

Correct as at 24th May 2019. It may be superseded at any time.

Extract taken from: NZTA Vehicle Portal > PRS & QMS > PRS: Light vehicle repair certification > General part

General part

1 Technical performance

Requirements

	What the Transport Agency expects of you	How the Transport Agency will assess your performance
1.1	<p>Correct certification outcomes</p> <p>You will:</p> <ul style="list-style-type: none"> consistently identify vehicles (including vehicle classes) and components correctly consistently certify vehicles and components only if they comply with all Transport Agency requirements consistently certify vehicles or components that do not comply with all VIRM requirements do not deny certification of vehicles or components if they comply with all Transport Agency requirements. 	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> observe you at work inspect inspection and certification documents inspect information on the Transport Agency computer system. <p>The Transport Agency may:</p> <ul style="list-style-type: none"> inspect vehicles and components after you have certified them take into account outcomes from complaints and random re-inspections since your last review carry out mystery shopper exercises.
1.2	<p>Correct technical decisions</p> <p>You are consistently correct in determining if the vehicles or components you are asked to certify comply with all Transport Agency requirements, taking into account technical information provided by the Transport Agency, such as the VIRM: Light vehicle repair certification.</p>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> talk to you observe you at work inspect vehicles and components after you have certified them inspect inspection and certification documents you use and complete inspect information you enter into the Transport Agency computer system.

		<p>The Transport Agency may:</p> <ul style="list-style-type: none"> • take into account outcomes from complaints and random reinspections since your last review • carry out mystery shopper exercises.
1.3	<p>Technical competence</p> <p>You staff are competent in all technical aspects of the inspection and certification work carried out by your business.</p> <p>For example, you must be competent in:</p> <ul style="list-style-type: none"> • the technical assessment of vehicles and components • all Transport Agency requirements (including VIRM requirements) • Transport Agency guidelines • the operation of the equipment that you use. 	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> • talk to you • ask questions to check your competence • observe you at work • inspect inspection and certification documents • inspect your Training record. <p>The Transport Agency may administer short tests.</p>

Scores

		Score			
		0	1	2	3
1.1	Correct certification outcomes	<p>You regularly do not achieve the correct certification outcomes.</p> <p>This means you regularly:</p> <ul style="list-style-type: none"> do not identify vehicles (including vehicle classes) or components correctly certify vehicles or components that do not comply with all Transport Agency requirements. <p>The incorrect certification outcomes are likely to compromise the safety of vehicle occupants or other road users.</p>	<p>You sometimes do not achieve the correct certification outcomes.</p> <p>This means you sometimes:</p> <ul style="list-style-type: none"> do not identify vehicles (including vehicle classes) or components correctly certify vehicles or components that do not comply with all Transport Agency requirements, or deny certification of vehicles or components that do comply with all Transport Agency requirements. <p>The incorrect certification outcomes may compromise the safety of vehicle occupants or other road users.</p>	<p>You usually achieve the correct certification outcomes.</p> <p>This means you usually:</p> <ul style="list-style-type: none"> identify vehicles (including vehicle classes) or components correctly, and certify vehicles or components only if they comply with all Transport Agency requirements, and do not certify vehicles or components that do not comply with all Transport Agency requirements, and do not deny certification of vehicles or components if they comply with all Transport Agency requirements. <p>Any incorrect certification outcomes do not compromise the safety of vehicle occupants or other road users.</p>	<p>You consistently achieve the correct certification outcomes.</p> <p>This means you:</p> <ul style="list-style-type: none"> consistently identify vehicles (including vehicle classes) or components correctly, and consistently certify vehicles or components only if they comply with all Transport Agency requirements, and consistently do not certify vehicles or components that do not comply with all Transport Agency requirements, and do not deny certification of vehicles or components if they comply with all Transport Agency requirements.
	1.2 Correct technical decisions	Your score here is the average score of your performance in meeting the Transport Agency's expectations for Correct technical decisions in the Technical part of the PRS.			
1.3	Technical competence	Your score here is the average score of your performance in meeting the Transport Agency's expectations for Technical competence in the Technical part of the PRS.			

2 Administrative performance

Requirements

	What the Transport Agency expects of you	How the Transport Agency will assess your performance
2.1	Correct use of inspection and certification documents	
	<p>Inspection and certification documents are:</p> <ul style="list-style-type: none"> • Controlled documents documents you must use and complete as part of your inspection and certification work • Uncontrolled documents any documents developed by you as part of your inspection and certification work • External documents any documents supplied by outside parties (eg vehicle owners, repairers or manufacturers) that you rely on in your inspection and certification work. <p>You consistently comply with all Transport Agency requirements (including VIRM requirements) relating to inspection and certification documents. This means you consistently:</p> <ul style="list-style-type: none"> • use the correct documents for the task, ie the ones specified by law or required or approved by the Transport Agency • complete the documents fully, accurately and legibly (originals and duplicates) with particular attention to details such as vehicles VIN or chassis numbers • ensure that all documents are signed, if required, by the appropriate person(s) • develop any documents you need to make and/or prove your certification decisions • obtain any external documents you need to make and/or prove your certification decisions • handle all inspection and certification documents appropriately or as required, eg you attach them to vehicles, hand them to vehicle owners, or file them. 	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> • talk to you • observe you at work • inspect inspection and certification documents that you use and complete • inspect your external documents. <p>The Transport Agency may:</p> <ul style="list-style-type: none"> • take into account outcomes from complaints and random reinspections since your last review • carry out mystery shopper exercises.
2.2	Administrative competence	
	<p>You are competent in all administrative aspects of the inspection and certification work carried out by your business.</p> <p>For example, you must be competent in:</p> <ul style="list-style-type: none"> • completing checksheets and other relevant inspection and certification documentation • entering information into the Transport Agency computer system • using the PRS, including maintaining the specified records. 	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> • talk to you • ask questions to check your competence • observe you at work • inspect inspection and certification documents • inspect the records you keep • inspect your Training record.

Scores

	Score			
	0	1	2	3
2.1	Correct use of inspection and certification documents			
	You regularly do not comply with the Transport Agency's requirements (including VIRM requirements) relating to inspection and certification documents.	You sometimes do not comply with the Transport Agency's requirements (including VIRM requirements) relating to inspection and certification documents.	You usually comply with the Transport Agency's requirements (including VIRM requirements) relating to inspection and certification documents.	You consistently comply with the Transport Agency's requirements (including VIRM requirements) relating to inspection and certification documents.

<p>This means you regularly do not:</p> <ul style="list-style-type: none"> • use the correct documents for the task, or • complete the documents, or • obtain the external documents you need to make and/or prove your certification decisions, or • develop the documents you need to make and/or prove your certification decisions, or • handle inspection and certification documents appropriately or as required, eg attach them to vehicles, hand them to vehicle owners, or file them. 	<p>This means you sometimes do not:</p> <ul style="list-style-type: none"> • use the correct documents for the task, or • obtain the external documents you need to make and/or prove your certification decisions, or • develop the documents you need to make and/or prove your certification decisions, or • handle inspection and certification documents appropriately or as required, eg attach them to vehicles, hand them to vehicle owners, or file them <p>OR</p> <p>You regularly do not:</p> <ul style="list-style-type: none"> • complete the documents fully, accurately and legibly (originals and duplicates), or • ensure that all documents are signed, if required, by the appropriate person(s). 	<p>This means you consistently:</p> <ul style="list-style-type: none"> • use the correct documents for the task, and • obtain the external documents you need to make and/or prove, your certification decisions, and • develop the documents you need to make and/or prove your certification decisions, and • handle all inspection and certification documents appropriately or as required, eg you attach them to vehicles, hand them to vehicle owners or file them. <p>However, you occasionally do not:</p> <ul style="list-style-type: none"> • complete the documents fully accurately and legibly (originals and duplicates), or • ensure that all controlled documents are signed, if required, by the appropriate person(s). 	<p>This means you consistently:</p> <ul style="list-style-type: none"> • use the correct documents for the task, ie the ones specified by law or required or approved by the Transport Agency, and • complete the documents fully, accurately and legibly (originals and duplicates) with particular attention to details such as vehicles VIN or chassis numbers, and registration numbers, and • ensure that all documents are signed, if required, by the appropriate person(s), and • develop any documents you need to make and/or prove your certification decisions, and • obtain any external documents you need to make and/or prove your certification decisions, and • handle all inspection and certification documents appropriately or as required, eg you attach them to vehicles, hand them to vehicle owners, or file them.
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2.2 Administrative competence

<p>You can demonstrate little or no competence in the administrative aspects of the inspection and certification work carried out by your business.</p> <p>This means you have significant gaps in knowledge of, or skills in:</p> <ul style="list-style-type: none"> • the correct use of inspection and certification documents, or 	<p>You can demonstrate some competence in the administrative aspects of the inspection and certification work carried out by your business.</p> <p>This means you have some gaps in knowledge of, or skills in:</p> <ul style="list-style-type: none"> • the correct use of inspection and certification documents, or • entering 	<p>You can demonstrate adequate competence in the administrative aspects of the inspection and certification work carried out by your business.</p> <p>This means you can demonstrate adequate knowledge of, and skills in:</p> <ul style="list-style-type: none"> • the correct use of inspection and certification documents, and 	<p>You can demonstrate comprehensive competence in all administrative aspects of the inspection and certification work carried out by your business.</p> <p>This means you can demonstrate comprehensive knowledge of, and skills in:</p> <ul style="list-style-type: none"> • the correct use of inspection and certification documents, and • entering inspection and certification information
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<ul style="list-style-type: none"> entering inspection and certification information into the Transport Agency computer system, or using the PRS. 	<p>inspection and certification information into the Transport Agency computer system, or</p> <ul style="list-style-type: none"> using the PRS. 	<ul style="list-style-type: none"> entering inspection and certification information into the Transport Agency computer system. However, you and/or some staff have minor gaps in knowledge of, and skills in, using the PRS. 	<p>into the Transport Agency computer system, and</p> <ul style="list-style-type: none"> using the PRS.
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Page updated **28 January 2017**

3 Resources

Requirements

	What the Transport Agency expects of you	How the Transport Agency will assess your performance
3.1	Facilities	
	<p>Facilities used for certification and inspection:</p> <ul style="list-style-type: none"> meet all Transport Agency requirements (including VIRM requirements) are adequate for the nature and volume of the inspection and certification work carried out by your business, eg in terms of access, size, lighting, flooring, features (such as a pit), layout, condition and organisation. 	The Transport Agency will inspect facilities used for certification and inspection.
3.2	Technical equipment	
	<p>You have ready access to, all technical equipment (including any manuals) required for your certification work, or required by the Transport Agency, such as tools and inspection equipment.</p> <p>The equipment is in good condition and working order.</p> <p>Note The score for this is the average of the technical equipment scores from the Self-assessment record Technical part</p>	The Transport Agency will inspect your technical equipment.
3.3	Administration equipment	
	Ensure current access and accurate use to Landata (ie current login, access to the internet, accuracy and use to completing notes)	
3.4	Technical information	
	<p>You have, or have ready access to, all technical information required by the Transport Agency, such as VIRMs.</p> <p>The information is complete, up to date and in good condition.</p>	The Transport Agency will inspect your technical information.
3.5	Controlled inspection and certification documents	
	<p>You have available blank copies of all controlled documents and must use and complete these as part of your inspection and certification work.</p> <p>Any controlled documents you have developed yourself, if permitted by the Transport</p>	The Transport Agency will inspect your controlled inspection and certification

	Agency, comply with Transport Agency requirements.	documents.
3.6	Inspection and certification	
	<p>You are the doing inspection and certification work and hold current and appropriate Transport Agency appointments for the certification work you carry out, unless you are specifically permitted by the Transport Agency to delegate specified parts of your inspection and certification work to persons who are not required to hold Transport Agency appointments (Note 1)</p> <p>All persons to whom you have delegated inspection and certification work are competent and qualified to do the specified work.</p> <p>If you are required to drive vehicles as part of your work you hold a current driver licences for the types of vehicle.</p>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> • talk to you • talk to technicians and management of organisations to which you delegate inspection and certification work • observe you at work • inspect your Delegation record • inspect your driver licence and ensure that it is current.

Note 1

Refer to the [Repair VIRM](#) for duties that may be delegated.

Scores

		Score			
		0	1	2	3
3.1	Facilities				
	<p>Facilities:</p> <ul style="list-style-type: none"> • do not meet the Transport Agency requirements (including VIRM requirements), or • are inadequate for the nature and volume of the inspection and certification work carried out by your business. <p>This means facilities are deficient to an extent that they adversely affect your certification decisions or certification outcomes.</p>	<p>Facilities:</p> <ul style="list-style-type: none"> • may meet the Transport Agency requirements (including VIRM requirements), but • are barely adequate for the nature and volume of the inspection and certification work carried out by your business. <p>This means there are serious deficiencies in facilities that require improvement. Serious deficiencies are those that, if not improved promptly, may adversely affect your certification decisions or certification outcomes.</p>	<p>Facilities:</p> <ul style="list-style-type: none"> • meet all Transport Agency requirements (including VIRM requirements), and • are adequate for the nature and volume of the inspection and certification work carried out by your business. <p>However, there are minor aspects in facilities that could be improved. Minor aspects are those that do not adversely affect your certification decisions or certification outcomes but that, if improved, would make your inspection and certification work easier or more efficient.</p> <p>For example, there may be areas where lighting could be improved, or where your facilities could be better organised.</p>	<p>Facilities:</p> <ul style="list-style-type: none"> • meet all Transport Agency requirements (including VIRM requirements), and • are fully adequate for the nature and volume of the inspection and certification work carried out by your business, eg in terms of access, size, lighting, flooring, features (such as a pit), layout, condition and organisation. 	

3.2	Technical equipment			
Your score here is the average score of your performance in meeting the Transport Agency's expectations for Technical equipment in the Technical part of the PRS.				
3.3	Administration equipment			
Not applicable.		Not applicable.		Not applicable.
3.4 Technical information				
You do not have, or do not have ready access to, the technical information required by the Transport Agency.	You have, or have ready access to, all technical information required by the Transport Agency. The information is complete but not up to date. For example, when you receive amendments to an inspection manual, you do not update the manual as promptly as you could.	You have, or have ready access to, all technical information required by the Transport Agency. The information is complete and up to date but not in good condition. For example, pages from an inspection manual may have been taken out at some stage and then put back in the wrong place (ie the pages are no longer in the right order, making it difficult to find items).	You have, or have ready access to, all technical information required by the Transport Agency, such as VIRMs. The information is complete, up to date and in good condition.	
3.5	Controlled inspection and certification documents			
You do not have available blank copies of most or any of the documents you must use and complete as part of your inspection and certification work OR You use documents you have developed yourself but: <ul style="list-style-type: none"> • you do not have permission from the Transport Agency to develop your own documents, or • the documents do not comply with Transport Agency requirements. 	You do not have available blank copies of some documents you must use and complete as part of your inspection and certification work OR Some documents you have developed yourself do not fully comply with Transport Agency requirements.	You have available blanks of most documents you must use and complete as part of your inspection and certification work. Any documents you have developed yourself, if permitted by the Transport Agency, comply with Transport Agency requirements.	You have available blanks of all documents you must use and complete as part of your inspection and certification work. Any documents you have developed yourself, if permitted by the Transport Agency, comply with Transport Agency requirements.	
3.6	Certification staff			
You do not hold current and	You hold current and appropriate Transport			You hold a current and appropriate Transport

<p>appropriate Transport Agency appointments for the certification work you carry out.</p> <p>You have delegated or contracted out work without Transport Agency permission.</p>	<p>Agency appointments for the certification work you carry out.</p> <p>However:</p> <ul style="list-style-type: none"> • a person to whom you have rightfully delegated certification work does not have the required level of competence, or • if you are required to drive a vehicle as part of your work do not hold a current driver licence 		<p>Agency appointments for the certification work you carry out.</p> <p>All persons to whom you have delegated certification work are competent and qualified to do the specified work.</p> <p>If you are required to drive a vehicle as part of your work you hold a current driver licence for the type of vehicle required to be driven.</p>
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Page updated **28 January 2017**

4 Management

Requirements

	What the Transport Agency expects of you	How the Transport Agency will assess your performance
4.1	Management of competence	
	<p>You have a coordinated approach to managing your competence in all aspects of your inspection and certification work.</p> <p>This means you:</p> <ul style="list-style-type: none"> • regularly assess your level of competence • make sure your competence is maintained at a high level, ie you are aware of, and competent in dealing with, new legal requirements and updates to technical information, new technologies, and new equipment. <p>You keep an up-to-date Training record, listing any internal and external training received as per the minimum requirements in your <i>Deed of Appointment</i>.</p>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> • talk to you • inspect the records you keep, including your Training record.
4.2	Management of facilities	
	<p>Inspection premise/s and equipment as per VIRM requirements.</p>	
4.3	Management of equipment	
	<p>You have a coordinated approach to managing your equipment. Your approach ensures that equipment is:</p> <ul style="list-style-type: none"> • available in sufficient numbers for the volume of inspection and certification work carried out by your business • stored as specified by the manufacturer and in locations where you have easy access • actually used by you for its intended purpose • maintained as specified by the manufacturer 	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> • talk to you • inspect your equipment • observe you at work • look at your inspection and certification volumes (to check that enough equipment is available)

	<ul style="list-style-type: none"> calibrated as specified by the manufacturer, or as required by the Transport Agency. <p>You keep an up-to-date Equipment record for each piece of equipment that requires regular maintenance or calibration.</p>	<ul style="list-style-type: none"> inspect where and how your equipment is stored inspect your Equipment record.
4.4	Management of technical information	
	<p>You have a coordinated approach to managing your technical information (such as VIRMs). Your approach ensures that technical information is:</p> <ul style="list-style-type: none"> updated promptly when you receive updates from the Transport Agency stored so you have easy access maintained in good condition. <p>You keep an up-to-date Technical information record.</p>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> talk to you inspect your technical information and the locations where you keep it inspect your Technical information record.
4.5	Management of inspection and certification documents	
	<p>You have a coordinated approach to managing your inspection and certification documents. Your approach ensures that:</p> <ul style="list-style-type: none"> all inspection and certification documents are kept safe at all times and out of reach of the public unused controlled documents are always kept out of reach of the public and, outside business hours, are locked in a secured safe, locker, or strong cupboard or drawer all inspection and certification documents are filed so that they can be easily retrieved you keep sufficient stock of the inspection and certification documents needed for your inspection and certification work the loss or theft of any controlled documents is reported immediately to the Police and the Transport Agency using the Notification of lost or stolen controlled documents form in the Master records section at the back of this manual. <p>You keep an up-to-date Controlled document record.</p>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> talk to you inspect your used and unused inspection and certification documents and the locations where you keep them inspect the way you file your inspection and certification documents inspect your Controlled document record.
4.6	Management of electronic inspection and certification information	
	<p>You have a coordinated approach to managing your electronic inspection and certification information. Your approach ensures that:</p> <ul style="list-style-type: none"> all electronic inspection and certification information is kept safe at all times all computers from which you access the Transport Agency computer system are out of reach of the public and/or access to your computers is protected by password all user names and passwords, if recorded on paper, are kept safe and out of reach of the public passwords used to protect your computers from public access are changed regularly you have backup copies or hard copies of any electronic information relevant to your inspection and certification work. 	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> talk to you observe you at work inspect the location and set-up of your computers, and the storage of user names and passwords inspect the backup copies or hard copies you keep of your electronic inspection and certification information.
4.7	Management of inspection and certification staff	
	<p>You have a co-ordinated approach to managing yourself.</p> <p>Your approach ensures that:</p> <ul style="list-style-type: none"> certification decisions are made only by yourself and you hold current 	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> talk to you and any contractors observe you at work

	<p>and appropriate Transport Agency appointment</p> <ul style="list-style-type: none"> • there is effective communication and teamwork in your business at and across all levels and in all directions • responsibilities are clearly defined and all staff know who is responsible for what. <p>You keep an up-to-date Delegation record if you delegate any responsibilities such as:</p> <ul style="list-style-type: none"> • updating records • updating technical information • approved technicians as per VIRM requirements. <p>You display or make available upon request all Transport Agency appointments.</p>	<ul style="list-style-type: none"> • inspect your Delegation record and other relevant records.
4.8 Management of time		
	<p>You allocate enough time for you to carry out your inspection and certification work, allowing for the complexity of the work, your facilities, the available equipment, and your level of skill.</p> <p>This means you:</p> <ul style="list-style-type: none"> • are comfortable with the time allocated and actually spent on inspection and certification work, and • do not feel under pressure to perform within time frames that are unreasonably tight. 	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> • talk to you • observe you at work • look at your inspection and certification volumes.

Note 1

Does not apply to a one-person business if no inspection and certification work is carried out when the inspector is away.

Scores

					Score			
					0	1	2	3
4.1 Management of competence								
	<p>Your approach to managing your competence in all aspects of your inspection and certification work is inadequate.</p> <p>This means you:</p> <ul style="list-style-type: none"> • do not assess your level of competence, or • make little or no effort to maintain your competence. 	<p>Your approach to managing your competence in all aspects of your inspection and certification work is barely adequate.</p> <p>This means you:</p> <ul style="list-style-type: none"> • do not assess your level of competence on a regular basis, or • make only limited efforts to maintain your competence at a high level <p style="text-align: center;">OR</p>	<p>Your approach to managing your competence in all aspects of your inspection and certification work is adequate.</p> <p>This means you usually:</p> <ul style="list-style-type: none"> • assess your level of competence on a regular basis, and • make sure, for example by attending regular training courses, that your competence is maintained at a high level, ie you are aware of, and competent in dealing with, new legal requirements and updates to technical information, and are competent in dealing with new technologies and new equipment. 	<p>Your approach to managing your competence in all aspects of your inspection and certification work is well coordinated.</p> <p>This means you consistently:</p> <ul style="list-style-type: none"> • assess your level of competence on a regular basis, and • make sure, for example by attending regular training courses, that your competence is maintained at a high level, ie you are aware of, and are competent in dealing with, new legal requirements and updates to technical information new technologies and new 				

	You do not keep a Training record .	However, you do not always: <ul style="list-style-type: none"> keep your Training record up to date. 	equipment. You keep an up-to-date Training record , listing any training you have received.	
4.2	Management of facilities			
	Not applicable.	Not applicable.	Not applicable.	Not applicable.
4.3	Management of equipment			
	<p>Your approach to managing your equipment is inadequate.</p> <p>This means little or no equipment is:</p> <ul style="list-style-type: none"> available in sufficient numbers for the volume of inspection and certification work carried out by your business, or stored as specified by the manufacturer or in locations where you have easy access, or used as intended, or maintained or calibrated as specified by the manufacturer or as required by the Transport Agency. 	<p>Your approach to managing your equipment is barely adequate.</p> <p>This means you make sure equipment is available in sufficient numbers for the volume of inspection and certification work carried out by your business.</p> <p>However, you often do not make sure equipment is:</p> <ul style="list-style-type: none"> stored as specified by the manufacturer or in locations where you have easy access, or used as intended, or maintained or calibrated as specified by the manufacturer or as required by the Transport Agency <p>OR</p> <p>You do not keep an Equipment record for some or any equipment that requires regular maintenance or calibration.</p>	<p>Your approach to managing your equipment is adequate.</p> <p>This means you usually make sure equipment is:</p> <ul style="list-style-type: none"> available in sufficient numbers for the volume of inspection and certification work carried out by your business, and stored as specified by the manufacturer and in locations where you have easy access, and actually used by you for its intended purpose, and maintained as specified by the manufacturer, and calibrated as specified by the manufacturer, or as required by the Transport Agency. <p>You keep an Equipment record for each piece of equipment that requires regular maintenance or calibration, but you do not always keep your Equipment record up to date.</p>	<p>Your approach to managing your equipment is well coordinated.</p> <p>This means you consistently make sure equipment is:</p> <ul style="list-style-type: none"> available in sufficient numbers for the volume of inspection and certification work carried out by your business, and stored as specified by the manufacturer and in locations where you have easy access, and actually used by you for its intended purpose, and maintained as specified by the manufacturer, and calibrated as specified by the manufacturer, or as required by the Transport Agency. <p>You keep an up-to-date Equipment record for each piece of equipment that requires regular maintenance or calibration.</p>
4.4	Management of technical information			
	Your approach to managing your	Your approach to managing your	Your approach to managing your technical information is adequate .	Your approach to managing your technical information is

<p>technical information is inadequate.</p> <p>This means you make little or no effort to manage your technical information.</p> <p>For example, some technical information may not have been updated for a considerable time.</p>	<p>technical information is barely adequate.</p> <p>This means although you make some efforts to manage your technical information, you often do not:</p> <ul style="list-style-type: none"> • update technical information promptly when you receive updates from the Transport Agency, or • store technical information so you have easy access <p>OR</p> <p>You do not keep a Technical information record.</p>	<p>This means you usually make sure your technical information is:</p> <ul style="list-style-type: none"> • updated promptly when you receive updates from the Transport Agency, and • stored so you have easy access. <p>However, you do not always:</p> <ul style="list-style-type: none"> • maintain your technical information in good condition, or • keep your Technical information record up to date. 	<p>well coordinated.</p> <p>This means you consistently make sure your technical information is:</p> <ul style="list-style-type: none"> • updated promptly when you receive updates from the Transport Agency, and • stored so you have easy access, and • maintained in good condition. <p>You keep an up-to-date Technical information record.</p>
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4.5 Management of inspection and certification documents

<p>Your approach to managing your certification documents is inadequate.</p> <p>This means you do not:</p> <ul style="list-style-type: none"> • keep inspection and certification documents safe, or • keep unused controlled documents out of reach of the public, or • lock unused controlled documents in a secured safe, locker, or strong cupboard or drawer outside business hours <p>OR</p> <p>You lost controlled documents, or had</p>	<p>Your approach to managing your inspection and certification documents is barely adequate.</p> <p>This means although you make some efforts to manage your certification documents, you often do not:</p> <ul style="list-style-type: none"> • keep inspection and certification documents safe, or • keep unused controlled documents out of reach of the public, or • lock unused controlled documents in a secured safe, locker, or strong cupboard or drawer outside business hours, or • file your inspection and 	<p>Your approach to managing your certification documents is adequate.</p> <p>This means you usually make sure that:</p> <ul style="list-style-type: none"> • inspection and certification documents are kept safe at all times, and • unused controlled documents are always kept out of reach of the public and, outside business hours, are locked in a secured safe, locker, or strong cupboard or drawer, and • all inspection and certification documents are filed so that they can be easily retrieved, and • you keep sufficient stock of the inspection and certification documents needed for your inspection and certification work, and • the loss or theft of any controlled documents is reported immediately to the Police and the Transport Agency but you do not always report the loss or theft to the Transport Agency using the Notification of lost or 	<p>Your approach to managing your certification documents is well coordinated.</p> <p>This means you consistently make sure that:</p> <ul style="list-style-type: none"> • inspection and certification documents are kept safe at all times, and • unused controlled documents are always kept out of reach of the public and, outside business hours, are locked in a secured safe, locker, or strong cupboard or drawer, and • all inspection and certification documents are filed so that they can be easily retrieved, and • you keep sufficient stock of the inspection and certification documents needed for your inspection and certification work, and • the loss or theft of any controlled documents is reported immediately to the Police and the Transport Agency on the Notification of lost
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<p>controlled documents stolen, but did not report the loss or theft to the Police or the Transport Agency.</p>	<p>certification documents so that they can be easily retrieved, or</p> <ul style="list-style-type: none"> keep sufficient stock of controlled documents <p>OR</p> <p>You do not keep a Controlled document record.</p>	<p>stolen controlled documents form in the Master records section at the back of this manual.</p> <p>However, you do not always keep your Controlled document record up to date.</p>	<p>or stolen controlled documents form in the Master records section at the back of this manual.</p> <p>You keep an up-to-date Controlled document record.</p>
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4.6 Management of electronic inspection and certification information

<p>Your approach to managing your electronic inspection and certification information is inadequate.</p> <p>This means you make little or no effort to ensure that electronic inspection and certification information is kept safe.</p>	<p>Your approach to managing your electronic inspection and certification information is barely adequate.</p> <p>This means although you make some efforts to ensure that electronic inspection and certification information is kept safe, you often do not:</p> <ul style="list-style-type: none"> have your computers, if located within reach of the public, protected by password, or keep your user names and passwords safe and out of reach of the public, or change your passwords on a regular basis. 	<p>Your approach to managing your electronic inspection and certification information is adequate.</p> <p>This means you usually make sure that:</p> <ul style="list-style-type: none"> electronic inspection and certification information is kept safe at all times, and all computers from which you access the Transport Agency's computer system are out of reach of the public and/or access to your computers is protected by password, and all user names and passwords, if recorded on paper, are kept safe and out of reach of the public, and passwords used to protect your computers from public access are changed regularly. <p>However, you do not always keep backup copies or hard copies of electronic information relevant to your inspection and certification work, such as digital photos.</p>	<p>Your approach to managing your electronic inspection and certification information is well coordinated.</p> <p>This means you consistently make sure that:</p> <ul style="list-style-type: none"> electronic inspection and certification information is kept safe at all times, and all computers from which you access the Transport Agency's computer system are out of reach of the public and/or access to your computers is protected by password, and all user names and passwords, if recorded on paper, are kept safe and out of reach of the public, and passwords used to protect your computers from public access are changed regularly, and you have backup copies or hard copies of any electronic information relevant to your inspection and certification work, such as digital photos.
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4.7 Management of inspection and certification staff

<p>Your approach to managing your staff is inadequate.</p> <p>This means you make little or no</p>	<p>Your approach to managing your staff is barely adequate.</p> <p>This means you consistently make</p>	<p>Your approach to managing your staff is adequate.</p> <p>This means you consistently make sure that:</p>	<p>Your approach to managing your staff is well coordinated.</p> <p>This means you consistently make sure that:</p> <p>certification decisions are made</p>
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<p>effort to make sure that:</p> <ul style="list-style-type: none"> certification decisions are made only by you and you hold a current and applicable Transport Agency appointment. 	<p>sure that:</p> <ul style="list-style-type: none"> certification decisions are made only by you and you hold a current and applicable Transport Agency appointment <p>This means although you make some efforts to manage your staff, you regularly fail to make sure that:</p> <ul style="list-style-type: none"> responsibilities are clearly defined and all staff know who is responsible for what there is effective communication and teamwork in your business at and across all levels and in all directions <p>OR</p> <p>You do not keep a Delegation record.</p>	<ul style="list-style-type: none"> certification decisions are made only by you and you hold a current and applicable Transport Agency appointment <p>This means you usually make sure that:</p> <ul style="list-style-type: none"> responsibilities are clearly defined and all staff know who is responsible for what there is effective communication and teamwork in your business at and across all levels and in all directions. <p>However, you do not:</p> <ul style="list-style-type: none"> always keep your Delegation record up-to-date, or display or make available on request all Transport Agency appointments 	<p>only by you and you hold a current and applicable Transport Agency appointment</p> <p>there is effective communication and teamwork in your business at and across all levels and in all directions, and</p> <p>responsibilities are clearly defined and all staff know who is responsible for what.</p> <p>You keep an up-to-date Delegation record.</p> <p>You display or make available on request all Transport Agency appointments</p>
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<p>4.8 Management of time</p>			
<p>You do not allocate enough time for you to carry out your inspection and certification work.</p>	<p>You do not always allocate enough time for you to carry out your inspection and certification work.</p>	<p>You generally allocate enough time for you to carry out your inspection and certification work, allowing for the complexity of the work, your facilities, the available equipment, and your level of skill.</p>	<p>You allocate enough time for you to carry out your inspection and certification work, allowing for the complexity of the work, your facilities, the available equipment, and your level of skill.</p>

5 Performance improvement

Requirements

	What the Transport Agency expects of you	How the Transport Agency will assess your performance
<p>5.1</p>	<p>Commitment to continuous improvement</p>	
	<p>You are committed to improving your inspection and certification work.</p>	<p>The Transport Agency will:</p>

<p>This means that you actively:</p> <ul style="list-style-type: none"> • identify problems and opportunities to improve • assess the cause of problems and prioritise problems and opportunities • address problems and opportunities according to priorities and available resources. <p>You keep an Improvement record and record problems and opportunities to improve. All follow-up activities have been recorded in the Improvement record.</p>	<ul style="list-style-type: none"> • talk to you • inspect your Improvement record.
<p>5.2 Regular self-assessments</p>	
<p>You regularly assess how well you meet the Transport Agency's expectations as set out in the PRS.</p> <p>The frequency of self-assessments is appropriate to the size of your business and the inspection and certification work carried out by your business. This means you carry out a self-assessment at least once a year and within two months before a scheduled review.</p> <p>You record each self-assessment by completing a Self-assessment record which is filed in this folder.</p> <p>You record any problems or opportunities to improve that you identify during self-assessments in your Improvement record for follow-up.</p>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> • talk to you • inspect your Self-assessment record • inspect your Improvement record to check that any problems or opportunities to improve identified during self-assessments have been recorded for follow-up.
<p>5.3 Correct handling of complaints</p>	
<p>You are open to complaints and regard them as opportunities to improve.</p> <p>This means you:</p> <ul style="list-style-type: none"> • display or provide to your customers your complaints policy, including information on how to lodge a complaint and your customers right to complain to the Transport Agency • handle complaints in accordance with Transport Agency requirements. <p>You keep a Complaints record, in which all verbal and written complaints are recorded.</p> <p>You record any problems or opportunities to improve that you identify in the investigation of complaints in your Improvement record for follow-up.</p>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> • inspect your complaints policy • talk to you • inspect your Complaints record to check that any complaints against you, including any complaints raised with the Transport Agency, have been recorded and handled in accordance with Transport Agency requirements • inspect your Improvement record to check that any problems or opportunities to improve identified in the investigation of complaints have been recorded for follow-up.
<p>5.4 Commitment to the PRS</p>	
<p>You are committed to making the PRS work in and for your business.</p> <p>This means you:</p> <ul style="list-style-type: none"> • actively use the system for improving your inspection and certification work • are open about your problems and achievements • fully cooperate during regular performance reviews. 	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> • talk to you • assess your level of cooperation during reviews.

Scores

		Score			
		0	1	2	3
5.1	Commitment to continuous improvement				
	<p>You and/or most of your staff show little or no commitment to improving your inspection and certification work.</p> <p>This means you and most of your staff do not make efforts to identify problems and opportunities to improve. You are often not even aware of the problems you have.</p>	<p>You and most of your staff show some commitment to improving your inspection and certification work.</p> <p>This means you are aware of:</p> <ul style="list-style-type: none"> • some problems and opportunities to improve, and • the causes of the problems and what you need to do to address them. <p>However, although your work around the problems, you regularly do not:</p> <ul style="list-style-type: none"> • record them in your Improvement record, or • work actively to address them properly. 	<p>You show an adequate level of commitment to improving your inspection and certification work.</p> <p>This means you:</p> <ul style="list-style-type: none"> • actively identify and prioritise problems and opportunities to improve, and • assess the cause of problems and identify what you need to do to address them. <p>However, you do not always:</p> <ul style="list-style-type: none"> • address the problems and opportunities as promptly as you could, or • record all problems, opportunities and follow-ups in your Improvement record. 	<p>You are fully committed to improving your inspection certification work.</p> <p>This means you:</p> <ul style="list-style-type: none"> • actively identify and prioritise problems and opportunities to improve, and • assess the cause of problems and identify what you need to do to address them, and • address problems and opportunities according to available resources, and • record all problems, opportunities and follow-ups in your Improvement record. 	
5.2	Regular self-assessments				
	<p>You do not assess how well you meet the Transport Agency's expectations as set out in the PRS.</p> <p>This means there is no evidence of your carrying out self-assessments.</p>	<p>You sometimes assess how well you meet the Transport Agency's expectations as set out in the PRS.</p> <p>This means you carry out some self-assessments but you do not:</p> <ul style="list-style-type: none"> • carry out self-reviews regularly (ie at least once a year and before scheduled reviews), or • document self-assessments by completing a Self-assessment record. 	<p>You regularly assess how well you meet the Transport Agency's expectations as set out in the PRS.</p> <p>This means you carry out self-assessments at least once a year (or more often as appropriate to the size of your business and the inspection and certification work carried out by your business).</p> <p>However, you do not always:</p> <ul style="list-style-type: none"> • carry out self-assessments before scheduled performance reviews, or • document self-assessments by completing a Self-assessment record, or • record in your 	<p>You regularly assess how well you meet the Transport Agency's expectations as set out in the PRS.</p> <p>This means you:</p> <ul style="list-style-type: none"> • carry out self-assessments at least once a year (or more often as appropriate to the size of your business and the inspection and certification work carried out by your business), and • carry out self-assessments before scheduled performance reviews, and • document each self-assessment by completing a Self-assessment record, and 	

			<p>Improvement record</p> <p>problems or opportunities to improve that you identify in self-assessments.</p>	<ul style="list-style-type: none"> record in your Improvement record problems or opportunities to improve that you identify in self-assessments.
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5.3 Correct handling of complaints

<p>You are not open to complaints and your handling of complaints is inadequate.</p> <p>This means you:</p> <ul style="list-style-type: none"> do not have an adequate complaints policy, or do not communicate your complaints policy to your customers, or seldom handle complaints in accordance with Transport Agency requirements, or do not keep records of complaints. 	<p>You are not open to complaints and your handling of complaints is barely adequate.</p> <p>This means you:</p> <ul style="list-style-type: none"> have a complaints policy but that policy is not correctly communicated to your customers because your display does not accurately reflect your policy, or regularly do not handle complaints in accordance with Transport Agency requirements (eg you regularly exceed the time frames set by the Transport Agency for responding to complaints), or regularly fail to record complaints in your Complaints record, or do not record any problems or opportunities to improve that you identify in the investigation of complaints in your Improvement record and follow up on them. 	<p>You are open to complaints and your handling of complaints is adequate.</p> <p>This means you:</p> <ul style="list-style-type: none"> display your complaints policy to your customers, including information on how to lodge a complaint and your customers right to complain to the Transport Agency, and usually handle complaints in accordance with Transport Agency requirements, and keep a Complaints record in which you record most complaints. <p>However, you do not always record in your Improvement record, and follow up on, the problems or opportunities to improve that you identify in the investigation of complaints.</p>	<p>You are open to complaints, handle them correctly, and regard them as opportunities to improve.</p> <p>This means you:</p> <ul style="list-style-type: none"> display to your customers your complaints policy, including information on how to lodge a complaint and your customers right to complain to the Transport Agency, and handle complaints in accordance with Transport Agency requirements, and keep a Complaints record in which you record all verbal and written complaints, and record in your Improvement record any problems or opportunities to improve that you identify in the investigation of complaints.
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5.4 Commitment to the PRS

<p>You show little or no commitment to making the PRS work in and for your business.</p> <p>This means you do not:</p> <ul style="list-style-type: none"> use the system for improving your inspection and certification 	<p>You show some commitment to making the PRS work in your business but there is little evidence that you actively use it to improve your inspection and certification work.</p> <p>This means:</p> <ul style="list-style-type: none"> you make some 	<p>You show an adequate level of commitment to making the PRS work in and for your business.</p> <p>This means you:</p> <ul style="list-style-type: none"> actively use most aspects of the system for improving your inspection and 	<p>You are fully committed to making the PRS work in and for your business.</p> <p>This means you:</p> <ul style="list-style-type: none"> actively use the system for improving your inspection and certification work, and
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	<p>work, or</p> <ul style="list-style-type: none"> • share your problems and achievements with Transport Agency Transport Officers, or • cooperate in Transport Agency reviews. 	<p>efforts to use the system in your business, but mostly to satisfy Transport Agency reviewers, and</p> <ul style="list-style-type: none"> • there is a basic level of cooperation in Transport Agency reviews but there is a reluctance to share problems with Transport Agency Transport Officers. 	<p>certification work, although you do not use the system to its full extent, and</p> <ul style="list-style-type: none"> • are usually open about your problems and achievements, although some staff are reluctant to share problems with Transport Agency Transport Officers, and • show a good level of cooperation in Transport Agency reviews. 	<ul style="list-style-type: none"> • are open about your problems and achievements, and • fully cooperate in Transport Agency reviews.
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