

Performance review system Border inspection of used imported vehicles

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NZ TRANSPORT AGENCY
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Objectives of the border inspection

The NZTA administers a service delivery model for the provision of border inspection services. The model:

- supports the NZTA objective of undertaking its functions in a way that contributes to an affordable, integrated, safe, responsive, and sustainable land transport system
- supports the Access & Use vision of ensuring that we and our partners modernise our business tools, improve customer service and lower compliance costs, which will enable 'building a better transport system for all New Zealanders'
- has been developed to give inspection organisations and customers guidance as to how the NZTA will exercise its functions.

The NZTA, through this service delivery model, aims to:

- develop an alliance with inspecting organisations and customers to achieve vehicle safety
- ensure full coverage of inspection services to ensure all imported used vehicles can be border inspected
- ensure independence and consistency of inspections
- ensure NZTA can monitor, review and be assured of the performance of inspecting organisations and vehicle inspectors
- provide a framework for the service to be delivered at a reasonable cost to NZTA and the customer
- comply with all other regulatory requirements under the Rule.

Objectives of the Performance Review System (PRS)

The NZ Transport Agency's (NZTA's) goal is to improve transport for all New Zealanders by improving the integration, safety, responsiveness and sustainability of the transport system. To do this, everyone involved in vehicle certification must apply the requirements set out in law accurately and consistently. For certifiers, this means following the requirements specified in their *Vehicle inspection requirements manual (VIRM)* and other required documentation.

The PRS is a tool used by the NZTA for all certifiers and is intended to:

- focus on issues important to road safety
- be open and transparent in reviewing the performance of certifiers
- provide a level playing field, as it applies equally to all certifiers
- be easy to understand and use
- allow certifiers to measure their own performance in exactly the same way as the NZTA during a review
- allow and encourage certifiers to identify problems and opportunities to improve so they can take early action on their own initiative
- identify certifiers who perform well so they can be given incentives to maintain their performance and look for ways of continuously improving it
- identify certifiers who perform poorly so they can be encouraged through more frequent reviews to improve their performance.

How the PRS works

The PRS clearly sets out:

- what is expected of certifiers
- the way the NZTA will assess certifiers' performance against these expectations
- a scoring system that enables certifiers' performance to be measured.

Introduction

The PRS is made up of two main parts:

- 1. General part** This identifies five general categories that are important for all types of certification work.
- 2. Technical part** The Technical part differs for each type of certification work. For example, for border inspection, the categories of the Technical part follow the items set out in the *Vehicle inspection requirements manual: Border inspection of used imported vehicles*.



Category

Score

| 3 Resources | | Scores | |
|-------------|---|--|--|
| Score | 0 | 1 | |
| 3.1 | Facilities | | |
| | Your facilities: <ul style="list-style-type: none"> do not meet the NZTA requirements (including VIRM requirements), or are inadequate for the nature and volume of the inspection and certification work carried out by your business. This means your facilities are deficient to an extent that they adversely affect your certification decisions or certification outcomes. | Your facilities: <ul style="list-style-type: none"> may meet the NZTA requirements (including VIRM requirements), but are barely adequate for the nature and volume of the inspection and certification work carried out by your business. 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. | |
| 3.2 | Technical equipment | | |
| | <ul style="list-style-type: none"> Your score here is the average score of your performance in meeting the NZTA's expectations for 'technical equipment' in the Technical part of the Performance Review System. | | |
| 3.3 | Administration equipment | | |
| | 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 NZTA, such as a computer, specified software and access to WoF-landata. | 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 NZTA, such as a computer, specified software and access to WoF-online. | |

Element

Description

Figure 1. Sample scoring page (detail)

The General part measures how well certifiers perform in complying with all legal requirements (including NZTA requirements) relating to vehicle certification. It does this by measuring performance in five categories:

1. **Technical performance** Do certifiers identify vehicles and components correctly, make correct technical decisions and certify those vehicles and components correctly? Are they competent in all technical aspects of their certification work?
2. **Administrative performance** Are certifiers competent in all administrative aspects of their certification work, including the proper use of documents and correct entry of information?
3. **Resources** Do certifiers have the right resources for their certification work, eg the right facilities and equipment?
4. **Management** Do certifiers properly manage the parts of their operations that support their certification work, eg do they make sure their equipment is properly maintained?

5. **Performance improvement** Do certifiers actively identify problems and opportunities to improve and take advantage of them? Do they regularly review their own performance? Are they open to complaints?

Each category is made up of a number of elements that are relevant to the category. For example, the resources category is made up of the following elements:

- facilities
- technical equipment
- administration equipment
- technical information
- controlled certification documents
- certification staff.

In this manual each category has a scoring page associated with it which provides performance descriptions and corresponding scores for each element. Scores range from 0 to 3 and are allocated by matching a certifier's performance to the corresponding descriptions set out in the scoring pages.

The Technical part also has scoring pages. The scores from these feed into the General part to produce a total score.

How the parts of the PRS fit together

How the NZTA will use the PRS

During performance reviews, our staff will observe you at work. NZTA staff will compare your performance with the descriptions on the PRS scoring sheets, and will score you accordingly. These scores will be combined into an overall PRS score.

We will tell you the result for each area reviewed, and you will be able to use your PRS manual to see how the score was calculated.

There are no hidden measurement or scoring systems. NZTA staff are encouraged to help you understand how the system works and how it can be used to help continuous improvement. Success for the NZTA will be measured in higher performance scores - not in greater numbers of faults detected.

Using the PRS to improve your performance

We encourage certifiers to use the PRS regularly to review their own performance, and to identify problems and opportunities to improve. This section of this manual is called *Measuring your performance*, and the scoring guidelines section explains how this is done.

Benefits of good performance

The NZTA will reward good performance scores by reducing the frequency of planned review visits. This will save you money by reducing the cost of planned review fees. It will also reduce the disruption to your business caused by reviews.

Penalties for poor performance

Poor performance scores will reduce the NZTA's confidence in you as a certifier. Such scores will mean more planned review visits so that your performance can be more closely monitored (see the table **PRS Scores and actions** in the 'Measuring your performance' section). Poor performance scores will increase the cost to you in planned review fees



and the disruption to your business caused by reviews. We hope this will encourage you to use the results of the PRS to improve your performance.

Enforcement action

The PRS is a powerful tool to enable the NZTA to identify persistently poor performers. We are confident that most certifiers will respond positively to the PRS approach and use it to help improve their performance. When certifiers fail to respond positively and continue to perform poorly, this will be identified by PRS reviews. In these cases, the NZTA will focus its enforcement and investigation resources on obtaining evidence of poor performance.

The final sanction

Clear evidence of persistently unacceptable performance will lead to disciplinary action. If certifiers fail to respond to warnings and suspension, evidence gained during reviews will be used to support the case for withdrawal of their authorisation.

Road safety and the maintenance of a fair vehicle certification system demand firm and decisive action by the NZTA. When certifiers fail to carry out their responsibilities the NZTA will act to remove their authorisation. This will be done in a fair and reasonable manner and decisions will be open to appeal.

Working together in partnership

The NZTA's aim is to work together with certifiers openly and transparently to achieve our joint goals of high standards of certification, leading to an improvement in road safety.

| | |
|--|--|
| Adjusted score | Means the total score that has been adjusted to take into account element scores of 1+ or less, ie where there is poor performance in some areas. |
| Category | These are the different areas that make up inspection and certification work. There are five categories which are weighted depending on their importance: Technical performance, Administrative performance, Resources, Management and Performance improvement. The five categories make up the General part of the PRS from which a score is derived. |
| Certifier | Means a vehicle inspector and/or inspecting organisation, depending on the context, and includes a specialist certifier. |
| Computer system | Means the system into which the certifier enters certification . |
| Controlled document | Means a document you must use and complete as part of your inspection and certification work, such as a WoF label, checksheet, certification plate or certificate. |
| Description | Means the performance description for each element score against which the certifier's performance is assessed. There are four descriptions for each element, one each for the scores 0, 1, 2 and 3. |
| Element | Means a detailed area relating to inspection and certification work, and related elements are grouped together to make up a category. |
| Element score | Means the score that is assigned to an element. |
| External document | Means any document supplied by an outside party (eg from a vehicle owner or manufacturer) that you rely on in your inspection and certification work, such as an exemption notice. |
| General part | Means the main part of the PRS which consists of the five categories and from which the total score is calculated. |
| Inspection and certification document | Means a document you use as part of your certification work, such as a checksheet or certification label. It includes controlled, uncontrolled and external documents. |
| Mystery shopper exercise | Means the NZTA arranging for a vehicle with known faults to be presented for inspection to check that the certifier carries out the inspection correctly. The certifier does not know that the vehicle is part of a mystery shopper exercise. This gives the NZTA information about how inspections are carried out between scheduled reviews. |
| NZTA | Means the NZ Transport Agency. |
| PRS | Means the Performance Review System. |
| Random re-inspection | Means a Transport Officer visiting unannounced between reviews and re-inspecting a vehicle that the certifier has just certified. This gives the NZTA information about how the certifier is performing between reviews. |
| Requirements | Means NZTA requirements which are contained in the PRS manual, your <i>VIRM</i> , your agreement/contract with NZTA and other information issued by NZTA. |
| Review | Means an assessment of your performance as a certifier, and is usually scheduled in advance depending on the score you achieved at the previous review. Reviews are carried out by NZTA Transport Officers. |
| Score | This is the result of your review and gives an indication of how well you performed. The higher the score, the better your performance as a certifier. |

| | |
|--------------------------------|---|
| Self-assessment | Means you assess your own performance using the same criteria as the NZTA Transport Officer does when he or she carries out a review. The PRS requires you to carry out regular self-assessments. |
| Technical part | Means the part of the PRS that relates directly to the technical aspects of the inspection and certification work, ie technical decisions, technical competence and inspection equipment. The Technical part scores are transferred to the General part before the total score is calculated. |
| Total score | This is the score that is calculated when all the element scores have been assigned and the category scores have been weighted, but before it has been adjusted for areas of poor performance. |
| Uncontrolled document | Any document you develop yourself as part of your inspection and certification work, such as design calculations or technical drawings. |
| VIRM | Means the <i>Vehicle inspection requirements manual</i> . There are different <i>VIRMs</i> , depending on the type of certification work, and each one has a corresponding PRS manual. |
| Weighted category score | Means a category score that has been weighted to reflect its importance in the overall inspection and certification work relative to the other categories. |

1 Technical performance

Requirements

| | What the NZTA expects of you | How the NZTA will assess your performance |
|-----|--|---|
| 1.1 | <p>Correct certification outcomes</p> <p>You and your staff:</p> <ul style="list-style-type: none"> consistently identify vehicles and components correctly consistently certify vehicles and components only if they comply with all NZTA requirements consistently certify vehicles or components that do not comply with all <i>VIRM</i> requirements do not deny certification of vehicles or components if they comply with all NZTA requirements. | <p>The NZTA will:</p> <ul style="list-style-type: none"> observe you and your staff at work inspect inspection and certification documents inspect information on the NZTA computer system. <p>The NZTA 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 and your staff are consistently correct in determining whether the vehicles or components you are asked to certify comply with all NZTA requirements, taking into account technical information provided by the NZTA, such as the <i>VIRM: Border inspection of used imported vehicles</i>.</p> | <p>The NZTA will:</p> <ul style="list-style-type: none"> talk to you and your staff observe you and your staff 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 NZTA computer system. <p>The NZTA may:</p> <ul style="list-style-type: none"> take into account outcomes from complaints and random re-inspections since your last review carry out 'mystery shopper' exercises. |
| 1.3 | <p>Technical competence</p> <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"> the technical assessment of vehicles and components all NZTA requirements (including <i>VIRM</i> requirements) NZTA guidelines the operation of the equipment that you use. | <p>The NZTA will:</p> <ul style="list-style-type: none"> talk to you and your staff ask questions to check your competence observe you and your staff at work inspect inspection and certification documents inspect your <i>Training record</i>. <p>The NZTA may administer short tests.</p> |

1 Technical performance

Scores

| Score | 0 | 1 |
|-------|--|--|
| 1.1 | <p>Correct certification outcomes</p> <p>You and your staff 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 or components correctly, or certify vehicles or components that do not comply with all NZTA requirements. <p>The incorrect certification outcomes are likely to compromise the safety of vehicle occupants or other road users.</p> | <p>Correct certification outcomes</p> <p>You and your staff 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 or components correctly, or certify vehicles or components that do not comply with all NZTA requirements, or deny certification of vehicles or components that do comply with all NZTA requirements. <p>The incorrect certification outcomes may compromise the safety of vehicle occupants or other road users.</p> |
| 1.2 | <p>Correct technical decisions</p> <p>Your score here is the average score of your performance in meeting the NZTA's expectations for 'Correct technical decisions' in the Technical part of the PRS.</p> | |
| 1.3 | <p>Technical competence</p> <p>Your score here is the average score of your performance in meeting the NZTA's expectations for 'Technical competence' in the Technical part of the PRS.</p> | |

| 2 | 3 |
|--|---|
| Correct certification outcomes | |
| <p>You and your staff usually achieve the correct certification outcomes.</p> <p>This means you usually:</p> <ul style="list-style-type: none">▪ identify vehicles or components correctly, and▪ certify vehicles or components only if they comply with all NZTA requirements, and▪ do not certify vehicles or components that do not comply with all NZTA requirements, and▪ do not deny certification of vehicles or components if they comply with all NZTA requirements. <p>Any incorrect certification outcomes do not compromise the safety of vehicle occupants or other road users.</p> | <p>You and your staff consistently achieve the correct certification outcomes.</p> <p>This means you:</p> <ul style="list-style-type: none">▪ consistently identify vehicles or components correctly, and▪ do not carry out any modifications to vehicles that may affect any standards to which the vehicle has been manufactured. |
| Correct technical decisions | |
| Your score here is the average score of your performance in meeting the NZTA's expectations for 'Correct technical decisions' in the Technical part of the PRS. | |
| Technical competence | |
| Your score here is the average score of your performance in meeting the NZTA's expectations for 'Technical competence' in the Technical part of the PRS. | |

2 Administrative performance

Requirements

| | What the NZTA expects of you | How the NZTA will assess your performance |
|-----|--|--|
| 2.1 | <p>Correct use of inspection and certification documents</p> <p>Inspection and certification documents are:</p> <ul style="list-style-type: none"> ▪ <i>controlled documents</i> – documents you must use and complete as part of your inspection and certification work, such as border inspection labels, checksheets or certificates ▪ <i>uncontrolled documents</i> – any documents developed by you as part of your inspection and certification work, such as brake machine printouts. | <p>The NZTA will:</p> <ul style="list-style-type: none"> ▪ talk to you and your staff ▪ observe you and your staff at work ▪ inspect inspection and certification documents that you use and complete. <p>The NZTA may:</p> <ul style="list-style-type: none"> ▪ take into account outcomes from complaints and random re-inspections since your last review ▪ carry out 'mystery shopper' exercises. |
| 2.2 | <p>Correct entry of inspection and certification information</p> <p>You and your staff consistently comply with all NZTA requirements (including <i>VIRM</i> requirements) for entering inspection and certification information into the NZTA computer system.</p> <p>This means that you consistently enter inspection and certification information into the NZTA computer system correctly and promptly.</p> | <p>The NZTA will:</p> <ul style="list-style-type: none"> ▪ talk to you and your staff ▪ observe you and your staff at work ▪ inspect information you enter into the NZTA computer system ▪ compare information you collect on inspection and certification documents with information you enter into the NZTA computer system ▪ monitor when you enter information to identify patterns of late entry. <p>The NZTA may:</p> <ul style="list-style-type: none"> ▪ take into account outcomes from complaints and random re-inspections since your last review ▪ carry out 'mystery shopper' exercises. |
| 2.3 | <p>Administrative competence</p> <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"> ▪ completing checksheets and other relevant inspection and certification documentation ▪ entering information into the NZTA computer system ▪ using the PRS, including maintaining the specified records. | <p>The NZTA will:</p> <ul style="list-style-type: none"> ▪ talk to you and your staff ▪ ask questions to check your competence ▪ observe you and your staff at work ▪ inspect inspection and certification documents ▪ inspect the records you keep ▪ inspect your <i>Training record</i>. |

| Score | 0 | 1 |
|-------|--|--|
| 2.1 | Correct use of inspection and certification documents | |
| | <p>You and your staff regularly do not comply with the NZTA's requirements (including <i>VIRM</i> requirements) relating to inspection and certification documents.</p> <p>This means you regularly do not:</p> <ul style="list-style-type: none"> use the correct <i>controlled documents</i> for the task, or complete the <i>controlled documents</i>, or develop the <i>uncontrolled documents</i> 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>You and your staff sometimes do not comply with the NZTA's requirements (including <i>VIRM</i> requirements) relating to inspection and certification documents.</p> <p>This means you sometimes do not:</p> <ul style="list-style-type: none"> use the correct <i>controlled documents</i> for the task, or develop the <i>uncontrolled documents</i> 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 <i>controlled documents</i> (originals and duplicates) fully, accurately and legibly, or ensure that all <i>controlled documents</i> are signed, if required, by the appropriate person(s). |
| 2.2 | Correct entry of inspection and certification information | |
| | <p>You and your staff regularly do not comply with all NZTA requirements (including <i>VIRM</i> requirements) for entering inspection and certification information into the NZTA computer system.</p> <p>This means you:</p> <ul style="list-style-type: none"> regularly delay entering inspection and certification information into the NZTA computer system, or you regularly make serious mistakes entering inspection and certification information. | <p>You and your staff sometimes do not comply with all NZTA requirements (including <i>VIRM</i> requirements) for entering inspection and certification information into the NZTA computer system.</p> <p>This means you:</p> <ul style="list-style-type: none"> sometimes delay entering inspection and certification information into the NZTA computer system, or occasionally make a more serious mistake such as entering a vehicle's ID incorrectly. |

| 2 | 3 |
|--|---|
| <p>You and your staff usually comply with the NZTA's requirements (including <i>VIRM</i> requirements) relating to inspection and certification documents.</p> <p>This means you consistently:</p> <ul style="list-style-type: none">▪ use the correct <i>controlled documents</i> for the task, and▪ develop the <i>uncontrolled documents</i> 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 <i>controlled documents</i> (originals and duplicates) fully accurately and legibly, or▪ ensure that all <i>controlled documents</i> are signed, if required, by the appropriate person(s). | <p>You and your staff consistently comply with the NZTA's requirements (including <i>VIRM</i> requirements) relating to inspection and certification documents.</p> <p>This means you consistently:</p> <ul style="list-style-type: none">▪ use the correct document for the task▪ complete the document (originals and duplicates) fully, accurately and legibly with particular attention to details such as VIN numbers▪ ensure all documents are signed (and countersigned) by the appropriate person/s▪ handle all inspection and certification documents (such as MR2As) appropriately. |
| <p>You and your staff usually comply with all NZTA requirements for entering inspection and certification information into the NZTA computer system.</p> <p>This means that you consistently enter inspection and certification information into the NZTA computer system correctly and promptly, but you make the occasional minor mistake (such as entering a date incorrectly).</p> | <p>You and your staff consistently comply with all NZTA requirements (including <i>VIRM</i> requirements) for entering inspection and certification information into the NZTA computer system.</p> <p>This means that you consistently enter inspection and certification information into the NZTA computer system correctly and promptly.</p> |

2 Administrative performance

Scores

| Score | 0 | 1 |
|-------|---|---|
| 2.3 | <p data-bbox="266 396 579 427">Administrative competence</p> <p data-bbox="266 439 807 582">You and your staff can demonstrate little or no competence in the administrative aspects of the inspection and certification work carried out by your business.</p> <p data-bbox="266 602 788 672">This means you and/or most of your staff have significant gaps in knowledge of, or skills in:</p> <ul data-bbox="266 687 812 891" style="list-style-type: none"> <li data-bbox="266 687 812 750">▪ the correct use of inspection and certification documents, or <li data-bbox="266 759 812 853">▪ entering inspection and certification information into the NZTA computer system, or <li data-bbox="266 862 812 891">▪ using the PRS. | <p data-bbox="850 439 1391 582">You and your staff can demonstrate some competence in the administrative aspects of the inspection and certification work carried out by your business.</p> <p data-bbox="850 602 1377 672">This means you and/or some of your staff have some gaps in knowledge of, or skills in:</p> <ul data-bbox="850 687 1431 860" style="list-style-type: none"> <li data-bbox="850 687 1431 750">▪ the correct use of inspection and certification documents, or <li data-bbox="850 759 1431 822">▪ entering inspection and certification information into the NZTA computer system, or <li data-bbox="850 831 1431 860">▪ using the PRS. |

| 2 | 3 |
|--|--|
| <p>You and your staff can demonstrate adequate competence 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 adequate knowledge of, and skills in:</p> <ul style="list-style-type: none">the correct use of inspection and certification documents, andentering inspection and certification information into the NZTA computer system. <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 comprehensive competence 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 comprehensive knowledge of, and skills in:</p> <ul style="list-style-type: none">the correct use of inspection and certification documents, andentering inspection and certification information into the NZTA computer system, andusing the PRS. |

| | What the NZTA expects of you | How the NZTA will assess your performance |
|-----|---|--|
| 3.1 | <p>Facilities</p> <p>Your facilities:</p> <ul style="list-style-type: none"> meet all NZTA requirements (including <i>VIRM</i> 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 NZTA will inspect your facilities. |
| 3.2 | <p>Administration equipment</p> <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 NZTA, such as a computer, specified software and access to BIS or LANDATA.</p> <p>The equipment is in good condition and working order.</p> | The NZTA will inspect your administration equipment. |
| 3.3 | <p>Technical information</p> <p>On your premises you have, or have ready access to, all technical information required by the NZTA, such as <i>VIRMs</i>.</p> <p>The information is complete, up to date and in good condition.</p> | The NZTA will inspect your technical information. |
| 3.4 | <p>Inspection and certification staff</p> <p>All staff doing inspection and certification work hold current and appropriate NZTA appointments for the inspection and certification work they carry out, unless you are specifically permitted by the NZTA to delegate specified parts of your inspection and certification work to staff who are not required to hold NZTA 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>The NZTA will:</p> <ul style="list-style-type: none"> talk to you and your staff observe you and your staff at work inspect your staff record inspect your delegation record. |

| Score | 0 | 1 |
|-------|---|---|
| 3.1 | <p>Facilities</p> <p>Your facilities:</p> <ul style="list-style-type: none"> do not meet the NZTA requirements (including <i>VIRM</i> requirements), or are inadequate for the nature and volume of the inspection and certification work carried out by your business. <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"> may meet the NZTA requirements (including <i>VIRM</i> 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 your facilities that require improvement. Serious deficiencies are those that, if not improved promptly, may adversely affect your certification decisions or certification outcomes.</p> |
| 3.2 | <p>Administration equipment</p> <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 NZTA, such as a computer, specified software and access to BIS or LANDATA</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 NZTA, such as a computer, specified software and access to BIS or LANDATA.</p> <p>However, some equipment is not in working order.</p> |
| 3.3 | <p>Technical information</p> <p>You do not have, or do not have ready access to, the technical information required by the NZTA.</p> | <p>On your premises you have, or have ready access to, all technical information required by the NZTA.</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> |

| 2 | 3 |
|---|---|
| <p>Your facilities:</p> <ul style="list-style-type: none"> meet all NZTA requirements (including <i>VIRM</i> 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 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"> meet all 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, layout, condition and organisation. |
| <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 NZTA, such as a computer, specified software and access to BIS or LANDATA.</p> <p>The equipment is in working order but some is not in good condition.</p> | <p>On your premises you have access to all administration equipment required for your inspection and certification work or required by the NZTA (such as computers, specified software and access to BIS or LANDATA).</p> <p>The equipment is in good condition and working order.</p> |
| <p>On your premises you have, or have ready access to, all technical information required by the NZTA.</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 NZTA such as <i>VIRM: Border inspection of used imported vehicles</i> and PRS manual.</p> <p>You have a current and up to date Notice of Appointment letter.</p> |

| Score | 0 | 1 |
|-------|---|--|
| 3.4 | <p>Inspection and certification staff</p> <p>Some staff doing inspection and certification work do not hold current and appropriate NZTA appointments for the inspection and certification work they carry out because they:</p> <ul style="list-style-type: none"> ▪ have never held any relevant NZTA appointments, or ▪ are currently suspended, or ▪ were suspended and have not been reappointed by the NZTA, or ▪ have had their appointments revoked, or ▪ have previously held relevant NZTA appointments but these have lapsed a considerable time ago <p>OR</p> <p>You have delegated or contracted out work without NZTA permission.</p> | <p>Some staff doing inspection and certification work do not hold current and appropriate NZTA appointments for the inspection and certification work they carry out, but they have previously held relevant NZTA 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> |

| 2 | 3 |
|---|--|
| <p>All staff doing inspection and certification work either:</p> <ul style="list-style-type: none">▪ hold current and appropriate NZTA appointments for the inspection and certification work they carry out, or▪ hold current and appropriate delegations from you for the work (this applies only if you have permission from the NZTA to delegate that work). <p>Some staff to whom you have delegated inspection and certification work do not have the required level of competence. However, they do not make certification decisions.</p> | <p>All staff doing inspection and certification work have:</p> <ul style="list-style-type: none">▪ current and appropriate NZTA appointments for the inspection and certification work they carry out▪ all pre-delivery inspectors have a PD code allocated▪ all staff who have delegated responsibilities are competent and qualified to do the specific work▪ all delegations are current and up to date. |

4 Management

Requirements

| | What the NZTA expects of you | How the NZTA will assess your performance |
|-----|--|---|
| 4.1 | <p>Management of competence</p> <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"> 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 regularly assess your level of competence and that of your staff 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. <p>You complete and keep an <i>Induction record</i> 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> | <p>The NZTA will:</p> <ul style="list-style-type: none"> talk to you and your staff inspect the records you keep, including your <i>Induction record</i> and your <i>Training record</i>. |
| 4.2 | <p>Management of facilities</p> <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>The NZTA will:</p> <ul style="list-style-type: none"> talk to you and your staff inspect your facilities. |
| 4.3 | <p>Management of technical information</p> <p>You have a coordinated approach to managing your technical information (such as <i>VIRMs</i>). Your approach ensures that technical information is:</p> <ul style="list-style-type: none"> updated promptly when you receive updates from the NZTA stored so you and your staff have easy access to it maintained in good condition. <p>You keep an up-to-date <i>Technical information record</i>.</p> | <p>The NZTA will:</p> <ul style="list-style-type: none"> talk to you and your staff inspect your technical information and the locations where you keep it inspect your <i>Technical information record</i>. |

| | What the NZTA expects of you | How the NZTA will assess your performance |
|-----|---|--|
| 4.4 | <p>Management of electronic inspection and certification information</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"> ▪ all electronic inspection and certification information is kept safe at all times ▪ all computers from which you access the NZTA 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 NZTA will:</p> <ul style="list-style-type: none"> ▪ talk to you and your staff ▪ observe you and your staff 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. |
| 4.5 | <p>Management of inspection and certification staff</p> <p>You have a coordinated approach to managing your staff. Your approach ensures that:</p> <ul style="list-style-type: none"> ▪ certification decisions are made only by staff who hold current and appropriate NZTA appointments ▪ 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 ▪ 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 a <i>Staff record</i> listing all staff carrying out certification work. Your <i>Staff record</i> is up to date and coincides with the NZTA's record of inspectors working in your business.</p> <p>You keep an up-to-date <i>Delegation record</i>.</p> | <p>The NZTA will:</p> <ul style="list-style-type: none"> ▪ talk to you and your staff and any contractors ▪ observe you and your staff at work ▪ inspect your <i>Staff record</i>, your <i>Delegation record</i> and other relevant records. |



| | What the NZTA expects of you | How the NZTA will assess your performance |
|------------|--|--|
| 4.6 | <p>Management of time</p> <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 staff's levels of skill.</p> <p>This means you and your staff:</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 NZTA will:</p> <ul style="list-style-type: none">• talk to you and your staff• observe you and your staff at work• look at your inspection and certification volumes. |

4 Management

Scores

| Score | 0 | 1 |
|-------|---|--|
| 4.1 | <p>Management of competence</p> <p>Your approach to managing your and your staff's 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 provide for the proper induction of new staff, including any temporary staff, or do not assess your and your staff's levels of competence, or make little or no effort to maintain your and your staff's competence (eg if staff go on any training courses, it is on their own initiative). | <p>Your approach to managing your and your staff's 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"> often do not provide for the proper induction of new staff, including any temporary staff, or do not assess your and your staff's levels of competence on a regular basis, or make only limited efforts to maintain your and your staff's competence at a high level (for example, you consider yourself too busy to go on training courses) <p>OR</p> <p>You do not keep a <i>Training record</i>.</p> |
| 4.2 | <p>Management of facilities</p> <p>Your approach to managing your facilities is inadequate.</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 barely adequate.</p> <p>This means you:</p> <ul style="list-style-type: none"> make only limited efforts to keep the premises tidy, clean, organised or maintained in good condition. |

| 2 | 3 |
|---|--|
| <p>Your approach to managing your and your staff's 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">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, andassess your and your staff's level of competence on a regular basis, andmake sure, for example by attending regular training courses, that your and your staff's 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 new technologies and new equipment. <p>However, you do not always:</p> <ul style="list-style-type: none">complete an <i>Induction record</i> for each new staff member, including temporary staff, orkeep your <i>Training record</i> up to date. | <p>Your approach to managing your and your staff's 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">provide all necessary technical information to your staffprovide technical assistance where requiredkeep an up-to-date record or data base of all training received and provided. |
| <p>Your approach to managing your facilities is adequate.</p> <p>This means you usually:</p> <ul style="list-style-type: none">make sure your facilities are kept tidy, clean, organised and maintained in good condition. | <p>Your approach to managing your facilities is well coordinated.</p> <p>This means you consistently:</p> <ul style="list-style-type: none">make sure your facilities are kept tidy, clean, organised and maintained in good condition. |

| Score | 0 | 1 |
|-------|---|---|
| 4.3 | <p>Management of technical information</p> <p>Your approach to managing your 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>Your approach to managing your technical information is barely adequate.</p> <p>This means that, 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 NZTA, or ▪ store technical information so you have easy access to it <p>OR</p> <p>You do not keep a <i>Technical information record</i> or <i>Record of amendments</i>.</p> |
| | Management of electronic inspection and certification information | |
| 4.4 | <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 that, 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. |



| 2 | 3 |
|---|---|
| <p>Your approach to managing your technical information is adequate.</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 NZTA, and▪ stored so you and your staff have easy access to it. <p>However, you do not always:</p> <ul style="list-style-type: none">▪ maintain your technical information in good condition, or▪ keep your <i>Technical information record</i> or <i>Record of amendments</i> up to date. | <p>Your approach to managing your technical information is 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 NZTA, and▪ ensure all up-to-date technical information such as updates or work instructions is available at all of your inspection locations. <p>Your <i>VIRM</i> and <i>PRS Technical information record</i> or <i>Record of amendments</i> is up to date.</p> |
| <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 NZTA'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.</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 NZTA's computer system are out of reach of the public and/or access to your computers is protected by passwords, and▪ passwords used to protect your computers from public access are changed regularly. |

| Score | 0 | 1 |
|-------|--|--|
| 4.5 | <p>Management of inspection and certification staff</p> <p>Your approach to managing your staff is inadequate.</p> <p>This means you make little or no effort to make sure that:</p> <ul style="list-style-type: none"> certification decisions are made only by staff who hold current and applicable NZTA 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. | <p>Your approach to managing your staff is barely adequate.</p> <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"> certification decisions are made only by staff who hold current and applicable NZTA 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 there is effective communication and teamwork in your business at and across all levels and in all directions, or responsibilities are clearly defined and all staff know who is responsible for what <p>OR</p> <p>You do not keep a <i>Staff record</i> or a <i>Delegation or transfer of function record</i>.</p> |
| 4.6 | <p>Management of time</p> <p>You do not allocate enough time 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"> are not comfortable with the time allocated and actually spent on inspection and certification work, or feel under pressure to perform within time frames that are unreasonably tight. | <p>You do not always allocate enough time 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> |

| 2 | 3 |
|---|--|
| <p>Your approach to managing your staff is adequate.</p> <p>This means you usually make sure that:</p> <ul style="list-style-type: none">certification decisions are made only by staff who hold current and applicable NZTA appointments, andthe 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, andthere is effective communication and teamwork in your business at and across all levels and in all directions, andresponsibilities are clearly defined and all staff know who is responsible for what. <p>However, you do not:</p> <ul style="list-style-type: none">always keep your <i>Staff record</i> or your <i>Delegation or transfer of function record</i> up to date. | <p>Your approach to managing your staff is well coordinated.</p> <p>This means you consistently make sure that:</p> <ul style="list-style-type: none">certification decisions are made only by staff who hold current and applicable NZTA appointments, andthe 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, andthere is effective communication and teamwork in your business at and across all levels and in all directions, andresponsibilities are clearly defined and all staff know who is responsible for what. <p>Where applicable there is an up-to-date delegation or transfer of function in place.</p> |
| <p>You generally 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 staff's 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 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 staff's levels of skill.</p> <p>This means you and your staff:</p> <ul style="list-style-type: none">are comfortable with the time allocated and actually spent on inspection and certification work, anddo not feel under pressure to perform within time frames that are unreasonably tight. |

5 Performance improvement

Requirements

| | What the NZTA expects of you | How the NZTA will assess your performance |
|-----|---|---|
| 5.1 | <p>Monitoring performance</p> <p>You regularly assess how well you and your staff meet the NZTA'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 <i>Self-assessment record</i> which is filed in this folder.</p> <p>You record any problems or opportunities to improve that you identify during self-assessments in your <i>Improvement record</i> for follow-up.</p> | <p>The NZTA will:</p> <ul style="list-style-type: none"> talk to you and your staff inspect your <i>Self-assessment record</i> inspect your <i>Improvement record</i> to check that any problems or opportunities to improve identified during self-assessments have been recorded for follow-up. |
| 5.2 | <p>Correct handling of complaints and vehicle recalls</p> <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"> 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 NZTA handle complaints in accordance with NZTA requirements. <p>You keep a <i>Complaints record</i>, 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 <i>Improvement record</i> for follow-up.</p> | <p>The NZTA will:</p> <ul style="list-style-type: none"> inspect your complaints policy talk to you and your staff inspect your <i>Complaints record</i> to check that any complaints against you, including any complaints raised with the NZTA, have been recorded and handled in accordance with NZTA requirements inspect your <i>Improvement record</i> to check that any problems or opportunities to improve which are identified in the investigation of complaints have been recorded for follow-up. |
| 5.3 | <p>Commitment to the PRS</p> <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"> 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 NZTA will:</p> <ul style="list-style-type: none"> talk to you assess your level of cooperation during reviews. |

5 Performance improvement

Scores

| Score | 0 | 1 |
|-------|--|---|
| 5.1 | <p>Monitoring performance</p> <p>You do not assess how well you and your staff meet the NZTA'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 and your staff meet the NZTA'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 <i>Self-assessment record</i>. |
| 5.2 | <p>Correct handling of complaints and vehicle recalls</p> <p>You and/or most of your staff 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 NZTA requirements, or do not keep records of complaints. | <p>You and/or many of your staff 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 NZTA requirements (eg you regularly exceed the time frames set by the NZTA for responding to complaints), or regularly fail to record complaints in your <i>Complaints record</i>, or do not record any problems or opportunities to improve that you identify in the investigation of complaints in your <i>Improvement record</i> and follow up on them. |

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| <p>You regularly assess how well you and your staff meet the NZTA'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 <i>Self-assessment record</i>, or ▪ record in your <i>Improvement record</i> problems or opportunities to improve that you identify in self-assessments. | <p>You and your staff 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 ▪ document any dealer visits you carry out and any associated corrective action required, and ▪ have evidence of internal improvements or assessments. |
| <p>You and most of your staff 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 NZTA, and ▪ usually handle complaints in accordance with NZTA requirements, and ▪ keep a <i>Complaints record</i> in which you record most complaints. <p>However, you do not always record in your <i>Improvement record</i>, 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"> ▪ display to your customers your complaints policy, including information on how to lodge a complaint ▪ and your customers' right to complain to the NZTA, and ▪ handle complaints in accordance with NZTA requirements, and ▪ keep a <i>Complaints record</i> in which you record all verbal and written complaints, and ▪ record in your <i>Improvement record</i> any problems or opportunities to improve that you identify in the investigation of complaints ▪ inform the NZTA of any incorrect certification outcomes that you have been unable to resolve. |

5 Performance improvement

Scores (cont.)

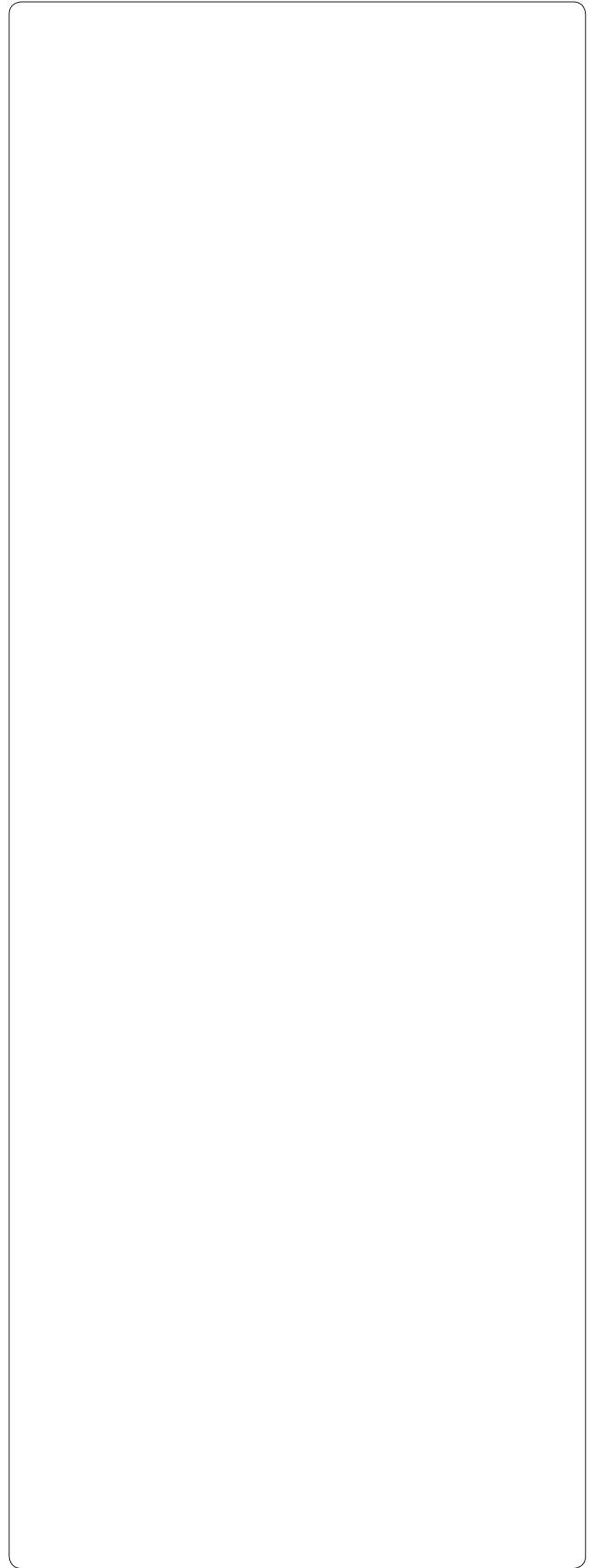
| Score | 0 | 1 |
|-------|--|---|
| 5.3 | <p data-bbox="268 398 542 427">Commitment to the PRS</p> <p data-bbox="268 439 798 544">You and/or most of your staff show little or no commitment to making the PRS work in and for your business.</p> <p data-bbox="268 566 528 595">This means you do not:</p> <ul data-bbox="268 613 807 786" style="list-style-type: none"> <li data-bbox="268 613 807 674">▪ use the system for improving your inspection and certification work, or <li data-bbox="268 685 807 745">▪ share your problems and achievements with NZTA staff, or <li data-bbox="268 757 807 786">▪ cooperate in NZTA reviews. | <p data-bbox="852 439 1434 582">You and most of your staff 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 data-bbox="852 604 991 633">This means:</p> <ul data-bbox="852 651 1434 815" style="list-style-type: none"> <li data-bbox="852 651 1434 712">▪ you make some efforts to use the system in your business, but mostly to satisfy NZTA staff, and <li data-bbox="852 723 1434 815">▪ there is a basic level of cooperation in NZTA reviews but there is a reluctance to share problems with NZTA staff. |

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| <p>You and most of your staff 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 certification work, although you do not use the system to its full extent, andare usually open about your problems and achievements, although some staff are reluctant to share problems with NZTA staff, andshow a good level of cooperation in NZTA reviews. | <p>You and your staff 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, andare open about your problems and achievements, andfully cooperate in NZTA reviews. |

Technical part

1.1 Vehicle identification

2.1 Vehicle structure



1.1 Vehicle identification

| | What the NZTA expects of you | How the NZTA will assess your performance |
|-------|--|---|
| 1.1.1 | <p>Correct technical decisions</p> <p>You correctly identify all vehicles before inspecting and certifying them. The identification numbers of the vehicles you certify are valid and match the vehicle identification numbers in your records and the identification numbers you enter into the NZTA computer system. You correctly determine whether the vehicle identification complies with all NZTA requirements, taking into account technical information provided by the NZTA such as the <i>VIRM: Border inspection of used imported vehicles</i>.</p> | <p>The NZTA will:</p> <ul style="list-style-type: none"> talk to you observe you at work inspect inspection and certification documents you use and complete. |
| 1.1.2 | <p>Technical competence</p> <p>You are competent in all technical aspects relating to vehicle identification. This means you are competent in:</p> <ul style="list-style-type: none"> the assessment of vehicle identification the NZTA requirements (including <i>VIRM</i> requirements) relating to vehicle identification and the assessment of vehicle identification NZTA guidelines relating to vehicle identification. | <p>The NZTA will:</p> <ul style="list-style-type: none"> talk to you ask questions to check your competence relating to vehicle identification and the assessment of modifications to vehicle identification observe you at work inspect your <i>Training record</i>. <p>The NZTA may administer a short test on vehicle identification and the assessment of vehicle identification.</p> |
| 1.1.3 | <p>Technical equipment</p> <p>No specialist equipment is required.</p> | Not applicable. |

1.1 Vehicle identification

| Score | 0 | 1 |
|-------|--|---|
| 1.1.1 | Correct technical decisions | |
| | <p>You do not thoroughly inspect all evidence of vehicle identity or correctly determine whether it complies with all NZTA requirements.</p> <p>The area of non-compliance is significant.</p> <p>For example:</p> <ul style="list-style-type: none"> a vehicle identification number has not been read from the VIN plate, or a vehicle's VIN or chassis number is missing. | <p>You do not thoroughly inspect all evidence of vehicle identity or correctly determine whether it complies with all NZTA requirements.</p> <p>The area of non-compliance is somewhat important.</p> <p>For example:</p> <ul style="list-style-type: none"> You more regularly incorrectly record a VIN number |
| 1.1.2 | Technical competence | |
| | <p>You demonstrate:</p> <ul style="list-style-type: none"> little or no competence in the technical aspects relating to vehicle identification. <p>This means there are significant gaps in your knowledge of, or skills in:</p> <ul style="list-style-type: none"> the assessment of vehicle identification, or the NZTA requirements (including <i>VIRM</i> requirements) relating to vehicle identification, or NZTA guidelines relating to vehicle identification. | <p>You demonstrate:</p> <ul style="list-style-type: none"> some competence in the technical aspects relating to vehicle identification. <p>This means there are some gaps in your knowledge of, or skills in:</p> <ul style="list-style-type: none"> the assessment of vehicle identification, or the NZTA requirements (including <i>VIRM</i> requirements) relating to vehicle identification, or NZTA guidelines relating to vehicle identification. |
| 1.1.3 | Technical equipment | |
| | Not applicable. | Not applicable. |

| 2 | 3 |
|--|--|
| <p>You do not thoroughly inspect all evidence of vehicle identity or correctly determine whether it complies with all NZTA requirements.</p> <p>The area of non-compliance is minor.</p> <p>For example:</p> <ul style="list-style-type: none"> You occasionally incorrectly record a VIN number. | <p>You thoroughly inspect vehicle identity and correctly determine whether complies with NZTA requirements including:</p> <ul style="list-style-type: none"> how you identify vehicles arrive how you deal with vehicles that have an incorrect VIN. |
| <p>You demonstrate:</p> <ul style="list-style-type: none"> Adequate competence in the technical aspects relating to vehicle identification. <p>This means there are minor gaps in your knowledge of, or skills in:</p> <ul style="list-style-type: none"> the assessment of vehicle identification, or the NZTA requirements (including <i>VIRM</i> requirements) relating to vehicle identification, or NZTA guidelines relating to vehicle identification. | <p>You can demonstrate comprehensive competence in the technical aspects relating to vehicle identification, including their compliance with Land Transport Rules.</p> <p>This means you can demonstrate comprehensive knowledge of, and skills in:</p> <ul style="list-style-type: none"> the assessment of vehicle identification, and the NZTA requirements (including <i>VIRM</i> requirements) relating to vehicle identification, and NZTA guidelines relating to vehicle identification. |
| Not applicable. | Not applicable. |

2.1 Vehicle structure

| | What the NZTA expects of you | How the NZTA will assess your performance |
|-------|--|---|
| 2.1.1 | <p>Correct technical decisions</p> <ul style="list-style-type: none"> You thoroughly inspect all components and correctly determine whether the vehicle structure complies with all NZTA requirements, taking into account technical information provided by the NZTA such as the <i>VIRM: Border inspection of used imported vehicles</i>. | <p>The NZTA will:</p> <ul style="list-style-type: none"> talk to you observe you at work inspect the vehicles and components which you have certified inspect inspection and certification documents you use and complete inspect information that staff enter into the NZTA's computer system. |
| 2.1.2 | <p>Technical competence</p> <p>You are competent in all technical aspects relating to vehicle structures. This means you are competent in:</p> <ul style="list-style-type: none"> the assessment of vehicle structures NZTA requirements (including <i>VIRM</i> requirements) NZTA guidelines relating to vehicle structures | <p>The NZTA will:</p> <ul style="list-style-type: none"> talk to you ask questions to check your competence relating to vehicle structures and the assessment of vehicle structures observe you at work inspect inspection and certification documents you use and complete inspect your <i>Training record</i>. |
| 2.1.3 | <p>Technical equipment</p> <p>You have:</p> <ul style="list-style-type: none"> a hand-held inspection lamp. <p>The equipment is in good condition and working order.</p> | <p>The NZTA will inspect your technical equipment.</p> |

2 Vehicle structure Scores

2.1 Vehicle structure

| Score | 0 | 1 |
|-------|--|--|
| 2.1.1 | <p>Correct technical decisions</p> <p>You do not thoroughly inspect all components or correctly determine whether the vehicle structure complies with all requirements.</p> <p>The area of non-compliance is likely to compromise the safety of vehicle occupants or other road users.</p> <p>For example:</p> <ul style="list-style-type: none"> the vehicle structure has been damaged beyond the threshold specified by the NZTA. The damage is likely to compromise the safety of vehicle occupants or other road users | <p>You do not thoroughly inspect all components or correctly determine whether the vehicle structure complies with all requirements.</p> <p>The area of non-compliance may compromise the safety of vehicle occupants or other road users.</p> <p>For example:</p> <ul style="list-style-type: none"> the vehicle structure has been previously repaired beyond the threshold specified by the NZTA. The repair may compromise the safety of vehicle occupants or other road users. |
| | <p>2.1.2</p> <p>Technical competence</p> <p>You demonstrate:</p> <ul style="list-style-type: none"> little or no competence in the technical aspects relating to vehicle structures, or a level of competence that is likely to compromise the safety of vehicle occupants or other road users. <p>This means there are significant gaps in your knowledge of, or skills in:</p> <ul style="list-style-type: none"> the assessment of vehicle structures the legal requirements (including NZTA requirements) relating to vehicle structures the NZTA repair threshold relating to vehicle structures | <p>You demonstrate:</p> <ul style="list-style-type: none"> some competence in the technical aspects relating to vehicle structures, or a level of competence that may compromise the safety of vehicle occupants or other road users. <p>This means there are some gaps in your knowledge of, or skills in:</p> <ul style="list-style-type: none"> the assessment of vehicle structures the legal requirements (including NZTA requirements) relating to vehicle structures the NZTA repair threshold relating to vehicle structures. |
| 2.1.3 | <p>Technical equipment</p> <p>Not all of the specified equipment is available.</p> <p>Where equipment is available, some or all of it is not in working order.</p> | <p>All specified equipment is available and in working order, but some or all of it is in poor condition.</p> |

| 2 | 3 |
|---|---|
| <p>You do not thoroughly inspect all components or correctly determine whether the vehicle structure complies with all legal requirements.</p> <p>The area of non-compliance is unlikely to compromise the safety of vehicle occupants or other road users.</p> <p>For example:</p> <ul style="list-style-type: none"> ▪ you do not use an inspection lamp. | <p>You thoroughly inspect all components and correctly determine whether the vehicle structure complies with all legal requirements.</p> |
| <p>You demonstrate:</p> <ul style="list-style-type: none"> ▪ adequate competence in the technical aspects relating to vehicle structures, or ▪ a level of competence that is unlikely to compromise the safety of vehicle occupants or other road users. <p>This means there are minor gaps in your knowledge of, or skills in:</p> <ul style="list-style-type: none"> ▪ the assessment of vehicle structures ▪ the legal requirements (including NZTA requirements) relating to vehicle structures ▪ the NZTA repair threshold relating to vehicle structures ▪ the operation of the equipment you use for assessing | <p>You can demonstrate comprehensive competence in the technical aspects relating to vehicle structures.</p> <p>This means you can demonstrate comprehensive knowledge of, or skills in:</p> <ul style="list-style-type: none"> ▪ the assessment of vehicle structures, and ▪ the legal requirements (including NZTA requirements) relating to vehicle structures, and ▪ the NZTA repair threshold relating to vehicle structures, and ▪ the operation of the equipment you use for assessing vehicle structures. |
| <p>All specified equipment is available, in working order, and in at least adequate condition.</p> | <p>All specified equipment is available and in good condition and working order.</p> |

Measuring your performance

1 Self-assessment

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2 Scoring sheets

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As part of the Performance Review System (PRS), you are expected to regularly assess your own performance (also known as self-assessment). You can do this using the electronic scoresheet available on the NZTA website.

This section explains how to carry out a self-assessment and how you can measure your performance and calculate your total PRS score. NZTA staff will use the same measures when they review you to see how well you meet the NZTA's expectations, as set out in this manual.

Purpose of self-assessments

When you carry out a self-assessment, your main purpose is to assess your performance against the descriptions in the General part and the Technical part of the PRS. This will enable you to identify and address any issues and improve the performance of your inspection work. It will also help you to achieve the highest score possible at your next review – and the higher your score, the less frequent the reviews.

When carrying out a self assessment, if you identify any areas in which you need improvement (ie you score yourself less than 3), write it down on an *Improvement record* form along with what you will do to improve.

Overview of the self-assessment process

Before you do your first self-assessment, you should read these guidelines so you know how to score your performance. To help you understand the self-assessment process, the brief outline below shows you what is involved.

1. Photocopy the General part and Technical part scoring sheets from the Master records section at the back of this manual. Alternatively, you may use the electronic scoring sheets available on the NZTA website.
2. Read the descriptions for each element in the Technical and General parts of the PRS and identify the ones that best match your performance. We recommend you work from right (score 3) to left (score 0).
3. Enter the corresponding element scores into the Technical and General part scoring sheets as you go, and write any comments and items for improvement into the comments fields.
4. Calculate the average element scores for the Technical part (one each for Correct technical decisions, Technical competence and Technical equipment) and transfer these to the General part scoring sheet.
5. If you wish, you can calculate the category scores and the total and adjusted total scores. These will give you some idea of how well you perform overall.
6. Transfer any issues identified during your self-assessment onto an *Improvement record* form. Make sure you address these issues as soon as possible and record your actions on this form.
7. If you wish, you may like to recalculate the total and adjusted scores, taking into account the improvements you have made, so you can see how much you have improved your performance.

What are the scores and what do they mean?

The PRS calculates four types of scores:

- element scores
- category scores
- total score
- adjusted score.

The performance review system is based on four major score values:

- 0** – performance is unacceptable
- 1** – performance is marginal and requires substantial improvement
- 2** – performance is adequate but there is room for improvement
- 3** – performance is consistently good and meets the required standard.

In the PRS, you will find four descriptions (one for each score) for each element covered in the PRS. Assess your performance against these descriptions, and score yourself according to the one that most closely represents your performance.

If a description does not fully describe your performance, you can vary the score with:

- a plus (+) to indicate that your performance is slightly better than the description, or
- a minus (-) to show that your performance is close, but does not quite match the description.

This table sets out all the possible element scores and their numerical values. The numerical values are used to calculate your total score.

Using the scoring process described in the following pages, you will arrive at a total score for your performance.

| Element score | Numerical value |
|---------------|-----------------|
| 0 | 0.0 |
| 0+ | 0.3 |
| 1- | 0.7 |
| 1 | 1.0 |
| 1+ | 1.3 |
| 2- | 1.7 |
| 2 | 2.0 |
| 2+ | 2.3 |
| 3- | 2.7 |
| 3 | 3.0 |



How do I score myself?

The following guidelines explain how the total adjusted score is calculated and will allow you to understand the process. When you carry out your self-assessment, you may perform the calculations as shown or you may use the electronic scoresheets which are available on the NZTA website. These are easy to use and will automatically perform the calculations for you.

The performance review system (PRS) is divided into two parts. Your total score is determined by the General part. Scores from the Technical part feed into the General part.

For each part, you have a corresponding PRS *Self-assessment record*.

You can start with either the General part or the Technical part when carrying out your self-assessments.

If you start with the Technical part, proceed as follows:

Self-assessment - Technical part

- Decide how you want to carry out the technical assessment. For example, you may choose to observe a certifier carrying out an inspection, or carry out an inspection yourself, or arrange for another inspector to observe your inspection (peer review) or re-inspect a vehicle or component after a certifier has completed an inspection.
- Choose which vehicle components you want to assess. Your PRS technical *Self-assessment record* has space for seven items because this is the number of items for which the NZTA staff will check your performance in the course of a regular review. The NZTA recommends that you do self-assessments on all items over a period of time.
- Based on the descriptions in the Technical part of the PRS manual, score your performance for each element. Use the description that best fits your performance. Enter your scores in your PRS technical *Self-assessment record*.
- When you have completed the PRS technical *Self-assessment record*, calculate the average scores for each of these three elements:
 - Correct technical decisions
 - Technical competence
 - Technical equipment.

Do this by:

- finding the equivalent numerical value for each score (use the element score/numerical values table as outlined on the previous page)
- adding together all the numerical values for each element
- dividing the total by the number of scores you have assessed.

Alternatively, fill out the electronic scoresheets which are available on the NZTA website.

For example, for 'Correct technical decision' you may have scored the following vehicle components and assigned the corresponding numerical values:

| Item | Your scores for correct technical decisions | Your numerical values for correct technical decisions |
|---------------------------|---|---|
| 1. Vehicle identification | 2 | 2.0 |
| 2. Vehicle structure | 2+ | 2.3 |
| Total | | 4.3 |

Divide the total by the number of scores (3 in this case) to get your average Correct technical decision score:

$$4.3 \div 3 = 1.43$$

Follow the same process for Technical competence and Technical equipment.

Note that for some items no technical equipment is used, so no Technical equipment score can be allocated. In such cases, you would divide the total by the number of items you have assessed which can have a score.

When you come to fill in the PRS administration *Self-assessment record*, transfer these average scores into the appropriate sections:

Correct technical decisions: into section 1.2 of PRS administration
Self-assessment record

Technical competence: into section 2.1 of PRS administration
Self-assessment record

Technical equipment: into section 3.2 of PRS administration
Self-assessment record

Self-assessment - General part

- Based on the descriptions provided in the General part of the PRS, score your performance for each element using the description that best fits your performance. Enter your scores in your PRS general *Self-assessment record*.
- When you have completed the PRS general *Self-assessment record*, calculate the average score for each of the five categories of the administration part: certification outcomes, competence, resources, management and performance improvements.

Do this by:

- finding the equivalent numerical value for each score (use the element score/numerical values table as outlined on page 2)
- adding together all the numerical values for each element
- dividing the total by the number of scores in that category.

For example, in the certification outcomes category, add together the numerical values of your scores for the four elements in that category:

- Correct certification outcomes
- Correct technical decisions (from Technical part)
- Correct use of certification documents
- Correct entry of certification information.

Then add up the four numerical values for this category and divide this figure by four to get the average.

How do I calculate my total score?

Work out your total score using the average scores of the five categories of the administration part. When you calculate the total score, each of the averages is 'weighted' to reflect its relative importance.

Use the table below to work out your total score. In the left column, fill in the average numerical values from your scores in the five categories of the administration part.

Then calculate the weighted scores by multiplying the averages by the corresponding weights. The total of the weighted scores is your total score.

Note that the total weighted value is not necessarily your total adjusted score as a further adjustment may be applied to take account of any serious areas of weakness.

| Category | Average numerical value of category | Weight | Weighted value of category |
|---|-------------------------------------|----------|----------------------------|
| Technical performance | | x 0.50 = | |
| Administrative performance | | x 0.20 = | |
| Resources | | x 0.10 = | |
| Management | | x 0.10 = | |
| Performance improvement | | x 0.10 = | |
| Total weighted value (add all weighted numerical values) | | | |

For example:

| Category | Average numerical value of category | Weight | Weighted value of category |
|---|-------------------------------------|----------|----------------------------|
| Technical performance | 2.4 | x 0.50 = | 1.2 |
| Administrative performance | 2.0 | x 0.20 = | 0.4 |
| Resources | 2.5 | x 0.10 = | 0.25 |
| Management | 2.0 | x 0.10 = | 0.2 |
| Performance improvement | 1.7 | x 0.10 = | 0.17 |
| Total weighted value (add all weighted numerical values) | | | 2.22 |

Your total score is the total weighted value rounded to the nearest decimal place. In the example, your total score, based on a total weighted value of 2.22, is 2.2 - a good score.

The electronic scoresheet

All scores may be entered in an electronic scoresheet which is available on the NZTA website. This will calculate your total score automatically. It will also calculate an adjusted score which may be different from the total score.

How do I calculate my adjusted score?

Your total score can be adjusted downwards to reflect any major gaps in your knowledge or skills.

This is because the total score will be capped if there are any significant weaknesses in important areas. These are shown by scores of 1+ or less in any of the technical scores. The count of such scores can progressively limit the level of the total score you can achieve. Your total score adjusted by these limiters is your adjusted score.

The lowest score in the unweighted category scores may also affect the adjusted score.

These two factors, which may limit the total score to give an adjusted score, work as follows:

- a) scores of 1+ or less scored for Technical decisions and Technical competence in the Technical part, and scores of 1+ or less in any of the Administrative performance category scores (with the exception of Management). The higher the count of these scores, the lower the adjusted score will be. The following table illustrates their effect.

| Count of scores equal to or below 1+ | Maximum possible adjusted score |
|--------------------------------------|---------------------------------|
| 1 | 2.4 |
| 2 | 2.3 |
| 3 | 2.1 |
| 4 | 2.0 |
| 5 | 1.9 |
| 6 | 1.7 |
| 7 | 1.4 |
| 8 | 1.3 |
| 9 | 1.2 |
| 10 | 1.1 |
| 11 | 1.0 |

b) the lowest score in any category may downgrade the adjusted total further according to the following table.

| Lowest category average (before the weighting is applied) | The maximum adjusted score becomes: |
|---|---|
| 1.0 | 1.5 |
| 1.1 | 1.6 |
| 1.2 | 1.7 |
| 1.3 | 1.8 |
| 1.4 | 1.9 |
| 1.5 | 2.0 |
| 1.6 | 2.1 |
| 1.7 | 2.2 |
| 1.8 | 2.3 |
| 1.9 | 2.4 |
| 2 - 2.69 | 2.9 |
| 2.7 - 3 | No further adjustment made at this stage |

The final consideration

The total adjusted scores will be used to determine how often you need to be reviewed. Consistently good total adjusted scores will mean fewer reviews while consistently poor total adjusted scores will lead to more frequent reviews. Persistent low total adjusted scores will lead to some form of sanction.

Refer to the **PRS scores and actions** table on the following page for further details.

Notes for Scores and actions table

Note 1 The total score may be adjusted downwards if some category scores are below 1+.

Note 2 If there are category scores that are lower than the minima specified for a particular total score, the actual total score becomes the score that matches the lowest category score.

Note 3 'Follow-up' here means a progress check on remedial action taken by a certifier in respect of one or more elements where serious problems have been identified, either by way of:

- an NZTA-staff visit focusing on the elements
- if possible, a certifier providing documentary evidence to the NZTA, eg by mailing or faxing a *Training record*.

PRS scores and actions

| Total adjusted score ¹ | All category scores ² must be equal or higher than | Action/Result | Interval until next regular review | Comments |
|-----------------------------------|---|--|------------------------------------|--|
| 0.1 | - | Suspension for up to six months Full review required after the suspension period. | - | The total score from the full review after the suspension period must improve to at least 1.5, with no category scoring less than 1.00. First regular review following reinstatement will be after 6 months. |
| 0.2 | | | | |
| 0.3 | | | | |
| 0.4 | | | | |
| 0.5 | | | | |
| 0.6 | | | | |
| 0.7 | | | | |
| 0.8 | | | | |
| 0.9 | | | | |
| 1.0 | - | Follow-up review (full review) may be required within 2 months. | - | The total score from the follow-up review (full review) must improve to at least 1.5 with no category scoring less than 1.00. Otherwise, a suspension up to 6 months may apply. |
| 1.1 | | | | |
| 1.2 | | | | |
| 1.3 | | | | |
| 1.4 | | | | |
| 1.5 | 1.00 | Follow-up³ may be required within 4 weeks for any element scored 1+ or less. | 6 months | If elements scoring 1+ or less do not improve to 2- or higher after the follow-up, the total score will be reduced by 0.2 points for each element not improved. If, after the total score reduction, the total score is still 1.5 or lower, any element still scoring 1+ or less may require a second follow-up within 2 months. If there are still elements scoring 1+ or less after the second follow-up, a full review may be required within 2 months. A score of 2.0 or less indicates that performance may not be adequate. A letter will be sent expressing the NZTA's expectation that performance improve to at least 2.6 by the next review. |
| 1.6 | 1.10 | | 7 months | |
| 1.7 | 1.20 | | 8 months | |
| 1.8 | 1.30 | | 9 months | |
| 1.9 | 1.40 | | 10 months | |
| 2.0 | 1.50 | | 12 months | |
| 2.1 | 1.60 | | 13 months | |
| 2.2 | 1.70 | | 15 months | |
| 2.3 | 1.80 | | 16 months | |
| 2.4 | 1.90 | | 17 months | |
| 2.5 | 2.00 | - | 18 months | In order to achieve a total score of 2.5 or higher, each element score, except for management category elements, must be 2- or higher. If any element score (except for management category elements) is below 2-, the actual total score cannot exceed 2.4. |
| 2.6 | | | 19 months | |
| 2.7 | | | 20 months | |
| 2.8 | | | 22 months | |
| 2.9 | | | 23 months | |
| 3.0 | 2.70 | - | 24 months | In order to achieve a total score of 3.0, consistency must be demonstrated by a total score of 2.5 or higher in the last regular review. Otherwise the total score becomes 2.9. |

Notes 1, 2 and 3 – please see previous page

