

# Model Quality Management System

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For NZ Transport Agency-appointed Warrant of Fitness and Certificate of Fitness Inspecting Organisations

UPDATED: 1 DECEMBER 2014



### Updates on 30 October 2014

- Definitions of financial interest and conflict of interest updated in Glossary to match Notice of Appointment.

### Updates 1 December 2014

- Information about the performance monitoring and review process updated on page 4, and links to new master documents on page 26.

## PURPOSE

Inspecting organisations (IOs) are required to have a Quality Management System (QMS) in place that meets the NZ Transport Agency's (Transport Agency's) requirements as a condition of appointment. IOs that effectively adopt and implement the Transport Agency model QMS described in this document will meet those requirements.

## OBJECTIVES OF VEHICLE CERTIFICATION

Vehicle certification is about ensuring that vehicles used on New Zealand's roads meet the roadworthiness requirements defined in New Zealand law, both when they enter the fleet and throughout their on-road lives.

## OBJECTIVES OF THE QUALITY MANAGEMENT SYSTEM

The Transport Agency's goal is to improve transport for all New Zealanders by enhancing 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 requirement by the Transport Agency for quality management by certifiers is intended to:

- Focus the certifiers on certification issues, which by default are issues important to road safety
- Provide transparency of requirements against which certifier performance can be assessed
- Provide a level playing field, as the requirements apply equally to all certifiers
- Allow certifiers to measure their own performance in exactly the same way as a Transport Agency's representative does during the performance monitoring and review process
- 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 to continually improve it
- Identify certifiers who perform poorly so they can be encouraged through more frequent performance assessments to improve their performance

The Transport Agency QMS requirements set out:

- What is expected of certifiers
- The way the Transport Agency will assess certifiers' performance against these expectations

## OVERVIEW OF REQUIREMENTS

The following is an overview of the requirements that must be met.

The requirements that must be met through the QMS are the legal requirements (including the Transport Agency requirements) relating to vehicle certification. The requirements fall into six categories:

### 1. Organisational ownership and accountability

Do certifiers have clear accountability arrangements in place to avoid conflicts of interest and for the establishment, management and regular performance assessment of their QMS?

### 2. 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?

### 3. Administrative performance

Are certifiers competent in all administrative aspects of their certification work, including the proper use of documents and the correct entry of information?

### 4. Resources

Do certifiers have the right resources for their certification work, e.g. the right facilities and equipment?

### 5. Management

Do certifiers properly manage the parts of their operations that support their certification work, e.g. do they ensure that their equipment is properly maintained?

### 6. Performance improvement

Do certifiers actively identify problems and opportunities to improve and take advantage of them? Do they regularly assess their own performance? Are they open to complaints?

## HOW TRANSPORT AGENCY REPRESENTATIVES WILL USE THE QMS REQUIREMENTS

During a performance review our representative will observe any staff associated with the inspection process at work. We will compare their performance with the requirements.

We will tell you the result for each area assessed and if necessary you will be able to discuss the best way to address any non-compliance..

There are no hidden measurements or scoring systems. Our representative is encouraged to help you understand how the QMS works and how it can be used to help achieve willing compliance and continual improvement. Success for the Transport Agency will be measured in higher standards of performance by certifiers.

## USE THE QMS TO IMPROVE YOUR PERFORMANCE

We encourage certifiers to use the QMS regularly to assess their own performance and to identify problems and opportunities to improve. Internal Performance Assessment records are contained in the Master Records list.

### Benefits of good performance

While every IO will be fully reviewed at least once every five years, the Transport Agency will reward good performance review results by visiting you less often. This will reduce any disruptions to your business caused by performance reviews and give certifiers confidence that they are meeting set requirements.

## THE PERFORMANCE MONITORING AND REVIEW PROCESS

### Routine performance reviews

The first two visits of a performance review are considered 'routine' by the Transport Agency. IOs are not charged a fee for these visits.

If we identify an area of non-compliance at your initial performance review visit we will work with you and any vehicle inspectors (VIs) to inform and educate you about how to meet our requirements.

We will agree an action plan which summarises what needs to happen before you will be assessed as being compliant, and agree a timeframe for when the follow-up visit will occur.

At the follow-up visit the Transport Agency will confirm that the action plan has been completed and that you are fully compliant with our expectations. You aren't charged for this visit either.

If you are not fully compliant at the follow-up visit another action plan will be agreed.

### Non-routine performance reviews

The third and subsequent performance review visits are considered to be 'non-routine' and you will be charged \$184 per hour for the Transport Agency's time. The minimum charge for these visits is 1 hour.

This is the 'detering' phase of the performance monitoring and review process and happens as a result of performance reviews that identify areas of continued non-compliance.

This reduces our confidence in you as an IO or VI and will mean more visits so that we can monitor your performance more closely, increasing the costs to you in both non-routine performance review fees and disruptions to your business.

### Review and enforcement phase

Performance reviews that identify IOs or VIs that are failing to rectify areas of non-compliance, or where there is clear evidence of persistently unacceptable performance, will lead to the review stage of the performance monitoring and review process.

IOs or VIs will be reviewed and disciplinary action taken if required. If IOs or VIs fail to respond to warnings or suspension actions, evidence gained during performance assessments will be used to support the case for withdrawal of their Notice of Appointment.

Road safety and the maintenance of a fair vehicle certification system demand our firm and decisive action when required. When IOs or VIs fail to carry out their responsibilities we will act to remove them from the certification system. This will be done in a fair and reasonable manner and decisions will be open to appeal.

## **WORKING TOGETHER IN PARTNERSHIP**

The Transport Agency's aim is to work collaboratively with certifiers openly and transparently to achieve our joint goals of high standards of certification, which leads in turn to an improvement in road safety.

# MODEL QUALITY MANAGEMENT SYSTEM

## GLOSSARY

TERM	DEFINITION
Category	Means one of the different areas that make up inspection and certification work. There are six categories: Ownership and Accountability, Technical Performance, Administrative Performance, Resources, Management and Performance Improvement
Certifier	Means a Vehicle Inspector and/or Inspecting Organisation, depending on the context. In this document Warrant of Fitness or Certificate of Fitness
Computer system	Means the system where the certifier enters certification details
Conflict of Interest	<p>A conflict of interest means where there is, could be, or may be perceived to be, a conflict between the financial or professional interests or obligations of the inspecting organisation or vehicle inspector and their obligations under the terms of the IOs Notice of Appointment or at law.</p> <p>It means that the impartiality, independence or objectivity of the IO and/or VI may be called into question. The conflict may be (a) actual: where the conflict currently exists; (b) potential: where the conflict is about to happen or could happen; (c) perceived: where other people may reasonably think a person is compromised.</p>
Controlled document	Means a document you must use and complete as part of your inspection and certification work, such as a Warrant of Fitness or Certificate of Fitness label, check sheet, certification plate or certificate
Element	Means a detailed area relating to inspection and certification work, and related elements that are grouped together to make up a category
External document	Means any document supplied by outside parties (e.g. from vehicle owners, manufacturers or engineers) on which you rely in your inspection and certification work, such as an exemption notice

## GLOSSARY

TERM	DEFINITION
Financial Interest	Financial interest in a vehicle means, but is not limited to operating a vehicle, or deriving a benefit of making an income, directly or indirectly, from the operation of that vehicle; but, does not include where such a vehicle is being used primarily for the purpose of delivering Inspection and Certification services
Inspection and certification document	Means a document you use as part of your certification work, such as a check sheet or certification label. It includes controlled, uncontrolled and external documents
Mystery shopper exercise	Means the Transport Agency 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 Transport Agency information about how inspections are carried out between performance assessments
Performance Monitoring and Review Process	Means the process by which the Transport Agency monitors and reviews the Activities of Inspecting Organisations
QMS	Means Quality Management System
Requirements	Means the Transport Agency requirements, which are contained in this manual, your Vehicle Inspection Requirements Manual, your Code of Conduct, your Notice of Appointment and other information issued by the Transport Agency
Performance assessment	Means an assessment of your performance as a certifier, and is usually unannounced. Performance assessments are carried out by Transport Agency representatives or internally as part of the QMS requirements
Transport Agency	Means the NZ Transport Agency
Uncontrolled document	Means any document you develop yourself as part of your inspection and certification work, such as a design calculation, a technical drawing or any other documents to confirm that components meet certification requirements
VIRM	Means the Vehicle Inspection Requirements Manual. There are different VIRMs, depending on the type of certification work

# 1. ORGANISATIONAL OWNERSHIP AND ACCOUNTABILITY

WHAT THE TRANSPORT AGENCY EXPECTS OF YOU	HOW THE TRANSPORT AGENCY WILL ASSESS YOUR PERFORMANCE
<b>Delegated role and person accountable for the QMS</b>	
<p>Your organisation will:</p> <ul style="list-style-type: none"><li>• Delegate a named person who is responsible for the establishment, management and performance assessment of the QMS for the organisation</li><li>• Have a clear understanding of conflict of interest and how to identify it and avoid it</li><li>• Understand your obligations should a conflict of interest arise</li><li>• Have an escalation processes to address non-compliance</li></ul>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"><li>• Talk to you and your staff</li><li>• Inspect your <a href="#">Delegation Record</a> and any other relevant records</li><li>• Require you to demonstrate your escalation and improvement processes</li></ul> <p>The Transport Agency may:</p> <ul style="list-style-type: none"><li>• Request further details of corrective action in cases of conflicts of interest</li></ul>



## 2. TECHNICAL PERFORMANCE

WHAT THE TRANSPORT AGENCY EXPECTS OF YOU	HOW THE TRANSPORT AGENCY WILL ASSESS YOUR PERFORMANCE
<b>2.1 Correct certification outcomes</b>	
<p>You and your staff:</p> <ul style="list-style-type: none"><li>• Consistently identify vehicles (including vehicle classes) correctly</li><li>• Consistently certify vehicles only if they comply with all Transport Agency requirements</li><li>• Consistently identify vehicles that do not comply with all VIRM requirements</li><li>• Do not deny certification of vehicles if they comply with all Transport Agency requirements</li></ul>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"><li>• Observe you and your staff at work</li><li>• Inspect inspection and certification documentation</li><li>• Inspect information on the Transport Agency computer system</li></ul> <p>The Transport Agency may:</p> <ul style="list-style-type: none"><li>• Inspect vehicles and components after you have certified them</li><li>• Take into account outcomes from complaints and your previous performance assessment</li><li>• Carry out 'mystery shopper' exercises</li></ul>
<b>2.2 Correct technical decisions</b>	

You and your staff are consistently correct in determining if the vehicles or components you are asked to certify comply with all Transport Agency requirements, taking into account technical information provided by the Transport Agency, such as that in [VIRM: In-service certification](#).

The Transport Agency will:

- 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 Transport Agency computer system

The Transport Agency may:

- Take into account outcomes from complaints and your previous performance assessment
- Carry out 'mystery shopper' exercises

### 2.3 Technical competence

You and your staff are competent in all technical aspects of the inspection and certification work carried out by your business.

For example, you must be competent in:

- The technical assessments of vehicles and components
- All Transport Agency requirements (including VIRM requirements)
- The Transport Agency guidelines
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The Transport Agency will:

- 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 Training Record

The Transport Agency may:

- Administer short tests

### 3. ADMINISTRATIVE PERFORMANCE

WHAT THE TRANSPORT AGENCY EXPECTS OF YOU	HOW THE TRANSPORT AGENCY WILL ASSESS YOUR PERFORMANCE
<p><b>3.1 Correct use of inspection and certification documents</b></p>	
<p>Inspection and certification documents are:</p> <ul style="list-style-type: none"> <li>Controlled documents - documents that you must use and complete as part of your inspection and certification work, such as warrant of fitness (WoF) and certificate of fitness labels, check sheets and certificates</li> <li>Uncontrolled documents - any documents developed by you as part of your inspection and certification work, such as brake machine print-outs</li> <li>External documents - any documents supplied by outside parties (e.g. vehicle owners, repairers and manufacturers) on which you rely in your inspection and certification work, such as exemption notices and engineers' certificates and signed statements</li> </ul> <p>You and your staff consistently comply with all Transport Agency requirements (including <a href="#">VIRM</a> requirements) relating to inspection and certification documents. This means that you consistently:</p> <ul style="list-style-type: none"> <li>Use the correct controlled documents for the tasks, i.e. the ones specified by law or required or approved by the Transport Agency</li> <li>Complete the controlled documents fully, accurately and legibly (originals and duplicates) with particular attention to details</li> </ul>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>Talk to you and your staff</li> <li>Observe you and your staff at work</li> <li>Inspect inspection and certification documents that you use and complete</li> <li>Inspect your external documents</li> </ul> <p>The Transport Agency may:</p> <ul style="list-style-type: none"> <li>Take into account outcomes from complaints and your previous performance assessment</li> <li>Carry out 'mystery shopper' exercises</li> </ul>

such as vehicles' VINs (vehicle identification numbers), chassis numbers and registration numbers

- Ensure that all controlled documents are signed, if required, by the appropriate person(s)
- Develop any uncontrolled documents you need to make and/or prove your certification decisions
- Obtain any external documents you need to make and/or prove your certification decisions
- Handle all inspection and certification documents appropriately or as required, e.g. you attach them to vehicles, hand them to vehicle owners, or file them

### 3.2 Correct entry of inspection and certification information

You and your staff consistently comply with all Transport Agency requirements (including [VIRM](#) requirements) for entering inspection and certification information into the Transport Agency computer system.

This means that you consistently enter inspection and certification information into the Transport Agency's computer system correctly and promptly. For example, you enter the required information on the day vehicles are inspected and before they leave your premises.

The Transport Agency will:

- Talk to you and your staff
- Observe you and your staff at work
- Inspect information that you enter into the Transport Agency's computer system
- Compare information that you collect on inspection and certification documents with information that you enter into the Transport Agency's computer system
- Monitor when you enter information to identify patterns of late entry

The Transport Agency may:

- Take into account outcomes from complaints and random re-inspections

since your previous performance assessment

- Carry out 'mystery shopper' exercises

### 3.3 Administrative competence

You and your staff are competent in all administrative aspects of the inspection and certification work carried out by your business.

For example, you must be competent in:

- Completing check sheets and other relevant inspection and certification documentation
- Entering information into the Transport Agency's computer system using WoF Online or LANDATA
- Using the QMS, including maintaining the specified records

The Transport Agency will:

- 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 Training Record

## 4 RESOURCES

WHAT THE TRANSPORT AGENCY EXPECTS OF YOU	HOW THE TRANSPORT AGENCY WILL ASSESS YOUR PERFORMANCE
<h3>4.1 Facilities</h3>	
<p>Your facilities:</p> <ul style="list-style-type: none"> <li>• Meet all Transport Agency requirements (including VIRM requirements)</li> <li>• Are adequate for the nature and volume of the inspection and certification work carried out by your business, e.g. in terms of access, size, lighting, flooring, features (such as a pit), layout, condition and organisation</li> </ul>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>• Inspect your facilities</li> </ul>
<h3>4.2 Technical equipment</h3>	
<p>On your premises you have, or have ready access to, all technical equipment (including any user manuals) required for your certification work, or required by the Transport Agency, such as tools and inspection equipment.</p> <p>The equipment is in good condition and working order.</p>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>• Inspect your technical equipment</li> </ul>
<h3>4.3 Administration equipment</h3>	
<p>On your premises you have, or have ready access to, all administration equipment (including any user manuals) required for your certification work or required by the Transport Agency,</p>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>• Inspect your administration equipment</li> </ul>

such as a computer, specified software and access to WoF Online or LANDATA.

The equipment is in good condition and working order.

#### 4.4 Technical information

On your premises you have, or have ready access to, all technical information required by the Transport Agency, such as VIRMs.

The information is complete, up to date and in good condition.

The Transport Agency will:

- Inspect your technical information

#### 4.5 Controlled inspection and certification documents

You have blank copies of all controlled documents available and use and complete these as part of your inspection and certification work.

Any controlled documents that you have developed yourself (if permitted by the Transport Agency) comply with Transport Agency requirements.

The Transport Agency will:

- Inspect your controlled inspection and certification documents

#### 4.6 Inspection and certification staff

All staff doing inspection and certification work hold current and appropriate Transport Agency appointments for the inspection and certification work they carry out, unless you are specifically permitted by the Transport Agency to delegate specified parts of your inspection and certification work to staff who are not required to hold Transport Agency appointments.

The Transport Agency will:

- Talk to you and your staff
- Observe you and your staff at work
- Inspect your Staff Record

All staff to whom you have delegated inspection and certification work are competent and qualified to do the specified work.

All staff who are required to drive vehicles as part of their work hold current driver licences for the types of vehicle they are required to drive.

- Inspect driver licences



## 5 MANAGEMENT

WHAT THE TRANSPORT AGENCY EXPECTS OF YOU	HOW THE TRANSPORT AGENCY WILL ASSESS YOUR PERFORMANCE
<b>5.1 Management of competence</b>	
<p>You have a coordinated approach to managing your competence in all aspects of your inspection and certification work.</p> <p>This means that you:</p> <ul style="list-style-type: none"><li>• Provide for the proper induction of new staff, including temporary staff who fill in for you when you are away (if any), by making them familiar with your facilities and equipment, and the way things are done in your business</li><li>• Regularly assess your level of competence and that of your staff</li><li>• Make sure that your competence and that of your staff are maintained to a high level, i.e. you and your staff are aware of, and competent in dealing with, new legal requirements and updates to technical information, new technologies and new equipment</li><li>• You complete and keep an <u>Induction Record</u> for each new staff member, including temporary staff</li><li>• You keep an up-to-date <u>Training Record</u>, listing any internal and external training received by you and your staff</li></ul>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"><li>• Talk to you and your staff</li><li>• Inspect the records you keep, including your <u>Induction Record</u> and your <u>Training Record</u></li></ul>
<b>5.2 Management of facilities</b>	

You have a coordinated approach to managing your facilities. Your approach ensures that your facilities are kept tidy, clean, organised and in good condition

You display your Transport Agency site authorisation certificate where your customers can easily see it

The Transport Agency will:

- Talk to you and your staff
- Inspect your facilities

### 5.3 Management of equipment

You have a coordinated approach to managing your equipment. Your approach ensures that equipment is:

- Available in sufficient numbers for the volume of inspection and certification work carried out by your business and the number of staff using the equipment
- Stored as specified by the manufacturer(s) and in locations where you and your staff have easy access
- Actually used by you and your staff for its intended purpose
- Maintained as specified by the manufacturer(s)
- Calibrated as specified by the manufacturer(s), or as required by the Transport Agency

You keep an up-to-date Equipment Record for each piece of equipment that requires regular maintenance or calibration.

The Transport Agency will:

- Talk to you and your staff
- Inspect your equipment
- Observe you and your staff 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 Equipment Record

### 5.4 Management of technical information

You have a coordinated approach to managing your technical information (such as VIRMs). Your approach ensures that technical

The Transport Agency will:

- Talk to you and your staff

information is:

- Updated promptly when you receive updates from the Transport Agency
- Stored so that you and your staff have easy access
- Maintained in good condition

You keep an up-to-date Technical Information Record.

- Inspect your technical information and the locations where you keep it
- Inspect your Technical Information Record

### 5.5 Management of inspection and certification documents

You have a coordinated approach to managing your inspection and certification documents. Your approach ensures that:

- All inspection and certification documents are kept safe at all times and out of reach of the public
- Unused controlled documents are always kept out of reach of the public, and outside business hours are locked in a secured safe or locker or strong cupboard or drawer
- All inspection and certification documents are filed so that they can be easily retrieved
- You keep sufficient stock of the inspection and certification documents needed for your inspection and certification work
- The loss or theft of any controlled documents is reported immediately to the New Zealand Police and the Transport Agency using the '*Notification of lost or stolen controlled documents*' form in the Master Records section at the back of this manual
- You keep an up-to-date Controlled Document Record

The Transport Agency will:

- Talk to you and your staff
- Inspect your used and unused inspection and certification documents and the locations where you keep them
- Inspect the way you file your inspection and certification documents
- Inspect your Controlled Document Record

### 5.6 Management of electronic inspection and certification information

You have a coordinated approach to managing your electronic inspection and certification information. Your approach ensures that:

- All electronic inspection and certification information is kept safe at all times
- All computers from which you access the Transport Agency computer system are out of reach of the public and/or access to your computers is protected by password
- All user names and passwords, if recorded on paper, are kept safe and out of reach of the public
- Passwords used to protect your computers from public access are changed regularly
- You have back-up copies or hard copies of any electronic information relevant to your inspection and certification work

The Transport Agency will:

- 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 back-up copies or hard copies you keep of your electronic inspection and certification information

### 5.7 Management of inspection and certification staff

You have a coordinated approach to managing your staff. Your approach ensures that:

- Certification decisions are made only by staff who hold current and appropriate Transport Agency 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
- Vehicles are driven only by staff who hold current and appropriate

The Transport Agency will:

- Talk to you and your staff
- Observe you and your staff at work
- Inspect your Staff Record, Delegation Record and any other relevant records

driver licences

- There is effective communication and teamwork in your business at and across all levels and in all directions
- Responsibilities are clearly defined or delegated and all staff know who is responsible for what
- You keep a Staff Record listing all staff carrying out certification work. Your Staff Record is up to date and correlates with the Transport Agency's record of inspectors working in your business
- You display all Transport Agency inspector appointment certificates where your customers can easily see them

## 5.8 Management of time

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 staff levels of skill.

This means that you and your staff:

- Are comfortable with the time allocated and actually spent on inspection and certification work
- Do not feel under pressure to perform within timeframes that are unreasonably tight

The Transport Agency will:

- Talk to you and your staff
- Observe you and your staff at work
- Look at your inspection and certification volumes

## 6 PERFORMANCE IMPROVEMENT

WHAT THE TRANSPORT AGENCY EXPECTS OF YOU	HOW THE TRANSPORT AGENCY WILL ASSESS YOUR PERFORMANCE
<h3>6.1 Commitment to continual improvement</h3>	
<p>You and your staff are committed to improving your inspection and certification work.</p> <p>This means that you actively:</p> <ul style="list-style-type: none"> <li>• Identify problems and opportunities to improve</li> <li>• Assess the causes of problems and prioritise problems and opportunities</li> <li>• Address problems and opportunities according to priorities and available resources</li> <li>• Keep an Improvement Record and record problems and opportunities to improve raised by you and your staff. All follow-up activities are recorded in the <u>Improvement Record</u></li> </ul>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>• Talk to you and your staff</li> <li>• Inspect your <u>Improvement Record</u></li> </ul>
<h3>6.2 Regular Internal Performance Assessments</h3>	
<p>You regularly assess how well you and your staff meet the Transport Agency's expectations.</p> <p>The frequency of internal performance assessments is appropriate to the size of your business and the inspection and certification work carried out by your business.</p> <p>This means that you carry out a self-assessment at least once a year, or</p>	<p>The Transport Agency will:</p> <ul style="list-style-type: none"> <li>• Talk to you and your staff</li> <li>• Inspect your Internal Performance Assessment record</li> <li>• Inspect your <u>Improvement Record</u> to check that any problems or opportunities to improve that have been identified during self-assessments have been recorded for follow-up</li> </ul>

more often if necessary.

You record each Internal Performance Assessment by completing an Internal Performance Assessment record, which is filed in this folder.

You record any problems or opportunities to improve that you identify during Internal Performance Assessments in your [Improvement Record](#) for follow-up.

### 6.3 Correct handling of complaints

You and your staff are open to complaints and regard them as opportunities to improve.

This means that you:

- Display or provide to your customers your complaints policy, including information on how to lodge a complaint and your customers' right to complain to the Transport Agency
- Handle complaints in accordance with Transport Agency requirements
- Keep a [Complaints Record](#) in which all verbal and written complaints are recorded
- Record for follow-up any problems or opportunities to improve that you identify in the investigation of complaints in your Improvement Record

The Transport Agency will:

- Inspect your complaints policy
- Talk to you and your staff
- Inspect your [Complaints Record](#) to check that any complaints against you, including any complaints raised with the Transport Agency, have been recorded and handled in accordance with Transport Agency requirements
- Inspect your [Improvement Record](#) to check that any problems or opportunities to improve identified in the investigation of complaints have been recorded for follow-up

### 6.4 Commitment to Transport Agency requirements

You and your staff foster a culture of willing compliance in your business.

This means that you:

- Actively use the QMS for improving your inspection and certification

The Transport Agency will:

- Talk to you
- Look at previous assessments

work

- Are open about your problems and achievements
- Retain two most recent performance assessment reports
- Fully cooperate during performance assessments

- Assess your level of cooperation during performance assessments



## MEASURING YOUR PERFORMANCE

As part of your QMS you are expected to assess your performance regularly, in a process known as an Internal Performance Assessment. You can do this using the internal Performance Assessment check sheet available in the Master Records section.

This section explains how to carry out an Internal Performance Assessment. Transport Agency representatives will use the same method when they assess your performance to see how well you meet the Transport Agency's requirements.

### Purpose of Internal Performance Assessments

When an Internal Performance Assessment is carried out, the main purpose is to assess performance against the Transport Agency requirements listed in the VIRM. This will enable you to identify and address any issues and improve your inspection process.

It will also help you to achieve the best result possible, giving the Transport Agency confidence in your ability, in turn reducing the frequency of Transport Agency assessments of you.

When carrying out an Internal Performance Assessment, if you identify any areas where you need improvement, you ensure that corrective action is taken and recorded.

### Overview of an Internal Performance Assessment

Before you do your first Internal Performance Assessment, you should read these guidelines so you know how to assess your performance. The importance of the internal performance assessment is not that it is done, but that it is done genuinely. To help you understand the Internal Performance Assessment process, the brief outline below shows you what is involved.

1. An Internal Performance Assessment can be carried out by an individual on themselves, a member of staff or an external person. Due to the technical aspect of the certification process it is important that the person doing the Internal Performance Assessment is sufficiently qualified to understand and adjudge the part of the process in which the performance is being assessed.
2. It involves using a hard copy of an Internal Performance Assessment check sheet which contains both a general part and a technical part. Alternatively, you may use the electronic Internal Performance Assessment check sheet.
3. You will observe a staff member involved in any part of the inspection process against the requirements of the VIRM and this model QMS. It is beneficial to review all internal processes regularly; however, you may choose not to do a complete performance assessment at one time.
4. Technical part
  - You may choose to observe a certifier carrying out an inspection, or carry out an inspection yourself, arrange for another inspector to observe your inspection (peer performance assessment) or re-inspect a vehicle or component after a certifier has completed an inspection.
  - Your Internal Performance Assessment record has space for 13 vehicle components that you might want to assess; however, the Transport Agency recommends that you do self-assessments on all items over a period of time.
5. Make notes on the check sheet next to the relevant headings as to whether the requirements for the tasks are being met.

6. Non-compliance with the Transport Agency requirements is a breach of your Notice of Appointment (NoA) and should be corrected immediately to ensure it doesn't happen again, with the breach and the subsequent corrective action recorded to enable future monitoring of the issue. Records of corrective actions are a sign of willing compliance and will not be perceived as evidence of NoA breaches by Transport Agency representatives.
7. Corrective action records should be reviewed in preparation for the next Internal Performance Assessment and monitoring the issue should become part of the performance assessment.
8. Internal Performance Assessment documents should be filed when completed for future performance assessments by yourself and Transport Agency representatives.

### Master records list

You can download copies of the master records from <http://vehicleinspection.nzta.govt.nz/prs-qms/qms>

- Complaints Record
- Controlled Document Record
- Delegation Record
- Electronic Internal Performance Assessment check sheet
- Equipment Record
- Improvement Record
- Induction Record
- Internal Performance Assessment check sheet (complete manually)
- Notification of lost or stolen controlled documents
- Notification of vehicle inspector transfer
- Staff Record
- Technical Information Record
- Training Record