



Model quality management system (QMS)

For NZ Transport Agency Waka Kotahi-appointed new light vehicle entry inspecting organisations/vehicle compliance inspectors

February 2026

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More information

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Purpose

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

Objectives of new light vehicle entry certification

New Light Vehicle Entry Inspection is primarily about ensuring that vehicles entering New Zealand's fleet meet the required standards defined in New Zealand law.

Objectives of the QMS

The goal of NZTA 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 Inspecting Organisations (IOs) and Vehicle Compliance Inspectors (VCIs), this means following the requirements specified in the [Vehicle inspection requirements manual \(VIRM\)](#) and other required documentation.

The requirement by NZTA for quality management by IOs is intended to:

- focus the VCIs on certification issues, which by default are issues important to road safety.
- provide transparency of requirements against which the VCIs performance can be assessed.
- provide a level playing field, as the requirements apply equally to all IOs and VCIs.
- allow IOs and/or VCIs to measure their own performance in exactly the same way as an NZTA representative does during the performance monitoring and audit process.
- allow and encourage IOs and/or VCIs to identify problems and opportunities to improve so they can take early action of their own initiative.
- identify IOs and/or VCIs who perform well so they can be given incentives to maintain their performance and look for ways to continually improve it.
- identify IOs and/or VCIs who perform poorly so they can be encouraged through more frequent performance audits to improve their performance.

NZTA QMS requirements set out:

- what is expected of IOs and VCIs.
- the way NZTA will assess IOs and VCIs 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 NZTA requirements) relating to vehicle certification. The requirements fall into six categories:

1. Organisational ownership and accountability

IOs/VCIs must undertake their certification work bearing in mind any potential conflicts of interest or inappropriate influences.

2. Technical performance

Do VCIs ensure that correct technical decisions are made around vehicle classes, standards, and components? Are they competent in all technical aspects of their certification work?

3. Administrative performance

Are VCI, their staff, and their PDI authorised dealers competent in all administrative aspects of their certification work, including the proper use of documents and the correct entry of information?

4. Resources

Do IOs and VCIs have the right resources for their certification work, e.g., statements of compliance supported by homologation documents/test certificates, and technical information for each model they are distributing?

5. Management

Do IOs and VCIs properly manage the parts of their operations that support their certification work? e.g. their PDI authorised dealers, recalls, training, technical information?

6. Performance improvement

Do IOs and VCIs actively identify problems and opportunities to improve and take advantage of them? Do they regularly assess their own performance?

How NZTA representatives will use the QMS requirements

During a performance audit our representative will review SOCs & homologation records (as required) to ensure that the standards recorded are accepted in NZ.

We will visit a random selection of dealers you have authorised for PDI, to compare their performance with our requirements, and we will ask you to demonstrate what systems and processes you have in place and determine if they meet 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 NZTA will be measured in higher standards of performance by IOs and VCIs.

Use the QMS to improve your performance

We encourage IOs and VCIs 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 below.

Benefits of good performance

While every IO/VCI will be fully audited at least once every three years, NZTA will reward good performance audit results by visiting you less often. This will reduce any disruptions to your business caused by performance audits and give IOs and VCIs confidence that they are meeting set requirements.

The performance monitoring and audit process

Routine audits

The first two visits of the audit process are considered 'routine' by NZTA. IOs are not charged a fee for these visits. If we identify an area of non-compliance at the initial audit, we will work with you to inform and educate you about how to meet requirements.

We will summarise what needs to happen before you will be assessed as being compliant and advise a timeframe for when the first audit follow-up will occur. If an audit follow-up is required, NZTA will confirm that any non-compliance has been addressed and that you are fully compliant with our expectations. There is no charge for the first audit follow-up.

If you are not fully compliant at the first audit follow-up, we will summarise what needs to happen before you will be assessed as being compliant and advise a timeframe for when the second audit follow up will occur. Any audit follow-ups after the first one, are deemed to be non-routine.

Non-routine audits

The second and subsequent audit follow-ups are considered 'non-routine', and you will be charged \$184 (plus GST) per hour for NZTA time. The minimum charge for these visits is one hour.

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

This reduces our confidence in you as an IO/VCI, which increases your risk profile. An increased risk profile means we will undertake more frequent performance monitoring, which may increase the costs to you in both non-routine audit fees and disruptions to your business.

Audit and enforcement phase

Performance audits and audit follow-ups that identify IOs and VCIs that are failing to rectify areas of non-compliance, or showing evidence of persistently unacceptable performance, will lead to the audit and enforcement stage of the performance monitoring and audit process.

IOs and VCIs performance will be investigated, and disciplinary action taken if required.

If IOs and VCIs fail to respond to warnings or suspension actions, evidence gained during performance audits and audit follow-ups will be used to support the case for revocation of their Notice of Appointment (and hence their access to any NZTA system)

Vehicle safety and the maintenance of a fair vehicle certification system demand our firm and decisive action when required. When IOs and VCIs 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 aim of NZTA is to work collaboratively with IOs and VCIs openly and transparently to achieve our joint goals of high standards of certification, which leads in turn to an improvement in vehicle safety.

Glossary

TERM	DEFINITION
Inspection and certification document	Means a document you use as part of your certification work, such as a PDI checksheet, Statement of Compliance. It includes internal and external documents.
Inspecting organisation (IO)	Means an organisation appointed by NZTA responsible for inspection and certification outcomes.
Performance monitoring and audit process	Means the process by which NZTA monitors and audits the activities of IOs/VCI
QMS	Means quality management system
Random inspection	An unannounced NZTA monitoring activity to inspect/verify IO and VCI compliance outcomes.
Requirements	Means NZTA requirements, which are contained in this manual, the <i>Vehicle inspection requirements manual</i> , your <i>Notice of Appointment</i> , and other information issued by NZTA.
Performance audit	Means an audit of your performance as an IO/VCI and is usually announced. Performance audits are carried out by NZTA representatives or by the IO as part of the annual QMS requirements
Vehicle Compliance Inspector (VCI)	means an individual appointed by NZTA to carry out inspection and certification activities in accordance with requirements and conditions imposed by NZTA.
VIRM	Means the <i>Vehicle inspection requirements manual</i> . There are different VIRMs, depending on the type of certification work.
NZTA	Means New Zealand Transport Agency Waka Kotahi

1. Organisational ownership and accountability

What NZTA expects from you	How NZTA will assess your performance
1.1 Role and person(s) accountable for the QMS	
<p>Your organisation will:</p> <ul style="list-style-type: none">• be able to demonstrate a sound understanding of all NZTA requirements for new light entry certification.• be responsible for, and have a sound understanding of the establishment and management of the QMS• ensure your appointed VCI has a sound understanding of the operation and usage of the QMS• ensure that, if any function of the QMS is carried out by persons other than the VCI, you have a delegation record in place.• have an escalation and improvements process in your QMS to address non-compliance.	<p>NZTA will:</p> <ul style="list-style-type: none">• inspect your procedures and processes• inspect your Delegation record and any other relevant records• require you to demonstrate your escalation and improvement processes.

2. Technical performance

What NZTA expects from you	How NZTA will assess your performance
2.1 Correct certification outcomes	
<p>You and your VCI:</p> <ul style="list-style-type: none"> consistently identify vehicles (including determining vehicle class) correctly consistently certify vehicles only if they comply with all NZTA requirements. consistently ensure that new models have a Statement of Compliance (SOC) to confirm vehicle standards comply with standards accepted in NZ, and that the homologation documents and test certificates underpinning the SOC are available upon request. consistently identify any vehicles that do not comply with all VIRM requirements. 	<p>NZTA will:</p> <ul style="list-style-type: none"> inspect inspection and certification documents you use and complete. inspect and analyse information in the NZTA system. <p>NZTA may:</p> <ul style="list-style-type: none"> inspect vehicles and components after you have certified them. consider outcomes from complaints, random inspections, and your previous performance audit results request homologation documents and test certificates for a vehicle model
2.2 Correct technical decisions	
<p>You and your VCI are consistently correct in determining if the vehicles or components you certify comply with all NZTA requirements, taking into account technical information provided by the manufacturer, NZTA, and in the VIRM: Entry certification (new light entry)</p>	<p>NZTA will:</p> <ul style="list-style-type: none"> inspect inspection and certification documents you use and complete. inspect and analyse information on the NZTA system. <p>NZTA may:</p> <ul style="list-style-type: none"> inspect vehicles and components after you have certified them. consider outcomes from complaints and random inspections, and your previous performance audit results carry out random inspections.

3. Administrative performance

What NZTA expects from you	How NZTA will assess your performance
3.1 Correct use of certification documents	
<p>Inspection and certification documents are:</p> <ul style="list-style-type: none"> • internal documents – any documents developed by you as part of your inspection and certification work • external documents – any documents supplied by outside parties on which you rely in your inspection and certification work. <p>You, your staff, and your PDI authorised dealers consistently comply with all NZTA requirements (including VIRM requirements) relating to inspection and certification documents. This means that you consistently:</p> <ul style="list-style-type: none"> • complete all documents accurately and legibly with particular attention to details such as vehicles' VINs (vehicle identification numbers), and model codes, and component standards. • ensure that all certification documents are signed, if required, by the appropriate person(s) • ensure that PDI checksheets are completed in full, are signed by the PDI technician and counter-signed by the service manager or delegated person • develop any internal 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 and file them for 5 years. 	<p>NZTA will:</p> <ul style="list-style-type: none"> • inspect certification documents you use and complete • inspect PDI checksheets completed by you or your authorised dealers • inspect and analyse information on the NZTA systems. <p>NZTA may:</p> <ul style="list-style-type: none"> • inspect vehicles and components after you have certified them • consider outcomes from complaints and random inspections, and your previous performance audit results • carry out random inspections.
3.2 Correct entry of certification information	
<p>You, your staff, and your authorised dealers consistently comply with all NZTA requirements (including VIRM requirements) for entering certification information into all NZTA systems.</p> <p>This means that you, your staff and your authorised dealers are consistently:</p>	<p>NZTA will:</p> <ul style="list-style-type: none"> • inspect inspection and certification documents you use and complete • inspect and analyse information on the NZTA system.

<ul style="list-style-type: none"> entering certification information into NZTA systems correctly, accurately, and promptly ensuring that PDI inspections are entered same day as the inspection ensuring that WoF/CoF A inspections are entered into the system before the vehicle leaves the in-service inspecting organisation. 	<ul style="list-style-type: none"> consider your quarterly results for late PDI entries <p>NZTA may:</p> <ul style="list-style-type: none"> consider outcomes from complaints and random inspections, and your previous performance audit results carry out random inspections of certification documents monitor when information is entered into NZTA systems to identify patterns of incorrect data entry.
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3.3 Administrative competence

<p>You, your staff, and your authorised dealers are competent in all administrative aspects of the inspection and certification work carried out by and on behalf of your business.</p> <p>This means you must be competent in:</p> <ul style="list-style-type: none"> completing relevant inspection and certification documentation such as PDI checksheets following the Inspection process as detailed in the VIRM: Entry certification (new light entry) entering vehicle information into all NZTA systems using the QMS, including maintaining the specified records. 	<p>NZTA will:</p> <ul style="list-style-type: none"> inspect inspection and certification documents you use and complete inspect and analyse information on the NZTA system. <p>NZTA may:</p> <ul style="list-style-type: none"> consider outcomes from complaints and random inspections, and your previous performance audit results carry out random inspections of certification documents monitor when you enter information to identify patterns of incorrect data entry.
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4. Resources

What NZTA expects from you	How NZTA will assess your performance
4.1 Facilities	
<p>Your facilities, including those of your authorised dealers:</p> <ul style="list-style-type: none"> • meet all NZTA requirements (including VIRM requirements) • 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, equipment, layout, condition. 	<p>NZTA will:</p> <ul style="list-style-type: none"> • inspect your facilities • inspect the facilities of your authorised dealers.
4.2 Technical equipment	
<p>Your facilities, including those of your authorised dealers have ready access to all technical equipment required for your certification work, or required by NZTA, such as tools and inspection equipment.</p> <p>The equipment is in good condition/working order, calibrated and or maintained as required by NZTA or the manufacturer.</p>	<p>NZTA will:</p> <ul style="list-style-type: none"> • inspect the technical equipment • inspect the equipment records held by your authorised dealers to ensure they are up to date.
4.3 Technical information	
<p>You, your staff, and your authorised dealers have access to all technical information required by the manufacturer and NZTA, such as VIRMs and any technical manuals for the products you distribute.</p>	<p>NZTA will:</p> <ul style="list-style-type: none"> • ask you to demonstrate your access to required technical information • ask your authorised dealers to demonstrate their access to required technical information.

5. Management

What NZTA expects from you	How NZTA will assess your performance
<h3>5.1 Management of competence</h3>	
<p>Your IO has a coordinated approach to managing competence in all aspects of inspection and certification work.</p> <p>This means that your IO:</p> <ul style="list-style-type: none"> • using a thorough induction process, ensures that any new VCI has a comprehensive understanding of the responsibilities and requirements of the new entry process • keeps an Induction record if there is a change in the VCI • regularly assesses the level of competence of the appointed VCI and any staff involved in the entry process (including staff at your authorised dealers) • makes sure that the competence of the appointed VCI and any staff involved in the entry process is maintained to a high level, i.e. they are aware of and competent in dealing with new legal requirements and updates to technical information, new technologies and new equipment • can show evidence of training received by the VCI and the PDI technicians at the authorised dealers. 	<p>NZTA will:</p> <ul style="list-style-type: none"> • talk to you and your authorised dealers • inspect any records, including Induction records and Training records • require you to demonstrate your online training system (if you have one) • discuss how you manage training for new models/technology.
<h3>5.2 Management of authorised dealers</h3>	
<p>Your IO/VCI has a coordinated approach to managing your authorised dealers, ensuring they are aware of and adhering to NZTA requirements.</p> <p>This means that your IO/VCI:</p> <ul style="list-style-type: none"> • has a process in place to continually monitor compliance at your authorised dealers • ensures that an internal assessment using the NZTA Dealer checklist is carried out at least once in a 12-month period. 	<p>NZTA will:</p> <ul style="list-style-type: none"> • discuss your process with you • ask you to show evidence of your register showing completion of dealer assessments • assess your completed NZTA dealer checklists and any subsequent follow up actions/improvements • discuss any findings and/or recurring issues with you.
<h3>5.3 Management of equipment</h3>	
<p>Your IO/VCI ensures that your authorised dealers have equipment that is:</p>	<p>NZTA will:</p> <ul style="list-style-type: none"> • inspect the equipment

<ul style="list-style-type: none"> • required by the manufacturer to carry out a PDI inspection • maintained/calibrated as specified by the manufacturer(s) or as required by NZTA • ensures that you or your authorised dealers keep an up-to-date Equipment record for each piece of equipment that requires maintenance or calibration • ensures that all technicians are competent in the use of required PDI equipment, and this is recorded on the equipment record. 	<ul style="list-style-type: none"> • talk to your authorised dealers • inspect Equipment records • discuss any issues and require you to rectify/remedy promptly.
<h4>5.4 Management of technical information</h4>	
<p>Your IO/VCI have a coordinated approach to managing technical information (such as VIRM/QMS and manufacturer(s) updates).</p> <p>This means that your technical information is:</p> <ul style="list-style-type: none"> • updated promptly when you receive updates from NZTA or the manufacturer(s) • available and easily accessible by your staff, and your authorised dealer network. <p>You (the VCI) ensure that VIRM/QMS updates are recorded on your Technical Information Record.</p>	<p>NZTA will:</p> <ul style="list-style-type: none"> • talk to you about the accessibility of technical information, both for yourself and your authorised dealers • require you and your authorised dealers to provide a demonstration of any online systems/portals you are using • discuss how you are ensuring the technical information is promptly read and understood by you and your authorised dealers • inspect your Technical Information Record
<h4>5.5 Management of inspection and registration documents</h4>	
<p>Your IO/VCI has a coordinated approach to managing your inspection and registration documents.</p> <p>This approach ensures that:</p> <ul style="list-style-type: none"> • any MR2A forms are kept safe at all times, including in transit to your authorised dealers • PDI checksheets and SOCs are filed so that they can be easily retrieved • Homologation documents are available upon request, to support the standards recorded on the SOCs. 	<p>NZTA will:</p> <ul style="list-style-type: none"> • discuss how you are managing your inspection and registration documents • ask you about availability of homologation documents.
<h4>5.6 Management of NZTA system access</h4>	
<p>You, your staff, and your authorised dealer network have a coordinated approach to managing access to NZTA systems.</p> <p>This approach ensures that:</p>	<p>NZTA will:</p> <ul style="list-style-type: none"> • inspect the location and set-up of computers, and the storage of usernames and passwords at your authorised dealers

<ul style="list-style-type: none"> • all electronic inspection and certification information is kept safe at all times • all computers from which you access NZTA computer systems are out of reach from any unauthorised persons and/or access to your computers is protected by password • all usernames and passwords are kept safe and out of reach from any unauthorised persons. 	<ul style="list-style-type: none"> • discuss how you manage your electronic inspection and certification processes, including access and administration.
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5.7 Management of inspection and certification staff

<p>You, and your authorised dealers have a coordinated approach to managing staff.</p> <p>This approach ensures that:</p> <ul style="list-style-type: none"> • pre-delivery inspection decisions are made only by staff who have been approved by the VCI and granted access to the PDI system by NZTA • PDI inspectors hold a current and appropriate class of licence for the vehicles they are driving, as part of the PDI inspection • WoFs are only carried out by inspectors who hold a current NZTA appointment for the appropriate inspection category. 	<p>NZTA will:</p> <ul style="list-style-type: none"> • talk to your authorised dealers about the system they have in place to check driver licences • use information on the Driver Licensing system to ensure all PDI technicians have a current driver licence, prior to our visit • inspect a selection of PDI/WOF checksheets to ensure no unauthorised inspections are taking place. <p>NZTA may:</p> <ul style="list-style-type: none"> • ask to physically sight the driver licence of any authorised PDI technician • inspect your authorised dealer’s delegation record.
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5.8 Management of time

<p>The time allowed for you and your authorised dealers to carry out your certification and inspection work, must be adequate to ensure consistently compliant outcomes.</p> <p>This means that when time is allocated, you and your authorised dealers:</p> <ul style="list-style-type: none"> • allow for the complexity of the work • 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 unreasonable. 	<p>NZTA will:</p> <ul style="list-style-type: none"> • talk to you and your authorised dealer network • discuss any issues with you.
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6. Performance improvement

What NZTA expects from you	How NZTA will assess your performance
6.1 Commitment to continual improvement	
<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"> • identify problems and opportunities to improve (eg late PDI entries, or problems found at dealer visits) • assess the cause of problems and prioritise opportunities to rectify/remedy promptly • keep an Improvement record and record problems and opportunities to improve raised by you and your staff. • ensure all follow-up activities are recorded in the Improvement record 	<p>NZTA will:</p> <ul style="list-style-type: none"> • talk to you and your staff. • inspect your Improvement record to check that any problems or opportunities to improve have been recorded and rectified/remedied • identify and discuss any recurring problems with you.
6.2 Regular internal performance assessments	
<p>You regularly assess how well you, your staff, and your authorised dealer network meet NZTA 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 but must be completed at least annually.</p> <p>Refer to Measuring your Performance section below for details of Internal Performance Assessments.</p>	<p>NZTA will:</p> <ul style="list-style-type: none"> • talk to you and your staff • inspect your VCI internal assessment sheets • identify and discuss any recurring problems with you.
6.3 Management of vehicle safety recalls	
<p>You comply with the legal requirements to notify NZTA of any safety related defects in a vehicle production run (safety recall). This means that you:</p> <ul style="list-style-type: none"> • update MIAMI with the details of the recall • ensure that vehicle owners are promptly informed of any safety related recalls and how to have their vehicles repaired. • ensure that all recalls are treated with urgency and repairs are carried out as expeditiously as possible. • monitor recall completion and progress 	<p>NZTA will:</p> <ul style="list-style-type: none"> • talk to you and your authorised dealers about your recall process • review the NZTA vehicle safety recall website • talk to you about how you monitor completion and progress rates.

6.4 Commitment to NZTA requirements

You, your staff and your authorised dealers foster a culture of willing compliance. This means that you:

- actively use the QMS for improving your inspection and certification work
- fully co-operate during NZTA performance assessments.
- are aware of and adhere to all NZTA requirements

NZTA will:

- talk to you and your authorised dealers
- look at previous assessment results
- assess your level of cooperation during performance reviews.

Measuring your performance

As part of your QMS you are expected to assess your performance regularly (at least annually), in a process known as an Internal Performance Assessment. You can do this using the internal Performance Assessment checklist available in the [Master Records section](#) of the New Entry QMS.

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

Purpose of internal performance assessments

When an internal performance assessment is carried out, the main purpose is to assess performance against NZTA 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 NZTA confidence in your ability, in turn reducing the frequency of NZTA assessments of your Inspecting Organisation.

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 checklist which contains both a general part and a technical part. Alternatively, you may use the electronic internal performance assessment checklist.
3. Technical part

Review manufacturers process for PDI inspections carried out by your authorised dealer network to ensure that the process is up to date and reflects new models

4. Make notes on the checklist next to the relevant headings as to whether the requirements for the tasks are being met.
5. Non-compliance with NZTA 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 your future monitoring of the issue.
6. 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.
7. Internal performance assessment documents should be filed when completed for future performance assessments by yourself and NZTA representatives.

Master records list

You can download copies of the master records from the Master records section of the QMS: New light entry webpage.

[QMS: Entry certification \(new light entry\) webpage](#)

VCI internal assessment sheet

Training record

Technical information record

Induction record

Improvement record

Delegation record

Notification of lost or stolen controlled documents

Notification of vehicle inspector transfer