

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 It may be superseded at any time.

Extract taken from: NZTA Vehicle Portal > PRS & QMS > PRS: Entry certification > General part

## General part

### 1 Technical performance

#### Requirements

	What the NZTA expects of you	How the NZTA will assess your performance
1.1	<p><b>Correct certification outcomes</b></p> <p>You and your staff:</p> <ul style="list-style-type: none"> <li>consistently identify vehicles (including vehicle classes) and components correctly</li> <li>consistently certify vehicles and components only if they comply with all Transport Agency requirements</li> <li>consistently certify vehicles or components that do not comply with all VIRM requirements</li> <li>do not deny certification of vehicles or components if they comply with all Transport Agency requirements.</li> </ul>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>observe you and your staff at work</li> <li>inspect inspection and certification documents</li> <li>inspect information on the NZTA computer system.</li> </ul> <p>The Transport Agency may:</p> <ul style="list-style-type: none"> <li>inspect vehicles and components after you have certified them</li> <li>take into account outcomes from complaints and random re-inspections since your last review.</li> </ul>
1.2	<p><b>Correct technical decisions</b></p> <p>You and your staff 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 <a href="#">VIRM: Entry certification</a>.</p>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>talk to you and your staff</li> <li>observe you and your staff at work</li> <li>inspect vehicles and components after you have certified them</li> <li>inspect inspection and certification documents you use and complete</li> <li>inspect information you enter into the NZTA computer system.</li> </ul> <p>The Transport Agency may:</p> <ul style="list-style-type: none"> <li>take into account outcomes from</li> </ul>

		complaints and random re inspections since your last review.
<b>1.3</b>	<b>Technical competence</b>	
	<p>You and your 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"> <li>• the technical assessment of vehicles and components</li> <li>• all Transport Agency requirements (including VIRM requirements)</li> <li>• Transport Agency guidelines</li> <li>• the operation of the equipment that you use.</li> </ul>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>• talk to you and your staff</li> <li>• ask questions to check your competence</li> <li>• observe you and your staff at work</li> <li>• inspect inspection and certification documents</li> <li>• inspect your <a href="#">Training record</a>.</li> </ul> <p>The Transport Agency may administer short tests.</p>

## Scores

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

## 2 Administrative performance

### Requirements

	What the Transport Agency expects of you	How the Transport Agency will assess your performance
2.1	<b>Correct use of inspection and certification documents</b>	
	<p>Inspection and certification documents are:</p> <ul style="list-style-type: none"> <li>• <b>Controlled documents</b> documents you must use and complete as part of your inspection and certification work, such as WoF labels, checksheets or certificates</li> <li>• <b>Uncontrolled documents</b> any documents developed by you as part of your inspection and certification work, such as brake machine print-outs</li> <li>• <b>External documents</b> any documents supplied by outside parties (eg vehicle owners, repairers or manufacturers) that you rely on in your inspection and certification work, such as exemption notices or engineers certificates.</li> </ul>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>• talk to you and your staff</li> <li>• observe you and your staff at work</li> <li>• inspect inspection and certification documents that you use and complete</li> <li>• inspect your external documents.</li> </ul> <p>The Transport Agency may:</p> <ul style="list-style-type: none"> <li>• take into account outcomes from complaints and random reinspections since your last review.</li> </ul>
2.2	<b>Correct entry of inspection and certification information</b>	
	<p>You and your staff consistently comply with all Transport Agency requirements (including <a href="#">VIRM</a> requirements) for entering inspection and certification information into the Transport Agency computer system.</p> <p>This means that you consistently enter inspection and certification information into the Transport Agency computer system correctly and promptly. For example, you enter the required information on the day the vehicles were inspected and before they leave your premises.</p>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>• talk to you and your staff</li> <li>• observe you and your staff at work</li> <li>• inspect information you enter into the Transport Agency computer system</li> <li>• compare information you collect on inspection and certification documents with information you enter into the Transport Agency computer system</li> <li>• monitor when you enter information to identify patterns of late entry.</li> </ul> <p>The Transport Agency may:</p> <ul style="list-style-type: none"> <li>• take into account outcomes from complaints and random re-inspections since your last review.</li> </ul>
2.3	<b>Administrative competence</b>	
	<p>You and your staff 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"> <li>• completing checksheets and other relevant inspection and certification documentation</li> <li>• entering information into the Transport Agency computer system using WoF Online or LANDATA</li> <li>• using the PRS, including maintaining the specified records.</li> </ul>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>• talk to you and your staff</li> <li>• ask questions to check your competence</li> <li>• observe you and your staff at work</li> <li>• inspect inspection and certification documents</li> <li>• inspect the records you keep</li> <li>• inspect your <a href="#">Training record</a>.</li> </ul>

## Scores

	Score			
	0	1	2	3
2.1	<b>Correct use of inspection and certification documents</b>			

<p>You and your staff <b>regularly do not comply</b> with the Transport Agency's requirements (including <a href="#">VIRM</a> requirements) relating to inspection and certification documents.</p> <p>This means you regularly do not:</p> <ul style="list-style-type: none"> <li>• use the correct <b>controlled documents</b> for the task, or</li> <li>• complete the <b>controlled documents</b>, or</li> <li>• obtain the <b>external documents</b> you need to make and/or prove your certification decisions, or</li> <li>• develop the <b>uncontrolled documents</b> you need to make and/or prove your certification decisions, or</li> <li>• handle inspection and certification documents appropriately or as required, eg attach them to vehicles, hand them to vehicle owners, or file them.</li> </ul>	<p>You and your staff <b>sometimes do not comply</b> with the Transport Agency's requirements (including <a href="#">VIRM</a> requirements) relating to inspection and certification documents.</p> <p>This means you sometimes do not:</p> <ul style="list-style-type: none"> <li>• use the correct <b>controlled documents</b> for the task, or</li> <li>• obtain the <b>external documents</b> you need to make and/or prove your certification decisions, or</li> <li>• develop the <b>uncontrolled documents</b> you need to make and/or prove your certification decisions, or</li> <li>• handle inspection and certification documents appropriately or as required, eg attach them to vehicles, hand them to vehicle owners, or file them</li> </ul> <p>OR</p> <p>You <b>regularly</b> do not:</p> <ul style="list-style-type: none"> <li>• complete the <b>controlled documents</b> fully, accurately and legibly (originals and duplicates), or</li> <li>• ensure that all <b>controlled documents</b> are signed, if required, by the appropriate person(s).</li> </ul>	<p>You and your staff <b>usually comply</b> with the Transport Agency's requirements (including <a href="#">VIRM</a> requirements) relating to inspection and certification documents.</p> <p>This means you consistently:</p> <ul style="list-style-type: none"> <li>• use the correct <b>controlled documents</b> for the task, and</li> <li>• obtain the <b>external documents</b> you need to make and/or prove, your certification decisions, and</li> <li>• obtain all required <b>external documents</b> such as statements of compliance, export certificates, repair certificates or proof of previous registration that you need to make and/or prove your certification decisions, and</li> <li>• handle all inspection and certification documents appropriately or as required, eg you attach them to vehicles, hand them to vehicle owners or file them.</li> </ul> <p>However, you <b>occasionally</b> do not:</p> <ul style="list-style-type: none"> <li>• complete the <b>controlled documents</b> (originals and duplicates) fully, accurately and legibly, or</li> <li>• ensure that all <b>controlled documents</b> are signed, if required, by the appropriate person(s).</li> </ul>	<p>You and your staff <b>consistently comply</b> with the Transport Agency's requirements (including <a href="#">VIRM</a> requirements) relating to inspection and certification documents.</p> <p>This means you consistently:</p> <ul style="list-style-type: none"> <li>• use the correct <b>controlled documents</b> for the task, ie the ones specified by law or required or approved by the Transport Agency, and</li> <li>• complete the <b>controlled documents</b> fully, accurately and legibly (originals and duplicates) with particular attention to details such as vehicles VIN or chassis numbers, and registration numbers, and</li> <li>• ensure that all <b>controlled documents</b> are signed, if required, by the appropriate person(s), and</li> <li>• develop any <b>uncontrolled documents</b> you need to make and/or prove your certification decisions, and</li> <li>• obtain any <b>external documents</b> you need to make and/or prove your certification decisions, and</li> <li>• handle all inspection and certification documents appropriately or as required, eg you attach them to vehicles, hand them to vehicle owners, or file them.</li> </ul>
<p>2.2</p>	<p><b>Correct entry of inspection and certification information</b> <a href="#">VIRM</a></p>		
<p>You and your staff</p>	<p>You and your staff</p>	<p>You and your staff <b>usually</b></p>	<p>You and your staff</p>

<p><b>regularly do not comply</b> with all Transport Agency requirements (including <b>VIRM</b> requirements) for entering inspection and certification information into the LANDATA computer system.</p> <p>This means you:</p> <ul style="list-style-type: none"> <li>regularly make serious mistakes when entering inspection and certification information into the LANDATA system, or</li> <li>regularly fail to enter vehicle notes or specialist certificates into the LANDATA system.</li> </ul>	<p><b>sometimes do not comply</b> with all Transport Agency requirements (including <b>VIRM</b> requirements) for entering inspection and certification information into the LANDATA computer system.</p> <p>This means you:</p> <ul style="list-style-type: none"> <li>sometimes do not enter failure notes or specialist certificates into the IVcert screen, or</li> <li>occasionally make a more serious mistake such as creating a record for a vehicle that does not have matching history without highlighting the fact in Notes.</li> </ul>	<p><b>comply</b> with all Transport Agency requirements for entering inspection and certification information into the LANDATA computer system.</p> <p>This means that you:</p> <ul style="list-style-type: none"> <li>consistently enter inspection and certification information into the Transport Agency computer system correctly and promptly, but you make the occasional minor mistake (such as entering a vehicles colour or sub-model incorrectly), or</li> <li>occasionally fail to enter required special notes for exempt vehicles, left-hand drive vehicles or when documents are returned to the vehicles owner.</li> </ul>	<p><b>consistently comply</b> with all Transport Agency requirements (including <b>VIRM</b> requirements) for entering inspection and certification information into the LANDATA computer system.</p> <p>This means that you consistently enter inspection and certification information including vehicle attributes, notes and specialist certifications into the LANDATA computer system correctly and promptly.</p>
<p><b>2.3 Administrative competence</b></p>			
<p>You and your staff can demonstrate <b>little or no competence</b> in the administrative and pre-registration aspects of the inspection and certification work carried out by your business.</p> <p>This means you and/or most of your staff have <b>significant gaps</b> in knowledge of, or skills in:</p> <ul style="list-style-type: none"> <li>the correct use of inspection and certification documents, or</li> <li>entering inspection and certification information into the Transport Agency computer system, or</li> <li>the pre-registration process, or</li> <li>using the PRS.</li> </ul>	<p>You and your staff can demonstrate <b>some competence</b> in the administrative aspects of the inspection and certification work carried out by your business.</p> <p>This means you and/or some of your staff have <b>some gaps</b> in knowledge of, or skills in:</p> <ul style="list-style-type: none"> <li>the correct use of inspection and certification documents, or</li> <li>entering inspection and certification information into the Transport Agency computer system, or</li> <li>the pre-registration process, or</li> <li>using the PRS.</li> </ul>	<p>You and your staff can demonstrate <b>adequate competence</b> in the administrative aspects of the inspection and certification work carried out by your business.</p> <p>This means you and your staff can demonstrate <b>adequate knowledge</b> of, and skills in:</p> <ul style="list-style-type: none"> <li>the correct use of inspection and certification documents, and</li> <li>entering inspection and certification information into the Transport Agency computer system, and</li> <li>the pre-registration process.</li> </ul> <p>However, you and/or some of your staff have minor gaps in knowledge of, and skills in, using the PRS.</p>	<p>You and your staff can demonstrate <b>comprehensive competence</b> in all administrative aspects of the inspection and certification work carried out by your business.</p> <p>This means you and your staff can demonstrate <b>comprehensive knowledge</b> of, and skills in:</p> <ul style="list-style-type: none"> <li>the correct use of inspection and certification documents, and</li> <li>entering inspection and certification information into the Transport Agency computer system, and</li> <li>the pre-registration process, and</li> <li>using the PRS.</li> </ul>

### 3 Resources

#### Requirements

	<b>What the Transport Agency expects of you</b>	<b>How the Transport Agency will assess your performance</b>
<b>3.1</b>	<b>Facilities</b>	
	<p>Your facilities:</p> <ul style="list-style-type: none"> <li>• meet all Transport Agency requirements (including <a href="#">VIRM</a> requirements)</li> <li>• 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.</li> </ul>	The Transport Agency will inspect your facilities.
<b>3.2</b>	<b>Technical equipment</b>	
	<p>On your premises you have, or have ready access to, all technical equipment (including any user 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>	The Transport Agency will inspect your technical equipment.
<b>3.3</b>	<b>Administration equipment</b>	
	<p>On your premises you have, or have ready access to, all administration equipment (including any user manuals) required for your certification work, or required by the Transport Agency, such as a computer, specified software and access to WoF Online or LANDATA.</p> <p>The equipment is in good condition and working order.</p>	The Transport Agency will inspect your administration equipment.
<b>3.4</b>	<b>Technical information</b>	
	<p>On your premises 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.
<b>3.5</b>	<b>Controlled inspection and certification documents</b>	
	<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 Agency, comply with Transport Agency requirements.</p>	The Transport Agency will inspect your controlled inspection and certification documents.
<b>3.6</b>	<b>Inspection and certification staff</b>	
	<p>All staff doing inspection and certification work hold current and appropriate Transport Agency appointments for the inspection and certification work they carry out, unless you are specifically permitted by the Transport Agency to delegate specified parts of your inspection and certification work to staff who are not required to hold Transport Agency appointments.</p> <p>All staff to whom you have delegated inspection and certification work are competent and qualified to do the specified work.</p> <p>All staff who are required to drive vehicles as part of their work hold current driver licences for the types of vehicles they are required to drive.</p>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>• talk to you and your staff</li> <li>• observe you and your staff at work</li> <li>• inspect your staff record</li> <li>• inspect your delegation record</li> <li>• inspect driver licences.</li> </ul>

## Scores

		Score			
		0	1	2	3
3.1	<b>Facilities</b>				
	<p>Your facilities:</p> <ul style="list-style-type: none"> <li>do not meet the Transport Agency requirements (including <a href="#">VIRM</a> requirements), or</li> <li>are <b>inadequate</b> for the nature and volume of the inspection and certification work carried out by your business.</li> </ul> <p>This means your facilities are deficient to an extent that they adversely affect your certification decisions or certification outcomes.</p>	<p>Your facilities:</p> <ul style="list-style-type: none"> <li>may meet the Transport Agency requirements (including <a href="#">VIRM</a> requirements), but</li> <li>are <b>barely adequate</b> for the nature and volume of the inspection and certification work carried out by your business.</li> </ul> <p>This means there are serious deficiencies in your facilities that require improvement. Serious deficiencies are those that, if not improved promptly, may adversely affect your certification decisions or certification outcomes.</p>	<p>Your facilities:</p> <ul style="list-style-type: none"> <li>meet all Transport Agency requirements (including <a href="#">VIRM</a> requirements), and</li> <li>are <b>adequate</b> for the nature and volume of the inspection and certification work carried out by your business.</li> </ul> <p>However, there are minor aspects in your 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>Your facilities:</p> <ul style="list-style-type: none"> <li>meet all Transport Agency requirements (including <a href="#">VIRM</a> requirements), and</li> <li>are <b>fully adequate</b> 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.</li> </ul>	
3.2	<b>Technical equipment</b>				
	Your score here is the average score of your performance in meeting the Transport Agency's expectations for Technical equipment in the <a href="#">Technical part</a> of the PRS.				
3.3	<b>Administration equipment</b>				
	<p>You do not have, or do not have ready access to, the administration equipment (including any user manuals) required for your inspection and certification work, or required by the Transport Agency, such as a computer, specified software and access to LANDATA; there is no VIN embossing machine on site.</p> <p>OR</p> <p>Most equipment you do have, or have ready access to, is not in working order.</p>	<p>On your premises you have, or have ready access to, all administration equipment (including any user manuals) required for your inspection and certification work, or required by the Transport Agency, such as a computer, specified software and access to LANDATA.</p> <p>However, some equipment is not in working order.</p>	<p>On your premises you have, or have ready access to, all administration equipment (including any user manuals) required for your inspection and certification work, or required by the Transport Agency, such as a computer, specified software and access to LANDATA; there is a VIN embossing machine on site.</p> <p>The equipment is in working order but some is not in good condition.</p>	<p>On your premises you have, or have ready access to, all administration equipment (including any user manuals) required for your inspection and certification work, or required by the Transport Agency, such as a computer, specified software and access to LANDATA; there is a VIN embossing machine on site.</p> <p>The equipment is in good condition and working order.</p>	
3.4	<b>Technical information</b>				



<p>You do not have, or do not have ready access to, the technical information required by the Transport Agency.</p>	<p>On your premises you have, or have ready access to, all technical information required by the Transport Agency.</p> <p>The information is complete but not up to date.</p> <p>For example, when you receive amendments to an inspection manual, you do not update the manual as promptly as you could.</p>	<p>On your premises you have, or have ready access to, all technical information required by the Transport Agency.</p> <p>The information is complete and up to date but not in good condition.</p> <p>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).</p>	<p>On your premises 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>
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<p><b>3.5 Controlled inspection and certification documents</b></p>			
<p>You do not have available blank copies of most or any of the <b>controlled documents</b> you must use and complete as part of your inspection and certification work</p> <p>OR</p> <p>You use <b>controlled documents</b> you have developed yourself but:</p> <ul style="list-style-type: none"> <li>• you do not have permission from the Transport Agency to develop your own documents, or</li> <li>• the documents do not comply with Transport Agency requirements.</li> </ul>	<p>You do not have available blank copies of some <b>controlled documents</b> you must use and complete as part of your inspection and certification work</p> <p>OR</p> <p>Some <b>controlled documents</b> you have developed yourself do not fully comply with Transport Agency requirements.</p>	<p>You do not have available blank copies of most or any of the <b>controlled documents</b> you must use and complete as part of your inspection and certification work</p> <p>OR</p> <p>You use <b>controlled documents</b> you have developed yourself but:</p> <ul style="list-style-type: none"> <li>• you do not have permission from the Transport Agency to develop your own documents, or</li> <li>• the documents do not comply with Transport Agency requirements.</li> </ul>	<p>You do not have available blank copies of some <b>controlled documents</b> you must use and complete as part of your inspection and certification work</p> <p>OR</p> <p>Some <b>controlled documents</b> you have developed yourself do not fully comply with Transport Agency requirements.</p>

<p><b>3.6 Certification staff</b></p>			
<p>Some staff doing inspection and certification work do not hold current and appropriate Transport Agency appointments for the inspection and certification work they carry out because they:</p> <ul style="list-style-type: none"> <li>• have never held any relevant Transport Agency appointments, or</li> <li>• are currently suspended, or</li> <li>• were suspended and have not been reappointed by the Transport Agency, or</li> <li>• have had their appointments revoked, or</li> <li>• have previously held</li> </ul>	<p>Some staff doing inspection and certification work do not hold current and appropriate Transport Agency appointments for the inspection and certification work they carry out, but they have previously held relevant Transport Agency appointments which have only recently lapsed</p> <p>OR</p> <p>Some staff to whom you have rightfully delegated inspection and certification work do not have the required level of competence</p> <p>OR</p>	<p>Some staff doing inspection and certification work do not hold current and appropriate Transport Agency appointments for the inspection and certification work they carry out because they:</p> <ul style="list-style-type: none"> <li>• have never held any relevant Transport Agency appointments, or</li> <li>• are currently suspended, or</li> <li>• were suspended and have not been reappointed by the Transport Agency, or</li> <li>• have had their appointments revoked, or</li> <li>• have previously held</li> </ul>	<p>Some staff doing inspection and certification work do not hold current and appropriate Transport Agency appointments for the inspection and certification work they carry out, but they have previously held relevant Transport Agency appointments which have only recently lapsed</p> <p>OR</p> <p>Some staff to whom you have rightfully delegated inspection and certification work do not have the required level of competence</p> <p>OR</p> <p>Some staff who are required to drive vehicles as part of</p>

relevant Transport Agency appointments but these have lapsed a considerable time ago	Some staff who are required to drive vehicles as part of their work do not hold current driver licences for the types of vehicles they are required to drive.	relevant Transport Agency appointments but these have lapsed a considerable time ago	their work do not hold current driver licences for the types of vehicles they are required to drive.
OR		OR	
You have delegated or contracted out work without Transport Agency permission.		You have delegated or contracted out work without Transport Agency permission.	

## 4 Management

### Requirements

	What the Transport Agency expects of you	How the Transport Agency will assess your performance
<b>4.1</b>	<b>Management of competence</b>	
	<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"> <li>provide for the proper induction of new staff, including temporary staff who fill in for you when you are away (if any), by making them familiar with your facilities and equipment, and the way things are done in your business (<a href="#">Note 1</a>)</li> <li>regularly assess your level of competence and that of your staff</li> <li>make sure your competence and that of your staff is maintained at a high level, ie you and your staff are aware of, and competent in dealing with, new legal requirements and updates to technical information, new technologies, and new equipment.</li> </ul> <p>You complete and keep an <a href="#">Induction record</a> for each new staff member, including temporary staff.</p> <p>You keep an up-to-date <a href="#">Training record</a>, listing any internal and external training received by you and your staff.</p>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>talk to you and your staff</li> <li>inspect the records you keep, including your <a href="#">Induction record</a> and your <a href="#">Training record</a>.</li> </ul>
<b>4.2</b>	<b>Management of facilities</b>	
	<p>You have a coordinated approach to managing your facilities. Your approach ensures that your facilities are kept tidy, clean, organised and in good condition.</p> <p>You display your Transport Agency site authorisation certificate where your customers can easily see it.</p>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>talk to you and your staff</li> <li>inspect your facilities.</li> </ul>
<b>4.3</b>	<b>Management of equipment</b>	
	<p>You have a coordinated approach to managing your equipment. Your approach ensures that equipment is:</p> <ul style="list-style-type: none"> <li>available in sufficient numbers for the volume of inspection and certification work carried out by your business and the number of staff using the equipment</li> <li>stored as specified by the manufacturer and in locations where you and your staff have easy access</li> <li>actually used by you and your staff for its intended purpose</li> <li>maintained as specified by the manufacturer</li> <li>calibrated as specified by the manufacturer, or as required by the Transport Agency.</li> </ul>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>talk to you and your staff</li> <li>inspect your equipment</li> <li>observe you and your staff at work</li> <li>look at your inspection and certification volumes (to check that enough equipment is available)</li> <li>inspect where and how your equipment is stored</li> </ul>

	<p>You keep an up-to-date <a href="#">Equipment record</a> for each piece of equipment that requires regular maintenance or calibration.</p>	<ul style="list-style-type: none"> <li>inspect your <a href="#">Equipment record</a>.</li> </ul>
<b>4.4</b>	<p><b>Management of technical information</b></p> <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"> <li>updated promptly when you receive updates from the Transport Agency</li> <li>stored so you and your staff have easy access</li> <li>maintained in good condition.</li> </ul> <p>You keep an up-to-date <a href="#">Technical information record</a>.</p>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>talk to you and your staff</li> <li>inspect your technical information and the locations where you keep it</li> <li>inspect your <a href="#">Technical information record</a>.</li> </ul>
<b>4.5</b>	<p><b>Management of inspection and certification documents</b></p> <p>You have a coordinated approach to managing your inspection and certification documents. Your approach ensures that:</p> <ul style="list-style-type: none"> <li>all inspection and certification documents are kept safe at all times and out of reach of the public</li> <li>unused <b>controlled documents</b> 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</li> <li>all inspection and certification documents are filed so that they can be easily retrieved</li> <li>you keep sufficient stock of the inspection and certification documents needed for your inspection and certification work</li> <li>the loss or theft of any controlled documents is reported immediately to the Police and the Transport Agency using the <a href="#">Notification of lost or stolen controlled documents form</a> in the <a href="#">Master records</a> section.</li> </ul> <p>You keep an up-to-date <a href="#">Controlled document record</a>.</p>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>talk to you and your staff</li> <li>inspect your used and unused inspection and certification documents and the locations where you keep them</li> <li>inspect the way you file your inspection and certification documents</li> <li>inspect your <a href="#">Controlled document record</a>.</li> </ul>
<b>4.6</b>	<p><b>Management of electronic inspection and certification information</b></p> <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"> <li>all electronic inspection and certification information is kept safe at all times</li> <li>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</li> <li>all user names and passwords, if recorded on paper, are kept safe and out of reach of the public</li> <li>passwords used to protect your computers from public access are changed regularly</li> <li>you have backup copies or hard copies of any electronic information relevant to your inspection and certification work.</li> </ul>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>talk to you and your staff</li> <li>observe you and your staff at work</li> <li>inspect the location and set-up of your computers, and the storage of user names and passwords</li> <li>inspect the backup copies or hard copies you keep of your electronic inspection and certification information.</li> </ul>
<b>4.7</b>	<p><b>Management of inspection and certification staff</b></p> <p>You have a coordinated approach to managing your staff. Your approach ensures that:</p> <ul style="list-style-type: none"> <li>certification decisions are made only by staff who hold current and appropriate Transport Agency appointments</li> <li>the number of staff carrying out inspection and certification work is adequate for the nature and volume of inspection and certification work carried out by your business</li> <li>vehicles are driven only by staff who hold current and appropriate driver licences</li> <li>there is effective communication and teamwork in your business at and across all levels and in all directions</li> </ul>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>talk to you and your staff and any contractors</li> <li>observe you and your staff at work</li> <li>inspect your <a href="#">Staff record</a>, your <a href="#">Delegation record</a> and other relevant records.</li> </ul>

	<ul style="list-style-type: none"> <li>responsibilities are clearly defined and all staff know who is responsible for what.</li> </ul> <p>You keep a <b>Staff record</b> listing all staff carrying out certification work. Your <b>Staff record</b> is up to date and coincides with the Transport Agency's record of inspectors working in your business.</p> <p>You keep an up-to-date <b>Delegation record</b>.</p> <p>You display all Transport Agency inspector appointment certificates where your customers can easily see them.</p>	
<b>4.8</b>	<b>Management of time</b>	
	<p>You allocate enough time for you and your staff to carry out your inspection and certification work, allowing for the complexity of the work, your facilities, the available equipment, and your and your staffs level of skill.</p> <p>This means you and your staff:</p> <ul style="list-style-type: none"> <li>are comfortable with the time allocated and actually spent on inspection and certification work, and</li> <li>do not feel under pressure to perform within time frames that are unreasonably tight.</li> </ul>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>talk to you and your staff</li> <li>observe you and your staff at work</li> <li>look at your inspection and certification volumes.</li> </ul>

**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**

					<b>Score</b>			
					<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>
<b>4.1</b>	<b>Management of competence</b>							
	<p>Your approach to managing your and your staffs competence in all aspects of your inspection and certification work is <b>inadequate</b>.</p> <p>This means you:</p> <ul style="list-style-type: none"> <li>do not provide for the proper induction of new staff, including any temporary staff, or</li> <li>do not assess your and your staffs level of competence, or</li> <li>make little or no effort to maintain your and your staffs competence</li> </ul>	<p>Your approach to managing your and your staffs competence in all aspects of your inspection and certification work is <b>barely adequate</b>.</p> <p>This means you:</p> <ul style="list-style-type: none"> <li>often do not provide for the proper induction of new staff, including any temporary staff, or</li> <li>do not assess your and your staffs level of competence on a regular basis, or</li> <li>make only limited efforts to maintain your and your staffs</li> </ul>	<p>Your approach to managing your and your staffs competence in all aspects of your inspection and certification work is <b>adequate</b>.</p> <p>This means you usually:</p> <ul style="list-style-type: none"> <li>provide for the proper induction of new staff, including temporary staff who fill in for you when you're away (if any), by making them familiar with your facilities and equipment and the way things are done in your business, and</li> <li>assess your and your staffs level of competence on a regular basis, and</li> <li>make sure, for example by attending regular training courses, that your and your staffs competence is maintained at a high level, ie you and your staff are aware of, and competent in dealing with, new legal requirements and updates to technical information, and are competent in dealing with</li> </ul>	<p>Your approach to managing your and your staffs competence in all aspects of your inspection and certification work is <b>well coordinated</b>.</p> <p>This means you consistently:</p> <ul style="list-style-type: none"> <li>provide for the proper induction of new staff, including temporary staff who fill in for you when you're away (if any), by making them familiar with your facilities and equipment and the way things are done in your business, and</li> <li>assess your and your staffs level of competence on a regular basis, and</li> <li>make sure, for example by attending regular training courses, that your and your staffs competence is maintained at a high level, ie you and your staff are aware of, and are competent in dealing with, new legal requirements</li> </ul>				

(if staff go on any training courses, it is on their own initiative).	<p>competence at a high level (for example, you consider yourself too busy to go on training courses)</p> <p>OR</p> <p>You do not keep a <a href="#">Training record</a>.</p>	<p>new technologies and new equipment.</p> <p>However, you do not always:</p> <ul style="list-style-type: none"> <li>• complete an <a href="#">Induction record</a> for each new staff member, including temporary staff, or</li> <li>• keep your <a href="#">Training record</a> up to date.</li> </ul>	<p>and updates to technical information new technologies and new equipment.</p> <p>You complete and keep an <a href="#">Induction record</a> for each new staff member, including temporary staff.</p> <p>You keep an up-to-date <i>Training record</i>, listing any internal and external training received by you and your staff.</p>
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**4.2 Management of facilities**

<p>Your approach to managing your facilities is <b>inadequate</b>.</p> <p>This means you make little or no effort to keep the facilities tidy, clean, organised or maintained in good condition.</p>	<p>Your approach to managing your facilities is <b>barely adequate</b>.</p> <p>This means you:</p> <ul style="list-style-type: none"> <li>• make only limited efforts to keep the premises tidy, clean, organised or maintained in good condition, or</li> <li>• you do not display your Transport Agency site authorisation certificate where your customers can easily see it.</li> </ul>	<p>Your approach to managing your facilities is <b>adequate</b>.</p> <p>This means you usually:</p> <ul style="list-style-type: none"> <li>• make sure your facilities are kept tidy, clean, organised and maintained in good condition, and</li> <li>• display your Transport Agency site authorisation certificate where your customers can easily see it.</li> </ul>	<p>Your approach to managing your facilities is <b>well coordinated</b>.</p> <p>This means you consistently:</p> <ul style="list-style-type: none"> <li>• make sure your facilities are kept tidy, clean, organised and maintained in good condition, and</li> <li>• display your Transport Agency site authorisation certificate where your customers can easily see it.</li> </ul>
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**4.3 Management of equipment**

<p>Your approach to managing your equipment is <b>inadequate</b>.</p> <p>This means little or no equipment is:</p> <ul style="list-style-type: none"> <li>• available in sufficient numbers for the volume of inspection and certification work carried out by your business and the number of staff using it, or</li> <li>• stored as</li> </ul>	<p>Your approach to managing your equipment is <b>barely adequate</b>.</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 and the number of staff using it.</p> <p>However, you often do not make sure equipment is:</p> <ul style="list-style-type: none"> <li>• stored as specified by</li> </ul>	<p>Your approach to managing your equipment is <b>adequate</b>.</p> <p>This means you usually make sure equipment is:</p> <ul style="list-style-type: none"> <li>• available in sufficient numbers for the volume of inspection and certification work carried out by your business and the number of staff using the equipment, and</li> <li>• stored as specified by the manufacturer and in locations where you and your staff have easy access, and</li> <li>• actually used by you and your staff for its intended purpose, and</li> <li>• maintained as specified by the manufacturer, and</li> <li>• calibrated as specified by the</li> </ul>	<p>Your approach to managing your equipment is <b>well coordinated</b>.</p> <p>This means you consistently make sure equipment is:</p> <ul style="list-style-type: none"> <li>• available in sufficient numbers for the volume of inspection and certification work carried out by your business and the number of staff using the equipment, and</li> <li>• stored as specified by the manufacturer and in locations where you and your staff have easy access, and</li> <li>• actually used by you and your staff for its intended purpose, and</li> <li>• maintained as specified by</li> </ul>
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<p>specified by the manufacturer or in locations where you and your staff have easy access, or</p> <ul style="list-style-type: none"> <li>used as intended, or</li> <li>maintained or calibrated as specified by the manufacturer or as required by the Transport Agency.</li> </ul>	<p>the manufacturer or in locations where you and your staff have easy access, or</p> <ul style="list-style-type: none"> <li>used as intended, or</li> <li>maintained or calibrated as specified by the manufacturer or as required by the Transport Agency</li> </ul> <p>OR</p> <p>You do not keep an <a href="#">Equipment record</a> for some or any equipment that requires regular maintenance or calibration.</p>	<p>manufacturer, or as required by the Transport Agency.</p> <p>You keep an <a href="#">Equipment record</a> for each piece of equipment that requires regular maintenance or calibration, but you do not always keep your <a href="#">Equipment record</a> up to date.</p>	<p>the manufacturer, and</p> <ul style="list-style-type: none"> <li>calibrated as specified by the manufacturer, or as required by the Transport Agency.</li> </ul> <p>You keep an up-to-date <a href="#">Equipment record</a> for each piece of equipment that requires regular maintenance or calibration.</p>
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<p><b>4.4 Management of technical information</b></p>			
<p>Your approach to managing your technical information is <b>inadequate</b>.</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>Your approach to managing your technical information is <b>barely adequate</b>.</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"> <li>update technical information promptly when you receive updates from the Transport Agency, or</li> <li>store technical information so you have easy access</li> </ul> <p>OR</p> <p>You do not keep a <a href="#">Technical information record</a>.</p>	<p>Your approach to managing your technical information is <b>adequate</b>.</p> <p>This means you usually make sure your technical information is:</p> <ul style="list-style-type: none"> <li>updated promptly when you receive updates from the Transport Agency, and</li> <li>stored so you and your staff have easy access.</li> </ul> <p>However, you do not always:</p> <ul style="list-style-type: none"> <li>maintain your technical information in good condition, or</li> <li>keep your <a href="#">Technical information record</a> up to date.</li> </ul>	<p>Your approach to managing your technical information is <b>well coordinated</b>.</p> <p>This means you consistently make sure your technical information is:</p> <ul style="list-style-type: none"> <li>updated promptly when you receive updates from the Transport Agency, and</li> <li>stored so you and your staff have easy access, and</li> <li>maintained in good condition.</li> </ul> <p>You keep an up-to-date <a href="#">Technical information record</a>.</p>

<p><b>4.5 Management of inspection and certification documents</b></p>			
<p>Your approach to managing your certification documents is</p>	<p>Your approach to managing your inspection and certification</p>	<p>Your approach to managing your certification documents is <b>adequate</b>.</p> <p>This means you usually make sure</p>	<p>Your approach to managing your certification documents is <b>well coordinated</b>.</p>

<p><b>inadequate.</b></p> <p>This means you do not:</p> <ul style="list-style-type: none"> <li>• keep inspection and certification documents (including VIN plates) safe, or</li> <li>• keep unused controlled documents out of reach of the public, or</li> <li>• lock unused controlled documents in a secured safe, locker, or strong cupboard or drawer outside business hours</li> </ul> <p>OR</p> <p>You lost <b>controlled documents</b>, or had <b>controlled documents</b> stolen, but did not report the loss or theft to the NZ Police or the Transport Agency.</p>	<p>documents is <b>barely adequate.</b></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"> <li>• keep inspection and certification documents (including VIN plates) safe, or</li> <li>• keep unused controlled documents out of reach of the public, or</li> <li>• lock unused controlled documents in a secured safe, locker, or strong cupboard or drawer outside business hours, or</li> <li>• file your inspection and certification documents so that they can be easily retrieved, or</li> <li>• keep sufficient stock of controlled documents</li> </ul> <p>OR</p> <p>You do not keep a <a href="#">Controlled document record</a> or VIN plate register.</p>	<p>that:</p> <ul style="list-style-type: none"> <li>• inspection and certification documents (including VIN plates) are kept safe at all times, and</li> <li>• 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</li> <li>• all inspection and certification documents are filed so that they can be easily retrieved, and</li> <li>• you keep sufficient stock of the inspection and certification documents needed for your inspection and certification work, and</li> <li>• 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 <a href="#">Notification of lost or stolen controlled documents form</a> in the <a href="#">Master records</a> section at the back of this manual.</li> </ul> <p>However, you do not always keep your <a href="#">Controlled document record</a> or VIN plate register up to date.</p>	<p>This means you consistently make sure that:</p> <ul style="list-style-type: none"> <li>• inspection and certification documents (including VIN plates) are kept safe at all times, and</li> <li>• 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</li> <li>• all inspection and certification documents are filed so that they can be easily retrieved, and</li> <li>• you keep sufficient stock of the inspection and certification documents needed for your inspection and certification work, and</li> <li>• the loss or theft of any controlled documents is reported immediately to the Police and the Transport Agency on the <a href="#">Notification of lost or stolen controlled documents form</a> in the <a href="#">Master records</a> section at the back of this manual.</li> </ul> <p>You keep an up-to-date <a href="#">Controlled document record</a> and VIN plate register.</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 <b>inadequate.</b></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 <b>barely adequate.</b></p> <p>This means that although you make some efforts to ensure that electronic inspection and certification information is kept safe, you often do not:</p>	<p>Your approach to managing your electronic inspection and certification information is <b>adequate.</b></p> <p>This means you usually make sure that:</p> <ul style="list-style-type: none"> <li>• electronic inspection and certification information is kept safe at all times, and</li> <li>• 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</li> </ul>	<p>Your approach to managing your electronic inspection and certification information is <b>well coordinated.</b></p> <p>This means you consistently make sure that:</p> <ul style="list-style-type: none"> <li>• electronic inspection and certification information is kept safe at all times, and</li> <li>• all computers from which you access the Transport Agency's computer system are out of reach of the</li> </ul>
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	<ul style="list-style-type: none"> <li>• have your computers, if located within reach of the public, protected by password, or</li> <li>• keep your user names and passwords safe and out of reach of the public, or</li> <li>• change your passwords on a regular basis.</li> </ul>	<ul style="list-style-type: none"> <li>• all user names and passwords, if recorded on paper, are kept safe and out of reach of the public, and</li> <li>• passwords used to protect your computers from public access are changed regularly.</li> </ul> <p>However, you do not always keep backup copies or hard copies of electronic information relevant to your inspection and certification work, such as CAD drawings.</p>	<ul style="list-style-type: none"> <li>• public and/or access to your computers is protected by password, and</li> <li>• all user names and passwords, if recorded on paper, are kept safe and out of reach of the public, and</li> <li>• passwords used to protect your computers from public access are changed regularly, and</li> <li>• you have backup copies or hard copies of any electronic information relevant to your inspection and certification work, such as CAD drawings.</li> </ul>
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**4.7 Management of inspection and certification staff**

Your approach to managing your staff is **inadequate**.

This means you make little or no effort to make sure that:

- certification decisions are made only by staff who hold current and applicable Transport Agency appointments, or
- the number of staff carrying out inspection and certification work is adequate for the nature and volume of inspection and certification work carried out by your business.

Your approach to managing your staff is **barely adequate**.

This means although you make some efforts to manage your staff, you regularly fail to make sure that:

- certification decisions are made only by staff who hold current and applicable Transport Agency appointments, or
- the number of staff carrying out inspection and certification work is adequate for the nature and volume of inspection and certification work carried out by your business, or
- vehicles are driven only by staff who hold current and appropriate driver licences, or
- there is effective communication and teamwork

Your approach to managing your staff is **adequate**.

This means you usually make sure that:

- certification decisions are made only by staff who hold current and applicable Transport Agency appointments, and
- the number of staff carrying out inspection and certification work is adequate for the nature and volume of inspection and certification work carried out by your business, and
- vehicles are driven only by staff who hold current and appropriate driver licences, and
- there is effective communication and teamwork in your business at and across all levels and in all directions, and
- responsibilities are clearly defined and all staff know who is responsible for what.

However, you do not:

- always keep your [Staff record](#) or your [Delegation record](#) up to date, or
- display all Transport Agency inspector appointment certificates where your customers can see them.

Your approach to managing your staff is **well coordinated**.

This means you consistently make sure that:

- certification decisions are made only by staff who hold current and applicable Transport Agency appointments, and
- the number of staff carrying out inspection and certification work is adequate for the nature and volume of inspection and certification work carried out by your business, and
- vehicles are driven only by drivers who hold current and appropriate driver licences, and
- there is effective communication and teamwork in your business at and across all levels and in all directions, and
- responsibilities are clearly defined and all staff know who is responsible for what.

You keep a [Staff record](#) listing all staff carrying out inspection and certification work. Your [Staff record](#) is up to date and coincides with the Transport Agency's record of inspectors working in your business.

You keep an up-to-date [Delegation record](#).

You display all Transport Agency inspector appointment certificates



		<p>in your business at and across all levels and in all directions, or</p> <ul style="list-style-type: none"> <li>responsibilities are clearly defined and all staff know who is responsible for what</li> </ul> <p>OR</p> <p>You do not keep a <a href="#">Staff record</a> or a <a href="#">Delegation record</a>.</p>	where your customers can easily see them.
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<b>4.8 Management of time</b>			
<p>You <b>do not allocate enough time</b> for you and your staff to carry out your inspection and certification work.</p> <p>Many of your staff:</p> <ul style="list-style-type: none"> <li>are not comfortable with the time allocated and actually spent on inspection and certification work, or</li> <li>feel under pressure to perform within time frames that are unreasonably tight.</li> </ul>	<p>You <b>do not always allocate enough time</b> for you and your staff to carry out your inspection and certification work.</p> <p>Staff regularly complain about time frames that are too tight to carry out their inspection and certification work properly.</p>	<p>You <b>generally allocate enough time</b> for you and your staff to carry out your inspection and certification work, allowing for the complexity of the work, your facilities, the available equipment, and your and your staffs level of skill.</p> <p>However, less experienced staff sometimes feel under pressure to perform within the same tight time frames as experienced staff.</p>	<p>You <b>allocate enough time</b> for you and your staff to carry out your inspection and certification work, allowing for the complexity of the work, your facilities, the available equipment, and your and your staffs level of skill.</p> <p>This means you and your staff:</p> <ul style="list-style-type: none"> <li>are comfortable with the time allocated and actually spent on inspection and certification work, and</li> <li>do not feel under pressure to perform within time frames that are unreasonably tight.</li> </ul>

## 5 Performance improvement

### Requirements

	What the Transport Agency expects of you	How the Transport Agency will assess your performance
<b>5.1</b>	<b>Commitment to continuous improvement</b>	
	<p>You and your staff are committed to improving your inspection and certification work.</p> <p>This means that you actively:</p> <ul style="list-style-type: none"> <li>identify problems and opportunities to improve</li> <li>assess the cause of problems and prioritise problems and opportunities</li> <li>address problems and opportunities according to</li> </ul>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>talk to you and your staff</li> <li>inspect your <a href="#">Improvement record</a>.</li> </ul>

	<p>priorities and available resources.</p> <p>You keep an Improvement record and record problems and opportunities to improve raised by you and your staff. All follow-up activities have been recorded in the <a href="#">Improvement record</a>.</p>	
<b>5.2</b>	<b>Regular self-assessments</b>	
	<p>You regularly assess how well you and your staff 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 <a href="#">Self-assessment record</a> which is filed in this folder.</p> <p>You record any problems or opportunities to improve that you identify during self-assessments in your <a href="#">Improvement record</a> for follow-up.</p>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>• talk to you and your staff</li> <li>• inspect your <a href="#">Self-assessment record</a></li> <li>• inspect your <a href="#">Improvement record</a> to check that any problems or opportunities to improve identified during self-assessments have been recorded for follow-up.</li> </ul>
<b>5.3</b>	<b>Correct handling of complaints</b>	
	<p>You and your staff are open to complaints and regard them as opportunities to improve.</p> <p>This means you:</p> <ul style="list-style-type: none"> <li>• 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</li> <li>• handle complaints in accordance with Transport Agency requirements.</li> </ul> <p>You keep a <a href="#">Complaints record</a>, 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"> <li>• inspect your complaints policy</li> <li>• talk to you and your staff</li> <li>• inspect your <a href="#">Complaints record</a> 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</li> <li>• inspect your <a href="#">Improvement record</a> to check that any problems or opportunities to improve identified in the investigation of complaints have been recorded for follow-up.</li> </ul>
<b>5.4</b>	<b>Commitment to the PRS</b>	
	<p>You and your staff are committed to making the PRS work in and for your business.</p> <p>This means you:</p> <ul style="list-style-type: none"> <li>• actively use the system for improving your inspection and certification work</li> <li>• are open about your problems and achievements</li> <li>• fully cooperate during regular performance reviews.</li> </ul>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>• talk to you</li> <li>• assess your level of cooperation during reviews.</li> </ul>

## Scores

	Score			
	0	1	2	3
<b>5.1</b>	<b>Commitment to continuous improvement</b>			
	You and/or most of your	You and most of your staff	You and most of your staff	You and your staff are <b>fully</b>

<p>staff show <b>little or no commitment</b> 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>show <b>some commitment</b> to improving your inspection and certification work.</p> <p>This means you are aware of:</p> <ul style="list-style-type: none"> <li>• some problems and opportunities to improve, and</li> <li>• the causes of the problems and what you need to do to address them.</li> </ul> <p>However, although you and some of your staff work around the problems, you regularly do not:</p> <ul style="list-style-type: none"> <li>• record them in your <a href="#">Improvement record</a>, or</li> <li>• work actively to address them properly or record training for identified problems.</li> </ul>	<p>show an <b>adequate level of commitment</b> to improving your inspection and certification work.</p> <p>This means you:</p> <ul style="list-style-type: none"> <li>• actively identify and prioritise problems and opportunities to improve, and</li> <li>• assess the cause of problems and identify what you need to do to address them.</li> </ul> <p>However, you do not always:</p> <ul style="list-style-type: none"> <li>• address the problems and opportunities as promptly as you could, or</li> <li>• record all problems, opportunities and follow-ups in your <a href="#">Improvement record</a></li> <li>• update staff training records when required.</li> </ul>	<p><b>committed</b> to improving your inspection certification work.</p> <p>This means you:</p> <ul style="list-style-type: none"> <li>• actively identify and prioritise problems and opportunities to improve, and</li> <li>• assess the cause of problems and identify what you need to do to address them, and</li> <li>• address problems and opportunities according to available resources, and</li> <li>• record all problems, opportunities and follow-ups in your <a href="#">Improvement record</a></li> <li>• update staff training records when required.</li> </ul>
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**5.2 Regular self-assessments**

<p>You <b>do not assess</b> how well you and your staff meet the Transport Agency's expectations as set out in the PRS.</p> <p>This means there is no evidence of your carrying out entry certification self-assessments.</p>	<p>You <b>sometimes assess</b> how well you and your staff meet the Transport Agency's expectations as set out in the PRS.</p> <p>This means you carry out some entry certification self-assessments but you do not:</p> <ul style="list-style-type: none"> <li>• carry out self-reviews regularly (ie at least once a year and before scheduled reviews), or</li> <li>• document self-assessments by completing a <a href="#">Self-assessment record</a>.</li> </ul>	<p>You <b>regularly assess</b> how well you and your staff 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"> <li>• carry out self-assessments before scheduled performance reviews, or</li> <li>• document self-assessments by completing a <a href="#">Self-assessment record</a>, or</li> <li>• record in your <a href="#">Improvement record</a> problems or opportunities to improve that you identify in self-assessments</li> <li>• carry out staff training on identified issues</li> </ul>	<p>You <b>regularly assess</b> how well you and your staff meet the Transport Agency's expectations as set out in the PRS.</p> <p>This means you:</p> <ul style="list-style-type: none"> <li>• 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</li> <li>• carry out self-assessments before scheduled performance reviews, and</li> <li>• document each self-assessment by completing a <a href="#">Self-assessment record</a>, and</li> <li>• record in your <a href="#">Improvement record</a> problems or opportunities to improve that you identify in self-assessments</li> </ul>
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			where required.	<ul style="list-style-type: none"> <li>carry out staff training on identified issues where required.</li> </ul>
<b>5.3</b>	<b>Correct handling of complaints</b>			
<p>You and/or most of your staff are not open to complaints and your handling of complaints is <b>inadequate</b>.</p> <p>This means you:</p> <ul style="list-style-type: none"> <li>do not have an adequate complaints policy, or</li> <li>do not communicate your complaints policy to your customers, or</li> <li>seldom handle complaints in accordance with Transport Agency requirements, or</li> <li>do not keep records of complaints.</li> </ul>	<p>You and/or many of your staff are not open to complaints and your handling of complaints is <b>barely adequate</b>.</p> <p>This means you:</p> <ul style="list-style-type: none"> <li>have a complaints policy but that policy is not correctly communicated to your customers because your display does not accurately reflect your policy, or</li> <li>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</li> <li>regularly fail to record complaints in your <a href="#">Complaints record</a>, or</li> <li>do not record any problems or opportunities to improve that you identify in the investigation of complaints in your <a href="#">Improvement record</a> and follow up on them</li> <li>do not inform the Transport Agency of any incorrect certification outcomes that you have been unable to resolve.</li> </ul>	<p>You and most of your staff are open to complaints and your handling of complaints is <b>adequate</b>.</p> <p>This means you:</p> <ul style="list-style-type: none"> <li>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</li> <li>usually handle complaints in accordance with Transport Agency requirements, and</li> <li>keep a <a href="#">Complaints record</a> in which you record most complaints</li> <li>inform the Transport Agency of any incorrect certification outcomes that you have been unable to resolve.</li> </ul> <p>However, you do not always record in your <a href="#">Improvement record</a>, and follow up on, the problems or opportunities to improve that you identify in the investigation of complaints.</p>	<p>You and your staff 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"> <li>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</li> <li>handle complaints in accordance with Transport Agency requirements, and</li> <li>keep a <a href="#">Complaints record</a> in which you record all verbal and written complaints, and</li> <li>record in your <a href="#">Improvement record</a> any problems or opportunities to improve that you identify in the investigation of complaints</li> <li>inform the Transport Agency of any incorrect certification outcomes that you have been unable to resolve.</li> </ul>	
<b>5.4</b>	<b>Commitment to the PRS</b>			
<p>You and/or most of your staff show <b>little or no commitment</b> to making the PRS work in and for your business.</p> <p>This means you do not:</p> <ul style="list-style-type: none"> <li>use the system for improving your inspection and certification work, or</li> </ul>	<p>You and most of your staff show <b>some commitment</b> 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"> <li>you make some efforts to use the system in your business, but</li> </ul>	<p>You and most of your staff show an <b>adequate level of commitment</b> to making the PRS work in and for your business.</p> <p>This means you:</p> <ul style="list-style-type: none"> <li>actively use most aspects of the system for improving your inspection and certification work,</li> </ul>	<p>You and your staff are <b>fully committed</b> to making the PRS work in and for your business.</p> <p>This means you:</p> <ul style="list-style-type: none"> <li>actively use the system for improving your inspection and certification work, and</li> <li>are open about your problems and</li> </ul>	

	<ul style="list-style-type: none"><li>• share your problems and achievements with Transport Agency reviewers, or</li><li>• cooperate in Transport Agency reviews.</li></ul>	<p>mostly to satisfy Transport Agency reviewers, and</p> <ul style="list-style-type: none"><li>• there is a basic level of cooperation in Transport Agency reviews but there is a reluctance to share problems with Transport Agency reviewers.</li></ul>	<p>although you do not use the system to its full extent, and</p> <ul style="list-style-type: none"><li>• are usually open about your problems and achievements, although some staff are reluctant to share problems with Transport Agency reviewers, and</li><li>• show a good level of cooperation in Transport Agency reviews.</li></ul>	<p>achievements, and</p> <ul style="list-style-type: none"><li>• fully cooperate in Transport Agency reviews.</li></ul>
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