

Approved Person Spot Check Checklist

Name of Approved Person:

Approved Person's Approval Number: MA

Employer Name:

Employer Address:

Name of Auditor:

Spot Check Location:

Date of Spot Check:

Spot Check Number:

DMS Number:

The following sources of evidence have been identified to assist in verifying compliance with the conditions of appointment as an Approved Person (AP). Other methods of obtaining valid evidence may be used.

1. Interviews with the Approved Person and staff.
2. Documents and records including, but not limited to:
 - AP's policy, checklist and guidelines
 - Updates provided by the department
 - Stock of Modification Certificate Books
 - Stock of Modification Plates
 - Employment / training records
 - Purchases of publications and new equipment

Compliance Code Legend

NA = Not applicable

NC = Non-compliance requiring rectification (requiring rectification by agreed date)

Nil = Not assessed at this spot check

V = Indicates compliance verified with the relevant standard

Abbreviations

BRAP = Business Rules for Approved Persons (Vehicle Modifications)

NCOP = National Code of Practice for Light Vehicle Construction & Modification

QCOP = Queensland Code of Practice – Vehicle Modifications

VSB6 = National Code of Practice - Heavy Vehicle Modifications

Standard 1: Certification of Approved Person

Requirement: Sight the AP's Certificate of Accreditation and check that the details shown on the certificate are correct.

Reference	Criteria	List evidence sighted or method of verification	Compliance Code	CAR
1. Certification of Approved Person Reference S21 TO(RUM) Act 1995 TO(RUM-VSS)Reg 2005 Part 4 Division 3 General (Certs. & Plates) Part 2 Subdivision 2 Approval of modification Schedule 4 Definition of an AP TO(RUM-AOP) Reg 2005 Part 2 Accredited Persons Schedule 9 Definition of an approved person	<ul style="list-style-type: none"> Sight AP's identification and verify with Certificate of Accreditation. <p>Reference: <i>TO(RUM-AOP) S10</i>, BRAP, NCOP, QCOP, VSB6</p>	Full Name: CRN: Expiry Date:		
	<ul style="list-style-type: none"> Verify the Certificate of Accreditation is current and valid codes are shown. <p>Reference: <i>TO(RUM-AOP) S10</i>, BRAP, NCOP, QCOP, VSB6</p>	Expiry date: Approved By:		
	<ul style="list-style-type: none"> Verify if the name shown on the Certificate of Accreditation is correct. Verify name, address and email details correspond with TMR recorded details. Confirm if they are <ul style="list-style-type: none"> the proprietor; or employed by a proprietor (and if so who are they employed by) Verify if the AP's Certificate of Accreditation is displayed or able to be produced for inspection to the authorised officer. 	Name: Address: Email:		

Standard 2: Legislative and Accreditation Condition Requirements

Requirement: The Approved Person must meet the legislative and accreditation condition requirements.

Reference	Criteria	List evidence sighted or method of verification	Compliance Code	CAR
2.1 Information required by the department	<p>Verify how the AP meets the legislative requirements and conditions of approval for issued and cancelled certificates of modification:</p> <p>Reference: BRAP, NCOP, QCOP, VSB6</p> <ul style="list-style-type: none"> • Confirm: <ul style="list-style-type: none"> ○ all yellow certificates are posted to TMR ○ what address they are posted to ○ when they are posted. 			
2.2 Storage of documents by proprietor of business	<ul style="list-style-type: none"> • Confirm the location where records are retained. • Ensure records are kept to avoid fire, flood, vermin or any other pests • Verify records are retained for a period of 7 years. <p>Reference: <i>TO(RUM-VSS) Reg 2010 – S32</i>, BRAP, NCOP, QCOP, VSB6</p>			
2.3 Keeping of documents and records	<p>Verify if the AP:</p> <ul style="list-style-type: none"> • Accesses the relevant Codes of Practice for the approved modification codes. <p>Reference: <i>TO(RUM-AOP) Reg 2005 – Sch 1</i>,</p>			

Reference	Criteria	List evidence sighted or method of verification	Compliance Code	CAR
	<p>BRAP, NCOP, QCOP, VSB6</p> <ul style="list-style-type: none"> • Advises TMR within 7 days of a lost or stolen certificate or plate. <p>Reference: <i>TO(RUM-VSS) Reg 2010 – S.30</i>, BRAP, NCOP, QCOP, VSB6</p> <ul style="list-style-type: none"> • Keeps Cancelled Modification Plates & Certificates of Modification for at least 2 years. • Keeps records including departmental approvals to alter or remove a modification plate <p>Reference: <i>TO(RUM -VSS) Reg 2010 – S.6 and S.30(2)</i>, BRAP, NCOP, QCOP, VSB6</p>			
<p>2.4 Other Records</p>	<ul style="list-style-type: none"> • Sight unused and used Certificate of Modification Books and are kept in a secure place ensuring they are kept to avoid fire, flood, vermin or any other pests and record certificate numbers. <p>Reference: <i>TO(RUM -VSS) Reg 2010 – S.31</i>, BRAP, NCOP, QCOP, VSB6</p> <ul style="list-style-type: none"> • Sight unused Modification Plates are kept in a secure place ensuring they are kept to avoid fire, flood, vermin or any other pests and record plate numbers. <p>Reference: <i>TO(RUM -VSS) Reg 2010 – S.31</i>, BRAP, NCOP, QCOP, VSB6</p> <ul style="list-style-type: none"> • Ensure AP's modification certificate and modification plate allocations are: <ul style="list-style-type: none"> ○ issued by the same AP to whom the plates and certificates were allocated to & purchased by (MA No. & signature) 	<p>Current Book:</p> <p>Used Certificates:</p> <p>Date of first Cert. issued in current book:</p> <p>Unused Certificates:</p> <p>Current Plate stock:</p>		

Reference	Criteria	List evidence sighted or method of verification	Compliance Code	CAR
	<ul style="list-style-type: none"> ○ issued in order <p>Reference: BRAP, NCOP, QCOP, VSB6</p> <ul style="list-style-type: none"> • Verify any Modification Certificates containing alterations or errors have been cancelled. • Sight checklists of all certificates and modification plates issued. <p>Reference: BRAP, NCOP, QCOP, VSB6</p> <ul style="list-style-type: none"> • Verify that modification code, description and checklist correspond with relevant Code of Practice. • Verify that modification certificates and checklists have all required details completed. <p>Reference: BRAP, NCOP, QCOP, VSB6</p> <ul style="list-style-type: none"> • Confirm Engineer's Report issued where applicable. <p>Reference: BRAP, NCOP, QCOP, VSB6</p>			
<p>Additional comments:</p>				