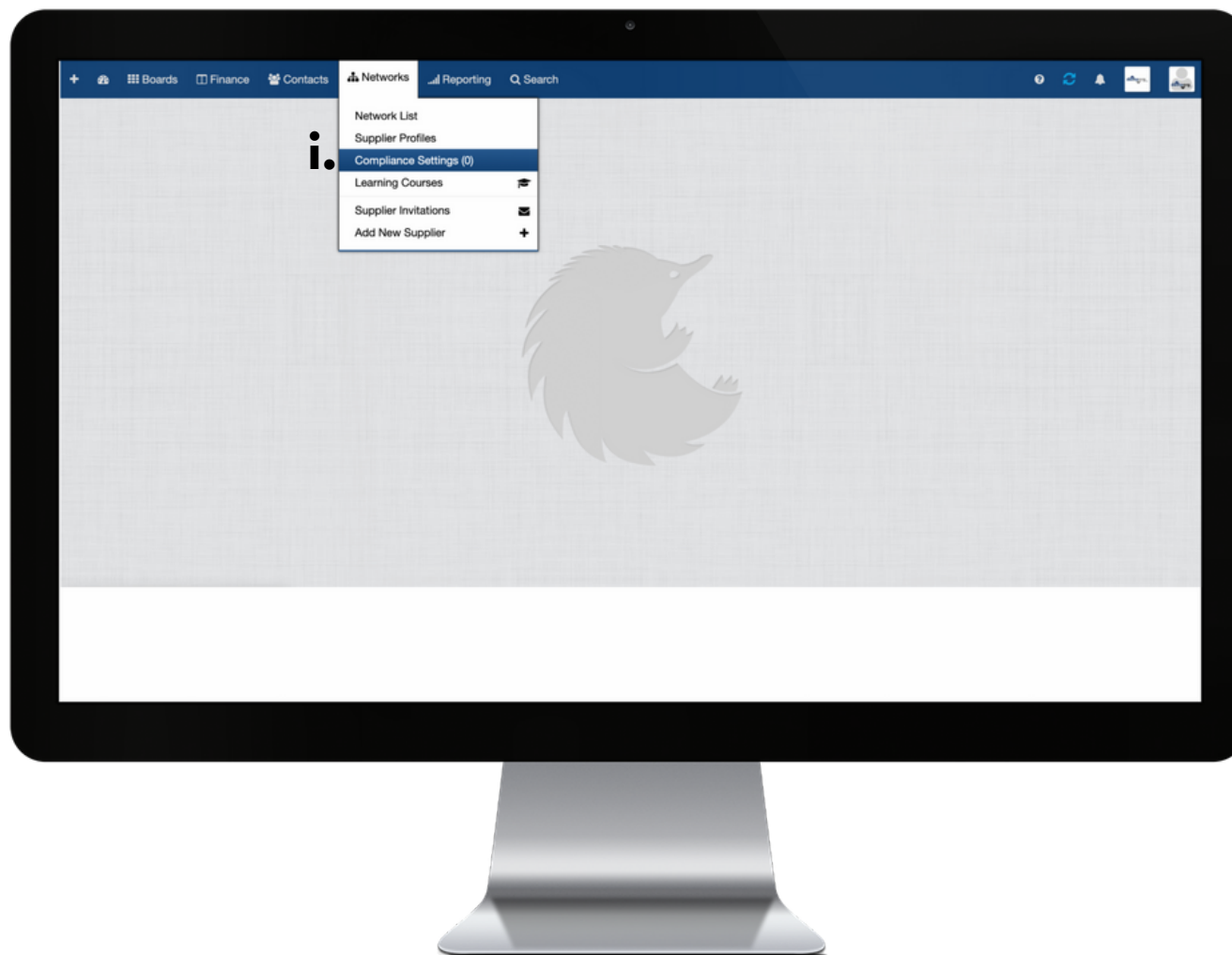
- Compliance Type
- Proof (photos and or files)
- Relevant information (such as a licence number)
- Expiry Date

Eaco's Compliance Management System helps you manage who in your network is compliant and who isn't meeting your compliance standards. Furthermore, it enables you to enact rules that ensure non-compliant staff or suppliers cannot be allocated work that requires them to be fully compliant. When integrated fully with the Eaco Training and Inductions System, as well as the Supplier Networks and Task Management Systems, Eaco's Compliance Management System forms a fundamental part of your Job Safety and Quality Assurance Program.



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COMMUNICATE AND
OPTIMISE

1. GET STARTED



Your organisation's Networks module, which is accessible as a main menu item of the Eco Control Centre's navigation bar, contains a section dedicated to managing the Compliance requirements for your Suppliers (i).

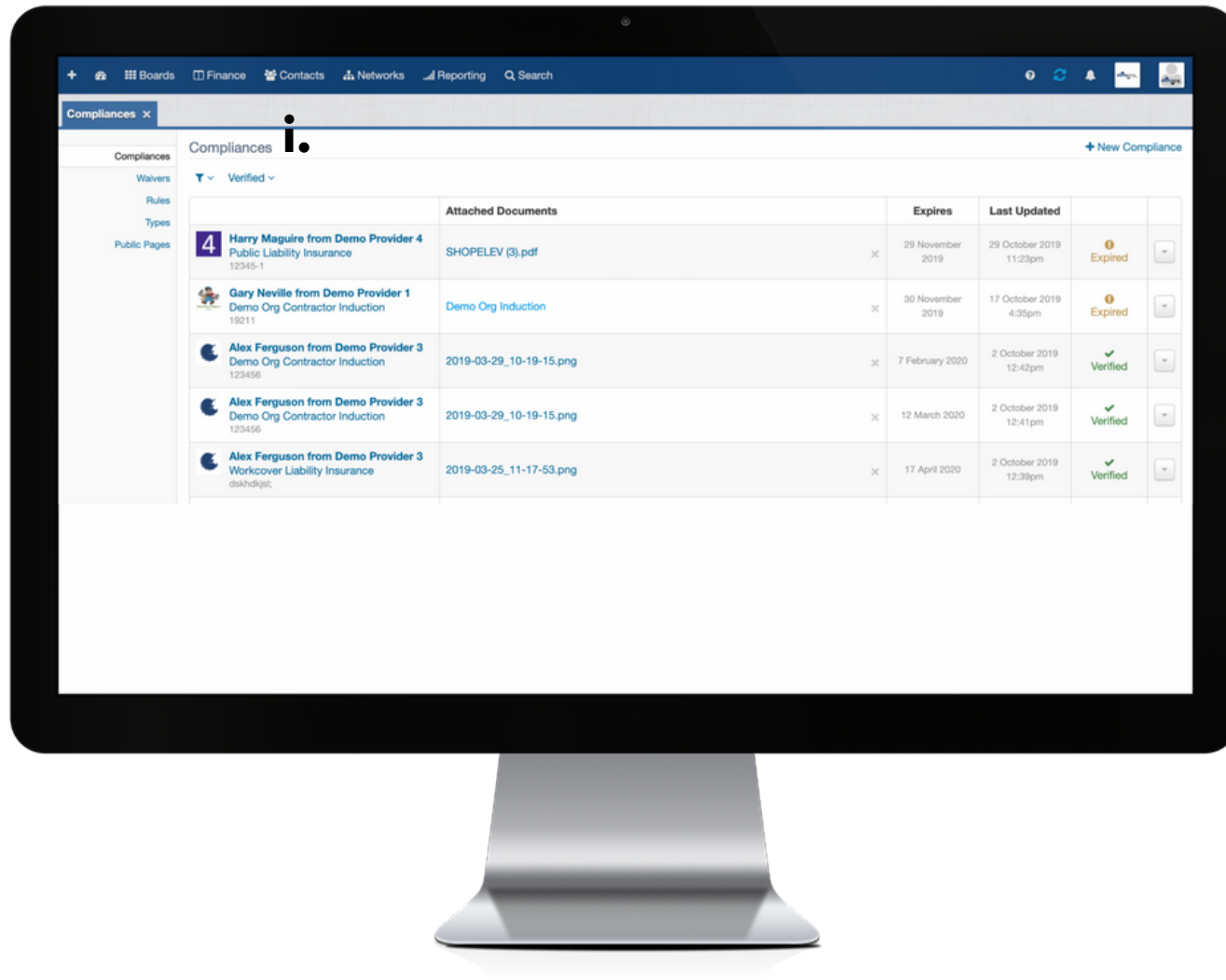
For the efficacy of the Eaco Supplier Compliance Management system, we recommend you set up all known Compliance Types as the first step followed by establishment of Compliance Rules.

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2. COMPLIANCE STATUS REGISTER ACCESS





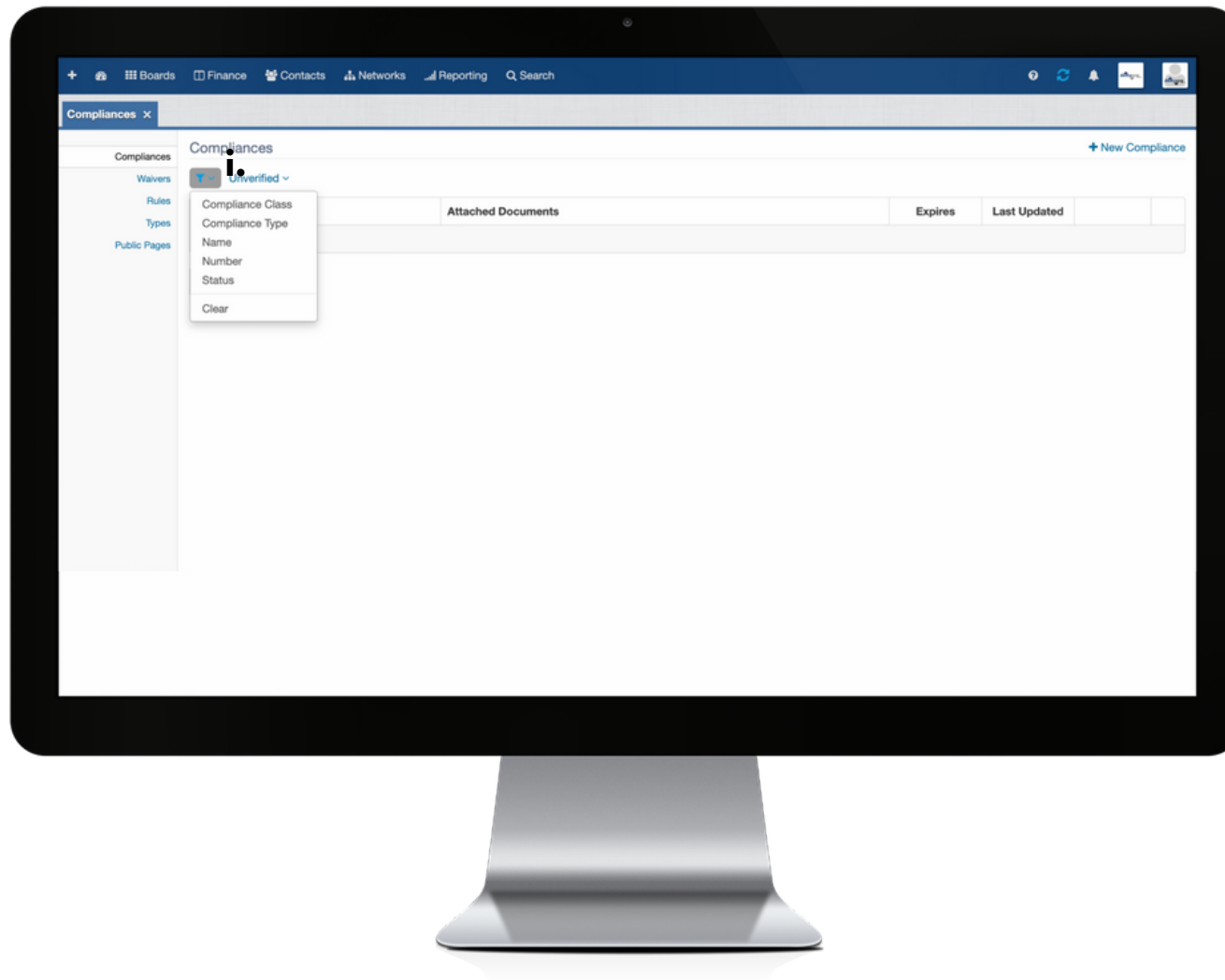
Upon clicking on the Compliance Settings option from within the Networks Module of your Eaco Control Centre, your Compliance Status Register main page (i) will appear.

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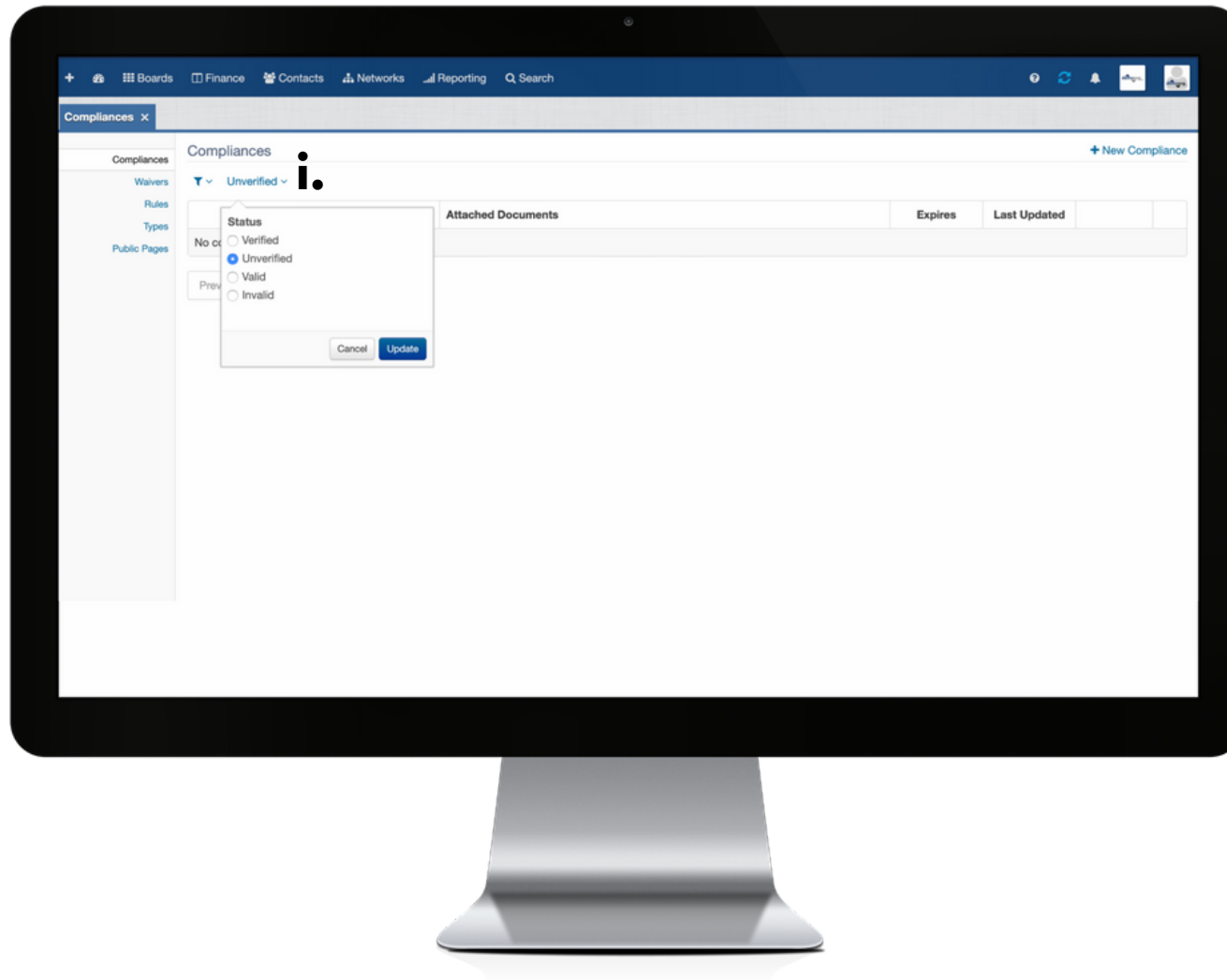


3. COMPLIANCE STATUS REGISTER - FILTERED VIEW OPTIONS

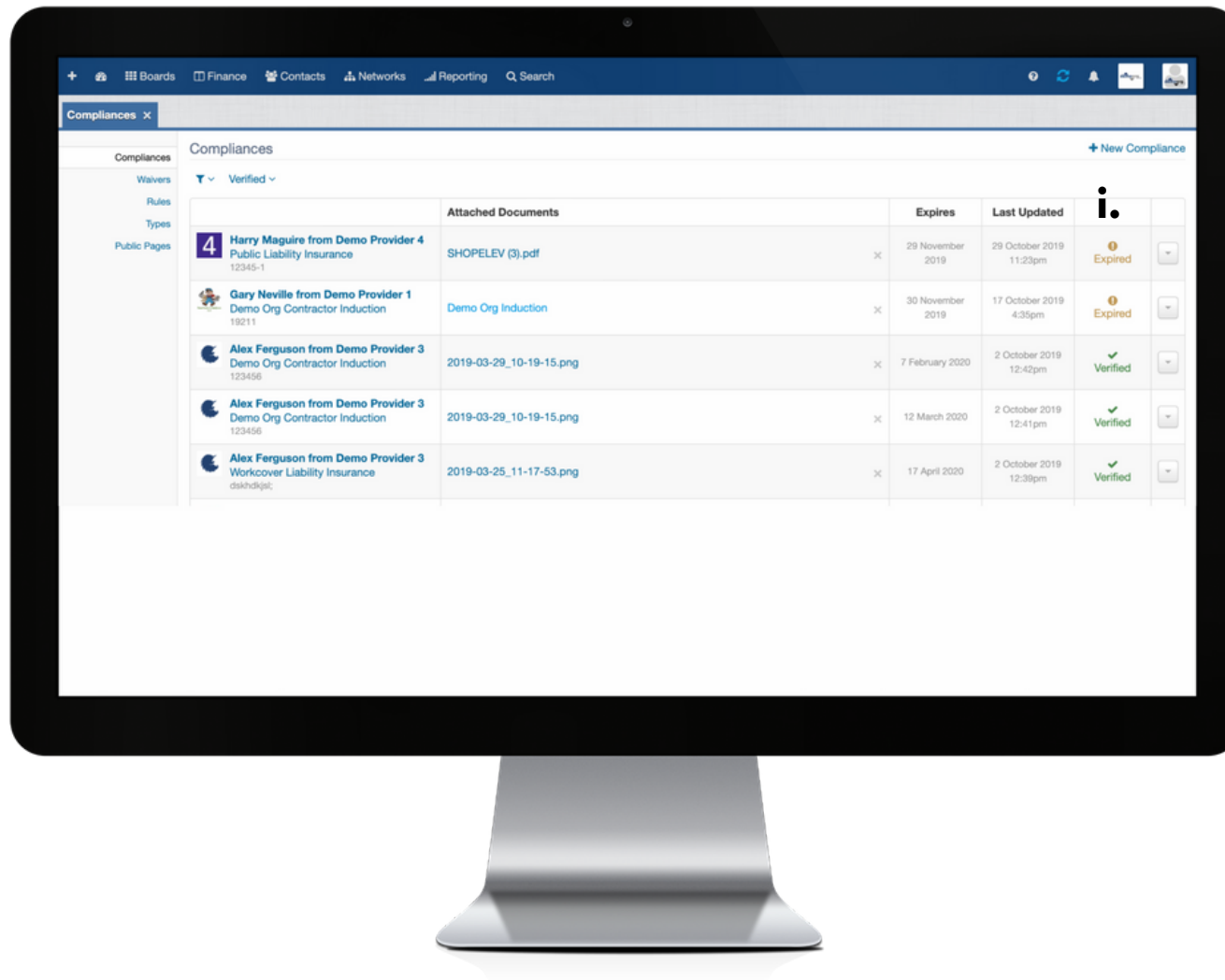




i. This drop down menu enables you to filter the view of all Compliances registered based on any of the following selections: 1. Compliance Class 2. Compliance Type 3. Name 4. Number or 5. Status.



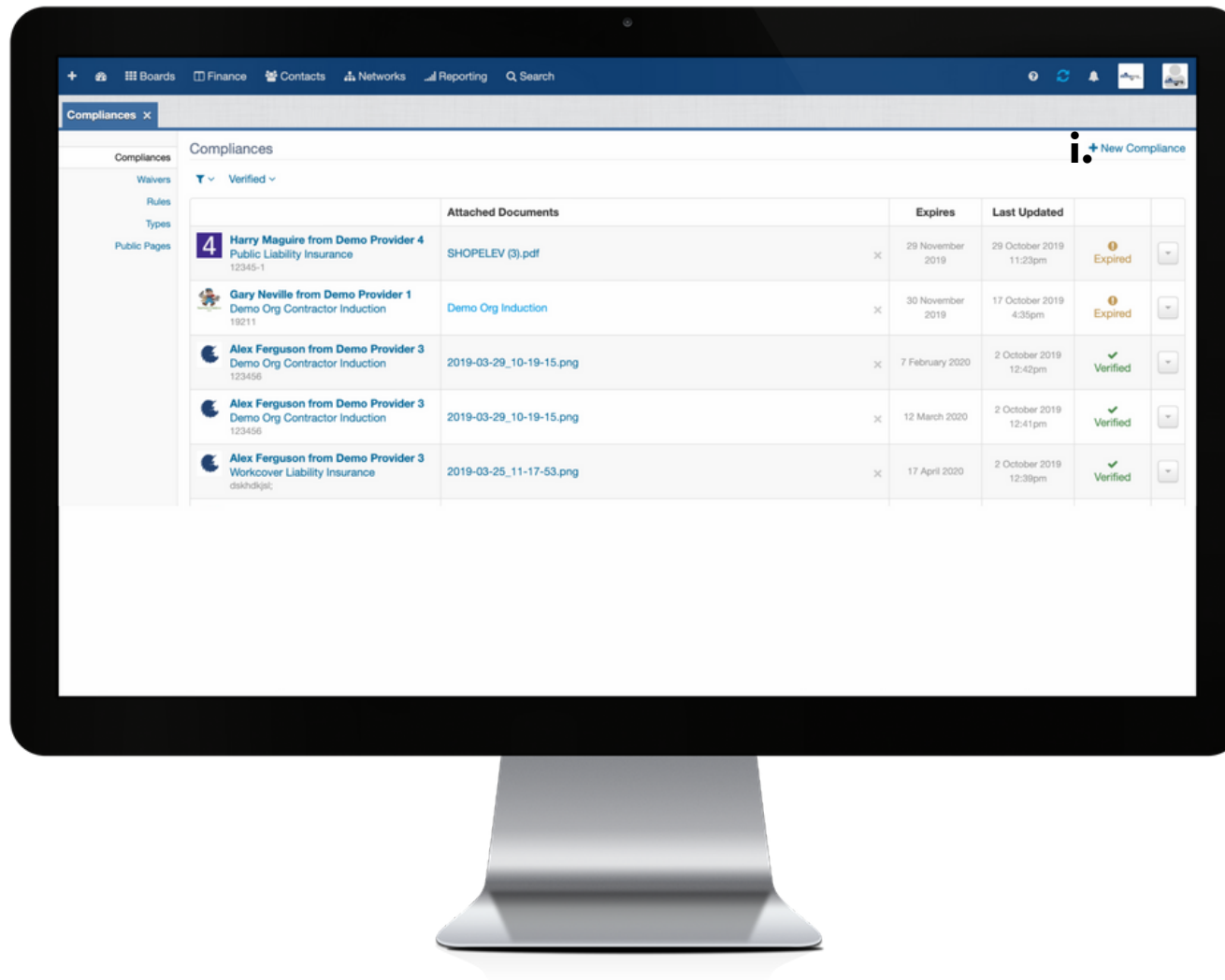
i. This drop down menu enables you to filter the view of the validity of all Compliances registered based on any of the following selections: 1. Verified 2. Unverified 3. Valid 4. Invalid.



i: the Status of a registered Compliance will be displayed in this column.

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4. ADD A NEW COMPLIANCE




i: click + New Compliance to open the New Compliance dialog box.

New iii. ×

Compliance Type


 i. ▴ ▾ ii. ▴ ▾

For Supplier iv.

  Start typing the name of a Supplie

Expiry Date v.

 **Required Proof:** vi.

Number

Attached Proofs

+ Add an attachment...

Verification

☐ Mark as verified on creation

vii.

Cancel

Save

i: using the drop down menu, select the Compliance Type (this will automatically populate field iii. being the title of the Compliance Type).

ii: using the drop down menu, select the Compliance Class (category) applicable to the Compliance Type being added.

iii: this will automatically populate upon selection of the Compliance Type in step i.

iv: complete this field to select the Supplier that the Compliance Type relates to.

v: complete this field to set the date of the Compliance Type's expiry. Once verified, the compliance will remain verified until the date of expiry after which time, the status will change to Expired.

vi: upon selection of Compliance Type's category in step ii. this section will automatically load the details of the evidence that needs to be uploaded (+ Add an attachment) to enable verification.

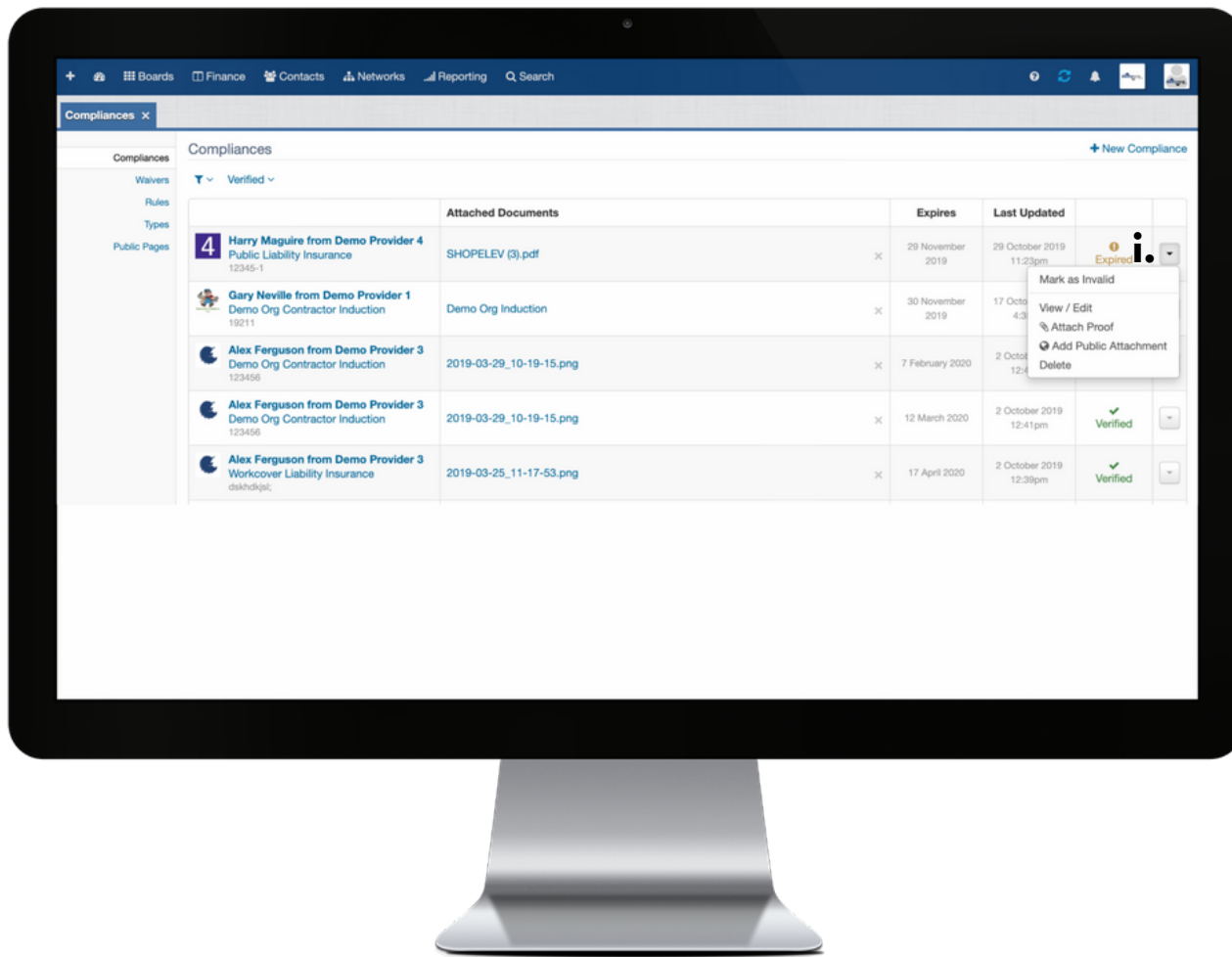
vii: once you have completed all remaining fields, click Save.

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5. VIEW/EDIT A SUPPLIER'S REGISTERED COMPLIANCE





i. To view/edit a Supplier's registered Compliance, use the drop down menu, which can be found to the right of a Supplier's registered Compliance.

This menu consists of the following shortcuts to help you edit and/or view a Supplier's registered Compliance:

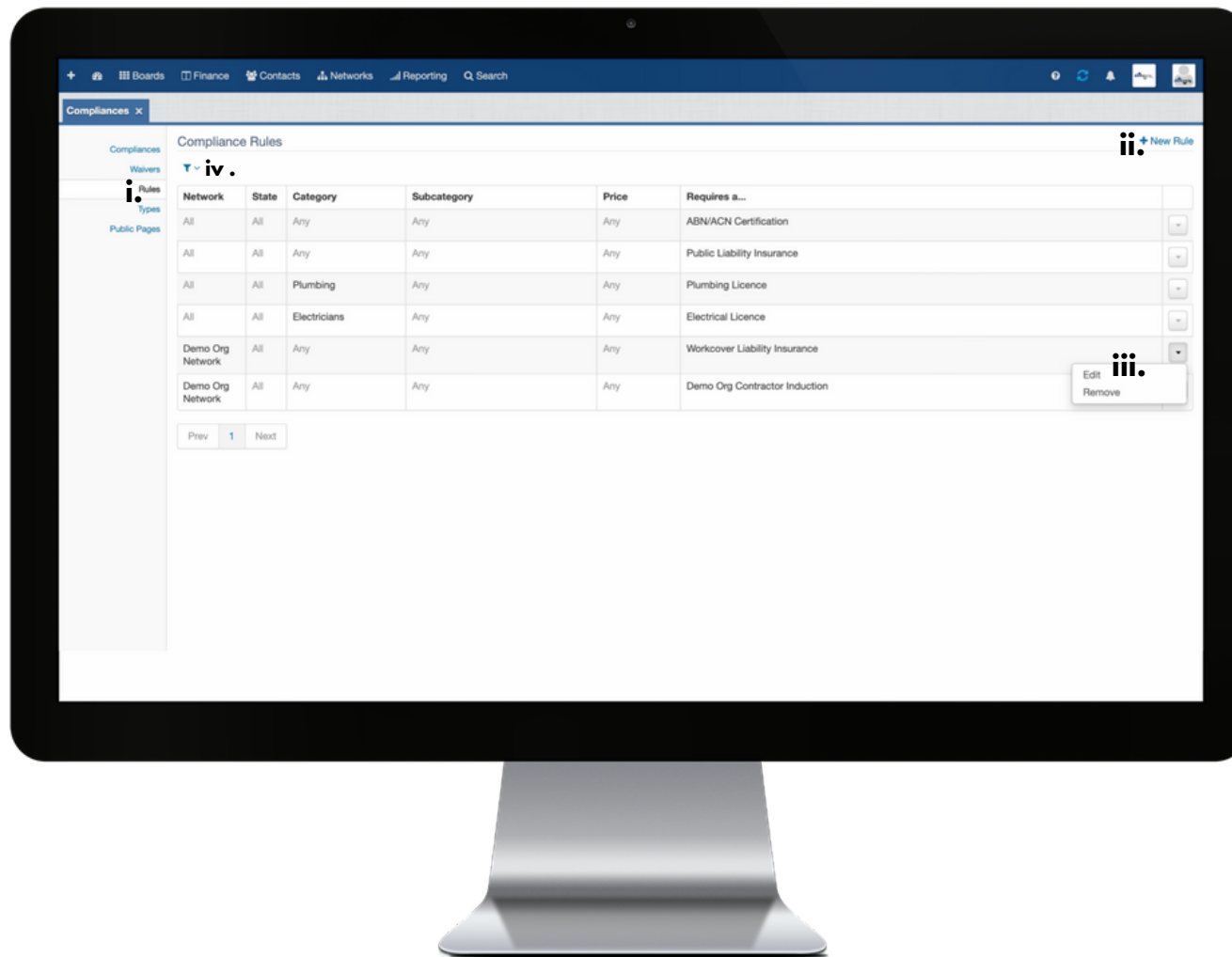
1. Mark as invalid
2. View/Edit (this will open up the Supplier's Compliance dialog box for viewing and/or editing accordingly)
3. Attach Proof
4. Delete

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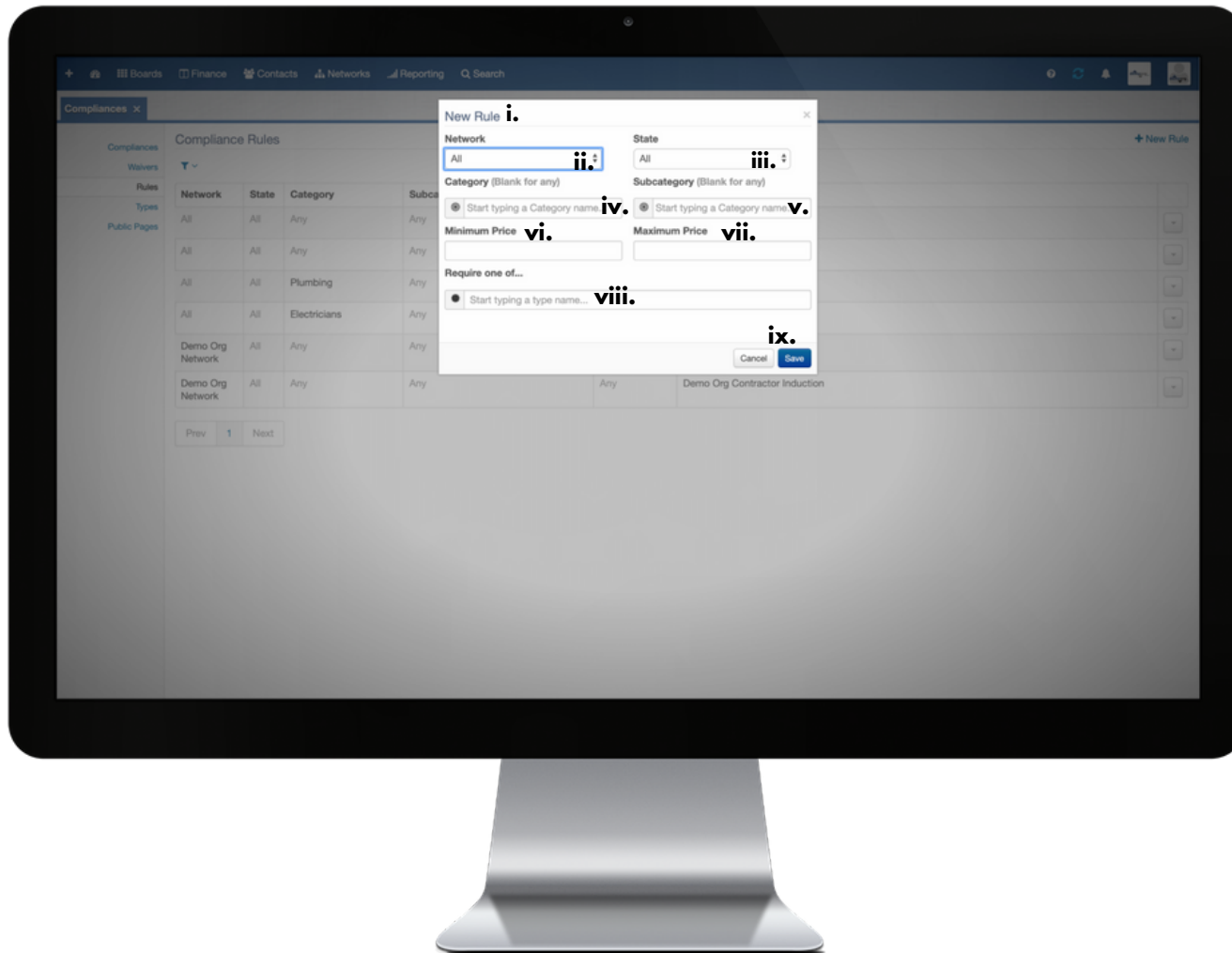


6. ESTABLISHING COMPLIANCE RULES





- i: the Rules functionality enables you to set parameters around what Compliance Types must be met by Suppliers in order for them to be eligible to have jobs assigned to them.
- ii. to establish a new Compliance Rule, click + New Rule to open the Compliance Rule dialog box.
- iii. to edit the parameters of an existing Compliance Rule, click on the drop down menu, which can be found to the far right of the listed Compliance Rule and select Edit. This in turn will open the Compliance Rule dialog box whereby edits can be made accordingly.
- iv. should you wish to filter the view of established Compliance Rules, select your preferred view from the filter feature's drop down menu.



i: the name of the Compliance Rule dialog box will appear as either New Rule (as in the screen shot) or Edit Rule in the case you have selected to edit the parameters for an existing Compliance Rule.

ii: using the drop down menu, select the Supplier Network that the Compliance Rule is to attach to - the drop down menu provides the option to attach the Rule to all of your Supplier Networks or alternatively, the option to select a specific Network is also enabled.

iii: using the drop down menu, select the State that the Compliance Rule is relevant to - if applicable, the drop down menu provides the option to attach the Rule to all States or alternatively, the option to select a specific State is also enabled.

iv: if applicable, complete this field to attach the Compliance Rule to Suppliers of all service types or alternatively search to select a specific category of service type in which the Rule should be attached (e.g. Electricians, Plumbing).

v: if applicable, complete this field by searching to select a specific service type sub category.

vi and vii: should a job require a Supplier to be licensed to carry out work of a specific dollar value, complete these fields (Minimum and Maximum Price) accordingly.

Example: in Queensland, individuals and companies must hold a QBCC licence to carry out any building work valued over \$3,300. To factor this in, the Compliance Rule would be set with \$3,301 as the Minimum Price to ensure that only Suppliers holding a valid QBCC licence are eligible to accept this type of job located in QLD.

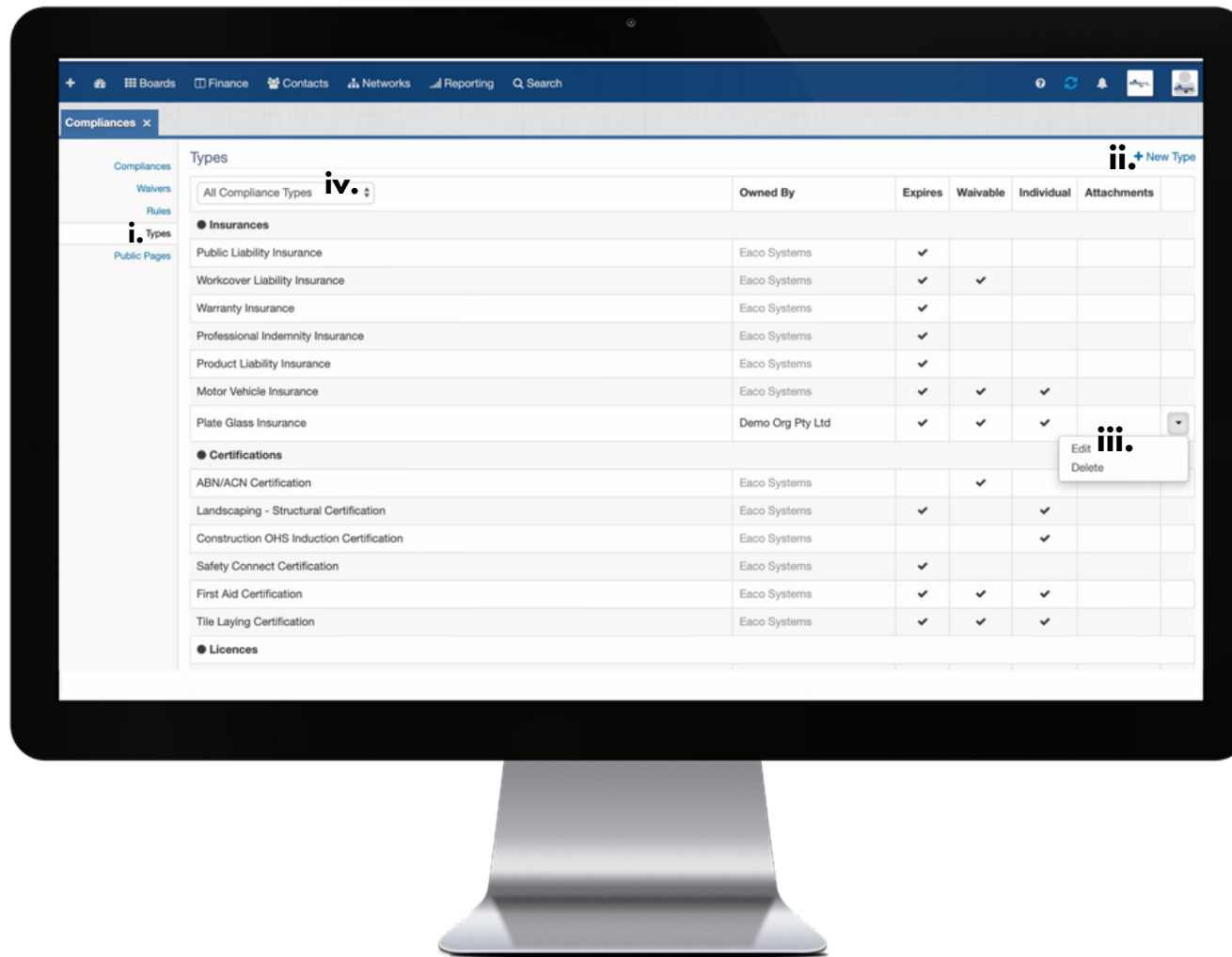
viii: complete this field in order to stipulate what evidence a Supplier needs to provide and/or complete in order to be deemed compliant and eligible to be considered for completion of the job. Add as many requirements as necessary in this section.

Example: requirements include (though not limited to) trade licences (e.g. Electrical Licence, Plumbing Licence), insurance coverage (e.g. Public Liability), ABN/ACN certification, completion of Contractor Induction.

ix: once you have completed all remaining fields, click Save.

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7. COMPLIANCE TYPES

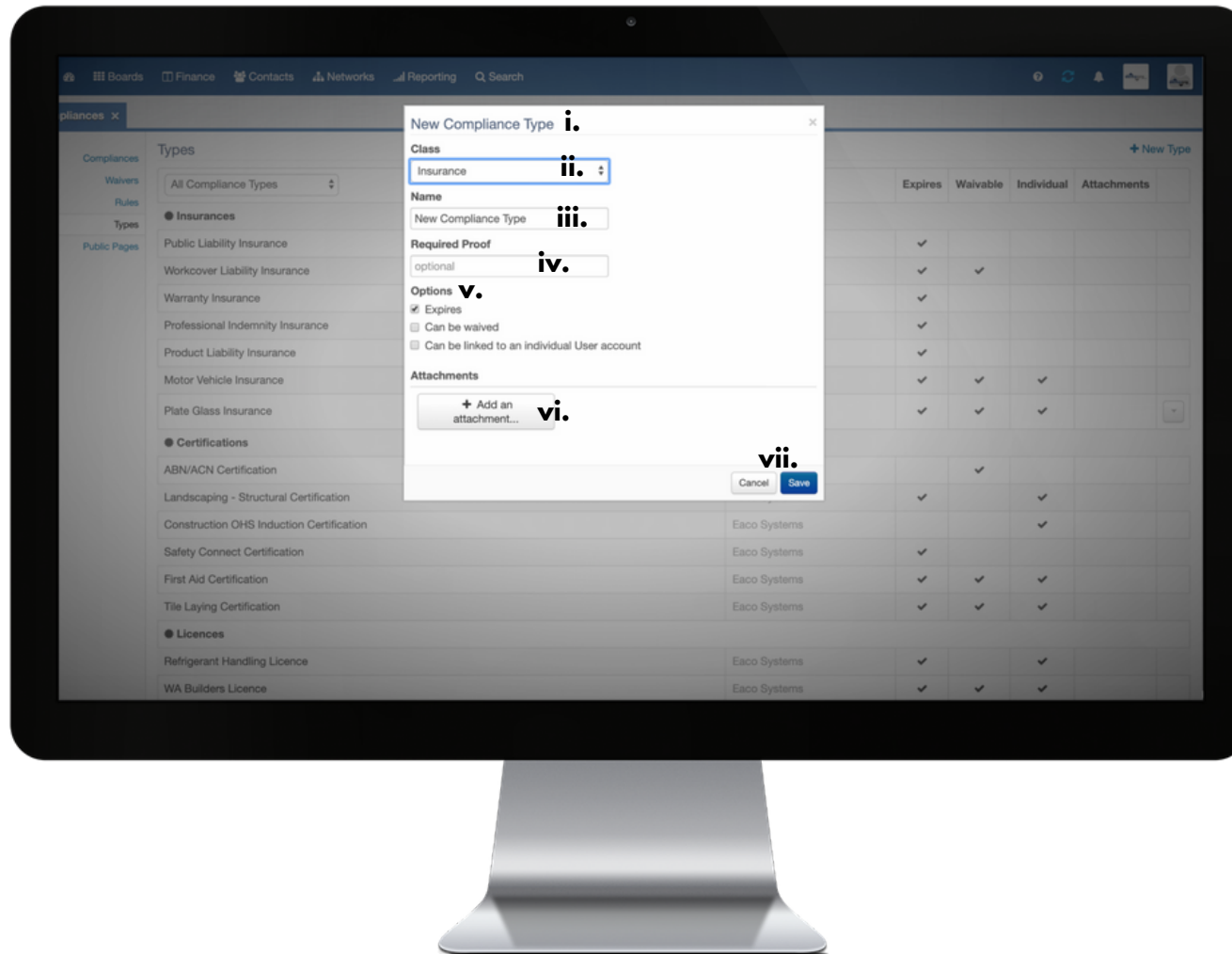


i: click on Types in the left hand menu. Note: to eliminate administrative burdens, the Eaco System provides built in Compliance Types that are commonly known (e.g. Public Liability Insurance).

ii: if there is a need to establish Compliance Types over and above the ones built in to the Eaco System, click + New Type to open the New Compliance Type dialog box.

iii. to edit the settings of a Compliance Type you have established, click on the drop down menu, which can be found to the far right of the listed Compliance Type and select Edit. This in turn will open the Compliance Type dialog box whereby edits can be made accordingly.

iv. should you wish to filter the view of established Compliance Types, select your preferred view from the filter feature's drop down menu.



i: the name of the Compliance Type dialog box will appear as either New Compliance Type (as in the screen shot) or Edit Compliance Type in the case you have selected to edit the settings of an established Compliance Type.

ii: using the drop down menu, use the drop down menu to select the class that is relevant for the Compliance Type to be established.

iii: complete this field in order to attach a name for the Compliance Type to be established (e.g. Mining Contractors Insurance).

iv: if applicable, complete this field to stipulate the evidence (e.g. Certificate of Currency) a Supplier needs to provide in order to meet the Compliance Type criteria.

v: if applicable, to apply any of the list options to the Compliance Type, check the applicable box(es).

vi: if applicable, upload documents that need to be read/reviewed and executed where necessary by a Supplier in order to fulfil compliance obligations (e.g. a Service Provider Agreement that has to be read, reviewed and signed off on).

vii: once you have completed all remaining fields, click Save.