

NHVAS Basic Fatigue Management Spot Check Checklist

Legal Entity Name of NHVAS Operator:

DTMR Representative:

Spot Check Location:

Date of Spot Check:

Spot Check Number:

DMS Number: 540/

The following sources of evidence have been identified to assist in verifying compliance with the NHVAS Accreditation Scheme Business Rules, Standards and the Conditions of Accreditation. Other methods of obtaining valid evidence may be used.

1. Interviews with the NHVAS operator and staff.
2. Documents and records including, but not limited to:
 - NHVAS policy and procedure manuals
 - Updates provided by the NHVAS Administrator
 - Current certificates of registration, certificates of inspection
 - Employment / training records
 - Interception reports
 - On-road vehicle fault reports
 - NHVAS Maintenance reports
 - Records containing:
 - Vehicle and Trailer particulars
 - Internal review
 - 3rd party Audits; and
 - Compliance History and information from the NHVAS jurisdictions

Compliance Code Legend

NA = Not applicable

Nil = Not assessed at this assessment

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

V = Indicates compliance verified with the relevant standards

Standard 1: Scheduling and Rostering – Scheduling of individual trips and rostering of drivers are to be in accordance with limits prescribed in legislation.

Description: Scheduling and rostering practices are to ensure all trip schedules and driver rosters are planned and assigned in compliance with the legislated operating limits taking into account the transport task, and time for the transport task to be completed safely.

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
<p>1.1 Schedules and rosters are documented.</p> <p>Verify that schedules and rosters are documented, are planned and comply with the approved operating limits.</p> <p>Note: Owner/Operator – smaller operators may not have scheduling and rostering documents as Drivers are aware of their times.</p> <p>As a guide the Auditor may confirm with the operator</p> <ol style="list-style-type: none"> 1. Are your schedules and rosters regular 2. If not how do you ensure schedules can met BFM limits <p>The work diary is only a supporting document to the primary document which can be a Safe Driving Plan.</p> <p>Note: the law requires you to demonstrate that you took reasonable steps to prevent a breach from occurring in your workplace or as a result of your activities.</p>			
<p>1.2 Schedules and rosters are monitored and regularly reviewed.</p> <p>Review that documented processes are in place that shows the monitoring and reviewing of schedules and rosters.</p> <p>As a guide an auditor could also look at:</p> <ul style="list-style-type: none"> • approved documents checking date and version • fuel docket • satellite data • diary/schedule comparison • phone records. 			

<p>1.3 Action is taken to minimise fatigue risks when altering schedules and rosters.</p> <p>Review that documented processes are in place that shows if the operator has an altering trip schedule procedure.</p>			
<p>1.4 Guidelines are in place for the use of relief/casual drivers where required.</p> <p>Review that documented processes are in place that shows a contingency plan for when a driver reports unfit for duty.</p> <p><i>Note: Verbal response (Standard hours and so on – no casual drivers).</i></p>			
<p>1.5 The increased fatigue risk for a driver returning from leave is considered in scheduling and rostering of the driver.</p> <p>Review scheduling policies and procedures are in place to ensure that leave is taken into account when scheduling/rostering.</p> <p><i>Note: Owner/Operator – may not be applicable to them.</i></p>			
<p>1.6 Drivers are to have input into schedules where practicable to ensure trip plans are reasonable.</p> <p>Verify if drivers have input into their schedules.</p> <p>This may be achieved by checking:</p> <ul style="list-style-type: none"> • approved schedules • minutes of toolbox meetings; or • discussions with drivers 			
<p>1.7 Schedulers provide sufficient advance pre-trip notification to ensure drivers can comply with legislation.</p> <p>Verify that rosters/schedules are being prepared in advance to allow drivers to comply with legislation.</p>			

1.8 Schedules and rosters are planned to be reasonable and achievable under Legislative operating limits.

Verify that schedules and rosters are not planned or extend beyond legislative operating limits.

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Standard 2: Fitness for Duty – Drivers are in a fit state to safely perform required duties and meet the specified medical requirements.

Description: This standard requires that a system be developed to ensure that drivers are in a fit state for work and can work duties safely.

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
<p>2.1 Verify Drivers are certified as being fit to drive a heavy vehicle by a medical practitioner according to the Assessing Fitness to Drive by Austroads (or equivalent document approved by the Australian Transport Council).</p> <p>Verify policies and procedures are in place for driver health requirements:</p> <ul style="list-style-type: none"> • the examination must include an assessment to detect drivers in the high risk group for sleep disorders • examinations are to be conducted, as a minimum, once every three years for drivers aged 49 and yearly for drivers aged 50 or over • for operator to flag when medical examinations are due and overdue. <p><i>Note: Review a list of all nominated drivers and conduct random check of medical assessment certificates % of drivers to be checked).</i></p>			
<p>2.2 Procedures for driver fitness for duty, which address issues of driver health, use of drugs/alcohol, medical condition, well-being and state of fatigue.</p> <p>Review policies and procedures for driver readiness for duty, this should include:</p> <ul style="list-style-type: none"> • drugs and alcohol • random drug screening • newsletters (internal) • website (Intranet) 			

<ul style="list-style-type: none"> • readiness to work (self assessment) • prepared to work <p><i>Note: Owner/Operator – Access internet for information, medical checks have been conducted (in accordance with requirements).</i></p>			
<p>2.3 Procedures for drivers to assess their fitness for duty prior to commencing and during work.</p> <p>Verify that policies and procedures for fitness of duty policy include assessment procedures that drivers can use to ascertain their fitness for duty prior to commencing and during work.</p> <p><i>Note: What self assessment is used – is there an extensive checklist.</i></p>			
<p>2.4 Procedures for the drivers to notify the operator if they are unfit for duty due to any lifestyle, health or medical issue both before and during work.</p> <ul style="list-style-type: none"> • Verify what system does the operator use when drivers are unfit for duty • Verify that there is a procedure for drivers to notify their operators on their fitness to drive. • Confirm if the operator encourages and uses an open door policy. 			
<p>2.5 Any medical advice for drivers is taken into account when assigning duties.</p> <p>Review any medical recommendations and verify that this information is taken into account when assigning duties.</p> <p><i>These may include:</i></p> <ul style="list-style-type: none"> • <i>rehabilitation policy procedures</i> • <i>doctor’s medical recommendations.</i> 			

2.6 Operators with two-up driving operations are to have procedures in place for undertaking two-up driver recruitment and team selection, and that the alternative driver's comfort is optimised while resting in a moving vehicle.

Establish if the operator uses two-up driving operations (check schedules/rosters). If so:

- what procedures are in place for two-up driver recruitment and team selection.
- is the alternative driver's comfort is optimised whilst resting in a moving vehicle.

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Standard 3: Fatigue Knowledge and Awareness – All personnel involved in the management, operation, administration, participation and verification of the Basic Fatigue Management system can demonstrate competence in fatigue knowledge relevant to their position.

Description: Fatigue knowledge and awareness is essential to ensure all employees (including managers), who are involved in the fatigue management system, understand fatigue management issues and have the knowledge and skills to practice fatigue management and to comply with the operator’s fatigue management system.

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
<p>3.1 That the operator has steps in place to ensure anyone involved in the management, operation, administration, participation and verification of the fatigue management system is made aware of the operator’s current fatigue management policies and procedures.</p> <p>Verify that the operator has:</p> <ul style="list-style-type: none"> communicated to all staff how fatigue risk is relevant to the operation; that there relevance and importance of the operators fatigue management system. 			

3.2 That all persons who hold a position of responsibility under the operator's Basic Fatigue Management system are identified.

- Confirm the identity of personnel whose activities have a safety critical aspect to them relating to fatigue management.
- Assess competence of these personnel by identifying any evidence that they at a minimum know the causes, effects and symptoms of fatigue and strategies to better manage fatigue.
- Verify what checks are carried out to confirm:
 - that anyone in a position of responsibility under BFM system has been inducted and regularly updated in the BFM system.
 - verify that drivers who operate under BFM operating conditions have received;
 - a Statement of Attainment in TLIF1007C (superseded) or TLIF2010A (current) Apply Fatigue Management Strategies.
 - verify that any person who is a scheduler as described by heavy vehicle legislation, or who supervises or manages drivers and scheduling staff has received;
 - a Statement of Attainment in TLIF6307A (superseded) or TLIF3063A (current) Administer the implementation of fatigue management strategies.

3.3 That they have established a procedure for maintaining the currency of knowledge in fatigue management for all people who hold a position of responsibility.

Verify if the accredited operator has a training needs analysis available:

- that identifies and addresses gaps for personnel who hold a position of responsibility under the BFM option; and
- has the operator taken any action identified by the training needs analysis.

3.4 That records of competence of drivers, schedulers or those who supervise or manage drivers and scheduling staff have been maintained.

Review any training records retained by the operator and confirm that the records specify:

- when the training was completed
- who delivered the training
- if re-training requirements are documented
- copies of Statement of Attainments (or some record of these) are available.

Standard 4: Responsibilities – The authorisations, responsibilities and duties of all positions involved in the management, operation, administration, participation and verification of their operations under the Basic Management option are current, clearly defined and documented and carried out accordingly.

Description: The compliant operation of the Basic Fatigue Management option is dependent on all relevant personnel knowing and fulfilling their responsibilities to ensure that the requirements of the Basic Fatigue Management standards are met.

Note: *The size and complexity of the operator’s systems will affect the level of detail expected in satisfying the above criteria. These indicators may not be appropriate to a small operator where a formal management structure specifically for fatigue management is not appropriate. However, for a larger organisation, particularly one spanning locations, a formal structure may be appropriate to define roles and responsibilities in respect of fatigue management of persons at both head office and at individual locations.*

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
<p>4.1 All relevant personnel are carrying out their duties and responsibilities compliant with the Basic Fatigue Management standards and the operator’s fatigue management system.</p> <p>Sight evidence that the responsibilities of personnel have been clearly defined and documented.</p>			
<p>4.2 Authorities, responsibilities and duties relating to the Basic Fatigue Management fatigue management system are current, clearly defined and communicated to all appropriate personnel.</p> <ul style="list-style-type: none"> • Review documented procedures regarding individual functions required to be performed and ensure that documentation covers what, where, how and by whom these functions are to be performed. • Review verification dates on documentation (are they current/old versions), when and how often are they updated. • Verify how nominated personnel are advised of their roles and responsibilities. • Establish through discussions how persons nominated have been 			

<p>advised:</p> <ul style="list-style-type: none"> ➤ of their roles and responsibilities; and ➤ review any relevant documentation (e.g. job descriptions, memos, briefing sessions). 			
<p>4.3 Management practices are in place to deter non-compliance and implement corrective actions.</p> <ul style="list-style-type: none"> • Review policies and procedures in reference to personnel performance management. <p>Note: <i>These may include:</i></p> <ul style="list-style-type: none"> • <i>medical reporting</i> • <i>non compliance reporting</i> • <i>corrective and preventative actions</i> • <i>counselling</i> • <i>documented Termination Policy.</i> <ul style="list-style-type: none"> • Review any records of results for actions taken and any corrective action reports. <p>Note: <i>Owner/Operator – Practices to minimise risks, scheduling and rostering.</i></p>			

4.4 A communication process (e.g. in-trip communication with drivers, meetings, notices, newsletters) is in place to facilitate the exchange of information between drivers and management where practical and appropriate.

Verify if a communication process has been established and implemented within the organisation.

This may include:

- *mobile phones*
- *onboard computer data and record*
- *documents*
- *letters*
- *open door communication*
- *communication policy*
- *deviation path procedure*
- *tool box meetings*

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Standard 5: Internal Review - An internal review system is implemented to identify non-compliances and verify that the activities comply with the Basic Fatigue Management standards and the operator's fatigue management system.

Description: The internal review process is an essential management tool that checks that procedures are being followed and indicates how the Basic Fatigue Management option is working. Fundamental to the management of the fatigue risk is the capacity of the Basic Fatigue Management option system to assess fatigue risk and to identify, report and investigate incidents of non-compliance with the Basic Fatigue Management Standards and take the necessary corrective action.

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
<p>5.1 Procedures are in place to define how an internal review program of the Basic Fatigue Management standards is produced, conducted, reported and recorded at least every 12 months and corrective action taken where required.</p> <p>Sight procedure that defines how the internal review is to be undertaken:</p> <ul style="list-style-type: none"> • when the reviews are to take place • who is to conduct them • how the reviews are to be conducted • the checklist of documents to be used for the review. 			
<p>5.2 internal reviews are undertaken by competent persons not responsible for the activity being reviewed, where practical.</p> <p>Sight evidence that an Internal Review has been conducted for the current year.</p>			
<p>5.3 Procedures are in place to monitor, identify, report, investigate and record non-compliances and take the necessary corrective action to prevent further occurrences.</p> <p>Sight evidence that policies and procedures include:</p>			

<ul style="list-style-type: none"> • how non-conformances can be detected • who is responsible for detecting them • who needs to be notified about them • corrective action is taken • timeframes for reporting identified non-conformance; and • how the responsible person is to document the process to prevent further occurrences. 			
<p>5.4 Procedures are in place to investigate incidents to determine whether fatigue was a contributing factor.</p> <p>Sight and review documentation to verify that procedures are in place to investigate incidents to determine whether fatigue was a contributing factor.</p> <p><i>Records may include:</i></p> <ul style="list-style-type: none"> • <i>incident forms</i> • <i>investigations</i> • <i>police reports</i> • <i>insurance forms</i> • <i>customer complaints</i> • <i>database</i> 			
<p>5.5 Records of drivers' work and rest times are regularly reviewed to ensure compliance with the legislated operating limits.</p> <p>Verify the person who checks work dairy records has the appropriate knowledge to ensure legislative compliance is maintained for:</p> <ul style="list-style-type: none"> • work diaries, schedules and rosters. 			

Standard 6: Records and Documentation - The operator will implement, authorise, maintain and review documented policies and procedures that ensure the management, performance and verification of the Basic Fatigue Management option in accordance with the Standards.

Description: This standard requires a system to manage and maintain records that relate to the requirements of the Basic Fatigue Management Standards. Documents evidence must be maintained to demonstrate the level of compliance with the Basic Fatigue Management Standards.

Note: Documentation and records must be kept for a minimum of three years, including superseded procedures.

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
<p>6.1 Policies, procedures and instructions covering all activities required to meet the Basic Fatigue Management standards are authorised, current, clearly defined and available to all relevant personnel.</p> <p>Verify that all documentation is authorised, clearly defined, maintained and is the current version.</p> <p><i>Note: Are procedures and documentation made available to all relevant personnel.</i></p>			
<p>6.2 All Basic Fatigue Management option records are legible, stored, maintained and available for management and audit purposes for at least three years.</p> <ul style="list-style-type: none"> • Verify that records are legible, stored and maintained in accordance with the requirements. • Review policies and procedures to ensure that retention periods and retrieval arrangements are specified (electronic or hard copy). <p><i>Note: Advise owners that work diaries must be retained for a period of 5 years.</i></p>			

<p>6.3 Records of participating drivers are kept current.</p> <p>Review register to ensure that it contains:</p> <ul style="list-style-type: none"> ➤ the required details of nominated drivers; and ➤ is kept up to date. 			
<p>6.4 Documents are approved, issued, reviewed, modified and accounted for in accordance with the operator's prescribed control procedures.</p> <p>Verify statement of responsibility, which should identify the responsible person for maintaining, reviewing and updating the relevant documentation.</p> <p><i>Note: Owner/Operator – dates, times, who and when documentation was reviewed last.</i></p>			
<p>6.5 Records must include individual driving hour records for all nominated drivers (e.g. work diaries, rosters, schedules).</p> <p>Verify that the operator keeps appropriate records.</p> <p><i>These may include:</i></p> <ul style="list-style-type: none"> • Work diary pages • Generic sets of rosters • Induction/training documents • Workplace Health and Safety training • Register of documents • Driver medical assessments <p><i>Note: This merely demonstrates that operators maintain appropriate records.</i></p>			

Business Rule 8.12: Compliance Statements

Description: As part of the internal review standards for each module, a Scheme Member is required to complete quarterly compliance statements. These statements must contain a record of compliance with the key outcomes required for each module offered under the Scheme.

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
<ul style="list-style-type: none">• Verify that Compliance Statements are completed quarterly.• Verify the Quarterly Compliance Statement is current. Suggestions of data that may be captured:<ul style="list-style-type: none">➤ current number of drivers nominated➤ number of medicals renewed➤ number of medicals missed➤ number of compliant work diary pages➤ number of non-compliant work diary pages➤ number of fatigue related incidents.			

Additional Conditions of Accreditation

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
<ul style="list-style-type: none">• Are there any additional conditions of accreditation?• Sight evidence that they are being adhered to.			

Other Comments: