



MODEL QUALITY MANAGEMENT SYSTEM

For Waka Kotahi NZ Transport Agency-appointed
used entry certification inspecting organisations

MAY 2021

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More information

Waka Kotahi NZ Transport Agency
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If you have further queries, call our contact centre on 0800 699 000 or write to us:

Waka Kotahi NZ Transport Agency
Private Bag 6995
Wellington 6141

This document is available on the Waka Kotahi website at <https://vehicleinspection.nzta.govt.nz>

Contents

MODEL QUALITY MANAGEMENT SYSTEM	1
PURPOSE	4
OBJECTIVES OF USED ENTRY VEHICLE CERTIFICATION	4
OBJECTIVES OF THE QUALITY MANAGEMENT SYSTEM	4
OVERVIEW OF REQUIREMENTS	5
1. Organisational ownership and accountability	5
2. Technical performance	5
3. Administrative performance	5
4. Resources	5
5. Management	5
6. Performance improvement.....	5
HOW WAKA KOTAHI REPRESENTATIVES WILL USE THE QMS REQUIREMENTS.....	5
USE THE QMS TO IMPROVE YOUR PERFORMANCE	6
Benefits of good performance	6
THE PERFORMANCE MONITORING AND REVIEW PROCESS	6
Routine performance reviews	6
Non-routine performance reviews.....	6
Review and enforcement phase	6
WORKING TOGETHER IN PARTNERSHIP	7
Glossary	8
1. ORGANISATIONAL OWNERSHIP AND ACCOUNTABILITY	10
2. Technical performance	11
3. Administrative performance	13
4. Resources	15
5. Management.....	17
6. Performance improvement	21
MEASURING YOUR PERFORMANCE	23
Purpose of internal performance assessments	23
Overview of an internal performance assessment.....	23
Master records list.....	24

PURPOSE

Inspecting organisations (IOs) are required to have a quality management system (QMS) in place that meet Waka Kotahi NZ Transport Agency requirements as a condition of appointment. IOs that effectively adopt and implement the model QMS described in this document will meet those requirements.

OBJECTIVES OF USED ENTRY VEHICLE CERTIFICATION

Used entry vehicle certification is about ensuring that vehicles entering New Zealand's fleet meet the required standards defined in New Zealand law.

OBJECTIVES OF THE QUALITY MANAGEMENT SYSTEM

The goal of Waka Kotahi 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 and vehicle inspectors (VIs), this means following the requirements specified in their *Vehicle inspection requirements manual* (VIRM) and other required documentation.

The requirement by Waka Kotahi for quality management by inspecting organisations is intended to:

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

Waka Kotahi QMS requirements set out:

- what is expected of inspecting organisations and or vehicle inspectors.
- the way Waka Kotahi will assess inspecting organisations and or vehicle inspectors' 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 Waka Kotahi requirements) relating to vehicle certification. The requirements fall into six categories:

1. Organisational ownership and accountability

Do inspecting organisations 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 vehicle inspectors 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 vehicle inspectors competent in all administrative aspects of their certification work, including the proper use of documents and the correct entry of information?

4. Resources

Do inspecting organisations and vehicle inspectors have the right resources for their certification work, eg the right facilities and equipment?

5. Management

Do inspecting organisations properly manage the parts of their operations that support their certification work, eg do they ensure that their equipment is properly maintained?

6. Performance improvement

Do inspecting organisations and or vehicle inspectors 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 WAKA KOTAHI 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 Waka Kotahi will be measured in higher standards of performance by inspecting organisations and vehicle inspectors.

USE THE QMS TO IMPROVE YOUR PERFORMANCE

We encourage inspecting organisations and vehicle Inspectors 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 inspecting organisation and vehicle inspector will be fully reviewed at least once every three years, Waka Kotahi 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 inspecting organisations and vehicle inspectors 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 Waka Kotahi. Inspecting organisations are not charged a fee for these visits.

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

We will summarise what needs to happen before you will be assessed as being compliant, and advise a timeframe for when the first follow-up visit will occur.

At the first follow-up visit Waka Kotahi will confirm that any non-compliance has been addressed 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 first follow-up visit. We will summarise what needs to happen before you will be assessed as being compliant and advise a timeframe for when the second follow up visit will occur. This visit (third visit) is deemed to be non-routine.

Non-routine performance reviews

The third and subsequent performance review visits are considered to be 'non-routine' and you will be charged \$184 (GST) per hour for Waka Kotahi time. The minimum charge for these visits is one 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 inspecting organisation and vehicle inspectors, 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 inspecting organisations and vehicle inspectors 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.

Inspecting organisations or vehicle inspectors will be reviewed and disciplinary action taken if required. If inspecting organisations or vehicle inspectors 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 inspecting organisations and vehicle inspectors 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 Waka Kotahi 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.

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 checksheet or certification label. It includes controlled, uncontrolled and external documents
Inspecting organisation (IO)	Means a person or organisation appointed by Waka Kotahi who is responsible for inspection and certification outcomes.
Mystery shopper exercise	Means Waka Kotahi 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 Waka Kotahi information about how inspections are carried out between performance assessments
Performance monitoring and review process	Means the process by which Waka Kotahi monitors and reviews the activities of inspecting organisations
QMS	Means quality management system
Random inspection	An un-announced Waka Kotahi visit to an IO to inspect the QMS, completed vehicle inspections, VI inspection processes, site/equipment standards or all of the above.
Requirements	Means Waka Kotahi requirements, which are contained in this manual, your <i>Vehicle inspection requirements manual</i> , your <i>Code of Conduct</i> , your <i>Notice of Appointment</i> and other information issued by Waka Kotahi
Performance assessment	Means an assessment of your performance as an inspecting organisation and/ or vehicle Inspector and is usually unannounced. Performance assessments are carried out by Waka Kotahi representatives or internally as part of the QMS requirements
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

Vehicle inspector (VI)	means an individual appointed by Waka Kotahi to carry out inspection and certification activities in accordance with requirements and conditions imposed by Waka Kotahi.
VIRM	Means the <i>Vehicle inspection requirements manual</i> . There are different VIRMs, depending on the type of certification work.
Waka Kotahi	Means Waka Kotahi NZ Transport Agency.

1. ORGANISATIONAL OWNERSHIP AND ACCOUNTABILITY

What Waka Kotahi expects from you	How Waka Kotahi will assess your performance
Delegated role and person accountable for the QMS	
<p>Your organisation will:</p> <ul style="list-style-type: none"> • Delegate a named person who is responsible for the establishment, management and performance assessment of the QMS for the organisation • Have an escalation processes to address non-compliance 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you and your staff • Inspect your Delegation record and any other relevant records • Require you to demonstrate your escalation and improvement processes

2. TECHNICAL PERFORMANCE

What Waka Kotahi expects from you	How Waka Kotahi will assess your performance
2.1 Correct certification outcomes	
<p>You and your staff:</p> <ul style="list-style-type: none"> Consistently identify vehicles (including vehicle classes) correctly Consistently certify vehicles only if they comply with all Waka Kotahi requirements Consistently identify vehicles that do not comply with all VIRM requirements Do not deny certification of vehicles if they comply with all Waka Kotahi requirements 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> Observe you and your staff at work Inspect inspection and certification documentation Inspect information on the Waka Kotahi computer system <p>Waka Kotahi may:</p> <ul style="list-style-type: none"> Inspect vehicles and components after you have certified them Take into account outcomes from complaints, random inspections and your previous performance assessment Carry out 'mystery shopper' exercises
2.2 Correct technical decisions	
<p>You and your staff are consistently correct in determining if the vehicles or components you are asked to certify comply with all Waka Kotahi requirements, taking into account technical information provided by Waka Kotahi, such as that in the VIRM: In-service certification and VIRM: Entry certification</p>	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> Talk to you and your staff Observe you and your staff at work Inspect vehicles and components after you have certified them Inspect inspection and certification documents you use and complete Inspect information you enter into the Waka Kotahi computer system <p>Waka Kotahi may:</p> <ul style="list-style-type: none"> Take into account outcomes from complaints and random inspections. Carry out random vehicle inspections or '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 Waka Kotahi requirements (including VIRM requirements)
- Waka Kotahi guidelines

Waka Kotahi 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](#)

Waka Kotahi may:

- Administer short tests

3. ADMINISTRATIVE PERFORMANCE

What Waka Kotahi expects from you	How Waka Kotahi will assess your performance
3.1 Correct use of inspection and certification documents	
<p>Inspection and certification documents are:</p> <ul style="list-style-type: none"> Controlled documents – documents that you must use and complete as part of your inspection and certification work, such as Entry Certification checksheets, Used vehicle compliance certificate (LT4085U) and WoF labels. Uncontrolled documents – any documents developed by you as part of your inspection and certification work, such as brake machine print-outs 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 Statements of Compliance, Export Certificates, exemption notices and Specialist Certifier Certificates. You and your staff consistently comply with all Waka Kotahi requirements (including VIRM requirements) relating to inspection and certification documents. This means that you consistently: <ul style="list-style-type: none"> Use the correct controlled documents for the tasks, i.e. the ones specified by law or required or approved by Waka Kotahi Complete the controlled documents fully, accurately and legibly (originals and duplicates) with particular attention to details 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, eg you attach them 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> Talk to you and your staff Observe you and your staff at work Inspect inspection and certification documents that you use and complete Inspect your external documents <p>Waka Kotahi may:</p> <ul style="list-style-type: none"> Take into account outcomes from complaints, random inspections and your previous performance assessment

<p>to vehicles, hand them to vehicle owners, or file them</p>	
<p>3.2 Correct entry of inspection and certification information</p>	
<p>You and your staff consistently comply with all Waka Kotahi requirements (including VIRM requirements) for entering inspection and certification information into Waka Kotahi computer system.</p> <p>This means that you consistently enter inspection and certification information into the Waka Kotahi computer system correctly, accurately and promptly.</p>	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you and your staff • Observe you and your staff at work • Inspect information that you enter into the Waka Kotahi's computer system • Compare information that you collect on inspection and certification documents with information that you enter into the Waka Kotahi's computer system • Monitor when you enter information to identify patterns of incorrect data entry. <p>Waka Kotahi may:</p> <ul style="list-style-type: none"> • Take into account outcomes from complaints and random re-inspections
<p>3.3 Administrative competence</p>	
<p>You and your staff are competent in all administrative aspects of the inspection and certification work carried out by your business.</p> <p>For example, you must be competent in:</p> <ul style="list-style-type: none"> • Completing checksheets and other relevant inspection and certification documentation. • Following the pre- registration process as detailed in the used Entry VIRM. • Entering information into the Waka Kotahi's computer system using LANDATA • Using the QMS, including maintaining the specified records 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you and your staff • Ask questions to check your competence • Observe you and your staff at work • Inspect inspection and certification documents • Inspect the records you keep • Inspect your Training record

4. RESOURCES

What Waka Kotahi expects from you	How Waka Kotahi will assess your performance
4.1 Facilities	
<p>Your facilities:</p> <ul style="list-style-type: none"> • Meet all Waka Kotahi requirements (including VIRM 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 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Inspect your facilities
4.2 Technical equipment	
<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 Waka Kotahi, such as tools and inspection equipment.</p> <p>The equipment is in good condition, calibrated and or maintained as required by Waka Kotahi or the manufacturer and in working order</p>	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Inspect your technical equipment
4.3 Administration equipment	
<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 Waka Kotahi,</p>	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Inspect your administration equipment
4.4 Technical information	
<p>On your premises you have, or have ready access to, all technical information required by Waka Kotahi, such as VIRMs.</p> <p>The information is complete, up to date and in good condition.</p>	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Inspect your technical information
4.5 Controlled inspection and certification documents	
<p>You have blank copies of all controlled documents available and use and complete these as part of your inspection and certification work.</p>	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Inspect your controlled inspection and certification documents

<p>Any controlled documents that you have developed yourself (if permitted by Waka Kotahi) comply with Waka Kotahi requirements.</p>	
<p>4.6 Inspection and certification staff</p>	
<p>All staff doing inspection and certification work hold current and appropriate Waka Kotahi appointments for the inspection and certification work they carry out, unless you are specifically permitted by Waka Kotahi to delegate specified parts of your inspection and certification work to staff who are not required to hold Waka Kotahi appointments.</p> <p>All staff to whom you have delegated inspection and certification work are competent and qualified to do the specified work.</p> <p>All staff who are required to drive vehicles as part of their work hold current driver licences for the types of vehicle they are required to drive.</p>	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you and your staff • Observe you and your staff at work • Inspect your Staff record and Delegation record • Inspect driver licences

5. MANAGEMENT

What Waka Kotahi expects from you	How Waka Kotahi will assess your performance
5.1 Management of competence	
<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"> • Provide for the proper induction of new staff, including temporary staff who fill in for you when you are away (if any), by making them familiar with your facilities and equipment, and the way things are done in your business • Regularly assess your level of competence and that of your staff • Make sure that your competence and that of your staff are maintained to a high level, ie you and your staff are aware of, and competent in dealing with, new legal requirements and updates to technical information, new technologies and new equipment • You complete and keep an Induction record for each new staff member, including temporary staff • You keep an up-to-date Training record, listing any internal and external training received by you and your staff. 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you and your staff • Inspect the records you keep, including your Induction record and your Training record
5.2 Management of facilities	
<p>You have a coordinated approach to managing your facilities. Your approach ensures that your facilities are kept tidy, clean, organised and in good condition.</p> <p>You display your Waka Kotahi site authorisation certificate where your customers can easily see it</p>	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you and your staff • Inspect your facilities
5.3 Management of equipment	
<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 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you and your staff • Inspect your equipment • Observe you and your staff at work

<p>your business and the number of staff using the equipment</p> <ul style="list-style-type: none"> • 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 Waka Kotahi <p>You keep an up-to-date Equipment record for each piece of equipment that requires regular maintenance or calibration.</p>	<ul style="list-style-type: none"> • 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
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5.4 Management of technical information

<p>You have a coordinated approach to managing your technical information (such as VIRMs). Your approach ensures that technical information is:</p> <ul style="list-style-type: none"> • Updated promptly when you receive updates from Waka Kotahi • Stored so that you and your staff have easy access • Maintained in good condition <p>You keep an up-to-date Technical information record</p>	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you and your staff • Inspect your technical information and the locations where you keep it • Inspect your Technical information record
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5.5 Management of inspection and certification documents

<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 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 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • 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 documents record • Inspect your VIN plate register
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<ul style="list-style-type: none"> • The loss or theft of any controlled documents is reported immediately to the New Zealand Police and Waka Kotahi using the 'Notification of lost or stolen controlled documents' form • You keep an up-to-date Controlled documents record • You keep and up to date VIN plate register 	
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5.6 Management of electronic inspection and certification information

<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 Waka Kotahi 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 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you and your staff • Observe you and your staff at work • Inspect the location and set-up of your computers, and the storage of user names and passwords • Inspect the back-up copies or hard copies you keep of your electronic inspection and certification information
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5.7 Management of inspection and certification staff

<p>You have a coordinated approach to managing your staff. Your approach ensures that:</p> <ul style="list-style-type: none"> • Certification decisions are made only by staff who hold current and appropriate Waka Kotahi 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 driver licences • There is effective communication and teamwork in your business at and across all levels and in all directions 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you and your staff • Observe you and your staff at work • Inspect your Staff record, Delegation record and any other relevant records
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<ul style="list-style-type: none"> 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 Waka Kotahi record of inspectors working in your business You either hold electronic copies of all Waka Kotahi inspector appointment certificates or display them where your customers can see them 	
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5.8 Management of time

<p>You allocate enough time for you and your staff to carry out your inspection and certification work, allowing for the complexity of the work, your facilities, the available equipment and your staff levels of skill.</p> <p>This means that you and your staff:</p> <ul style="list-style-type: none"> Are comfortable with the time allocated and actually spent on inspection and certification work Do not feel under pressure to perform within timeframes that are unreasonably tight 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> Talk to you and your staff Observe you and your staff at work Look at your inspection and certification volumes
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6. PERFORMANCE IMPROVEMENT

What Waka Kotahi expects from you	How Waka Kotahi 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 Assess the causes of problems and prioritise problems and opportunities Address problems and opportunities according to priorities and available resources 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 Improvement record 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> Talk to you and your staff Inspect your Improvement record
6.2 Regular internal performance assessments	
<p>You regularly assess how well you and your staff meet Waka Kotahi 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 more often if necessary.</p> <p>You record each internal performance assessment by completing an <i>Internal performance assessment</i> record (both inspecting organisation and vehicle inspector):</p> <ul style="list-style-type: none"> These documents can be found at https://vehicleinspection.nzta.govt.nz/prs-qms/qms-entry-certification <p>You record any problems or opportunities to improve that you identify during internal performance assessments in your Improvement record for follow-up.</p>	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> Talk to you and your staff Inspect your Internal performance assessment record Inspect your Improvement record to check that any problems or opportunities to improve that have been identified during self-assessments have been recorded 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 Waka Kotahi
- Handle complaints in accordance with Waka Kotahi 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](#)

Waka Kotahi 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 Waka Kotahi, have been recorded and handled in accordance with Waka Kotahi 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 Waka Kotahi 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 work
- Are open about your problems and achievements
- Retain two most recent performance assessment reports
- Fully cooperate during performance assessments

Waka Kotahi will:

- Talk to you
- Look at previous 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 (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.

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

Purpose of internal performance assessments

When an internal performance assessment is carried out, the main purpose is to assess performance against Waka Kotahi 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 Waka Kotahi confidence in your ability, in turn reducing the frequency of Waka Kotahi 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 adjudicate 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. 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, Waka Kotahi recommends that you do self-assessments on all items over a period of time.
5. Make notes on the checklist next to the relevant headings as to whether the requirements for the tasks are being met.

6. Non-compliance with Waka Kotahi 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 Waka Kotahi 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 Waka Kotahi representatives.

MASTER RECORDS LIST

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

- Complaints record
- Controlled document record
- Delegation record
- Equipment record
- Improvement record
- Induction record
- Internal performance assessment checklist (Excel spreadsheet)
- Internal performance assessment checklist (complete manually)
- Notification of lost or stolen controlled documents
- Notification of vehicle inspector transfer
- Staff record
- Technical information record
- Training record
- VIN plate register