

## NHVAS Mass Management Spot Check Checklist

**Legal Entity Name of NHVAS Operator:**

**DTMR Representative:**

**Location:**

**Spot Check Date:**

**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 any Conditions of Accreditation. Other methods of obtaining valid evidence may be used.

1. Interviews with the NHVAS Representative and staff.
2. Documents and records including, but not limited to:
  - NHVAS policy and procedure manuals
  - Updates provided by TMR NHVAS Administrator
  - Current certificates of registration, certificates of inspection
  - Interception reports
  - On-road vehicle fault reports
  - NHVAS Mass Management reports
  - Records containing:
    - Vehicle and trailer particulars
    - Internal review
    - 3<sup>rd</sup> Party audits
    - Compliance history and information from other NHVAS jurisdictions

### Compliance Code Legend

NA = Not applicable

V = Indicates compliance verified with the relevant standard

Nil = Not assessed at this spot check

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

**Standard 1: Responsibilities - The authorities, responsibilities and duties of all positions involved in the management, operation, administration, participation & verification of the Mass Management System are current clearly defined & documented.**

**Description:**

Responsibility for the operation of the Mass Management System is to rest with the appropriate people within the road transport operation as nominated by the operator.

**Criteria**

Responsibility for the operation of the Mass Management System is to rest with appropriate people within the road transport operation as nominated by the operator.

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
The positions involved in the management, performance and verification of mass assurance functions will be current, clearly defined and documented.			

**Standard 2: Vehicle Control - All vehicles nominated by the operator must be operated in accordance with the Mass Management System.**

**Description:**

The operator will maintain a comprehensive register of nominated vehicles (including subcontractors); have evidence that the vehicles technical specifications meet or exceed the authorised mass; ensure nominated vehicles have mass authorisations; and provide evidence of controls to ensure that subcontracted vehicles under the Mass Management System are not used for unauthorised purposes.

**What the Standard Means:**

Operators must be able to prove that the vehicles in their Mass Management System meet the necessary Mass Management Standards.

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
<p>Sight evidence that the operator has:</p> <ul style="list-style-type: none"><li>• A comprehensive register of nominated hauling &amp; trailing units inclusive of any subcontractors. List must include:<ul style="list-style-type: none"><li>○ Registration number, Registered owner</li><li>○ Manufacturers GVM/GCM</li><li>○ Tare weight</li><li>○ Accreditation label's serial number</li><li>○ Date entering and exiting the scheme.</li></ul></li></ul>			

Verify that:

- All nominated vehicles have the technical (manufacturers) specifications to conform to its authorised mass.

Vehicles sub-contracted to the operator must be 'captive' or secured to the operator.

The register identifies nominated vehicles that are sub-contracted to the operator. Does the register identify sub-contracted vehicles and how?

Documentation should exist which specifies how vehicles, which are sub-contracted to the operator, are to be 'captive' or secured.

- A written contract with subcontractor;
- A financial bond;
- A requirement that the vehicle be painted in company colours.

### Standard 3: Vehicle Use - The vehicle mass must be determined by weighing or by a method of assessment prior to departure allowing for any variation.

#### Description:

Operators must provide documentation of a system that objectively demonstrates that product loading is controlled to ensure that axle mass and gross mass remain within the limits allowable under the Mass Management System prior to departure. It should cater for all possible variations including density, number, volume etc. and will include procedures on how they will ensure that the other organisations in the supply chain will comply with the Mass Management Standards.

#### What the Standard Means:

Before a loaded vehicle departs it must be weighed or have its weight assessed by other means. The operator must be able to show their loading system is objective and delivers axle and gross loading within the relevant limits before the vehicle goes on the road.

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
<p>Verify procedures demonstrate how product loading is controlled prior to departure including:</p> <ul style="list-style-type: none"><li>• Mass is determined by a method of assessment or weighing</li><li>• Vehicle loading limits are established</li><li>• Loading complies with axle and gross mass restrictions applicable to the vehicle</li><li>• The system caters for all possible variations including density, number, volume etc.</li></ul> <p><i>Note: A method of assessment may include filling to a marked line in the vehicle body or loading a known volume of liquid at known specific gravity.</i></p>			

**Standard 4: Records and Documentation - Documented evidence must be maintained to demonstrate the effective operation of the Mass Management System.**

**Description:**

All records are legible and identifiable to the vehicle and trips involved and procedures documentation is available to relevant personal.

**What this Standard means:**

The Mass Management System must include procedures for ensuring that records of weights are produced for each trip and those records are kept for audits. It must also include procedures for ensuring all relevant staff knows what their Mass Management System procedures are and how to access written copies of them.

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
Verify the procedures stipulate that: <ul style="list-style-type: none"> <li>• Records are to detail the vehicle and trips associated with individual loading processes, as well as the identification of the person or organisation completing the loading and verification processes.</li> </ul>			
Verify that: <ul style="list-style-type: none"> <li>• All records are legible and identifiable to the vehicle and trips involved.</li> <li>• For each trip do they keep documentary evidence (eg. Manifests/Run sheets/Log sheets/Work diaries) of the following:                             <ul style="list-style-type: none"> <li>○ The vehicle’s registration number or fleet number.</li> <li>○ The measured weight (mass) of the vehicle.</li> <li>○ Current documentation is available to all relevant personnel and at all locations where operations essential</li> </ul> </li> </ul>			

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
to the effective functioning of the system are performed.			
<ul style="list-style-type: none"> <li>Is the operator accredited in the Intelligent Access Program (IAP)?</li> </ul> <p><i>Note: Photograph completed Manifests/Run sheets/Log sheets/Work Diaries and forward to <a href="mailto:IAP_correspondence@qdot">IAP_correspondence@qdot</a> on return to office.</i></p>			

**Standard 5: Verification - The weight of a vehicle and load must be verified to produce an auditable record.**

**Description:**

The Operator must verify the weight of a vehicle and load and maintain an auditable record of the verification.

**What the Standard means:**

The operator must be able to prove their methods are accurate for assessing the weight of vehicle loads.

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
Procedures exist specifying how details of the weight of the vehicle and load are to be produced and recorded.			
Procedures exist specifying the method(s) for recording weight of vehicles and loads depending on which method was used to establish vehicle weight.  Where different methods are used to establish vehicle weight, review procedures to ensure they address all methods utilised.			
Procedures exist specifying the frequency at which vehicle mass is to be verified.  <i><b>Note:</b> The intent is to ensure that the method of assessment used to ensure that the vehicle loads remain within allowable limits is verified at suitable frequencies. For example, if loading is controlled by means other than weighing (e.g.: by volume) the operator needs to periodically verify that volume limits used actually continue to achieve allowable weight limits (e.g. periodically weighing vehicles and loads to confirm the relationship between volume and weight limits).</i>			



**Standard 6: Internal Review - The Mass Management System must be subject to annual internal review to verify that all results and activities comply with the system's policies, procedures and instructions.**

**Description:**

An internal review of the Mass Management System is a regular look at the system against the standards to see if it complies. An effective review will pick up problem areas in the basic requirements, show failures to comply with procedures and identify non-compliances that should be fixed as soon as possible.

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
Sight procedure that defines how the internal review is to be undertaken.			
Sight evidence demonstrating: <ul style="list-style-type: none"> <li>• That Internal Review Schedule has been completed for current year; and</li> <li>• That an Internal Review has been conducted for the current year or within the last year.</li> </ul> <i>Note: Entry to the scheme should be checked as operator may be within 1<sup>st</sup> year.</i>			
Verify there is a documented method to identify and; <ul style="list-style-type: none"> <li>• Correct all non-conformances detected from all sources to make sure the incidents are not repeated; and</li> <li>• The responsibilities for identifying and correcting all non-conformances are current, clearly defined and documented.</li> </ul>			
<ul style="list-style-type: none"> <li>• The Quarterly Compliance Statement is current and contains:               <ul style="list-style-type: none"> <li>○ The number of vehicles in the accredited fleet</li> <li>○ Total number of trips undertaken by those vehicles</li> </ul> </li> </ul>			

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
<ul style="list-style-type: none"> <li>○ The total number of trips that were not compliant with the relevant vehicle's mass limits; and</li> <li>○ The amount of mass excess for each non-compliant trip</li> </ul>			
<ul style="list-style-type: none"> <li>• Changes to documents and procedures are recorded.</li> </ul>			
<ul style="list-style-type: none"> <li>• Original documents and procedure are kept for external audit purposes.</li> </ul>			

**Standard 7: Training and Education - Those persons who hold a position of responsibility under the Mass Management System are trained in and familiar with the specific policy, procedure and instruction they are to carry out.**

**Description:**

Training and education is essential to ensure all employees, including managers, understand the Mass Management System, and have the appropriate knowledge and skills to carry out the tasks given to them.

**What the Standard means:**

For Mass Management Systems to work, everyone who has a role to play (whether a Manager, a Driver, Sales Manager or a Weighbridge Clerk) must have the proper training in the system and know how to carry out their specific tasks.

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
Sight evidence that: <ul style="list-style-type: none"><li>• Procedures exist for providing training of personnel in Mass Management Systems.</li><li>• How training needs, skills and experience for persons holding positions of responsibility are identified; and</li><li>• Verify that records of training are maintained.</li></ul>			

**Standard 8: Maintenance of Suspension - Vehicles nominated by the operator must be operated in accordance with the Mass Management Maintenance of Suspension Standard.**

**Description:**

All vehicles under the Mass Management System (including equipment supplied by other parties) must have their suspension systems maintained and replaced according to the manufacturer or a qualified mechanical engineer's specification and taking into account the ARTSA Air Suspension Code.

**What the Standard Means:**

All vehicles accredited under NHVAS Mass Management including trailers being hauled by vehicles operating under NHVAS Mass Accreditation, must have their suspension maintained and replaced according to the manufacturer's or a qualified mechanical engineer's specification.

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
Sight a procedure to access or specific documentation for: <ul style="list-style-type: none"> <li>Manufacturer's or qualified mechanical engineer's specification for the suspension of both trailing and hauling equipment. Road Friendly Suspension must also be certified under VSB 11.</li> </ul>			
Sight documented procedures detailing: <ul style="list-style-type: none"> <li>When the suspension is to be checked (based on manufacturer's or qualified mechanical engineer's specifications of time and/or distance and taking into account the ARTSA Air Suspension Code), by whom and how it is to be recorded.</li> <li>The recording faults to the suspension during a journey, how the faults are reported to the maintenance provider, for the repair of major or serious faults that may affect the performance of the suspension system, as soon as possible even if the vehicle is away from home base and for the repair of other faults in a timely manner</li> </ul>			

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
<p>Sight evidence of:</p> <ul style="list-style-type: none"> <li>• Documentation of the decision making with respect to suspension maintenance. Note: This is to include the final sign-off of the repair when completed.</li> <li>• Any repairs to suspensions are only carried out by persons having suitable qualifications or experience to competently complete any maintenance tasks, or do so under qualified supervision with recent experience.</li> </ul> <p>For a trailer supplied by another party, the accredited operator must demonstrate that a statement of compliance with the suspension maintenance standard accompanies each trailer, and that the trailer supplier is able to demonstrate compliance with the above criteria.</p>			

## Conditions of Accreditation

Criteria	List evidence sighted or method of verification	Compliance Code	CAR
Are there any specific conditions of accreditation? Sight evidence that they are being adhered to.			

### Other Comments: