



Model quality management system

For Waka Kotahi NZ Transport Agency-appointed heavy vehicle certification inspecting organisations

December 2023

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More information

Waka Kotahi NZ Transport Agency
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This document is available on the Waka Kotahi Vehicle Inspection Portal:

vehicleinspection.nzta.govt.nz/qms-hvsc

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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 heavy vehicle certification

Heavy vehicle certification is about ensuring that vehicles entering New Zealand's fleet or currently in-service meet the required standards defined by New Zealand law.

Objectives of the QMS

Waka Kotahi wants 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 IOs 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 IOs is intended to:

- focus the VIs on certification issues, which by default are issues important to road safety
- provide transparency of requirements against which VIs' performance can be assessed
- provide a level playing field, as the requirements apply equally to all IOs and VIs
- allow IOs and/or VIs 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 IOs and/or VIs to identify problems and opportunities to improve so they can take early action on their own initiative
- identify IOs and/or VIs 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 VIs 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 IOs and/or VIs
- the way Waka Kotahi will assess IOs and/or VIs' 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 IOs 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 VIs 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 VIs competent in all administrative aspects of their certification work, including the proper use of documents, meeting the minimum file content requirements and the correct entry of information?

4. Resources

Do IOs and/or VIs have the right resources for their certification work, for example the right facilities and equipment?

5. Management

Do IOs properly manage the parts of their operations that support their certification work?

6. Performance improvement

Do IOs and/or VIs 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 review your QMS, certification files and observe 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 IOs and VIs.

Use the QMS to improve your performance

We encourage IOs and VIs 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 and VI 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 IOs and VIs 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. IOs 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 VIs to inform and educate you about how to meet our requirements.

We will agree on an improvement plan which summarises what needs to happen before you are assessed as being compliant, and advise a timeframe for when the first follow-up visit will happen.

If you are fully compliant at the first follow-up visit, Waka Kotahi will confirm that the improvement plan has been addressed and that you are fully compliant with our expectations. You won't be charged for this visit either.

If you are not fully compliant at the first follow-up visit, we will agree on another improvement plan. This will summarise what needs to happen before you are assessed as being compliant and advise a timeframe for when the second follow-up visit will occur. This visit (third visit) is considered 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 (inc. 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 IOs and VIs 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 and VIs that are failing to rectify areas of non-compliance, or where there is clear evidence of persistently unacceptable performance, will lead to the enforcement phase. In this phase we will undertake a review of your performance monitoring outcomes.

IOs or VIs will be reviewed and disciplinary action taken if required. If IOs or VIs fail to respond to warnings or suspension actions, we will use evidence gained during performance assessments 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 and 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 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 it does not include where such a vehicle is being used primarily for the purpose of delivering inspection and certification services.
Conflict of interest	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 IO or VI and their obligations under the terms of the IOs Notice of Appointment or at law. 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.
Inspection and certification document	Means a document you use as part of your certification work, such as a checksheet, PDS, certification record (LT400) and plate. 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 in accordance with requirements and conditions imposed by Waka Kotahi.
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 IOs.
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 (VIRM)</i> , your <i>Notice of Appointment</i> and other information issued by Waka Kotahi.
Performance assessment	Means an assessment of your performance as an IO and/or VI and may be announced or 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
1.1 Delegated QMS 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 public liability and professional indemnity insurance. 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you and/or your staff • Inspect your Delegation record and any other relevant records • Confirm your public liability and professional indemnity insurance.
1.2 Conflict of interest responsibilities	
<p>Your organisation will:</p> <ul style="list-style-type: none"> • Have a clear understanding of conflict of interest and how to identify and avoid it • Understand your obligations should a conflict of interest arise • Have a conflict of interest policy or a conflict of interest management plan in place which declares any conflicts of interest and how they are managed. 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you and/or your staff • Review your conflict of interest policy and any management plan.
1.3 Escalation process	
<p>Your organisation will:</p> <ul style="list-style-type: none"> • Have an escalation process to address non-compliance. 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you and/or your staff • Require you to demonstrate your escalation and improvement process.

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 inspect and certify specialist aspects of vehicles or components only if they comply with all Waka Kotahi and legal requirements Do not certify specialist aspects of vehicles or components that do not comply with all Waka Kotahi and legal requirements Do not deny certification of specialist aspects of vehicles or components if they comply with all Waka Kotahi and legal requirements. 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> Observe you and/or 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 and your previous performance assessment Carry out 'mystery shopper' exercises.
2.2 Correct technical decisions	
<ul style="list-style-type: none"> You and your staff are consistently correct in determining if the vehicles' aspects or components you are asked to certify comply with all Waka Kotahi and legal requirements, taking into account technical information provided by Waka Kotahi. 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> Talk to you and/or your staff Observe you and/or your staff at work Observe you and/or your staff inspecting vehicles and components for the purpose of certification 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, aspects and components
- All Waka Kotahi and legal requirements (including VIRM requirements)
- Waka Kotahi guidelines.

Waka Kotahi will:

- Talk to you and/or your staff
- Ask questions to check your competence
- Observe you and/or 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>You and your staff consistently comply with all Waka Kotahi and legal requirements (including VIRM requirements), relating to inspection and certification documents. This means that you and your staff consistently:</p> <ul style="list-style-type: none"> • Use the correct controlled documents for the tasks, that is, 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) and chassis numbers • Ensure that all controlled documents are signed, if required, by the appropriate person(s) • Develop any uncontrolled documents needed to make and/or prove your certification decisions. <p>Examples of inspection and certification documents are:</p> <ul style="list-style-type: none"> • Controlled documents – documents that you and your staff must use and complete as part of inspection and certification work, such as certification plates and LT400's. • Uncontrolled documents – documents developed by you or your staff as part of inspection and certification work, such as the procedure documentation sheets (PDS), statement of design compliance (SoDC), design drawings and checksheets. • External documents – any documents supplied by outside parties such as manufacturers' ratings/specifications, statement of design compliance (SoDC), and body builders' guidelines on which you or 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you and/or your staff • Observe you and your staff at work • Review inspection and certification documents that you and your staff use and complete. <p>Waka Kotahi may:</p> <ul style="list-style-type: none"> • Take into account outcomes from complaints, and your previous performance assessment.

<p>your staff rely on in your inspection and certification work.</p> <ul style="list-style-type: none"> • Obtain any external documents you need to make and/or prove your certification decisions. • Handle all inspection and certification documents appropriately or as required, for example, you attach them to vehicles, hand them to vehicle owners, or file them. 	
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3.2 Correct entry of inspection and certification information

<p>You and/or your staff consistently comply with all Waka Kotahi requirements (including VIRM and system requirements) for entering inspection and certification information into the Waka Kotahi computer system.</p> <p>This means that you and/or your staff 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/or your staff • Observe you and/or your staff at work • Inspect information that you enter into the Waka Kotahi computer system • Compare information that you collect on inspection and certification documents with information that you enter into the Waka Kotahi computer system • Monitor information you and/or your staff enter. <p>Waka Kotahi may:</p> <ul style="list-style-type: none"> • Take into account outcomes from complaints and random re-inspections.
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3.3 Administrative competence

<p>You and/or 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 LT400, SoDC, PDS, certification plates and other relevant inspection and certification documentation • Entering information into the Waka Kotahi computer system using LANDATA • Using and maintaining the QMS including maintaining the specified records. 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you and/or your staff • Ask questions to check your competence • Observe you and/or your staff at work • Inspect inspection and certification documents • Inspect the records you keep • Inspect your Training record.
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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, for example, enables a safe and thorough inspection) • Are adequate for the nature and volume of the inspection and certification work carried out by your business, such as in terms of access, size, lighting, flooring, 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 is 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, such as a computer, specified software and access to LANDATA.</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, Rules and Standards.</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

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

Any controlled documents that you have developed yourself (if permitted by Waka Kotahi) comply with Waka Kotahi requirements.

Waka Kotahi 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 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.

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 vehicles they are required to drive.

Waka Kotahi will:

- Talk to you and/or 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 and/or your staff have a coordinated approach to managing competence in all aspects of inspection and certification work.</p> <p>This means that you and/or your staff:</p> <ul style="list-style-type: none"> • Provide for the proper induction of new staff, by making them familiar with your facilities and equipment, and the procedures used by the business • Regularly assess your level of competence and that of your staff, maintain 20 hours per year of continuous professional development (CPD) • Make sure that your competence and that of your staff are maintained to a high level, that is, 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 undertaken by you and your staff. 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you and/or your staff • Inspect the records you keep, including your Induction record and Training record.
5.2 Management of facilities	
<p>You have a coordinated approach to managing your facilities. This means that you:</p> <ul style="list-style-type: none"> • Ensure that your facilities/or the facilities that you use are kept tidy, clean, organised and are fit for purpose for the work being carried out. • Have your Waka Kotahi authorisation documents available upon request. 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you and/or your staff • Inspect your facilities/or the facilities that you use. <p>Waka Kotahi may:</p> <ul style="list-style-type: none"> • Review your authorisation documents.

5.3 Management of equipment

You have a coordinated approach to managing your equipment.

Your approach ensures that equipment is:

- Available and sufficient for the numbers and 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
- Used by you and your staff for its intended purpose. You and your staff should be competent in using the equipment.
- Maintained as specified by the manufacturer(s)
- Calibrated as specified by the manufacturer(s), or as required by Waka Kotahi.

You keep an up-to-date [Equipment record](#) for each equipment that requires regular maintenance or calibration.

Waka Kotahi will:

- Talk to you and/or 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, Rules and Standards).

Your approach ensures that technical information, in printed or electronic format, is:

- Updated promptly, read, understood, and recorded.
- Stored so that you and your staff have easy access
- Maintained in good condition.

You keep an up-to-date [Technical information record](#)

Waka Kotahi will:

- Talk to you and/or your staff
- 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, 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 (<https://www.police.govt.nz/use-105>) and Waka Kotahi using the 'Notification of lost or stolen controlled documents' form
- You keep an up-to-date [Controlled documents record](#)

Waka Kotahi will:

- Talk to you and/or 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](#)

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 or your staff access the Waka Kotahi computer system are out of reach of others and access to your computers is protected by password
- All usernames and passwords are kept safe and out of reach of others
- Passwords used to protect your computers are changed regularly

Waka Kotahi will:

- Talk to you and/or your staff
- Observe you and your staff at work
- Inspect the location and set-up of your computers, and the storage of usernames and passwords
- Inspect the back-up copies you keep of your electronic inspection and certification information.

<ul style="list-style-type: none"> You have back-up copies of any electronic information relevant to your inspection and certification work. 	
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 You keep a delegation record and responsibilities are clearly defined and recorded; 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 Waka Kotahi authorisation for all VIs is available upon request. 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> Talk to you and/or your staff Observe you and your staff at work Inspect your Staff record, Delegation record and any other relevant records.
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>	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> Talk to you and/or your staff Observe you and your staff at work Look at your inspection and certification volumes.

- | | |
|--|--|
| <ul style="list-style-type: none">• Have enough time allocated and spent on inspection and certification work• Do not feel under pressure to perform within timeframes that are unreasonably tight. | |
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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 records and record problems and opportunities to improve raised by you and your staff Record all follow-up activities in the Improvement record. 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> Talk to you and/or 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 covers the inspection and certification work.</p> <p>This means that you carry out an internal assessment at least once a year, or more often if necessary.</p> <p>You record each internal performance assessment by completing an Internal performance assessment record (both inspecting organisation and vehicle inspector as applicable):</p> <ul style="list-style-type: none"> These documents can be found at vehicleinspection.nzta.govt.nz/qms-hvsc 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> Talk to you and/or 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.

<p>You record any problems or opportunities to improve that you identify during internal performance assessments in your Improvement record for follow-up.</p>	
<h3>6.3 Correct handling of complaints</h3>	
<p>You and your staff are open to complaints and regard them as opportunities to improve.</p> <p>This means that you:</p> <ul style="list-style-type: none"> • Display or provide to your customers your complaints policy, including information on how to lodge a complaint and your customers' right to complain to 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. 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Inspect your complaints policy • Talk to you and/or your staff • Inspect your Complaints record to check that any complaints, 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.
<h3>6.4 Commitment to Waka Kotahi requirements</h3>	
<p>You and your staff foster a culture of willing compliance in your business. This means that you:</p> <ul style="list-style-type: none"> • Actively use the QMS for improving your inspection and certification work • Are open about your problems and achievements • Retain the two most recent performance assessment reports • Fully cooperate during performance assessments. 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you and/or your staff • Look at previous assessments • Assess your level of cooperation during performance assessments.

7. Technical performance – Vehicle Inspector

What Waka Kotahi expects from you	How Waka Kotahi will assess your performance
Correct technical decisions	
<p>You are correct in determining if the vehicle, specialist aspects or components you are asked to certify comply with all legal requirements.</p> <p>For example, you:</p> <ul style="list-style-type: none"> • Thoroughly inspect vehicles and components correctly • Inspect and certify specialist aspects of vehicles or components only if they comply with all legal requirements. 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you • Observe you at work • Inspect the technical aspects of vehicles which you have certified • Inspect inspection and certification documents.
Technical competence	
<p>You are competent in the relevant technical aspects of the inspection and certification work carried out.</p> <p>For example, you demonstrate competence in:</p> <ul style="list-style-type: none"> • The technical assessments of specialist aspects of vehicles and components • The legal requirements • Waka Kotahi guidelines. 	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Talk to you • Observe you at work • Ask questions to check your competence • Inspect inspection and certification documents • Inspect your training record. <p>Waka Kotahi may:</p> <ul style="list-style-type: none"> • Administer short tests.
Correct use of equipment	
<p>You have access to specified equipment and are competent in the use of technical equipment. For example, you:</p> <ul style="list-style-type: none"> • Have access to the equipment specified and use the correct piece of equipment for the job • Have good working knowledge of the use of the equipment. <p>The equipment you use is calibrated, in good condition and working order.</p>	<p>Waka Kotahi will:</p> <ul style="list-style-type: none"> • Inspect your technical equipment • Talk to you about the use of equipment • Observe you using your technical equipment.

Measuring your performance

As part of your QMS, you are expected to assess your performance regularly (at least annually) for:

- Your performance as an IO, and
- Your performance as a VI or the performance of any VI you employ.

This is 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 the Waka Kotahi requirements listed in the VIRM and in this model QMS. 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, ensure that corrective action is taken and recorded in your improvement record.

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 this assessment is not that it is done, but that it is done genuinely. To help you understand the 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 copy of an internal performance assessment checklist which contains a general part and a technical part. This can be completed electronically or in a hard copy.
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 review the certification documentation for a particular certification. You may also choose to 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 and certification.
 - Your internal performance assessment record has space for 8 vehicle components from a list of 18 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 you and Waka Kotahi representatives.

Master records list

You can download copies of the master records from the Vehicle Inspection Portal:

vehicleinspection.nzta.govt.nz/qms-hvsc

- Complaints record
- Controlled document record
- Delegation record
- Equipment record
- Improvement record
- Induction record
- Staff record
- Technical information record
- Training record
- Notification of lost or stolen controlled documents
- Notification of vehicle inspector transfer
- Internal performance assessment checklist