

NATIONAL HEAVY VEHICLE ACCREDITATION SCHEME (NHVAS)

MAINTENANCE MANAGEMENT AUDIT MATRIX

Name of NHVAS Operator: ABC Transport

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Location: Helicopter Road Brisbane

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Accreditation Number: 12345

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Introduction

Use of the Matrix

The revised Audit Matrix is designed to provide auditors with a clearer understanding of the systems expected of heavy vehicle operators to meet each of the Standards in the Maintenance module. It outlines the scope of each criterion in the Standards and explains the intent behind each. It also provides examples of the type of evidence that auditors may examine to indicate that the operator has the required system in place.

Explanation of Terms in Audit Matrix - All audits	
Explanation of Terms in Audit Matrix – Required for entry audit only	
Scope	A description of the intent behind the criterion, to provide further direction to assist with interpretation of the criterion
Possible Evidence	Examples of possible sources of evidence that <i>may</i> indicate conformance with the criterion
Notes	Further assistance to guide auditors in the interpretation of the criterion and the evidence to be sought

This list of evidence is not exhaustive. Operators do not need to have everything on the list in place, and may have other means by which the Criterion can be addressed.

The Matrix also provides space for the Auditor to explain:

- How the operator does (or does not) meet each criterion,
- The evidence sighted by the auditor to support that conclusion, and
- The audit Result of the audit for that criterion, using the following compliance codes:

NAP: Not Applicable

NA: Not Assessed at this Audit

V: Conformance Verified

NC: Non-conformance

SFI: Suggestion for Improvement

1 Standard 1: Vehicle daily check

Criteria 1.1 & 1.2	Documented instruction/procedure to ensure that daily vehicle inspections are conducted.	
Scope	<p>a) The documented instruction must indicate when the vehicle inspection will take place. This must be at least daily (e.g. at least every 24 hours) and should specify at what point the inspection takes place e.g. before the vehicle leaves the depot, or when the vehicle returns from shift, etc.</p> <p>b) The documented instruction must indicate who (i.e. which position/s) undertakes the vehicle inspection (e.g. individual drivers, a specific person appointed by the business, etc). The actual responsible position must be identified.</p> <p>c) There must be a method for recording the findings of each vehicle inspection. This may be in the form of an inspection checklist or other document.</p> <p>d) The instruction or checklist needs to include, as a minimum, inspection of the following items:</p> <ol style="list-style-type: none"> 1. Wheels and Tyres <ul style="list-style-type: none"> • Tyre pressure (visual check) and tread integrity. • Wheel fixings/security. 2. Lights and Reflectors <ul style="list-style-type: none"> • All lights, including clearance lights, are working and not damaged • All reflectors and lenses are in place and not damaged. 3. Windows, Mirrors and Wipers <ul style="list-style-type: none"> • Windows and Mirrors for security damage and clean. • Wipers and windscreen washers are working and allow clear forward vision. 4. Vehicle Structure and Bodywork <ul style="list-style-type: none"> • All panels and readily visible structural members are secure • There are no leaks of any fluid (oil, fuel, air, water, refrigerant coolant, hydraulic fluid, brake fluid or other). 5. Brakes <ul style="list-style-type: none"> • Brake failure indicators are working • Check pressure/vacuum gauges. • Draining air tanks (full air and air-over-hydraulic systems only on rigid and articulated combinations. Except Buses & Coaches.) 	<p>How Does Operator's System Meet /Not Meet the Criterion.</p> <p>ABC Transport Policy Manual issued 9 August 2006 Section 8.1</p> <ul style="list-style-type: none"> •The daily check is completed each day that the vehicle is in use prior to commencement of the journey, or where not practicable, at the earliest time and location during the day where it is safe and convenient to do so. •The driver is responsible for completing the daily check. •The daily check is recorded on form 11.3 Daily Vehicle Checklist. <p>CAR</p> <p>Check list missing</p> <p>Brakes - Check pressure/vacuum gauges.</p> <p>CAR</p> <p>Check list 11.9 not referenced as the direction as the items to be checked during the daily check not included in the documented process.</p> <p>CAR</p> <p>Document titled Daily check fault report used for vehicles that are away from the depot for several days this document is not capturing daily checks that</p>

Criteria 1.1 & 1.2	Documented instruction/procedure to ensure that daily vehicle inspections are conducted.	
		<p>are being used in combination with the prime mover.</p> <p>Document is also identified as 11.3 which the manual identifies as the daily check fault report</p>
Possible Evidence	<ul style="list-style-type: none"> • Inspection Checklists • Driver Manuals 	<p>Evidence Sighted By Auditor:</p> <p>ABC Transport Policy Manual issued 9 August 2006</p>
Notes		Audit Result (Code): NC

Criterion 1.2.6	Faults found during the daily check are recorded using the on-road vehicle fault report.	
Scope	Any faults found during the Daily Check are to be recorded within the on-road vehicle fault report.	How Does Operator's System Meet /Not Meet the

Criterion 1.2.6 Faults found during the daily check are recorded using the on-road vehicle fault report.		
	The reporting system identified as part of criteria 2.1 is used to record any fault identified during the daily check.	Criterion. Records of faults recorded on form 11.4 Daily Check and Fault Report that is kept with the vehicle. Manual updated to show current form is 11.3
Possible Evidence		Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006 Section 8.1
Notes		Audit Result (Code):

Criterion 1.3 Evidence that relevant personnel have been trained in and understand the procedure, policy and/or instruction.		
Scope	Evidence should be available to demonstrate that the staff have been trained in completing the vehicle inspection and the associated documentation. Persons completing the inspection must understand that they are certifying the vehicle is safe to the limits of the inspection when the vehicle leaves the yard or depot. The Auditor should view the evidence of training and the date staff received this training should be noted. The Auditor should also interview a sample of staff to ensure that they have been trained in (and understand) the inspection procedure.	How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete. Section 8.1 Driver signs off completion of the daily check in the Daily Check and Fault Report. CAR Manual does not include that the driver is certifying the daily check as completed and safe to the limit of the inspection.
Possible Evidence	<ul style="list-style-type: none"> • Training records • Training Register • Training Needs Analysis • Personnel records 	Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006 Section 8.1
Notes	Records for completion of the Daily Check may be retained in any format.	Audit Result (Code):

2 Standard 2: System to record and report vehicle faults

Criterion 2.1 A method to record faults is retained in the vehicle		
Scope	<p>The auditor should identify the operator's system that identifies faults to individual vehicles. This system must include both hauling and training equipment.</p> <p>The Auditor should choose a random selection from the Accredited Vehicle List. The Auditor should check that this documentation is kept in the vehicles for the drivers' immediate use.</p> <p>Where the operator is using the audit to obtain a fuel tax credit, the documentation is to specifically include emission-related faults e.g. excess fuel/oil consumption, visible smoke emissions, etc.</p>	<p>How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete.</p> <p>ABC Transport Policy Manual issued 9 August 2006 Section 8.2</p> <p>It is the drivers responsibility to ensure each vehicle has a unique form 11.3 Daily Check and Fault Report kept in it with sufficient blank pages to complete the journey.</p> <p>CAR</p> <p>The documented instruction does not reference that both hauling and trailing equipment are to be covered by this process.</p>
Possible Evidence	<ul style="list-style-type: none"> Vehicle Defect Books Other fault recording documentation 	Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006 Section 8.2
Notes	The driver should be able to record and report any recognisable fault occurring during the course of a journey so that it may be assessed and rectified.	Audit Result (Code):

Criterion 2.2 Documented instruction for drivers to record faults occurring during a journey and how the faults are reported to the maintenance provider as soon as possible.		
Scope	<p>There must be a documented procedure outlining how drivers report faults detected "on the road".</p> <p>Auditors need to sight the documented procedure and to ensure that it provides instructions to drivers on how faults occurring "on the road" are to be reported to the person/area responsible for repairing the fault.</p>	<p>How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete.</p> <p>Any driver detecting a fault on a vehicle immediately records the fault in 11.3 Daily Check and Fault Report kept in the vehicle with the fault.</p> <p>The Proprietor is advised as soon as possible if a major fault is found, or if the fault could affect the roadworthiness of the vehicle</p>
Possible Evidence	<ul style="list-style-type: none"> Documented procedure Driver Manual 	Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006

Criterion 2.2 Documented instruction for drivers to record faults occurring during a journey and how the faults are reported to the maintenance provider as soon as possible.		
		Section 8.2
Notes	A single procedure covering the different circumstances in Criteria 2.2 to 2.4 is acceptable.	Audit Result (Code):

Criterion 2.3 Documented instruction allowing for major or serious faults to be fixed as soon as possible, even if the vehicle is away from home base.		
Scope	<p>There must be a procedure to ensure that all major/serious faults are fixed asap even if detected “on the road” or away from the depot. The procedure must specify:</p> <ul style="list-style-type: none"> • what is a major/serious fault (this should at least include brake, steering and suspension faults) • communication process between driver and base • whether and how the vehicle will be safely transported for repair <p>the responsibilities of key parties including the driver and the party repairing the fault.</p>	<p>How Does Operator’s System Meet /Not Meet the Criterion – Auditor to complete.</p> <p>CAR</p> <p>Procedure to ensure that all major/serious faults are fixed asap even if detected “on the road” or away from the depot not included.</p>
Possible Evidence	<ul style="list-style-type: none"> • Documented procedure • Driver Manual • Emergency procedures including emergency contact numbers 	<p>Evidence Sighted By Auditor:</p> <p>ABC Transport Policy Manual issued 9 August 2006</p> <p>Section 8.2</p>
Notes	A single procedure covering the different circumstances in criteria 2.2 to 2.4 is acceptable.	Audit Result (Code):

Criterion 2.4 Documented instructions on how faults detected at other times (i.e. when not detected “on the road”) are reported to the maintenance provider as soon as possible.		
Scope	<p>There must be a documented procedure outlining how personnel (including drivers and other relevant personnel) will report faults detected at other times e.g. whilst the vehicle is at the depot or when starting or finishing a shift.</p> <p>Auditors need to sight the documented procedure and to ensure that it provides instructions to drivers on how faults occurring at times other than “on the road” are to be reported to the person/area responsible for repairing the fault.</p> <p>This criterion is targeted at the system that the operator has in place to record both vehicle faults and repairs. This documentation should:</p> <ul style="list-style-type: none"> • Be capable of tracking the fault/repair history of each vehicle in the fleet • Include dates for both faults and repairs 	<p>How Does Operator’s System Meet /Not Meet the Criterion – Auditor to complete.</p> <p>Any driver detecting a fault on a vehicle immediately records the fault in 11.3 Daily Check and Fault Report kept in the vehicle with the fault. The information to be recorded is limited to the signs that a fault has occurred.</p>

Criterion 2.4	Documented instructions on how faults detected at other times (i.e. when not detected “on the road”) are reported to the maintenance provider as soon as possible.	
	<ul style="list-style-type: none"> • Include details of the nature of the fault • Include details of how the fault was repaired and who undertook the repairs. 	
Possible Evidence	<ul style="list-style-type: none"> • Documented procedure • Driver Manual 	Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006 Section 8.2
Notes	A single procedure covering the different circumstances in criteria 2.2 to 2.4 is acceptable.	Audit Result (Code):

3 Standard 3: System for identifying faults, assessing severity and remedying them

Criterion 3.1	Method to identify and assess fault and place a priority on its repair.	
Scope	<p>There is a system for identifying faults and prioritising their repair according to severity. This system needs to include faults identified both during regular vehicle inspections (Standard 1), and whilst the vehicle is in operation (Standard 2).</p> <p>The operator’s documentation must include a method (e.g. list of critical faults) for determining vehicle faults that require immediate repair. This system should give reporting and repair priority to “safety critical elements” such as problems with brakes, steering and suspension.</p> <p>For fuel tax credit accreditation, a specific method is required to identify and assess the severity of emission related faults (as evidenced by fuel/oil consumption, engine power and visible smoke emissions).</p>	<p>How Does Operator’s System Meet /Not Meet the Criterion – Auditor to complete.</p> <p>ABC Transport Policy Manual issued 9 August 2006 Section 8.3</p> <ul style="list-style-type: none"> • Immediate Repair - The Proprietor, in consultation with the person reporting the fault, may determine the fault requires immediate repair. In this case the person reporting the fault will be directed on what action to take.
Possible Evidence	<ul style="list-style-type: none"> • Procedures and policies • Documented instructions • Staff Manuals 	Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006 Section 8.3
Notes	An operator’s decision to defer a repair cannot apply to “safety critical faults” such as braking, steering and suspension.	Audit Result (Code):

Criterion 3.2	Where the repair is deferred, the person making the decision must be identified on the record.	
Scope	<p>The deferral of repairs should be based on a clear process (e.g. risk assessment) and should not be applied to “safety critical elements” (except where the vehicle is being temporarily removed from service).</p> <p>This criterion requires the operator to have a defined process for classifying vehicle faults based on an assessed risk level/rating (e.g. high, medium or low), or a numerically based risk score (e.g. 1 to 5). The</p>	<p>How Does Operator’s System Meet /Not Meet the Criterion – Auditor to complete.</p> <ul style="list-style-type: none"> • Deferred Repair/Monitored Fault - The Proprietor, in consultation with the person reporting

Criterion 3.2	Where the repair is deferred, the person making the decision must be identified on the record.	
	<p>defined response to the fault (e.g. deferral/immediate repair) must be based on the assessed risk (e.g. tolerable risk or high risk).</p> <p>There must also be a clearly identified person/position responsible for making this decision (e.g. workshop manager) whose name /signature must appear on the record.</p> <p>That person should be competent to make the decision , and the decision and reasons to defer must be recorded.</p> <ul style="list-style-type: none"> • The reasons for repair deferral, • The person making the decision 	<p>the fault, will identify repairs that may be deferred or faults that are to be monitored. This decision is made after the nature of the fault has been determined and agreed that the fault does not compromise the roadworthiness of the vehicle.</p> <ul style="list-style-type: none"> • The person reporting the fault records who made the decision to defer/monitor and the upper limits for the repair/monitor, eg, at next scheduled service, when parts are received etc, in the document containing the original fault report. • The Proprietor is the only person holding the authority to defer repairs or approve monitoring of faults. Drivers may decide to defer minor repairs. Where necessary, the Proprietor will consult a person having suitable qualifications or experience to competently determine a vehicles roadworthiness or suitability to remain in service.
Possible Evidence	<ul style="list-style-type: none"> • Repair risk assessment documentation • Workshop manual/procedures • Position Descriptions • Signed Defect/repair reports 	Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006 Section 8.3
Notes	An operator's decision to defer a repair cannot apply to "safety critical faults" such as braking, steering and suspension.	Audit Result (Code):

Criteria 3.3 & 3.4	Where decision is made to monitor the condition of a fault, the monitoring process must be recorded.	
Scope	<p>Where a decision is made to defer the repair of an identified fault, there must be a process for monitoring the condition of that fault until the fault has been repaired. This monitoring process must be recorded and must include the "upper limits" of the repair e.g. "fault must be repaired within next 1,000 kilometres".</p> <p>There must also be a clearly identified person/position responsible for making this decision (e.g. workshop manager) whose name /signature must appear on the record.</p> <p>The Auditor will need to sight maintenance records including:</p> <ul style="list-style-type: none"> • The process for monitoring the fault and • The upper limits for the fault's repair. 	<p>How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete.</p> <ul style="list-style-type: none"> • The person reporting the fault records who made the decision to defer/monitor and the upper limits for the repair/monitor, eg, at next scheduled service, when parts are received etc, in the document containing the original fault report.

Criteria 3.3 & 3.4	Where decision is made to monitor the condition of a fault, the monitoring process must be recorded.	
Possible Evidence	<ul style="list-style-type: none"> Repair risk assessment documentation Workshop manual/procedures Signed Defect/repair reports 	Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006 Section 8.3
Notes	An operator's decision to monitor a fault cannot apply to "safety critical faults" such as braking, steering and suspension.	Audit Result (Code):

Criterion 3.5	Records show that the fault has been rectified and where appropriate, tested.	
Scope	<p>The operator must be able to demonstrate that all vehicle faults have been rectified. This includes vehicle faults that are immediately repaired, and those deferred for later repair (criteria 3.2 and 3.3). The Auditor should examine the paper trail for a selection of accredited vehicles from initial fault identification (e.g. internal defect report) to the repair of those faults. Where the fault involves a "safety critical" element such as brakes, the repair should be tested prior to the vehicle returning to service. These test records where possible (e.g. brake roller test) should be sighted by the Auditor.</p>	<p>How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete.</p> <p>On completion of repairs, where appropriate, the repairer tests the repairs.</p> <p>The repairer then completes the document containing the original fault report noting who performed the repair, the completion date, who tested the repair and what was done.</p> <ul style="list-style-type: none"> External Service Providers <p>Repairs completed under contract are initiated via the document containing the original fault report.</p> <p>On completion of repairs, where appropriate, the repairer tests the repairs.</p> <p>When the fault has been fixed, records are kept that show who performed and tested the repair, the completion date of repair and what was done. This record is on the repairers invoice. A copy of the repair invoice is attached to the document containing the original fault report and filed by the Proprietor.</p>
Possible Evidence	<ul style="list-style-type: none"> Workshop manual/procedures Signed Defect/repair reports Test records 	Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006 Section 8.3
Notes		Audit Result (Code):

4 Standard 4: Periodic maintenance schedules identifying service periods and tasks

Criterion 4.1 Fleet has been certified Roadworthy within the last 6 months (NHVR policy allows for the inspection to be done within the last 12 months)		
Scope	<p>To gain entry to the NHVAS, the operator must be able to provide evidence that each nominated vehicle has been inspected, and the critical safety aspects of the each vehicle have been tested and passed by a competent person. This inspection/test must be carried out in accordance with the NHVR's <i>National Heavy Vehicle Inspection Manual</i> (or comparable National Vehicle Standards and ADRs), covering, as a minimum, the following key aspects of each vehicle:</p> <ul style="list-style-type: none"> • Brakes • Couplings • Steering and Suspension • Wheels, tyres and hubs <p>The Auditor must sight a statement verifying that tests have been undertaken and that each vehicle in the fleet is considered roadworthy. The tests must be undertaken by a qualified person, experienced in the inspection of heavy vehicles (e.g. motor mechanic).</p>	<p>How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete.</p> <p>At the time of entry into the system and prior to each compliance audit, the Proprietor provides a statement to the auditor verifying the nominated vehicle(s) roadworthiness.</p>
Possible Evidence	<ul style="list-style-type: none"> • Signed declaration of roadworthiness for each nominated vehicle • Signed inspection sheets outlining tests performed on each vehicle. 	Evidence Sighted By Auditor:
Notes		Audit Result (Code):

Criterion 4.2	Maintenance schedules that provide for appropriate periodic maintenance of accredited vehicles	
Scope	<p>The operators must maintain vehicles at a level equal to or better than the manufacturer's specifications. This requires the operator obtaining maintenance/service manuals or similar documentation from the manufacturer for each make of vehicle in their fleet, and developing a maintenance schedule for their vehicles that is at least equal to or better than the required service intervals in that documentation.</p> <p>Auditors should examine the operator's service sheets for a random sample of the operator's vehicles and ensure that the scheduling of periodic vehicle service:</p> <ul style="list-style-type: none"> Covers vehicle-defined intervals of time, distance or hours of use. Describes the tasks to be undertaken at each interval. <p>Auditors should ask the operator to demonstrate (via the manufacturer's service manuals, etc) that the tasks at each service interval are at least equal to or better than the manufacturer's specifications.</p>	<p>How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete.</p> <ul style="list-style-type: none"> •All vehicles are maintained to the following maintenance schedules. <p>PRIME MOVERS</p> <p>Form 11.4 A Service – Weekly -sighted Completed at weekly intervals on prime movers/trucks only.</p> <p>Form 11.5 B Service - Full -sighted Completed at a nominal 25 000 km, on prime movers/trucks only.</p> <p>TRAILERS</p> <p>Form 11.6 Trailer A Service Completed on trailing equipment at weekly intervals is used 5 + trips for that week.</p> <p>What happens for other trailers not doing 5 trips per week?</p> <p>Form 11.7 Trailer B Service. Covers Roadworthiness for ABC Transport. Completed on trailing equipment at 12 months intervals</p> <p>External Service providers return completed maintenance forms to the Proprietor as soon as possible after completion of each service.</p> <p>A service exemption sheet is being used however there is no documented procedure approved for its use.</p> <p>CAR Trailer service folders hold service schedules inconsistent with the policy manual. Form 11.8 & 11.9??</p>
Possible Evidence	<ul style="list-style-type: none"> • Manufacturer's Service Manuals • Scheduling service sheets 	Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006 Section 8.4
Notes		Audit Result (Code):

Criteria 4.3 & 5.2.5		
Evidence that maintenance repairs are only undertaken by persons having suitable qualifications or experience		
Scope	<p>Vehicle maintenance may be done internally or outsourced. In either case, operators must provide evidence of the qualifications of the maintenance provider. In the case of internal staff completing repairs evidence of mechanical qualifications or letter of assessed suitable experience need to be retained by the operator.</p> <p>Where professional workshops are used a letter of authority from the business stating suitably qualified persons are used to conduct the repairs should be obtained from the repairer.</p> <p>While other “routine” servicing of the vehicle (e.g. oil changes, etc) may be undertaken by a person other than a mechanic, the Auditor should be satisfied that the person has sufficient competence achieved through experience, training or other qualifications.</p>	<p>How Does Operator’s System Meet /Not Meet the Criterion – Auditor to complete.</p> <p>Repairs staff not able to be identified as trade qualified.</p>
Possible Evidence	<ul style="list-style-type: none"> • MVRIA licences, Trade Certificates • Mechanic/Contractor’s Record • Maintenance Agreement /Contract (e.g. between operator and garage) • Training Records • Letters of reference or assessment 	Evidence Sighted By Auditor:
Notes		Audit Result (Code):

Criterion 4.4		
Table of tolerances and wear limits for major components		
Scope	<p>The operator’s maintenance system should ensure that all major components remain within the recommended tolerances and wear limits. To meet this Criterion, the operator must be able to produce a table of tolerances/wear limits for components (as outlined in the NHVR’s National Heavy Vehicle Inspection Manual, or comparable guidance e.g. manufacturer’s specifications):</p>	<p>How Does Operator’s System Meet /Not Meet the Criterion – Auditor to complete.</p> <p>Table of tolerance sighted</p>
Possible Evidence	<ul style="list-style-type: none"> • Table/s of Tolerances and Wear Limits • Inspection/service manuals incorporating tolerances and wear limits 	Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006 Section 8.4
Notes		Audit Result (Code):

5 Standard 5: Records & Documentation

Criterion 5.1		
Demonstrate the procedure for how the details of nominated vehicles are to be recorded		
Scope	<p>What is the method and procedure for recording the details of all nominated vehicles?</p> <p>The procedure must be able to record the vehicle make, type of unit, date of construction, GVM, registration number and unique identifier.</p> <p>The auditor should determine if the method is reliable, suitable and auditable.</p>	<p>How Does Operator’s System Meet /Not Meet the Criterion – Auditor to complete.</p> <p>ABC Transport Policy Manual issued 9 August 2006 Section 6.6</p>

Criterion 5.1	Demonstrate the procedure for how the details of nominated vehicles are to be recorded	
		<ul style="list-style-type: none"> •Vehicle Register <p>The Proprietor maintains a register of all vehicles, inclusive of any sub contractors vehicles, nominated to operate in the transport management system. The register records the following data for each nominated vehicle:</p> <ul style="list-style-type: none"> • registered owners name • make and type of vehicle • date of manufacture • vehicle identification number • registration number • manufacturer's gross vehicle mass (GVM) and gross combination mass (GCM) ratings/recommendations (trucks only) – reviewed if vehicle is modified • manufacturer's gross trailer mass (GTM) and aggregate trailer mass (ATM) ratings/recommendations (trailers only) – reviewed if vehicle is modified • the registered gross mass ratings recorded on the current registration certificate • date of accreditation and module • date of exit from accreditation and module
Possible Evidence		Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006 Section 6.6
Notes	There is no restriction on the method used to record the vehicle details as long as the method can be relied upon, retained, retrieved, maintained and is auditable.	Audit Result (Code):

Criterion 5.2.1	Documented evidence that demonstrates compliance with the set instruction/procedure in 1.1	
Scope	<p>Documented evidence must be sighted indicating that daily inspections are occurring for all vehicles in use. Auditors should review the checklists/inspection records of a random selection of vehicles from the nominated vehicle List. The Auditor should ensure that the checklists/inspection records have been completed on at least a daily (24 hour) basis. The Auditor should also interview drivers (or other relevant personnel) and ask to see the daily inspection checklists completed by them.</p> <p>Where the operator has more than one site, the Auditor must ensure that the inspection process is occurring at a sample of those sites.</p>	<p>How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete.</p> <p>CAR</p> <p>Names, full names, legible registration numbers</p> <p>Some daily sheets not consistent with trips recorded on</p>

Criterion 5.2.1 Documented evidence that demonstrates compliance with the set instruction/procedure in 1.1		
		<p>the same sheet.</p> <p>Some checks missed</p> <p>Previous ¼ 23 trend up to 83 needs attention</p>
Possible Evidence	Completed inspection checklists across a range of vehicles/sites	Evidence Sighted By Auditor:
Notes	Records for completion of the Daily Check may be retained in any format.	Audit Result (Code):

Criterion 5.2.2 Documented evidence that demonstrates compliance with the set instruction/procedure in 2.2		
Scope	<p>Documented evidence must be sighted indicating that faults occurring on the road are being recorded and reported for all nominated vehicles.</p> <p>Auditors should review the fault reporting records of a random selection of vehicles from the list of nominated vehicles. The auditor should ensure that the fault reports have been completed as per documented procedures. The Auditor should also interview drivers (or other relevant personnel) and ask to see the fault report documentation completed by them.</p> <p>Where the operator has more than one site, the Auditor must ensure that the inspection process is occurring at a sample of those sites.</p>	<p>How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete.</p> <p>Faults recorded using the 11.3 daily check & fault report.</p> <p>.</p>
Possible Evidence	Completed fault reports across a range of vehicles/sites	<p>Evidence Sighted By Auditor:</p> <p>Fault reports sighted indicating the correct use of the form</p>
Notes		Audit Result (Code):

Criterion 5.2.3 Documented evidence that demonstrates compliance with the set instruction/procedure in 2.2.		
Scope	<p>Documented evidence must be sighted indicating that faults are being repaired in accordance with documented methods for all nominated vehicles.</p> <p>Auditors should review the fault reporting records of a random selection of vehicles from the Accredited Vehicle List. The Auditor should ensure that the fault reports have been completed as per documented procedures. The Auditor should also interview drivers (or other relevant personnel) and ask to see the fault report documentation completed by them.</p>	<p>How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete.</p> <p>Fault reports signed off as required.</p> <p>The folder named workshop fault report repair folder</p>

Criterion 5.2.3 Documented evidence that demonstrates compliance with the set instruction/procedure in 2.2.		
	Where the operator has more than one site, the Auditor must ensure that the inspection process is occurring at a sample of those sites.	<p>sighted which contained all completed fault reports retained in a per month basis.</p> <p>System identified as operating as expected.</p> <p>A register of defects is maintained on a per month basis.</p>
Possible Evidence	<ul style="list-style-type: none"> Completed fault reports across a range of vehicles/sites Repair orders Invoices 	<p>Evidence Sighted By Auditor:</p> <p>Register was sighted as being well maintained.</p>
Notes		Audit Result (Code):

Criterion 5.2.4 Documented evidence that demonstrates compliance with the set maintenance schedules in 4.2		
Scope	<p>Documented evidence must be sighted indicating all nominated vehicles are maintained in accordance with set periodic schedules.</p> <p>Auditors should review service records of a random selection of vehicles from the list of nominated vehicles. The auditor should ensure that service records have been completed as per documented procedures. The auditor should also interview repair staff (or other relevant personnel) to assess the level of knowledge involved parties have of the correct recording procedures.</p> <p>The operator must be able to demonstrate that maintenance has occurred in accordance with the procedure/policies outlined in 4.2- 4.4.</p> <p>The Auditor should review the operator's documentation and verify that it contains:</p> <ul style="list-style-type: none"> The date of maintenance Odometer reading at time of maintenance, Invoices (where work undertaken by externally) Purchase records / receipts of parts replaced or serviced (where work has been undertaken by the operator), An indication as to whether maintenance is in accordance with manufacturer's specifications Signature / stamp of the person responsible for the maintenance. <p>Where the operator has more than one site, the Auditor must ensure vehicles at each site are being maintained.</p> <p>Sample rates for the number of vehicle records to be checked are found in the 2015 NHVAS audit framework</p>	<p>How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete.</p> <p>Single site operation</p> <p>CAR</p> <p>Service forms recording klms since last service not odometer as listed on the form.</p> <p>CAR</p> <p>Service sheets not fully ticked some not signed – review form</p>

Criterion 5.2.4 Documented evidence that demonstrates compliance with the set maintenance schedules in 4.2		
	document.	
Possible Evidence	<ul style="list-style-type: none"> Completed fault reports across a range of vehicles/sites Repair orders Invoices 	Evidence Sighted By Auditor: Service records sighted for vehicles listed in attachment A
Notes		Audit Result (Code):

Criterion 5.2.6 Documented evidence that demonstrates records, procedures and methods are regularly reviewed		
Scope	<p>Records procedures and methods must be kept up to date and preserved for the minimum prescribed time. A documented instruction for who, when and how procedures are to be reviewed needs to be sighted.</p> <p>How are records kept up to date and preserved? Have adequate record preservation methods been used against flood & fire? What archiving processes are used and are records retrievable when required?</p>	<p>How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete. ABC Transport Policy Manual issued 9 August 2006 Section 6.2 Policy, procedures and forms used in the transport management system are reviewed and approved by the Proprietor for adequacy prior to issue.</p> <p>ABC Transport Policy Manual issued 9 August 2006 Section 6.6</p> <ul style="list-style-type: none"> Vehicles remain on the Vehicle Register for a period of at least three years after exit from the system. The Proprietor provides written advice of all Vehicle Register changes to the accrediting agency within 14 days. Only applies to the items marked. A copy of the advice is kept in the Vehicle Register for a period of at least three years. Vehicle Maintenance, Fault Report and Repair Records The Proprietor keeps the records for at least three years Any modifications to a vehicle, other than

Criterion 5.2.6 Documented evidence that demonstrates records, procedures and methods are regularly reviewed		
		during initial set up, are recorded in the vehicle maintenance and repair records.
Possible Evidence		Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006 Section 6.6
Notes	For larger organisations specific procedures for record archiving and retrieval may be required.	Audit Result (Code):

Criterion 5.3 Documentation is available to all relevant personnel at all relevant locations.		
Scope	<p>Current documentation must be available for all relevant staff and at all locations where the vehicle would need to be inspected or repaired.</p> <p>Documents must be identifiable as current by version numbering. The policy & procedure manual should identify the latest form or procedure and if changes have been made the details have been recorded in the amendment schedule.</p> <p>Where the operator has more than one site, the Auditor must ensure that repair staff at all sites have access to all current procedures and documentation.</p>	<p>How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete.</p> <p>ABC Transport Policy Manual issued 9 August 2006 Section 6.2</p> <p>The procedure 2 Current Pages Check List in the Transport Management Manual is used to identify the approved documents, their current revision status and the reason for the change. All documents are controlled by date. Anytime a change is made the date is changed and the Current & Amended Pages is updated to include the revised documents and signed by the Proprietor. It is also used to preclude the use of invalid and or obsolete documents.</p>
Possible Evidence		Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006 Section 6.2
Notes	Versions of procedures and documents through all depots must be the same. Version control critical for this criterion.	Audit Result (Code):

Criterion 5.4 The record of nominated vehicles is kept and regularly updated.	
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Criterion 5.4 The record of nominated vehicles is kept and regularly updated.		
Scope	The procedure as identified in 5.1 is followed so that the records for the nominated vehicles are correct and up to date.	How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete. CAR Vehicle register does not contain all required information
Possible Evidence		Evidence Sighted By Auditor:
Notes		Audit Result (Code):

6 Standard 6: Responsibilities

Criterion 6.1 The appropriateness of each person's position, qualifications or training for the responsibilities allocated to him or her.		
Scope	The authorities, responsibilities and duties of all positions involved in the management, operation, administration, participation and verification of the Maintenance Management System are current, clearly defined and documented.	How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete. Organisational chart identified in the manual Roles and responsibilities unable to be completely identified until org structure is understood. CAR Roles for all positions not clearly defined. 5 Organisation Details. Paragraph requesting notification to the accrediting agency not required.
Possible Evidence	<ul style="list-style-type: none"> Position descriptions Duty statements Role descriptions Organisational chart showing company structure 	Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006 Section 6.1
Notes		Audit Result (Code):

7 Standard 7: Annual internal review of maintenance system

Criterion 7.1,7.2 & 7.3	Procedures exist that define how the annual internal review is to be undertaken.	
Scope	<p>The operator must have a documented procedure for how an annual internal review is to be undertaken. The procedure must clearly define:</p> <ul style="list-style-type: none"> the scope of activities to be undertaken as part of the internal review the responsibilities of staff as part of those reviews the documentation to be generated as part of that review (e.g. a report, list of non-conformances, recommendations for improvements, etc). a schedule for when the review is to take place <p>Wherever practicable, the review should be undertaken by persons independent of the activity being reviewed. For example, someone other than a driver should review the process for daily vehicle checks; someone other than the workshop should review the process for repair of vehicles.</p>	<p>How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete. ABC Transport Policy Manual issued 9 August 2006 Section 6.4</p> <p>The Proprietor selects a person(s) who is suitably experienced in auditing and independent of the activities being reviewed (called the Internal Review Team) to conduct the organisations internal reviews. The Internal Review Team conducts an annual review every August utilising the forms 10.6 and 11.10 Audit Matrix.</p> <p>Forms 10.6 & 11.10 - sighted</p> <p>All review conclusions and any activities failing to conform to the policy and procedures (non conformances) in the Transport Management Manual are recorded on the Audit Checklist. The completed annual review report, associated form 9.1 Corrective Action Sheet: Suggestion for Improvement Sheet are submitted within 14 days to the Proprietor who initiates the appropriate corrective action and or improvements.</p> <p>11.10 amended in the manual to be 11.8 10.6 mass & 11.8 maintenance</p> <p>Manual identifies review to be done each August however reviews being completed in November Manual requires updating.</p> <p>No mass internal review Forms 9.1 not supplied</p>

Criterion 7.1, 7.2 & 7.3	Procedures exist that define how the annual internal review is to be undertaken.	
Possible Evidence		Evidence Sighted By Auditor: Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006 Section 6.4
Notes	While the responsibilities of parties conducting reviews MUST be documented, it may be difficult for very small operators to ensure “independent” internal reviews. For all other operators, independent reviews should be mandatory.	Audit Result (Code):

Criterion 7.4 & 7.5	There is a documented method to identify and correct all non-conformances	
Scope	A documented procedure must be sighted for how non-conformances are to be detected and corrected. The procedure must include the controls for ensuring the incidents are not repeated. The position responsible for the management of non-conformances is to be identified. The procedure must be current and have the responsibilities clearly defined.	How Does Operator’s System Meet /Not Meet the Criterion – Auditor to complete. Any activities between audits that are failing to conform with statutory requirements or the policy and procedures in the Transport Management Manual (non-conformances) are recorded on the Corrective Action Sheet: Suggestion for Improvement Sheet. The record is submitted within 14 days to the Proprietor, who initiates the appropriate corrective action. The same process applies to suggestions for improvement. CAR Not signed off by operator
Possible Evidence		Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006 Section 6.4
Notes		Audit Result (Code):

Criterion 7.6	All non-conformances and action taken to correct them are recorded and quarterly compliance statements produced
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Criterion 7.6	All non-conformances and action taken to correct them are recorded and quarterly compliance statements produced	
Scope	<p>Evidence that all non-conformances identified have been recorded and the corrective action nominated was implemented and reviewed for its success or otherwise.</p> <p>A documented procedure for the completion of Quarterly compliance statements must be sighted. Up to date statements must be sighted and retained for a minimum of three years.</p> <p>The statement must record;</p> <ul style="list-style-type: none"> the number of vehicles in the nominated fleet, and the total number of daily checks conducted over the period, and the total number of incidences where the check was not completed, and the total number of services and the total number of incidences where services were not carried out at the recorded intervals, and the total number of fault repairs and total incidences when faults were not closed out. 	<p>How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete.</p> <p>The Internal Review Team prepares a quarterly compliance report every January, April, July, October utilising the form 10.1 and 11.1 Weekly Compliance Statement. The completed Statement, associated Corrective Action Sheet: Suggestion for Improvement Sheet are submitted within 14 days to the Proprietor who initiates the appropriate corrective actions and or improvements.</p> <p>Internal review being completed in November not august as identified in the manual.</p> <p>Forms 10.1 & 11.1 - sighted</p> <p>Non conformances issued without complete resolution CAR</p> <p>¼ compliance statements to account for how many vehicles are in the scheme.</p>
Possible Evidence		<p>Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006 Section 6.4</p>
Notes		<p>Audit Result (Code):</p>

Criterion 7.7	Changes to documents and procedures are recorded and the original documents and procedures are kept for external audit purposes.	
Scope	<p>Sight the documented procedure for amending policy and procedures as well as changes to any forms used. Sight the amendment record for the system and any superseded procedures. Any superceded policy or procedure must be retained for three years.</p>	<p>How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete.</p> <p>The procedure 2 Current Pages Check List in the Transport Management Manual is used to identify the approved documents, their current revision status and the reason for the change. All documents are controlled by date. Anytime a change is made the date is changed and the Current & Amended Pages is updated to include the revised documents and signed by the Proprietor. It is also used to preclude the use of invalid and or obsolete documents.</p> <p>The procedure 3 Obsolete Pages Check List in the Transport Management Manual is used to identify the obsolete pages status of documents. Anytime a document becomes obsolete the Obsolete Pages Check List is updated by including the documents that have been removed from the manual.</p> <p>CAR</p> <p>Amendment record insufficient detail</p> <ul style="list-style-type: none"> • reason for change • who approved the change <p>• Promptly destroy invalid and or obsolete documents. This action does not apply to the master copy of the Transport Management Manual in which obsolete pages are retained for three years for audit purposes.</p>
Possible Evidence		Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006 Section 6.2

Criterion 7.7	Changes to documents and procedures are recorded and the original documents and procedures are kept for external audit purposes.	
Notes		Audit Result (Code):

8 Standard 8: Training & Education

Criterion 8.1	Persons who hold a position of responsibility under the Maintenance Management System are trained and familiar with policy procedures	
Scope <p>Sight documented evidence for the training of all involved parties. The training should be relevant to the responsibility of the role performed.</p> <p>Training records need to identify the trainer, trainee, date the training was completed and the subject material covered during the training.</p> <p>The operator must have evidence that all persons involved in identifying and rectifying faults have been trained in the relevant procedures. This training must include the process for reporting/remedying:</p> <ul style="list-style-type: none"> • Major (critical) faults • Faults detected away from the vehicle's home base, including "on the road" <p>Staff involved in vehicle fault/repair process need to be trained to undertake the tasks they have been assigned.</p> <p>The Auditor should review evidence that this training has occurred. The Auditor could verify training by examining the training package/s (to verify the content of the training) and the Training Register (to verify who has been trained). Where there is no Training Register, the Auditor may need to review the personnel files of a selection of staff from the relevant groups (e.g. drivers/workshop staff, etc). The training should match the responsibilities of particular staff</p>	<p>How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete.</p> <p>The procedure 6.5 Training and Education Procedures indicate what training is provided to ensure every person involved in the system has the knowledge and skills to carry out the tasks given to them.</p> <p>During implementation of the transport management system, and on commencement of employment, every person who is responsible for a task related to the system undergoes the following training:</p> <ul style="list-style-type: none"> • Given a copy of the Transport Management Manual to read. • Advised where a copy of the Manual is kept for ongoing reference. • Given detailed training in each procedure associated with the individual(s) responsibilities. <p>Re-training is provided where:</p> <ul style="list-style-type: none"> • Problems or non-conformances indicate a requirement. • An individual indicates a need. • An individual is re-assigned to another position. • Policy and or procedures are changed. <p>All training is recorded in the individual persons form 9.2 Training Details record.</p> <p>CAR</p> <p>Training records – in complete trainer's signature not included not dated and not all subjects covered for all</p>	

Criterion 8.1 Persons who hold a position of responsibility under the Maintenance Management System are trained and familiar with policy procedures		
		<p>drivers.</p> <p>Admin staff not recorded as having received training for all subjects relevant to their roles.</p> <p>Form revision for NHVAS section may be required</p> <p>Form 9.2 - sighted</p>
Possible Evidence	<ul style="list-style-type: none"> • Training register • Induction records • Personal training records • Training needs analysis 	Evidence Sighted By Auditor: ABC Transport Policy Manual issued 9 August 2006 Section 6.5
Notes		Audit Result (Code):

9 Standard 9: Fuel Quality (for operators using accreditation to gain a fuel tax credit)

Criterion 9.1 Fuel purchased for use in the vehicle must be obtained from a reputable supplier		
Scope	<p>Establish the source for the supply of fuel.</p> <p>Fuel must be purchased from a reputable supplier</p> <p>Sight documented evidence for the supply for fuel purchase</p>	How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete. NA
Possible Evidence	<ul style="list-style-type: none"> • Purchase receipts • Supplier contracts 	Evidence Sighted By Auditor: NA
Notes	This criterion is only required for audit if applicable and needed by the operator.	Audit Result (Code):

Criterion 9.2 Measures must be taken to ensure that there was no fuel contamination or deterioration during storage.		
Scope	Identify measures taken to ensure that there was no fuel contamination or deterioration during storage.	How Does Operator's System Meet /Not Meet the Criterion – Auditor to complete. NA
Possible Evidence	<ul style="list-style-type: none"> • Type of bulk storage used. • Measures used to keep fuel free from contamination • Type of vessel or containers used to store fuel 	Evidence Sighted By Auditor: NA

Criterion 9.2	Measures must be taken to ensure that there was no fuel contamination or deterioration during storage.	
	<ul style="list-style-type: none"> Physical location of storage (above ground, below ground) 	
Notes	This criterion is only required for audit if applicable and needed by the operator.	Audit Result (Code):

SAMPLE