Compliance Tracking

The Compliance Tracking App allows you to record and track documentation related to contracts and purchase orders, such as insurance policies, bonds, business licenses, permits, training certifications, supplier agreements, tax documents, etc. These documents can be requested from vendors, and vendors can return the requested information along with supporting document files. The requested documentation can be reviewed and approved at the project level through the application workflow.

Create a New Compliance Record

1. Navigate to the correct project.
2. Open the Compliance Tracking application. (Apps > All Apps > Compliance Tracking).
3. Click **New**.
4. In the Details section, fill in the applicable fields:

Field	Description
Number	This field populates automatically.
Parent Document Type	The Compliance Record can be linked to an existing **Expense Contract** or **Purchase Order**. Select the appropriate parent document type here.
Expense Contract/ Purchase Order	After a selection is made in the **Parent Document Type** field, a list of the available parent documents will appear. Select the correct **Expense Contract** or **Purchase Order**. Once selected, the **Vendor Contact** from the contract or P.O. will appear. This contact is the person who will receive the initial request for the compliance document and any subsequent update requests when the request is made through the Kahua workflow.
Title	Enter a title for the document.
Description	Optionally enter a description of the document.
Type	Select an item from the list of document types.
Limit	Optionally enter the specified or required policy limit amount.

Field	Description
Policy Number	If you have the policy number on hand, enter it here. If you will be requesting it from the vendor by using the app workflow, leave this field blank.
Issued By/Issued By (Text)	If you have the issuing company information, select the compliance document issuing company from the list if available (**Issued By**) or enter the name manually (**Issued By (Text)**). Leave these fields blank if you will be requesting the information from the vendor through the app workflow.
Trade Manager	Select the name of the project-level individual who is responsible for managing this compliance document. This person will be the project-level approver when the vendor submits the document.
Effective Date	Enter the start date of the compliance document.
Expiration Date	Enter the end date of the compliance document.
Risk Manager	Optionally, select a contact to serve as a secondary approver after the document is submitted and approved by the Trade Manager. This might be someone at the corporate risk-management level who is required to review compliance documentation.
Approved Date	This is the date that the submitted documents were approved. This will be automatically populated when the document is approved using the Kahua workflow.
Status	This field indicates the status of the compliance document. It is updated automatically through Kahua workflow. The values of "Expired" and "Void" are available and must be set manually. These values will not be automatically set by the Kahua workflow.

5. Enter information in the Comment section, if desired.
6. If documents had previously been submitted by the vendor, they can be attached in the References section, if desired.

7. Once complete, click **Save** to save the record, or if documentation is needed from the vendor, click **Request from Vendor** to save the record and send a request for the document to the vendor contact.

Request a Compliance Document from the Vendor

When a record is initially created, you can select **Request from Vendor** to save the document and request it from the vendor. If the record was instead saved initially, you can open the document at any time and select **Request Update**.

This will send a task through Kahua to the Vendor Contact listed on the Expense Contract or Purchase Order associated with the compliance document.

Recall a Request

If you need to recall a request for an update on a document before the vendor has submitted it, complete the following steps:

1. Open the applicable record.
2. Select the **Recall** button.
3. When the ‘Provide a Reason’ dialog box appears, enter a reason and select **Continue**.
4. The record will be returned to its original state and the task will be removed from the vendor's task list. The vendor will be notified that the request was recalled. The notification will include the reason entered in the dialog box.

Submit a Compliance Document

If you’ve received a request to submit a compliance document, complete the following:

1. Open the task.
2. Review the Details section to understand what document is being requested, and for which Expense Contract.
3. In the Submitted Details section, complete the following fields:

Field	Description
Submitted Policy Number	Enter the policy number.

Field	Description
Submitted Issued By/Submitted Issued By (Text)	Select the compliance document issuing company from the list, if available (**Issued By**), or enter the name manually (**Issued By (Text)**).
Limit	Enter the policy limit amount value.
Effective Date	Enter the start/effective date of the compliance document.
Expiration Date	Enter the end/expiration date of the compliance document.

4. To attach an electronic copy of the document, select **Upload** in the References section, or **Add Kahua Doc** if the document is saved in Kahua. You must complete this step to submit the record.
5. Click **Save** to save your work. When ready to submit the record for review, select **Submit**.

Approve an Updated Compliance Document

Once submitted, the status of the document will be "Trade Manager Review" or "Risk Review". The reviewer can open the document from the task list or directly in the Compliance Tracking app. If opening the task, select **View Source Record** to open the document in the Compliance Tracking app.

1. Review the content in the Submitted Details section of the record, and the content of the supporting documents in the References section.
2. If acceptable, select **Approve**. If not acceptable, select **Reject**.

Once the approvals are complete, the status changes to "Active".

Track Expirations and Request Renewals

Use the log view to track document expiration dates. At the appropriate time, you can request renewal information from a document with an "Active" status by opening the record and selecting Request Renewal.

This will send a task through Kahua to the Vendor Contact listed on the Expense Contract associated with the compliance document.