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| MASS MANAGEMENT AUDIT MATRIX |
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ON-ENTRY SYSTEM ACCREDITATION AUDIT PROGRAM

Operator:.....

Auditor:.....

System Identification:.....**Date:**.....

NOTE

The Mass Management Accreditation Standards and supporting criteria stipulate the establishment and use of policies, procedures and documentation in respect of the operation of specific components of an Operator’s Mass Management System. Whilst some standards and criteria specifically state that such policies and procedures should be formally documented, others do not.

In attempting to establish compliance with these standards and criteria, whether they stipulate the existence of formally documented policies and procedures or not, the auditor should ascertain how such procedures are communicated to staff (e.g.: through training services or via a manual). The auditor should then seek to establish the extent of knowledge and understanding of these procedures amongst operator staff through enquiry made of a sufficient number of staff.

PROGRAM DESCRIPTION

The On-Entry System Accreditation Audit program lists the criteria being evaluated and indicates in *Italics*, in the row beneath each criterion, the compliance indicator(s) for those criteria. In the rows following the criteria the assessment steps that the auditor must perform to confirm compliance are indicated.

Questions or points of focus are also provided to prompt the auditor to provide a description of the operator’s system, such as where procedures are to be found how the system complies with the Standards, etc. These points of focus are aimed at identifying how the operator’s system satisfies the requirements of the Standards. It will also be used during the On-going Assessment to ascertain whether the operator’s system has changed since the Entry System Accreditation Audit and to ensure familiarity with the operator’s system.

SEQUENCE OF STANDARDS

Coverage of the individual Mass Management Standards within this assessment program is performed in a sequence best suited to first understanding and then assessing the operator's mass management system. The audit steps cover the standards in the following order:

Standard 2 – Vehicle Control

Standard 3 – Vehicle use

Standard 5 – Verification

Standard 8 – Maintenance of Suspension Systems

Standard 1 – Responsibility and Authority

Standard 6 – Internal Review

Standard 7 – Training and Education

Standard 4 – Records and Documentation

OTHER INDICATORS

Some indicators of compliance with the mass management standards, other than those specifically relating to the individual criteria contained in the standards, are listed for certain standards.

The auditor may look for these other indicators when reviewing larger organisations or more complex systems, however these indicators may not apply to smaller or less complex systems.

Whether the audit steps related to these 'other indicators' are completed will require judgement on the part of the auditor. Within each of these 'other indicators' guidance is provided to assist the auditor to determine when to consider their application to the operator's mass management system.

INSTRUCTIONS

The following instructions must be followed in conducting an On-Entry System Accreditation Audit. These instructions tell the auditor how to follow and complete the On-Entry System Accreditation Audit Program.

- Ensure that you understand the compliance indicators and evidence you are looking for.
- Perform the assessment step as indicated. Remember that in many cases there is no requirement for the procedures to be documented, and you will have to enquire of the operator's staff what the procedures are. You also may need to observe an activity being performed to confirm that the procedure is followed in practice.
- Answer the relevant questions by providing a summary description of the requested information in the 'Description' column. Add any additional information that could be helpful in understanding the operator's system.

Note that greyed areas should be left blank, as no description is required in these areas.

Enter a conclusion in the 'Compliance Code' column alongside each assessment step completed. The code should indicate the auditor's assessment of the extent to which the operator's procedures examined by you comply with the corresponding criteria and compliance indicators. Standard codes should be used to record your conclusion:

| | | |
|-----|---|---|
| NAP | = | Not applicable |
| NA | = | Not assessed at this audit |
| V | = | Indicates conformance verified with the relevant criteria/compliance indicators |
| C | = | Major non-conformance (<i>non-conformance requiring rectification prior to certification</i>) |
| M | = | Minor non-conformance (<i>non-conformance requiring rectification by an agreed date</i>) |
| SFI | = | Suggestion for improvement (<i>comment on aspect of the system that complies but could be improved</i>) |

Complete a '*Corrective Action Sheet*' for each assessment step or activity performed for which a major or minor non-conformance is identified.

Enter the *Corrective Action Sheet* reference under the 'CAR Ref' column in the program, for each sheet completed.

Complete a '*Suggestion for Improvement Sheet*' and enter the suggestion for improvement sheet reference under the 'SFI Ref' column, for each assessment step or activity performed, in which you identify any opportunities for improvement.

| Standard | | | | |
|--|--------------------|------------------------|----------------|----------------|
| 2.0 All vehicles nominated by the operator must be operated in accordance with the Mass Management Accreditation Program. | | | | |
| Criteria | | | | |
| 2.1 A comprehensive register of nominated vehicles inclusive of any contractors must be maintained. | | | | |
| Compliance indicator | | | | |
| <i>Evidence that a register has been kept which records details of all vehicles nominated to be included within the Mass Management Accreditation Program.</i> | | | | |
| <i>Evidence that the register contains accurate and up-to-date information for each nominated vehicle.</i> | | | | |
| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
| Review register to ensure that it contains all required information fields as specified in the Agreement for Mass Management. Review a sample of entries on the register to ensure that all information fields have been completed in respect of nominated vehicles, and to ensure that the details for each nominated vehicle are accurate and up-to-date. | | | | |
| Briefly describe the form of register maintained (manual/computerised) and the location(s) at which they are maintained. | | | | |

| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
|--|-------------|-----------------|---------|---------|
| <p>Ensure that there is provision(e.g.: fields, columns or other standard space) to record the following details in the register for each nominated vehicle:</p> <p><u>Vehicle register details</u></p> <ul style="list-style-type: none"> • Registered Number • Registered Owner • Registered Gross Vehicle/Combination Mass • Fleet Number • Manufacturer’s Gross/ Combination Mass • Tare Weight (vehicle mass to include full fuel tank, along with all normal operating equipment or materials) • The date of inclusion or deletion from the Agreement. <p>Obtain details from the road agency of the vehicles covered by the operator’s application to be accredited.</p> <p>Select a sample of vehicles used by the operator for which accreditation is sought and:</p> <ul style="list-style-type: none"> • ensure that each vehicle appears within the register; and • confirm that the above details are completed for each selected nominated vehicle and • confirm through enquiry or cross-reference to the vehicle manufacturer registration records or other documentation that the correct details (as listed under ‘Vehicle register details’ above) have been recorded in the register and are current. Sight and record the date of the latest registration details and manufacturer's documentation. | | | | |
| <p>Other Indicators</p> <p><i>Documentation exists, which specify how and who maintains the register so as to ensure that it remains up-to-date.</i></p> <p><u>When to consider</u></p> <p>When considering the relevance of this indicator, the auditor should consider the number of vehicles to be covered by the application for certification under the Mass Accreditation scheme and the dispersion of the vehicles over the different locations at which they are garaged. For example, in the case of an operator which has only a small number of vehicles garaged in a central location ensuring that the register remains up-to-date will not be difficult and specific procedures to achieve this are unlikely to be unnecessary. However, if there are a large number of vehicles garaged at a number of different locations, specific procedures will be appropriate to ensure the register is updated to reflect new or sold vehicles and changes to vehicle specifications and registration details.</p> | | | | |

| Assessment step/points of focus | Description | Compliance | CAR | SFI |
|---|-------------|-----------------|---------|---------|
| Review procedures for ensuring that the register remains up-to-date. | | | | |
| <p>Who updates the register?</p> <p>Describe the procedures for updating the register to reflect the changes to vehicles covered, e.g.: to reflect:</p> <ul style="list-style-type: none"> • New/sold vehicles • Changes to vehicle specifications • Changes to registration details <p>Are the details in the register periodically checked by management to the underlying registration and manufacturer's documentation to ensure that the registration details remain correct and current (e.g.: periodic inventory/ 'stock take')?</p> <p>If so, record how and frequency of performance.</p> | | | | |
| <p>Criteria</p> <p>2.2 All nominated vehicles must have the technical specifications to conform to its authorised mass.</p> | | | | |
| <p>Compliance indicator</p> <p><i>Evidence that vehicles have technical specifications greater than or equal to the authorised mass.</i></p> | | | | |
| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
| Select a small sample of vehicles from the register and the gross mass at which the operator intends to run each of them. | | | | |
| <p>Verify to supporting evidence that the technical specifications for a particular vehicle are greater than or equal to the authorised mass (i.e.: the operator should use the lower of the manufacturer's specifications or authorised mass).</p> <p>Supporting evidence will include one of the following:</p> <ul style="list-style-type: none"> • Registration certificates • Engineering certificates • Vehicle compliance plates | | | | |

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| <p>List vehicles selected and briefly describe the supporting documentation reviewed.</p> | |
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| <p>Criteria</p> <p>2.3 All nominated vehicles if required have mass authorisations to use the road network.</p> |
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| <p>Compliance indicator</p> <p><i>Evidence that vehicles have technical specifications greater than or equal to the authorised mass.</i></p> <p>Note:</p> <ul style="list-style-type: none"> • The statutory mass limit is specified by each jurisdiction (these limits vary from state to state). • If an operator wishes to operate a vehicle at a limit greater than the statutory mass limit, it must apply for special permit from each of the State Transport Authorities on whose roads it wishes to operate the vehicle. These permits are specific to an individual vehicle. • In addition, from time to time State Transport Authorities issue general permits for specific vehicle types which are published in the State Government Gazettes. |
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| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
|---|-------------|-----------------|---------|---------|
| <p>Obtain from the operator an explanation of how the gross authorised mass has been determined for vehicles in the register.</p> | | | | |
| <p>Select a small sample of vehicles from the register and verify to supporting evidence that the vehicle is actually authorised to operate at this mass.</p> <p>Supporting evidence will include one of the following:</p> <ul style="list-style-type: none"> • a permit issued by one of the State transport authorities specific to a vehicle. • the gazetted mass limit of a vehicle. • the statutory mass limit of a vehicle. | | | | |

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| <p>List vehicles selected and briefly describe the basis of the gross mass limit at which individual vehicles are authorised to operate.</p> | |
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Criteria
 2.4 Vehicles sub-contracted to the operator must be ‘captive’ or secured to the operator.

Compliance indicator
The register identifies nominated vehicles that are sub-contracted to the operator.
Note: The intention is to ensure that vehicles accredited under the Mass Management Scheme are not used for carrying loads other than those covered by the accredited operators’ Mass Management Systems.

| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
|---|-------------|-----------------|---------|---------|
| <p>Enquire as to whether the operator uses any sub-contracted vehicles.</p> <p>Review the register to ensure that sub-contracted vehicles are identified (refer registered owner column of register).</p> | | | | |
| <p>Does the register identify sub-contracted vehicles? If so, how?</p> | | | | |

| Compliance indicator | | | | |
|--|--------------------|------------------------|----------------|----------------|
| <i>Documentation should exist which specifies how vehicles, which are sub-contracted to the operator, are to be 'captive' or secured.</i> | | | | |
| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
| <p>Review procedures.</p> <p>These procedures will generally include one or more of the following:</p> <ul style="list-style-type: none"> • A written contract with sub-contractor; • A financial bond; • A requirement that the vehicle be painted in company colours. | | | | |
| <p>Briefly describe how the operator ensures that sub-contracted vehicles accredited under the operator's mass management system are not used for unauthorised purposes.</p> | | | | |

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|--|--------------------|------------------------|----------------|----------------|
| Standard | | | | |
| 3.0 The vehicle mass must be determined by weighing or by a method of assessment prior to departure allowing for any variation. | | | | |
| Criteria | | | | |
| 3.1 Operators must demonstrate documentation of a system that objectively demonstrates that product loading is controlled to ensure that axle mass and gross mass remain within those limits allowable under the Mass Management Accreditation Program | | | | |
| Compliance indicators | | | | |
| <p><i>Procedures exist, which demonstrate the control over the vehicle loading process including:</i></p> <ul style="list-style-type: none"> • <i>Mass is determined prior to departure by weighing or method of assessment</i> • <i>An objective measuring system is used</i> • <i>Vehicle loading limits are established</i> • <i>Procedures exist to ensure that loading complies with axle/gross mass restrictions applicable to a vehicle</i> • <i>Documentation exists which identifies the equipment and facilities required to undertake individual activities within the mass management system.</i> <p><u>When to consider</u></p> <p>When the performance of key mass management system activities requires the use of specialised equipment and facilities, these should be explicitly identified. For example, on-board weighing equipment or other measuring equipment that may be required to assess or verify vehicle mass.</p> | | | | |
| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
| <p>Review procedures to ensure that they can demonstrate control over the vehicle loading process including:</p> <ul style="list-style-type: none"> • Mass is determined prior to departure by weighing or method of assessment • An objective measuring system is used • Vehicle loading limits are established • Procedures exist to ensure that loading complies with axle/gross mass restrictions applicable to a vehicle • Equipment and facilities required to undertake individual activities are specified. <p>Note: A method of assessment other than weighing may include filling to a marked line in the vehicle body or loading a known volume of liquid at known specific gravity.</p> | | | | |

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| <p>Describe how procedures demonstrate effective control over the vehicle loading process.</p> <p>For the various types of vehicles and loads:-</p> <ul style="list-style-type: none"> • Is mass determined prior to departure? How? • Describe the measuring system used. Consider whether it is objective. • Describe how vehicle loading limits have been established. • How does the operator ensure that loading actually complies with axle/gross mass restrictions applicable to a vehicle? • Is any specialised equipment or facilities required to undertake activities within the mass assurance system? If so, what equipment and what activities are they used for? | |
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Criteria
 3.2 The system should cater for all possible variations including density, number, volume etc.

Compliance indicators
Procedures exist to identify and cater for possible variations in a load.
 Note: Mass variations may exist for common load types. For example, where loading is controlled by:

- Number, the system must give regard to variations in density (e.g.: density of timber can vary for different types of wood and due to the water content of the same type of wood);
- Volume (e.g.: liquids), then the mass management system must give regard to the variations in specific gravity (e.g: cement can have different mass per volume depending on the mixture used/water content which can vary from batch to batch; and the specific gravity of petrol and other liquids can vary from batch to batch).

| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
|---|-------------|-----------------|---------|---------|
| Review procedures to ensure processes identify possible variations in a load and specify how compliance is to be ensured/product loading is to be controlled. | | | | |
| For each type of load that the operator carries, identify possible variations and briefly describe how load variations (e.g.: density, number, volume, etc.) are controlled to ensure that vehicle remains within allowable limits. | | | | |

Other indicators

Operators should have procedures, which specify how they will ensure that the other organisations will comply with the Mass Management Standards.

When to consider

This other indicator should be considered where other organisations are used in respect of the loading process. The intent is to ensure that regardless of who actually loads the vehicles, the operator can demonstrate that they confirm that loads remain within allowable mass limits prior to departure. Where the operator verifies the load prior to departure, no further consideration of the loading processes followed by other organisations used, will be necessary.

WHERE THE OPERATOR DOES NOT VERIFY LIMITS PRIOR TO DEPARTURE, and is therefore dependent upon the other organisation in complying with the mass limits in loading the vehicle, consideration of the processes followed by the other organisation to conform with allowable limits may be required.

| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
|---|-------------|-----------------|---------|---------|
| Establish where other organisations are used in the loading process. Obtain an understanding of how the operator maintains control over the loading process. | | | | |
| Are other organisations involved in the loading of the operator’s vehicles? If so, briefly describe broad categories (e.g.: all customers, subcontractors, etc.). Where other organisations are used, describe how the operator maintains control over the loading process. | | | | |

| Standard | | | | |
|--|--------------------|------------------------|----------------|----------------|
| 5.0 The weight of a vehicle and load must be verified to produce an auditable record. | | | | |
| Criteria | | | | |
| 5.1 The operator shall have a documented procedure to demonstrate that the system produces and records evidence of weight specific to a vehicle. | | | | |
| 5.2 The method of recording the required evidence may vary depending on which method was used to establish vehicle weight. | | | | |
| Compliance indicators | | | | |
| <i>Procedures exist specifying how details of the weight of the vehicle and load are to be produced and recorded for each trip.</i> | | | | |
| <i>Procedures exist specifying the method(s) for recording weight of vehicles and loads depending on which method was used to establish vehicle weight.</i> | | | | |
| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
| Review procedures to ensure they cover how details of the weight of the vehicle and load are to be produced and recorded for each trip. | | | | |
| Where different methods are used to establish vehicle weight, review procedures to ensure they address all methods utilised. | | | | |
| Summarise the different methods of recording required evidence. How and where are details of the weight of a vehicle and load produced? Who produces this documentation? When is this documentation produced? Where is this documentation kept? (Attach a sample record for each method used to evidence weight specific to a vehicle). | | | | |

| Criteria | | | | |
|---|-------------|-----------------|---------|---------|
| 5.3 The frequency of verification of a vehicle’s mass is dependent on the variation of produce carried and vehicle operation conditions. | | | | |
| Compliance indicators | | | | |
| <i>Documentation exists specifying the frequency at which vehicle mass is to be verified. The procedures must identify the product variations and operating conditions that are likely to necessitate variations to the prescribed frequency of verification and specify corresponding frequencies at which vehicle mass is to be verified.</i> | | | | |
| Note: 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). | | | | |
| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
| Review procedures and ensure that they identify product variations and operating conditions that are likely to necessitate variations to the prescribed frequency of verification of vehicle mass. Ensure that procedures also specify corresponding frequencies at which vehicle mass is to be verified under such variations. | | | | |
| How often is vehicle and load weight to be verified? How are vehicle and load weight verified for all vehicle types? What basis was used to determine the frequencies at which vehicle mass is to be verified? Does this take into account product variations and operating conditions? How? How does the operator ensure that verifications are performed in the manner and frequency prescribed? Where verification identifies deficiencies in the method of assessment used to control vehicle loading, how is the method corrected? | | | | |

| Assessment stop/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
|---|-------------|-----------------|---------|---------|
| Review alternative procedures | | | | |
| <p>What alternative procedures exist?</p> <p>Do they address each method of verification of vehicle mass being used?</p> <p>Do alternative procedures appear to be adequate/appropriate?</p> <p>Have staff been advised when alternative procedures are to be invoked and the alternative procedures they should follow? How was/will this be achieved?</p> | | | | |

| Other indicators | | | | |
|---|--------------------|------------------------|----------------|----------------|
| <p><i>Procedures deal with calibration of key measurement equipment, i.e.: the frequency of calibration, who is to perform calibration and how it is to be performed.</i></p> <p><u>When to consider</u></p> <p>This indicator is not applicable where commercial or public weighbridges are used, as calibration is performed by Government Departments or their agents, and is thus out of the control of the operator.</p> | | | | |
| Assessment stop/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
| Review procedures | | | | |
| Who performs the calibration? | | | | |
| How often is the calibration performed? | | | | |
| How is calibration of key measurement equipment performed? | | | | |
| What records are maintained to evidence the performance of calibration? | | | | |

| Standard | | | | |
|--|-------------|-----------------|---------|---------|
| 8.0 Vehicles nominated by the operator must be operated in accordance with the Mass Management Maintenance of Suspension Standard. | | | | |
| Criteria | | | | |
| 8.1 Documentation of manufacturer’s or qualified mechanical engineer suspension specifications. | | | | |
| 8.2 Documented instructions for inspecting suspension systems | | | | |
| 8.3 Documented procedures for recording of faults detected during a journey | | | | |
| 8.4 Documented process for decision making process for suspension maintenance | | | | |
| 8.5 Evidence that any repairs to suspension systems are only carried out by qualified and competent personnel | | | | |
| 8.6 Demonstrated evidence of trailers supplied by another party complies with suspension maintenance standards | | | | |
| Compliance indicator | | | | |
| <p>There is a documented instruction from a manufacturer or qualified mechanical engineer, detailing the suspension specifications of the trailing and hauling equipment. Including documented instructions on when the checks are to be carried out (time or distance based), who carries it out, how the check is recorded and that covers the minimum inspection requirements.</p> <p>That there is evidence of fault recording system during a journey, how those faults are assessed, reported and repaired in a timely manner. Documented process on how decisions relating to suspension repairs where made.</p> <p>That the individual (s) who carries out the suspensions repairs, understands that they are certifying that the suspension system is compliant to the limits of the inspection. Includes final sign off on completion of repairs.</p> <p>That trailers supplied by another party can demonstrate a statement of compliance with the suspension maintenance standard to the accredited operator</p> <p>Note: The intention is to ensure that vehicles with Road Friendly under the Mass Management Scheme are not used for carrying loads other than those covered by the accredited operators’ Mass Management Systems.</p> | | | | |
| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
| <p>Review the documented instructions and ensure the detailed specifications exist. (trailing and hauling equipment)</p> <ul style="list-style-type: none"> • What are the qualifications of specifications (manufacturer/mechanical engineer) • Samples from nominated vehicle list • Instructions cover trailers and trucks | | | | |
| <p>Review the documented instruction and ensure the requirements are met.</p> <ul style="list-style-type: none"> • Check instructions | | | | |

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| <p>Is the suspension system certified with VSB 11</p> <ul style="list-style-type: none"> • Check suspension compliance plate • Check suspension model against VSB 11 | | | | |
| <p>Review documented instruction to determine inspection specifications (time or distance)</p> <ul style="list-style-type: none"> • Time • Distance | | | | |
| <p>Evidence that there is a means to record faults and record who and when inspected.</p> <ul style="list-style-type: none"> • Check for defect book | | | | |
| <p>Documented instruction that allows for major or serious faults to be assessed and fixed as soon as possible, even if the vehicle is away from home base.</p> <ul style="list-style-type: none"> • Does instruction details instructions • Does driver understand instructions | | | | |
| <p>Documented instruction that ensures faults, which occur at any other time are reported to the maintenance provider as soon as possible.</p> <ul style="list-style-type: none"> • Is there documented instructions • How does faulty suspension get reported to repairer | | | | |
| <p>Documented decision making process with respect of suspension maintenance. Includes final sign off when repair completed.</p> <ul style="list-style-type: none"> • Is there a process • Is it documented • View final sign off (if applicable) | | | | |

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| <p>Documentation available to all relevant personnel and at all locations where operations essential to the effective functioning of the suspension systems are performed.</p> <ul style="list-style-type: none"> • Are staff aware of instructions | | | | |
| <p>Evidence that the person (s) responsible have been trained in the procedure, policy and/or instruction they are to carry out.</p> <ul style="list-style-type: none"> • Evidence of training | | | | |
| <p>Evidence that the person (s) responsible for suspension repairs hold suitable qualifications or experience to competently complete any maintenance tasks have been trained in the procedure, policy and/or instruction they are to carry out.</p> <ul style="list-style-type: none"> • Qualifications of repairer | | | | |
| <p>Briefly describe how the operator ensures that trailers supplied by other parties comply with suspension maintenance standard.</p> <ul style="list-style-type: none"> • Statement of compliance for each trailer | | | | |

| Standard | | | | |
|--|-------------|-----------------|---------|---------|
| 1.0 The authorities, responsibilities and duties of all positions involved in the management, operation, administration, participation and verification of the Management System are current, clearly defined and documented. | | | | |
| Criteria | | | | |
| 1.1 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. | | | | |
| Compliance indicators: | | | | |
| <i>The required positions involved in the management, performance and verification of mass assurance functions have been defined and the roles and responsibilities of the positions held in respect of the mass assurance system clearly communicated to the persons nominated.</i> | | | | |
| <i>For each mass assurance system function, documented procedures exist specifying what, where, how and by whom the individual functions are to be performed.</i> | | | | |
| Note: The size and complexity of the operator’s systems will affect the level of detail expected in satisfying the above compliance indicators. | | | | |
| Assessment stop/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
| Review definitions of roles and responsibilities and ensure that they clearly set out the roles and responsibilities of positions held in respect of the mass management system. (Refer <i>other indicator 1.1a</i>). | | | | |
| Have roles and responsibilities in respect of the Management System been explicitly defined? If so, how have they been documented (e.g.: position descriptions, statement of management roles and responsibilities, etc.)? | | | | |

| Assessment stop/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
|---|-------------|-----------------|---------|---------|
| <p>Ascertain through enquiry how persons nominated have been advised of their roles and responsibilities and review any relevant documentation e.g. job descriptions, memos, briefing sessions.</p> | | | | |
| <p>How are nominated persons advised of their roles and responsibilities?</p> | | | | |
| <p>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. (Refer to <i>other indicator 1.1c</i>).</p> | | | | |
| <p>Briefly describe the nature of the documentation prepared, its extent and level of detail. In doing so, confirm that for key functions (as identified during the audit review of vehicle control, vehicle use and verification) the level of detail documented is appropriate to the complexity of the activities involved, and specifies what, where, how and by whom activities are to be performed.</p> | | | | |

Other indicators

1.1a Structure for the management of the Management System has been clearly defined.

When to consider

This section will not be applicable to a small operator where a formal management structure specifically for Mass 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 mass management of persons at both head office and at individual locations.

| Assessment stop/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
|---|-------------|-----------------|---------|---------|
| Review management structure established over the mass assurance system. | | | | |
| Briefly describe the structure relating to management of mass assurance systems. Is the structure and accountabilities documented in the procedures? | | | | |

| Other indicators | | | | |
|---|--------------------|------------------------|----------------|----------------|
| <p><i>1.1b Evidence that management ensures documented procedures are being followed in practice.</i></p> <p><u>When to consider</u></p> <p>The aim is to establish how management ensure that the mass management system procedures as detailed in the documentation are actually being complied with in practice. For a small operation, management will have a hands-on role, which enables them to be satisfied that procedures are being followed. In larger organisations, particularly those which span multiple locations, management will require specific mechanisms to ensure that the authorised procedures are being followed correctly and consistently at all locations.</p> | | | | |
| Assessment stop/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
| Enquire of nominated persons what they do to ascertain whether documented procedures are followed and whether tasks are performed by nominated persons. | | | | |
| <p>Briefly describe the procedures followed to ensure that documented procedures are followed and that all tasks are performed by the nominated person.</p> <p>Who is responsible for ensuring/enforcing compliance with procedures?</p> | | | | |

Other indicators

1.1c Documentation and procedures are sufficiently detailed to convey a clear understanding of the tasks to be performed, which avoid misinterpretation. The level of detail provided for each task should be appropriate for the complexity of the task being described.

Note: As well as reflecting the complexity of the task, the detail necessary should also take into account the training and experience of the person performing the task. However, consideration should also be given to the detail necessary to enable an alternate to perform the task should the nominated person(s) be unavailable e.g. sick, on leave etc.

Further guidance on what may constitute sufficient detail is provided in Appendices H and I, which contain specimen procedures for a simple and for a complex system, respectively.

When to consider

In performing the assessment steps up to this point, you should have obtained an understanding of the key components of the operator’s mass management system. You should now consider the level of detail to which documented procedures should be prepared in order to clearly convey how tasks should be performed in order to avoid misinterpretation or misunderstanding. In doing so, bear in mind that detailed procedures may not be necessary where those involved in the performance of the corresponding activities have substantial experience and/or received extensive training in their performance.

| Assessment stop/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
|--|-------------|-----------------|---------|---------|
| Review documented procedures and interview a sample of key operations staff to determine whether documented procedures are sufficiently detailed to convey a clear understanding of the tasks to be performed. | | | | |
| Provide comments as to the adequacy of the operator’s procedures and the basis for your conclusion. | | | | |

| Standard | | | | |
|---|-------------|-----------------|---------|---------|
| 6.0 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 standard to see that it complies. An effective review will pick up problem areas in the basic requirements, show failures to comply with procedures, and identify non-compliance that should be fixed as soon as possible. | | | | |
| Criteria | | | | |
| 6.1 Procedures exist that define how the internal review is to be undertaken | | | | |
| 6.2 There is an annual review schedule | | | | |
| 6.3 Internal reviews are undertaken by persons independent of the activity being reviewed, where practical. | | | | |
| Compliance indicator | | | | |
| <i>Evidence exists of reviews being conducted to ensure compliance with the instructions and requirements of the Mass Management Accreditation System.</i> | | | | |
| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
| Obtain records of internal reviews during the period under review. | | | | |
| When was the most recent internal review conducted? | | | | |
| Did it cover all aspects of the Mass Management System? | | | | |
| How are details of the scope and findings of internal reviews kept? | | | | |
| Is there an internal review schedule? | | | | |

| Compliance indicator | | | | |
|---|--------------------|------------------------|----------------|----------------|
| <p><i>Suitable methods (i.e. checklists) have been used to specify and document the work steps to be completed for the internal review and the conclusions reached.</i></p> <p><i>Internal review is conducted by persons independent of the systems being subject to the review.</i></p> | | | | |
| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
| <p>Review records of internal reviews completed and ensure they include completed checklists that specify and document the work steps to be completed for the review and the conclusions reached.</p> <p>Ensure that the persons who conducted the review are independent of the systems being the subject of the review.</p> | | | | |
| <p>Do internal review records include completed checklists?</p> <p>Who conducts internal review of the Mass Management System?</p> <p>Are persons conducting the internal review independent of the Mass Management System function being audited?</p> | | | | |

| <p>Compliance indicator</p> <p><i>A mechanism exists for reporting of deficiencies found during internal review to appropriate levels of management on a timely basis.</i></p> | | | | |
|--|-------------|-----------------|---------|---------|
| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
| Review procedures. | | | | |
| <p>How are deficiencies reported?</p> <p>Who are they reported to?</p> <p>Within what time frame are deficiencies reported? Is it timely enough?</p> | | | | |
| <p>Criteria</p> <p>6.4 That there is a documented method to identify and correct all non-conformance detected from all sources to make sure the incidents are not repeated.</p> | | | | |
| <p>Compliance indicator</p> <p><i>A mechanism exists for instances of non-compliance to be identified, recorded and reported to appropriate levels of management on a timely basis.</i></p> | | | | |
| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
| Review procedures. | | | | |

| | |
|--|--|
| <p>Based on your review of the procedures, do procedures appear to adequately specify what constitutes non-compliance (i.e.: the circumstances, events that should give rise to the raising of non-compliance)? Specify.</p> <p>Describe the mechanism for identifying, recording and reporting instances of non-compliance. How are instances of non-compliance:</p> <ul style="list-style-type: none"> • recorded? • reported? <p>What details are recorded? Specify.</p> <p>Are instances of non-compliance reported to appropriate levels of management? Specify whom non-compliances are reported to.</p> <p>How does the mechanism ensure that reporting occurs on a timely basis?</p> | |
|--|--|

Criteria

6.5 That the person(s) responsible for identifying and correcting all non-conformances is current clearly defined and documented.

Compliance indicator

Procedures exist which identify who instances of non-compliance are to be reported to and their responsibilities for monitoring and/or actioning the matters raised.

| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
|---|-------------|-----------------|---------|---------|
| Review procedures and ensure that persons to whom instances of non-compliance are to be reported are identified and that their responsibilities for monitoring/actioning the matters are established. | | | | |

| | |
|---|--|
| <p>What are the responsibilities of persons to whom instances of non-compliance are reported for actioning the matters reported?</p> <p>Do these responsibilities appear to be adequate to ensure that effective corrective action is taken?</p> | |
|---|--|

| | | | | |
|---|--|--|--|--|
| <p>Criteria</p> <p>6.6 That all non-conformance and action taken to correct them are recorded and quarterly compliance statements produced containing advice of:</p> <ul style="list-style-type: none"> • The number of vehicles in the accredited fleet • The number of trips undertaken • The number of trips undertaken, which were non-compliant with alternative compliance mass limits • The level of mass excess for each non-compliant trip. | | | | |
|---|--|--|--|--|

| | | | | |
|---|--|--|--|--|
| <p>Compliance indicator</p> <p><i>Evidence exists of compliance statements being maintained to ensure compliance with the instructions and requirements of the Mass Management Accreditation Scheme.</i></p> | | | | |
|---|--|--|--|--|

| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
|---|-------------|-----------------|---------|---------|
| Obtain records of compliance statements completed during the period under review. | | | | |

| | |
|--|--|
| <p>When was the most recent compliance statement completed?</p> <p>Did it cover all aspects required under the mass management system?</p> <p>Where are records kept?</p> <p>How are details of the compliance statement kept?</p> | |
|--|--|

| Criteria | | | | |
|---|-------------|-----------------|---------|---------|
| 6.7 That changes to documents and procedures are recorded and the original documents and procedures are kept for external purposes. | | | | |
| Compliance indicator | | | | |
| <i>Records and documentation covering all vehicles and trips throughout the entire review period are available to and retrievable by the auditor.</i> | | | | |
| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
| Ensure that records and documentation required to complete all audit steps exist for the entire review period and are retrievable by the auditor. | | | | |
| <p>Where is the following documentation required for the audit kept?</p> <ul style="list-style-type: none"> • Internal review records • Calibration of weighing/other method of assessment records • Policies, procedures and other work instructions (including revisions) • Loading records • Manufacturer’s mass specification details • Non-compliance reports • Sub-contractor vehicle details and records • Training records • Register of vehicles • Other mass management system records <p>Does the auditor have ready access to them? Do the records cover the entire period under review? (Note any exceptions).</p> | | | | |

| Standard | | | | |
|---|-------------|-----------------|---------|---------|
| 7.0 That 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. | | | | |
| Criteria | | | | |
| 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. | | | | |
| <u>When to consider</u> | | | | |
| Formal training needs analyses and specific training courses in respect of mass management functions are only likely to be necessary where the mass management system is complex or where the loading and verification processes are highly specialised. | | | | |
| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
| <p>Review procedures and ensure that they specify the training needs, skills and experience for persons holding positions of responsibility within the mass assurance system.</p> <p>Are any specialised training needs, skills or experience required of persons? If so, what are they and what positions / staff do they relate to?</p> <p>Briefly describe how training needs, skills and experience for persons holding positions of responsibility are identified.</p> | | | | |

| Compliance Indicator | | | | |
|--|--------------------|------------------------|----------------|----------------|
| Procedures exist for providing training of personnel in Mass Management Systems. | | | | |
| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
| Review procedures, training manuals, training schedules etc. | | | | |
| <p>What form does the training take?</p> <p>Are training procedures and manuals appropriate for the complexity of the tasks to be performed?</p> <p>What records of training are maintained?</p> | | | | |

| Standard | | | | |
|--|--------------------|------------------------|----------------|----------------|
| 4.0 Documented evidence must be maintained to demonstrate the effective operation of the Mass Management System. | | | | |
| Criteria | | | | |
| 4.1 All records are legible and identifiable to the vehicle and trips involved. | | | | |
| Compliance indicators | | | | |
| <i>Procedures exist specifying the records to be maintained and the details to be recorded.</i> | | | | |
| <i>Procedures should stipulate that 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.</i> | | | | |
| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
| Review procedures and ensure that they cover details of 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. | | | | |
| <p>What records are to be maintained?</p> <p>What details are to be maintained for each record? (Refer to compliance indicators above).</p> <p>(Attach sample records).</p> | | | | |

| Criteria | | | | |
|--|--------------------|------------------------|----------------|----------------|
| 4.2 Current documentation is available to all relevant personnel and at all locations where operations essential to the effective functioning of the system are performed. | | | | |
| Compliance indicator | | | | |
| Documented procedures should identify who should have access to copies of procedures documentation, the procedures they should have access to and how access is to be provided. | | | | |
| Assessment step/points of focus | Description | Compliance Code | CAR Ref | SFI Ref |
| Review procedures to ensure that they identify who should have access to procedures and the procedures they should have access to. In performing this assessment step, the auditor should bear in mind the complexity of the system under review. | | | | |
| How are procedures and documentation made available to <u>all relevant</u> personnel? | | | | |