

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:</p> <ul style="list-style-type: none"> consistently identify vehicles (including vehicle classes) and components correctly consistently certify vehicles and components only if they comply with all 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 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 reinspections since your last review carry out 'mystery shopper' exercises.
1.2	<p>Correct technical decisions</p> <p>You are consistently correct in determining if the vehicles or components you are asked to certify comply with all NZTA requirements, taking into account technical information provided by the NZTA, such as the <i>VIRM: Repair</i>.</p>	<p>The NZTA will:</p> <ul style="list-style-type: none"> talk to you observe you at work inspect vehicles and components after you have certified them inspect inspection and certification documents you use and complete inspect information you enter into the 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 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 staff ask questions to check your competence observe you 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 regularly do not achieve the correct certification outcomes.</p> <p>This means you regularly:</p> <ul style="list-style-type: none"> do not identify vehicles (including vehicle classes) or components correctly certify vehicles or components that do not comply with all NZTA requirements. <p>The incorrect certification outcomes are likely to compromise the safety of vehicle occupants or other road users.</p>	<p>You sometimes do not achieve the correct certification outcomes.</p> <p>This means you sometimes:</p> <ul style="list-style-type: none"> do not identify vehicles (including vehicle classes) or components correctly certify vehicles or components that do not comply with all 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>	

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Correct certification outcomes	
<p>You and usually achieve the correct certification outcomes.</p> <p>This means you usually:</p> <ul style="list-style-type: none">▪ identify vehicles (including vehicle classes) or components correctly, and▪ certify vehicles or components only if they comply with all 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 consistently achieve the correct certification outcomes.</p> <p>This means you:</p> <ul style="list-style-type: none">▪ consistently identify vehicles (including vehicle classes) or components correctly, and▪ consistently certify vehicles or components only if they comply with all NZTA requirements, and▪ consistently 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.
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.	

2.1	Correct use of inspection and certification documents	
	<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 checksheets or certificates ▪ <i>uncontrolled documents</i> – any documents developed by you as part of your inspection and certification work, such as brake machine print-outs ▪ <i>external documents</i> – any documents supplied by outside parties (eg vehicle owners, repairers or manufacturers) that you rely on in your inspection and certification work, such as exemption notices or engineers' certificates. <p>You consistently comply with all NZTA requirements (including <i>VIRM</i> requirements) relating to inspection and certification documents. This means you consistently:</p> <ul style="list-style-type: none"> ▪ use the correct <i>controlled documents</i> for the task, ie the ones specified by law or required or approved by the NZTA ▪ complete the <i>controlled documents</i> fully, accurately and legibly (originals and duplicates) with particular attention to details such as vehicles' VIN or chassis numbers, and registration numbers ▪ ensure that all <i>controlled documents</i> are signed, if required, by the appropriate person(s) ▪ develop any <i>uncontrolled documents</i> you need to make and/or prove your certification decisions ▪ obtain any <i>external documents</i> you need to make and/or prove your certification decisions ▪ handle all inspection and certification documents appropriately or as required, eg you attach them to vehicles, hand them to vehicle owners, or file them. 	<p>The NZTA will:</p> <ul style="list-style-type: none"> ▪ talk to you ▪ observe you at work ▪ inspect inspection and certification documents that you use and complete ▪ inspect your external documents. <p>The NZTA may:</p> <ul style="list-style-type: none"> ▪ take into account outcomes from complaints and random reinspections since your last review ▪ carry out 'mystery shopper' exercises.

2.2	<p>Administrative competence</p> <p>You are competent in all administrative aspects of the inspection and certification work carried out by your business.</p> <p>For example, you must be competent in:</p> <ul style="list-style-type: none">▪ completing checksheets and other relevant inspection and certification documentation▪ entering information into the 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▪ ask questions to check your competence▪ observe you at work▪ inspect inspection and certification documents▪ inspect the records you keep▪ inspect your <i>Training record</i>.
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2 Administrative performance

Scores

Score	0	1
2.1	<p>Correct use of inspection and certification documents</p> <p>You 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 obtain the <i>external documents</i> you need to make and/or prove your certification decisions, 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>Correct use of inspection and certification documents</p> <p>You 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 obtain the <i>external documents</i> you need to make and/or prove your certification decisions, 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> fully, accurately and legibly (originals and duplicates), or ensure that all <i>controlled documents</i> are signed, if required, by the appropriate person(s).
2.2	<p>Administrative competence</p> <p>You can demonstrate little or no competence in the administrative aspects of the inspection and certification work carried out by your business.</p> <p>This means have significant gaps in knowledge of, or skills in:</p> <ul style="list-style-type: none"> the correct use of inspection and certification documents, or entering inspection and certification information into the NZTA computer system, or using the PRS. 	<p>Administrative competence</p> <p>You can demonstrate some competence in the administrative aspects of the inspection and certification work carried out by your business.</p> <p>This means you and/or some staff have some gaps in knowledge of, or skills in:</p> <ul style="list-style-type: none"> the correct use of inspection and certification documents, or entering inspection and certification information into the NZTA computer system, or using the PRS.



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<p>You 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▪ obtain the <i>external documents</i> you need to make and/or prove your certification decisions, and▪ develop the <i>uncontrolled documents</i> your 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> fully accurately and legibly (originals and duplicates), or▪ ensure that all <i>controlled documents</i> are signed, if required, by the appropriate person(s).	<p>You 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 <i>controlled documents</i> for the task, ie the ones specified by law or required or approved by the NZTA, and▪ complete the <i>controlled documents</i> fully, accurately and legibly (originals and duplicates) with particular attention to details such as vehicles' VIN or chassis numbers, and registration numbers, and▪ ensure that all <i>controlled documents</i> are signed, if required, by the appropriate person(s), and▪ develop any <i>uncontrolled documents</i> you need to make and/or prove your certification decisions, and▪ obtain any <i>external 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>You can demonstrate adequate competence in the administrative aspects of the inspection and certification work carried out by your business.</p> <p>This means you can demonstrate adequate knowledge of, and skills in:</p> <ul style="list-style-type: none">▪ the correct use of inspection and certification documents, and▪ entering inspection and certification information into the NZTA computer system.▪ However, you have minor gaps in knowledge of, and skills in, using the PRS.	<p>You can demonstrate comprehensive competence in all administrative aspects of the inspection and certification work carried out by your business.</p> <p>This means you can demonstrate comprehensive knowledge of, and skills in:</p> <ul style="list-style-type: none">▪ the correct use of inspection and certification documents, and▪ entering inspection and certification information into the NZTA computer system, and▪ using 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>Technical equipment</p> <p>On your premises you have, or have ready access to, all technical equipment (including any manuals) required for your certification work, or required by the NZTA, such as tools and inspection equipment.</p> <p>The equipment is in good condition and working order.</p> <p>Note The score for this is the average of the technical equipment scores from the Self-assessment record — Technical part</p>	The NZTA will inspect your technical equipment.
3.3	<p>Administration equipment</p> <p>Currently no special administration equipment is required by the repair certifier.</p> <p>Do not score this section, it is not required</p>	
3.4	<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.

	What the NZTA expects of you	How the NZTA will assess your performance
3.5	<p>Controlled inspection and certification documents</p> <p>You have available blank copies of all <i>controlled documents</i> and must use and complete these as part of your inspection and certification work.</p> <p>Any <i>controlled documents</i> you have developed yourself, if permitted by the NZTA, comply with NZTA requirements.</p>	<p>The NZTA will inspect your controlled inspection and certification documents.</p>
3.6	<p>Inspection and certification staff</p> <p>You are the doing inspection and certification work and hold current and appropriate NZTA appointments for the certification work you carry out, unless you are specifically permitted by the NZTA to delegate specified parts of your inspection and certification work to persons who are not required to hold NZTA appointments.¹</p> <p>All persons to whom you have delegated inspection and certification work are competent and qualified to do the specified work.</p> <p>If you are required to drive vehicles as part of your work you hold a current driver licences for the types of vehicle.</p>	<p>The NZTA will:</p> <ul style="list-style-type: none"> ▪ talk to you ▪ talk to technicians and management of organisations to which you delegate inspection and certification work ▪ observe you at work ▪ inspect your <i>Delegation record</i>¹ ▪ inspect your driver licence.

¹ Refer to the *Repair VIRM* for duties that may be delegated.

Score	0	1
3.1	Facilities	
	<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	Technical equipment	
	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 PRS.	
3.3	Administration equipment	
	Not applicable.	Not applicable.
3.4	Technical information	
	You do not have, or do not have ready access to, the technical information required by the NZTA.	<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>

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<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 NZTA requirements (including <i>VIRM</i> requirements), and are fully adequate for the nature and volume of the inspection and certification work carried out by your business, eg in terms of access, size, lighting, flooring, features (such as a pit), layout, condition and organisation.
<p>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 PRS.</p>	
Not applicable.	Not applicable.
<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>VIRMs</i>.</p> <p>The information is complete, up to date and in good condition.</p>

Score	0	1
3.5	<p>Controlled inspection and certification documents</p> <p>You do not have available blank copies of most or any of the <i>controlled documents</i> you must use and complete as part of your inspection and certification work</p> <p>OR</p> <p>You use <i>controlled documents</i> you have developed yourself but:</p> <ul style="list-style-type: none"> ▪ you do not have permission from the NZTA to develop your own documents, or ▪ the documents do not comply with NZTA requirements. 	<p>You do not have available blank copies of some <i>controlled documents</i> you must use and complete as part of your inspection and certification work</p> <p>OR</p> <p>Some <i>controlled documents</i> you have developed yourself do not fully comply with NZTA requirements.</p>
3.6	<p>Certification staff</p> <p>You do not hold current and appropriate NZTA appointments for the certification work you carry out.</p> <p>You have delegated or contracted out work without NZTA permission.</p>	<p>You hold current and appropriate NZTA appointments for the certification work you carry out.</p> <p>However:</p> <ul style="list-style-type: none"> ▪ a person to whom you have rightfully delegated certification work does not have the required level of competence, or ▪ if you are required to drive a vehicle as part of your work do not hold a current driver licence

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<p>You have available blanks of most <i>controlled documents</i> you must use and complete as part of your inspection and certification work.</p> <p>Any <i>controlled documents</i> you have developed yourself, if permitted by the NZTA, comply with NZTA requirements.</p>	<p>You have available blanks of all controlled documents you must use and complete as part of your inspection and certification work.</p> <p>Any <i>controlled documents</i> you have developed yourself, if permitted by the NZTA, comply with NZTA requirements.</p>
	<p>You hold a current and appropriate LTSA appointments for the certification work you carry out.</p> <p>All persons to whom you have delegated certification work are competent and qualified to do the specified work.</p> <p>If you are required to drive a vehicle as part of your work you hold a current driver licence for the type of vehicle required to be driven.</p>

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"> regularly assess your level of competence make sure your competence is maintained at a high level, ie you are aware of, and competent in dealing with, new legal requirements and updates to technical information, new technologies, and new equipment. <p>You keep an up-to-date <i>Training record</i>, listing any internal and external training received.</p>	<p>The NZTA will:</p> <ul style="list-style-type: none"> talk to you inspect the records you keep, including your <i>Training record</i>.
4.2	<p>Management of facilities</p> <p>As you are using other people's facilities you cannot be expected to be held responsible for this section. Do not score this section, it is not required.</p>	
4.3	<p>Management of equipment</p> <p>You have a coordinated approach to managing your equipment. Your approach ensures that equipment is:</p> <ul style="list-style-type: none"> available in sufficient numbers for the volume of inspection and certification work carried out by your business stored as specified by the manufacturer and in locations where you have easy access actually used by you for its intended purpose maintained as specified by the manufacturer calibrated as specified by the manufacturer, or as required by the NZTA. <p>You keep an up-to-date <i>Equipment record</i> for each piece of equipment that requires regular maintenance or calibration.</p>	<p>The NZTA will:</p> <ul style="list-style-type: none"> talk to you inspect your equipment observe you at work look at your inspection and certification volumes (to check that enough equipment is available) inspect where and how your equipment is stored inspect your <i>Equipment record</i>.

	What the NZTA expects of you	How the NZTA will assess your performance
4.4	<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 have easy access ▪ 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 ▪ inspect your technical information and the locations where you keep it ▪ inspect your <i>Technical information record</i>.
4.5	<p>Management of inspection and certification documents</p> <p>You have a coordinated approach to managing your inspection and certification documents. Your approach ensures that:</p> <ul style="list-style-type: none"> ▪ all inspection and certification documents are kept safe at all times and out of reach of the public ▪ unused <i>controlled documents</i> are always kept out of reach of the public and, outside business hours, are locked in a secured safe, locker, or strong cupboard or drawer ▪ all inspection and certification documents are filed so that they can be easily retrieved ▪ you keep sufficient stock of the inspection and certification documents needed for your inspection and certification work ▪ the loss or theft of any <i>controlled documents</i> is reported immediately to the Police and the NZTA using the <i>Notification of lost or stolen controlled documents</i> form in the Master records section at the back of this manual. <p>You keep an up-to-date <i>Controlled document record</i>.</p>	<p>The NZTA will:</p> <ul style="list-style-type: none"> ▪ talk to you ▪ inspect your used and unused inspection and certification documents and the locations where you keep them ▪ inspect the way you file your inspection and certification documents ▪ inspect your <i>Controlled document record</i>.



	What the NZTA expects of you	How the NZTA will assess your performance
4.6	<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• observe you at work• inspect the location and set-up of your computers, and the storage of user names and passwords• inspect the backup copies or hard copies you keep of your electronic inspection and certification information.
4.7	<p>Management of inspection and certification staff</p> <p>You have a co-ordinated approach to managing yourself.</p> <p>Your approach ensures that:</p> <ul style="list-style-type: none">• certification decisions are made only by yourself and you hold current and appropriate NZTA appointment• there is effective communication and teamwork in your business at and across all levels and in all directions• responsibilities are clearly defined and all staff know who is responsible for what. <p>You keep an up-to-date <i>Delegation record</i> if you delegate any responsibilities such as:</p> <ul style="list-style-type: none">• updating records• updating technical information• approved technicians for chassis measuring. <p>You display or make available upon request all NZTA appointments.</p>	<p>The NZTA will:</p> <ul style="list-style-type: none">• talk to you and any contractors• observe you at work• inspect your <i>Delegation record</i> and other relevant records.

4 Management

Requirements (cont.)

	What the NZTA expects of you	How the NZTA will assess your performance
4.8	<p>Management of time</p> <p>You allocate enough time for you to carry out your inspection and certification work, allowing for the complexity of the work, your facilities, the available equipment, and your level of skill.</p> <p>This means you:</p> <ul style="list-style-type: none">• are comfortable with the time allocated and actually spent on inspection and certification work, and• do not feel under pressure to perform within time frames that are unreasonably tight.	<p>The NZTA will:</p> <ul style="list-style-type: none">• talk to you• observe you 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 competence in all aspects of your inspection and certification work is inadequate.</p> <p>This means you:</p> <ul style="list-style-type: none"> do not assess your level of competence, or make little or no effort to maintain your competence. 	<p>Your approach to managing your competence in all aspects of your inspection and certification work is barely adequate.</p> <p>This means you:</p> <ul style="list-style-type: none"> do not assess your level of competence on a regular basis, or make only limited efforts to maintain your competence at a high level <p>OR</p> <p>You do not keep a <i>Training record</i>.</p>
4.2	<p>Management of facilities</p> <p>Not applicable.</p>	<p>Management of facilities</p> <p>Not applicable.</p>
4.3	<p>Management of equipment</p> <p>Your approach to managing your equipment is inadequate.</p> <p>This means little or no equipment is:</p> <ul style="list-style-type: none"> available in sufficient numbers for the volume of inspection and certification work carried out by your business, or stored as specified by the manufacturer or in locations where you have easy access, or used as intended, or maintained or calibrated as specified by the manufacturer or as required by the NZTA. 	<p>Your approach to managing your equipment is barely adequate.</p> <p>This means you make sure equipment is available in sufficient numbers for the volume of inspection and certification work carried out by your business.</p> <p>However, you often do not make sure equipment is:</p> <ul style="list-style-type: none"> stored as specified by the manufacturer or in locations where you have easy access, or used as intended, or maintained or calibrated as specified by the manufacturer or as required by the NZTA <p>OR</p> <p>You do not keep an <i>Equipment record</i> for some or any equipment that requires regular maintenance or calibration.</p>

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<p>Your approach to managing your competence in all aspects of your inspection and certification work is adequate.</p> <p>This means you usually:</p> <ul style="list-style-type: none"> assess your level of competence on a regular basis, and make sure, for example by attending regular training courses, that your competence is maintained at a high level, ie you are aware of, and competent in dealing with, new legal requirements and updates to technical information, and are competent in dealing with new technologies and new equipment. <p>However, you do not always:</p> <ul style="list-style-type: none"> keep your <i>Training record</i> up to date. 	<p>Your approach to managing your competence in all aspects of your inspection and certification work is well coordinated.</p> <p>This means you consistently:</p> <ul style="list-style-type: none"> assess your level of competence on a regular basis, and make sure, for example by attending regular training courses, that your competence is maintained at a high level, ie you are aware of, and are competent in dealing with, new legal requirements and updates to technical information new technologies and new equipment. <p>You keep an up-to-date <i>Training record</i>, listing any training you have received.</p>
Not applicable.	Not applicable.
<p>Your approach to managing your equipment is adequate.</p> <p>This means you usually make sure equipment is:</p> <ul style="list-style-type: none"> available in sufficient numbers for the volume of inspection and certification work carried out by your business, and stored as specified by the manufacturer and in locations where you have easy access, and actually used by you for its intended purpose, and maintained as specified by the manufacturer, and calibrated as specified by the manufacturer, or as required by the NZTA. <p>You keep an <i>Equipment record</i> for each piece of equipment that requires regular maintenance or calibration, but you do not always keep your <i>Equipment record</i> up to date.</p>	<p>Your approach to managing your equipment is well coordinated.</p> <p>This means you consistently make sure equipment is:</p> <ul style="list-style-type: none"> available in sufficient numbers for the volume of inspection and certification work carried out by your business, and stored as specified by the manufacturer and in locations where you have easy access, and actually used by you for its intended purpose, and maintained as specified by the manufacturer, and calibrated as specified by the manufacturer, or as required by the NZTA. <p>You keep an up-to-date <i>Equipment record</i> for each piece of equipment that requires regular maintenance or calibration.</p>

4 Management

Scores (cont.)

Score	0	1
4.4	<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 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 <p>OR</p> <p>You do not keep a <i>Technical information record</i>.</p>
4.5	<p>Management of inspection and certification documents</p> <p>Your approach to managing your certification documents is inadequate.</p> <p>This means you do not:</p> <ul style="list-style-type: none"> ▪ keep inspection and certification documents safe, or ▪ keep unused <i>controlled documents</i> out of reach of the public, or ▪ lock unused <i>controlled documents</i> in a secured safe, locker, or strong cupboard or drawer outside business hours <p>OR</p> <p>You lost <i>controlled documents</i>, or had <i>controlled documents</i> stolen, but did not report the loss or theft to the Police or the NZTA.</p>	<p>Your approach to managing your inspection and certification documents is barely adequate.</p> <p>This means although you make some efforts to manage your certification documents, you often do not:</p> <ul style="list-style-type: none"> ▪ keep inspection and certification documents safe, or ▪ keep unused <i>controlled documents</i> out of reach of the public, or ▪ lock unused <i>controlled documents</i> in a secured safe, locker, or strong cupboard or drawer outside business hours, or ▪ file your inspection and certification documents so that they can be easily retrieved, or ▪ keep sufficient stock of <i>controlled documents</i> <p>OR</p> <p>You do not keep a <i>Controlled document record</i>.</p>



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 have easy access. <p>However, you do not always:</p> <ul style="list-style-type: none">▪ maintain your technical information in good condition, or▪ keep your <i>Technical information record</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▪ stored so you have easy access, and▪ maintained in good condition. <p>You keep an up-to-date <i>Technical information record</i>.</p>
<p>Your approach to managing your certification documents is adequate.</p> <p>This means you usually make sure that:</p> <ul style="list-style-type: none">▪ inspection and certification documents are kept safe at all times, and▪ unused <i>controlled documents</i> are always kept out of reach of the public and, outside business hours, are locked in a secured safe, locker, or strong cupboard or drawer, and▪ all inspection and certification documents are filed so that they can be easily retrieved, and▪ you keep sufficient stock of the inspection and certification documents needed for your inspection and certification work, and▪ the loss or theft of any <i>controlled documents</i> is reported immediately to the Police and the NZTA but you do not always report the loss or theft to the NZTA using the <i>Notification of lost or stolen controlled documents</i> form in the Master records section at the back of this manual. <p>However, you do not always keep your <i>Controlled document record</i> up to date.</p>	<p>Your approach to managing your certification documents is well coordinated.</p> <p>This means you consistently make sure that:</p> <ul style="list-style-type: none">▪ inspection and certification documents are kept safe at all times, and▪ unused <i>controlled documents</i> are always kept out of reach of the public and, outside business hours, are locked in a secured safe, locker, or strong cupboard or drawer, and▪ all inspection and certification documents are filed so that they can be easily retrieved, and▪ you keep sufficient stock of the inspection and certification documents needed for your inspection and certification work, and▪ the loss or theft of any <i>controlled documents</i> is reported immediately to the Police and the NZTA on the <i>Notification of lost or stolen controlled documents</i> form in the Master records section at the back of this manual. <p>You keep an up-to-date <i>Controlled document record</i>.</p>

4 Management

Scores (cont.)

Score	0	1
4.6	<p>Management of electronic inspection and certification information</p> <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>Management of electronic inspection and certification information</p> <p>Your approach to managing your electronic inspection and certification information is barely adequate.</p> <p>This means although you make some efforts to ensure that electronic inspection and certification information is kept safe, you often do not:</p> <ul style="list-style-type: none"> • have your computers, if located within reach of the public, protected by password, or • keep your user names and passwords safe and out of reach of the public, or • change your passwords on a regular basis.
4.7	<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 you and you hold a current and applicable NZTA appointment. 	<p>Management of inspection and certification staff</p> <p>Your approach to managing your staff is barely adequate.</p> <p>This means you consistently make sure that:</p> <ul style="list-style-type: none"> • certification decisions are made only by you and you hold a current and applicable NZTA appointment <p>This means although you make some efforts to manage your staff, you regularly fail to make sure that:</p> <ul style="list-style-type: none"> • responsibilities are clearly defined and all staff know who is responsible for what • there is effective communication and teamwork in your business at and across all levels and in all directions <p>OR</p> <p>You do not keep a <i>Delegation record</i>.</p>
4.8	<p>Management of time</p> <p>You do not allocate enough time for you to carry out your inspection and certification work.</p>	<p>Management of time</p> <p>You do not always allocate enough time for you to carry out your inspection and certification work.</p>



2	3
<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, such as digital photos.</p>	<p>Your approach to managing your electronic inspection and certification information is well coordinated.</p> <p>This means you consistently make sure that:</p> <ul style="list-style-type: none">▪ electronic inspection and certification information is kept safe at all times, and▪ all computers from which you access the 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, and▪ you have backup copies or hard copies of any electronic information relevant to your inspection and certification work, such as digital photos.
<p>Your approach to managing your staff is adequate.</p> <p>This means you consistently make sure that:</p> <ul style="list-style-type: none">▪ certification decisions are made only by you and you hold a current and applicable NZTA appointment <p>This means you usually make sure that:</p> <ul style="list-style-type: none">▪ responsibilities are clearly defined and all staff know who is responsible for what▪ there is effective communication and teamwork in your business at and across all levels and in all directions. <p>However, you do not:</p> <ul style="list-style-type: none">▪ always keep your <i>Delegation record</i> up-to-date, or▪ display or make available on request all NZTA appointments	<p>Your approach to managing your staff is well coordinated.</p> <p>This means you consistently make sure that:</p> <p>certification decisions are made only by you and you hold a current and applicable NZTA appointment</p> <p>there is effective communication and teamwork in your business at and across all levels and in all directions, and responsibilities are clearly defined and all staff know who is responsible for what.</p> <p>You keep an up-to-date <i>Delegation record</i>.</p> <p>You display or make available on request all NZTA appointments</p>
<p>You generally allocate enough time for you to carry out your inspection and certification work, allowing for the complexity of the work, your facilities, the available equipment, and your level of skill.</p>	<p>You allocate enough time for you to carry out your inspection and certification work, allowing for the complexity of the work, your facilities, the available equipment, and your level of skill.</p>

5 Performance improvement

Requirements

	What the NZTA expects of you	How the NZTA will assess your performance
5.1	<p>Commitment to continuous improvement</p> <p>You are committed to improving your inspection and certification work.</p> <p>This means that you actively:</p> <ul style="list-style-type: none"> • identify problems and opportunities to improve • assess the cause of problems and prioritise problems and opportunities • address problems and opportunities according to priorities and available resources. <p>You keep an <i>Improvement record</i> and record problems and opportunities to improve raised by you. All follow-up activities have been recorded in the <i>Improvement record</i>.</p>	<p>The NZTA will:</p> <ul style="list-style-type: none"> • talk to you • inspect your <i>Improvement record</i>.
5.2	<p>Regular self-assessments</p> <p>You regularly assess how well you 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 • 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.

	What the NZTA expects of you	How the NZTA will assess your performance
5.3	<p>Correct handling of complaints</p> <p>You are open to complaints and regard them as opportunities to improve.</p> <p>This means you:</p> <ul style="list-style-type: none"> display or provide to your customers your complaints policy, including information on how to lodge a complaint and your customers' right to complain to the 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 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 identified in the investigation of complaints have been recorded for follow-up.
5.4	<p>Commitment to the PRS</p> <p>You are committed to making the PRS work in and for your business.</p> <p>This means you:</p> <ul style="list-style-type: none"> actively use the system for improving your inspection and certification work are open about your problems and achievements fully cooperate during regular performance reviews. 	<p>The 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>Commitment to continuous improvement</p> <p>You and/or most of your staff show little or no commitment to improving your inspection and certification work.</p> <p>This means you and most of your staff do not make efforts to identify problems and opportunities to improve. You are often not even aware of the problems you have.</p>	<p>You and most of your staff show some commitment to improving your inspection and certification work.</p> <p>This means you are aware of:</p> <ul style="list-style-type: none"> • some problems and opportunities to improve, and • the causes of the problems and what you need to do to address them. <p>However, although you and some of your staff work around the problems, you regularly do not:</p> <ul style="list-style-type: none"> • record them in your <i>Improvement record</i>, or • work actively to address them properly.
5.2	<p>Regular self-assessments</p> <p>You do not assess how well you 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 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>.



2	3
<p>You and most of your staff show an adequate level of commitment to improving your inspection and certification work.</p> <p>This means you:</p> <ul style="list-style-type: none">actively identify and prioritise problems and opportunities to improve, andassess the cause of problems and identify what you need to do to address them. <p>However, you do not always:</p> <ul style="list-style-type: none">address the problems and opportunities as promptly as you could, orrecord all problems, opportunities and follow-ups in your <i>Improvement record</i>.	<p>You are fully committed to improving your inspection certification work.</p> <p>This means you:</p> <ul style="list-style-type: none">actively identify and prioritise problems and opportunities to improve, andassess the cause of problems and identify what you need to do to address themaddress problems and opportunities according to available resources, andrecord all problems, opportunities and follow-ups in your <i>Improvement record</i>.
<p>You regularly assess how well you 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, ordocument self-assessments by completing a <i>Self-assessment record</i>record in your <i>Improvement record</i> problems or opportunities to improve that you identify in self-assessments.	<p>You regularly assess how well you meet the NZTA's expectations as set out in the PRS.</p> <p>This means you:</p> <ul style="list-style-type: none">carry out self-assessments at least once a year (or more often as appropriate to the size of your business and the inspection and certification work carried out by your business), andcarry out self-assessments before scheduled performance reviews, anddocument each self-assessment by completing a <i>Self-assessment record</i>record in your <i>Improvement record</i> problems or opportunities to improve that you identify in self-assessments.

Score	0	1
5.3	<p>Correct handling of complaints</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.
5.4	<p>Commitment to the PRS</p> <p>You and/or most of your staff show little or no commitment to making the PRS work in and for your business.</p> <p>This means you do not:</p> <ul style="list-style-type: none"> use the system for improving your inspection and certification work, or share your problems and achievements with NZTA Transport Officers, or cooperate in NZTA reviews. 	<p>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>This means:</p> <ul style="list-style-type: none"> you make some efforts to use the system in your business, but mostly to satisfy NZTA Transport Officers, and there is a basic level of cooperation in NZTA reviews but there is a reluctance to share problems with NZTA Transport Officers.

2	3
<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, andusually handle complaints in accordance with NZTA requirements, andkeep 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 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, andhandle complaints in accordance with NZTA requirements, andkeep a <i>Complaints record</i> in which you record all verbal and written complaints, andrecord in your <i>Improvement record</i> any problems or opportunities to improve that you identify in the investigation of complaints.
<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 Transport Officers, andshow a good level of cooperation in NZTA reviews.	<p>You are fully committed to making the PRS work in and for your business.</p> <p>This means you:</p> <ul style="list-style-type: none">actively use the system for improving your inspection and certification work, andare open about your problems and achievements, andfully cooperate in NZTA reviews.

