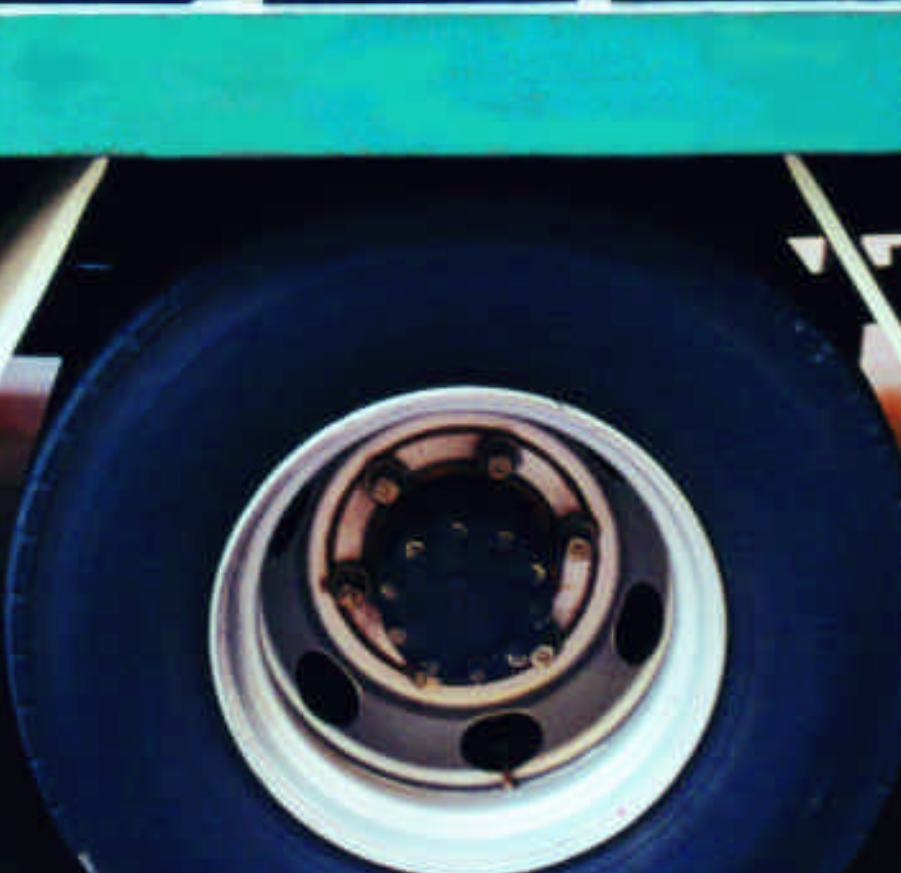




MASS Management Accreditation Guide

- ▼ A guide for operators seeking Mass Management Accreditation in the National Heavy Vehicle Accreditation Scheme (NHVAS)



Roads and Traffic Authority
www.rta.nsw.gov.au

MASS Management Accreditation Guide

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THE PURPOSE OF THIS GUIDE

This Guide is an introduction to Mass Management Accreditation. It summarises what you need to do in order to qualify for accreditation and to stay qualified. It also explains where to find other important information about the scheme.

“Mass Management Accreditation” on page 4 explains the purpose of accreditation so that you can see what it is intended to achieve, why performance standards are required, and the reason audits are carried out on accredited operators.

“The Mass Management Standards and how you can meet them,” starting on page 5, lists the performance

standards that you will be required to meet if you want to become an accredited operator, and explains what they mean. It also explains what you need to do in order to meet the standards.

“Documents you must keep” on page 15 lists the documents that you will need to create and keep in order to show that you meet the standards. They represent your firm’s Mass Management System.

“What audits consist of” on page 16 covers the auditing process that will be carried out regularly, and how to prepare for an audit. It also explains when an unscheduled audit may be required.



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MASS MANAGEMENT ACCREDITATION

Mass Management Accreditation encourages heavy vehicle operators to take more responsibility for loading their trucks correctly and ensuring that their trucks are not overloaded. It helps you to manage your business more efficiently, partly because you will have clear procedures for ensuring that your trucks are not overloaded and partly because there will be reduced risk of penalties arising from mass offences. It should also lead to greater road safety.

The benefits to operators can include:

- improvements in productivity and efficiency;
- correct loading of vehicles the first time, with consequent savings;
- increased vehicle life and lower maintenance costs;
- reduced rejection of vehicles by customers because of overloading;
- improved driver morale;
- better relationships with enforcement agencies; and
- reduced impact of enforcement.

Benefits to the community include better and more consistent compliance with road safety standards.

If you are an accredited operator you must know what your trucks weigh when they are loaded to ensure that they do not exceed the relevant mass limits. You need to keep a record of the loaded weight for each trip so that you can prove the trucks were within the relevant mass limits.

It is up to you to decide how you are going to prove your vehicles' weight when they are loaded. You could use a weighbridge, or use on-board scales, or estimate the weight from the volume of the load, or a combination of methods.

The important thing is that you write down the method you use, and explain how it works. This will be your Mass Management System. To stay accredited you need to have documents that prove your method works and your trucks are not overloaded. In part, this means keeping your records of vehicle weights. You must also be able to prove that you always follow your written procedures.

Performance standards have been developed to ensure that everyone in the scheme has achieved the same standard of compliance. Your Mass Management System must comply with these standards, which are explained later in this Guide.

Accredited operators are audited every so often by independent auditors to make sure they are continuing to meet the standards required by the scheme. If your audit is successful, your accreditation will be renewed. Alternatively, you may be asked to improve your system in some way before your accreditation is renewed.



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It is important to remember that even if you are an accredited operator you are still subject to the law, and can be audited or inspected at any time, in order to make sure that you are conforming to the performance standards.

On the other hand, accredited operators get preferential treatment from the enforcement agencies. They are required to undergo fewer road checks, and where a random road check does involve an accredited operator's vehicle it will be dealt with as expeditiously as possible. Your vehicles' accreditation stickers will identify them to inspectors.

THE MASS MANAGEMENT STANDARDS AND HOW YOU CAN MEET THEM

There are seven Mass Management Standards that you need to comply with. This section lists what they are and what they mean in practical terms. It also explains what you need to do in order to comply with the standards and how you can show that you are complying.

There are checklists at the end of the explanations to help you see whether or not you are complying with the standards. If you can tick all of the boxes in each standard's checklist, you will be complying with the standard. You will also be well prepared for an Internal Review (see Standard 6 on page 12) and for an external audit (see What Audits Consist Of on page 16).

In the explanations of the standards on the following pages, the term 'Mass Management System' means the procedures that you develop and write down in order to qualify for accreditation. For convenience, we will call your written Mass Management System procedures your Mass Management System manual. The manual should contain all the relevant documentation that supports your Mass Management System. The value of this approach is that it will assist an auditor and others to gain a good understanding of your system and what to look for during the audit. This should reduce the time an audit takes and consequently its cost.

EXAMPLES:

At its simplest, the manual could be a list of procedures in a folder. Or, if the company has ISO certification, the Mass Management System manual could be a computer-produced manual similar to the company's Quality Assurance Manual.



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STANDARD 1: RESPONSIBILITIES

The authorities, responsibilities and duties of all positions involved in the management, operation, administration, participation in and verification of the Mass Management System are current, clearly defined and documented.

What the standard means

Although this standard is listed first, it is like a summary of all the others. If you have met all of the other standards then you will meet this one.

What you must do to comply

- 1.1 In your Mass Management System you must clearly identify:
- what the tasks in your Mass Management System are; and
 - who is responsible for carrying out each task listed in your mass management manual.
- 1.2 The people assigned to the listed tasks must be appropriate for those tasks. There is no point in allocating a task like issuing delivery dockets to the sales manager. The sales manager may ultimately be responsible for delivery dockets, but the weighbridge clerk or sales clerk is more likely to actually do the issuing.

EXAMPLES:

An owner-driver may be responsible for almost all tasks in his or her Mass Management System.

In a bigger firm:

- a workshop manager may be responsible for calibration of scales;
- a forklift driver may be responsible for recording the weight of pallets loaded on certain types of truck;
- a truck driver may be responsible for checking a weighbridge's digital display to ensure that the vehicle's axle weights are shown correctly;
- a yard supervisor may be responsible for ensuring there are maintenance contracts for all weighbridges; and
- the depot manager may be responsible for ensuring that the firm's Mass Management System procedures are followed at his or her depot.

You could choose to have a separate list of all the people involved in your Mass Management System and what they are responsible for, or you could simply name the positions or people responsible for the tasks, as you describe those tasks in your procedures manual.

The important thing is that somewhere you clearly identify the tasks to be carried out and who is responsible for performing each task.

There may well be overlaps. Some people may be responsible for several (or almost all) tasks, depending on the size of the firm and the way work is allocated.

YOUR CHECKLIST FOR STANDARD 1

- Have the Mass Management System tasks been fully documented in the Mass Management System manual?
- Are the tasks clearly described? (Could another reasonably competent person follow the steps to do the work?)
- Have responsibilities for the tasks been allocated and written down?
- Have all the relevant staff been told what their responsibilities are?
- Do all the relevant staff know how to access the written record of what their responsibilities are?
- Does your manual include procedures for ensuring that the standards are met and correct procedures followed?
- Have you appointed a person (or people) whose job is to ensure that your Mass Management System is followed?

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STANDARD 2: VEHICLE CONTROL

All vehicles nominated by the operator must be operated in accordance with the Mass Management System.

What the standard means

You must be able to prove that the vehicles in your Mass Management System meet the necessary mass management standards.

WHAT YOU MUST DO TO COMPLY

2.1 You need to keep a list of all the trucks you want to register for accreditation, including subcontractors' vehicles.

You don't need to nominate every truck used by your firm, just the ones that you want accreditation for.

The list must include the following details about each vehicle:

- registration number;
- VIN/chassis number;
- registered owner;
- registered GVM or GCM;
- manufacturer's GVM or GCM;
- tare weight (including full fuel tank and any normal operating equipment or other materials); and
- accreditation label's serial number (if accreditation has already been granted for the vehicle).

2.2 You need to be able to show that each vehicle has the manufacturer's rating to carry the mass allowed.

2.3 Sometimes mass permits or gazette notices are issued for specific vehicle loadings. You must make sure that any vehicles needing a mass permit do actually have one in addition to their normal registration certificate.

EXAMPLE:

If a six axle vehicle has a GCM rating of 42.5 tonnes but you want to take advantage of the higher mass limit of 45.5 tonnes, you would need to have the manufacturer or a recognised engineer re-rate the vehicle to 45.5 tonnes, and provide a rating certificate.

A vehicle's compliance plate or technical specifications usually show the manufacturer's rating.

2.4 If you want to include a subcontractor's trucks in your accreditation you need to have:

- Evidence of a formal arrangement between you and the subcontractor.

EXAMPLE:

A letter of agreement, a contract, or the subcontractor's trucks painted in your company's colours.

- Evidence that the subcontractor agrees to meet the standards required for accreditation (for example, a letter signed by the subcontractor in which he or she agrees to meet the accreditation standards).

IMPORTANT NOTE:

If a subcontractor does work for other people and fails to comply with the mass management standards in that work, it could put your accreditation at risk, even though you are not involved in the other work.

YOUR CHECKLIST FOR STANDARD 2

- Do you have a list of all the vehicles you want accreditation for?
- Does the list show all of the required details for each vehicle?
- Are all the documents verifying those details (eg registration or engineering certificates, mass permits, gazetted mass limits) stored in an identified place?
- Are subcontractors' vehicles included in the list and identified separately in some way?
- Are there documents to show that subcontractors have agreed to meet the Mass Management Standards?
- Have you written down where all of the various documents are stored?
- Is someone responsible for keeping the list of vehicles up to date?
- Does the Mass Management System manual describe when the list is to be updated?
- Does the Mass Management System specify who notifies the RTA that a new vehicle is to be included or deleted and who removes accreditation labels?
- Is there a procedure in the Mass Management System for ensuring that drivers all know what the mass limits are for the accredited vehicles they drive?

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STANDARD 3: VEHICLE USE

The vehicle mass must be determined by weighing or by a method of assessment prior to departure and allowing for any variation.

What the standard means

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

EXAMPLES:

Using a weighbridge.

On board scales.

Air pressure gauges.

Documentation from a customer for a chemical load showing that it has a known specific gravity and volume.

Where pallets are of a consistent and documented weight, the load could be calculated by multiplying the weight of one pallet by the total number of pallets in the load.

If third parties (for example, customers) are involved in the loading, you will need to explain to them what your vehicle's mass limits are for each trip.

It is important that your system is objective, which means that it can be verified by another method. For instance, if your primary method of assessment is to use on-board scales, you could verify this by weighing. Standard 5: Verification requires you to verify your methods for assessing the weight of loads, and to show how this is done. (Standard 5 is explained on page 10.)

What you must do to comply

3.1 You need to have a written list of the methods that you use to load your trucks in order to establish what and where the load weight is. As mentioned earlier, you could use different methods in different circumstances, or a combination of methods. The important thing is that your Mass Management System manual must describe the methods to be used for each different type of load for each different type of vehicle, in all of the circumstances that may occur.

Each method that you write down must include the following:

- what the vehicle's loading limits are;
- the type of load this method is used for;
- how the loading of the vehicle is controlled to ensure correct axle weights (where applicable);
- how the weighing method can be verified (for example, if you write down a procedure for arriving at a weight that involves using air pressure gauges, the verification method could be to use a weighbridge); and
- how the measurement is recorded and where that record is kept.

3.2 For each method you must also describe any variations needed because of special conditions, for example to allow for differences between wet and dry gravel. There may be variations in load density, number, volume or mass that could affect the method you use to do the loading and to gauge the weight. These also need to be documented.

EXAMPLES:

Some loads will weigh more when they are wet.

The specific gravity of fuel can be affected by the ambient temperature during loading.

The mass per volume of cement can vary, depending on the water content and mixture used.

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YOUR CHECKLIST FOR STANDARD 3

- Does your Mass Management System manual have a procedure for weighing each type of vehicle load that includes:
 - what the vehicle's loading limits are;
 - the type of load this method is used for;
 - how the loading of the vehicle is controlled to ensure correct axle weights (where applicable);
 - how the weighing method can be verified;
 - any procedures needed to cater for different loading conditions or variations in density, specific gravity, water content and so on; and
 - how the measurement is recorded and where that record is kept.
- variations in density, specific gravity, water content and so on; and
- how the measurement is recorded and where that record is kept.
- If special equipment or facilities are required for any loads, are they listed in the procedure for that type of vehicle load?
- If a third party is involved in loading your vehicles, does the procedure describe how you convey your mass limits to that firm?
- If a third party is involved in loading, does the procedure describe how you verify their weighing method?



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STANDARD 4: RECORDS AND DOCUMENTATION

Documented evidence must be maintained to demonstrate the effective operation of the Mass Management System.

What the standard means

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

What you must do to comply

- 4.1 Keep a record of the weight of nominated vehicles that includes:
 - the vehicle's registration number or fleet number;
 - the measured weight (mass) of the vehicle; and
 - the date and time of the trip.
- 4.2 Ensure that your Mass Management System procedures include steps for making Mass Management System procedures available to relevant staff.

EXAMPLES:

You could issue specific work instructions to drivers.

You could have a distribution list for Mass Management System manuals.

You could provide training courses to staff.

YOUR CHECKLIST FOR STANDARD 4

- For each trip, do you keep documentary evidence of the following:
 - the vehicle's registration number or fleet number;
 - the measured weight (mass) of the vehicle; and
 - the date and time of the trip.
- Does your Mass Management System manual have procedures for ensuring that all relevant staff can access and know how to access the Mass Management System manual and other relevant documents?

STANDARD 5: VERIFICATION

The weight of the vehicle and load must be verified to produce an auditable record.

What the standard means

You must be able to prove that your methods are accurate for assessing the weight of vehicle loads.

If you have a record of each measurement you need to be able to check the measurement by a different method to verify that the original method is sound. For instance, if loading is controlled by volume rather than weight, every so often you need to verify that the volume limits being used still fall within the allowable weight limits, perhaps by periodically weighing vehicles and loads to confirm the relationship between the volume and weight limits.

EXAMPLES:

If a load is weighed using on-board scales, the weight could be verified by a weighbridge measurement.

If the load is premixed concrete, the customer's documentation could be verified by periodic weighbridge measurement.

If the primary method of weighing is to use a weighbridge, its calibration certificate could be used for verification.

The frequency with which you verify your measurement methods depends on the loads carried and the operating conditions

What you must do to comply

- 5.1 As indicated in Standard 3: "Vehicle use," you must write down a Mass Management System procedure for producing evidence of the weighing method used for each load.

You must also write down:

 - how this measurement method can be verified;
 - how often it is to be verified;
 - what documentary evidence of the verification is required; and
 - where the evidence of verification is to be stored.
- 5.2 You need to have a procedure for corrective action so that if a verification procedure shows up a deficiency in the original measurement method, that method is corrected.
- 5.3 In case your usual method of weighing becomes impossible, you must have a back-up procedure to use instead.

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EXAMPLE:

If your weighing method depends on a computer or some other electronic equipment that breaks down, you need to have a fall-back position for weighing loads.

These alternative procedures must also be written down, and your staff must be made aware of what they are and when they are to be used.

5.4 Your Mass Management System procedures must include information about calibration of your measuring equipment. These procedures should include:

- the equipment to be checked;
- how it is to be checked;
- who is to check it;
- how often it is to be checked; and
- what records of the calibration are to be produced and where they are to be kept. A maintenance contract could be used as evidence of calibration, if you have one.

You do not have to have evidence of calibration of other firms' or public weighbridges, if they are what you use.

YOUR CHECKLIST FOR STANDARD 5

- Does your Mass Management System manual have procedures for verifying all of the different measurement methods that you use?
- Do the procedures explain what documentary evidence of the verification is required?
- Do the procedures explain how often each method is to be verified?
- Do the procedures explain where the evidence of verification is stored?
- Do you have procedures for correcting measurement methods found to be inaccurate by the verification process?
- Do you have a back-up weighing system?
- Do you have documented procedures for your back-up weighing system?
- Do staff know when the back-up system is to be used?
- Do you have procedures for calibrating and proving calibration of your equipment?



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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.

What the standard means

If you are applying for accreditation, you need to review your proposed Mass Management System before it is externally audited so that you can be sure you meet the required standards.

If you are already accredited, you need to review your Mass Management System annually (and before an external audit) in order to ensure that it is working and that your firm continues to meet the necessary standards. By reviewing your Mass Management System internally first, you can save the cost of a potentially unsuccessful external audit later.

An effective review will pick up problem areas, show where procedures don't work or are not being followed properly, and identify all areas of non-compliance with the standards that must be corrected.

EXAMPLES:

An internal review may pick up that some drivers don't have Mass Management System procedures or work instructions in their vehicles, or that a driver hasn't had any training in Mass Management, or that the required axle weight checks haven't been done for a period of time. The reviewer will raise a non-conformance report that describes the non-conformance and what should be done about it, and by when. The reviewer will then check to make sure that corrective action has been taken.

In the cases given as examples above, it could be a matter of ensuring that the person responsible for giving drivers their work instructions is counselled, and checking periodically to ensure that it is now happening; arranging appropriate training for the driver who hasn't had any; and counselling the driver who has not been carrying out axle-weight checks to ensure that he or she understands the importance of this task, and checking periodically that it is now being carried out.

What you must do to comply

- 6.1 Your Mass Management System manual must include procedures for carrying out Internal Reviews that cover:
- when the reviews are to take place;
 - who is to conduct them;
 - how the reviews are to be conducted; and
 - checklists to be used for the review.
- The checklist of documents that you must keep (see page 15) will be used by your internal reviewer(s).
- 6.2 As far as possible, you must ensure that the person or people carrying out your internal reviews are independent of the procedures being reviewed. If you are an owner-operator, you could ask a trade colleague or a relative to do it for you. If you work in an ISO certified company, the internal auditor(s) could be asked to do it. The accrediting agency recognises that for small firms it may be hard to find someone completely independent of the process.
- 6.3 Quite apart from your annual internal review, you must have written procedures for ensuring that all non-compliances brought to light at any time during the year are corrected. This means identifying the people who are to be responsible for taking action so that instances of non-compliance are not repeated.

EXAMPLE:

If a weighbridge measurement indicates that an air-gauge is recording inaccurately, it must be someone's job to notice this, record the fact and take corrective action.

The procedures for handling non-compliances should include:

- how non-compliances can be detected;
- who is responsible for detecting them;
- who else should be told about them;
- corrective action to be taken;
- time frames for reporting identified non-compliances; and
- how the responsible person is to document the process so that the non-compliance doesn't recur.

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6.4 Every 3 months you must write a compliance report that lists:

- the number of vehicles in your accredited fleet;
- the total number of trips undertaken by those vehicles;
- the total number of trips that were not compliant with the relevant vehicles' mass limits; and
- the amount of mass excess for each non-compliant trip.

IMPORTANT NOTE:

If your quarterly compliance reports are accurate, they give a good indication of how well you are doing and of where corrective action may be needed. It is much better to be honest in these reports and show that you are making efforts than to 'fudge' the figures in the hope that your firm will look better. Inevitably, an external audit will find evidence of inaccuracies, so it is best to prepare accurate reports and act on them. That way you will be able to demonstrate an improvement in your next quarterly report.

6.5 Where changes to procedures are required in order to correct non-compliances, appropriate staff must be named to update the procedures.

6.6 You must retain copies of superseded procedures, along with all other documentation relevant to the review, for later audit.

YOUR CHECKLIST FOR STANDARD 6

- Does your Mass Management System manual include procedures for carrying out Internal Reviews that cover:
 - when the reviews are to take place;
 - who is to conduct them; and
 - how the reviews are to be conducted.?
- Are Internal Reviews carried out by an independent person/people?
- Do you have written procedures for ensuring that all non-compliances brought to light at any time during the year are corrected?
- Have staff been identified for taking action so that instances of non-compliance are not repeated?
- Do you produce a quarterly compliance report?
- Have you identified the person/people responsible for updating your Mass Management System procedures, when necessary?

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STANDARD 7: TRAINING AND EDUCATION

The persons who hold positions of responsibility under the Mass Management System are trained in and familiar with the specific policies, procedures and instructions they are to carry out.

What the standard means

For Mass Management Systems to work, everyone who has a role to play (whether a manager, a driver, a sales manager or a weighbridge clerk) must have proper training in the system and know how to carry out their specific tasks.

What you must do to comply

You need to keep evidence of relevant Mass Management System training provided to your staff.

EXAMPLES:

A distribution list for your Mass Management System manuals.

Records of dates of training, types of training and who attended.

Work instructions issued to drivers.

YOUR CHECKLIST FOR STANDARD 7

- Have you provided training to all relevant staff who are involved in your Mass Management System?
- Do you have evidence of this?
- Do you run refresher training when identified non-compliances highlight the need?

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DOCUMENTS YOU MUST KEEP

The items with a solid coloured square could be included in your Mass Management System manual in order to consolidate all your procedures for meeting the standards.

All documents must be kept for a minimum of three years, for audit purposes. This includes superseded procedures. Your manual must be kept (and updated) for as long as you participate in the scheme.

- A list of all tasks in your Mass Management System and the names (or position titles) of those responsible for carrying out the tasks. The information could be incorporated in your Mass Management System manual or it could be in a separate list.

See Standard 1: Responsibilities.

- A list of vehicles (including subcontractors' vehicles) that you want to get or maintain accreditation for.

See Standard 2: Vehicle control.

- All documents verifying vehicle details (eg. registration or engineering certificates, mass permits, gazetted mass limits).

See Standard 2: Vehicle control

- Documents showing that subcontractors have agreed to meet the Mass Management Standards.

See Standard 2: Vehicle control.

- Procedures for determining the weight of each vehicle load before the vehicle starts a trip.

See Standard 3: Vehicle use and Standard 4: Records and documentation.

- Documentary evidence of the weight of each vehicle for each trip.

See Standard 4: Records and documentation.

- Procedures for ensuring that all relevant staff can access and know how to access Mass Management System procedures.

See Standard 4: Records and documentation.

- Procedures for verifying all of the different measurement methods that you use.

See Standard 5: Verification.

- Evidence of measurement verification.

See Standard 5: Verification.

- Procedures for correcting measurement methods found to be inaccurate by the verification process.

See Standard 5: Verification.

- Procedures for a back-up weighing system.
See Standard 5: Verification.

- Procedures for calibrating and proving calibration of your equipment.

See Standard 5: Verification.

- Procedures for carrying out Internal Reviews.

See Standard 6: Internal Review.

- Internal Review reports.

See Standard 6: Internal Review.

- Procedures for ensuring that all non-compliances brought to light at any time during the year are corrected.

See Standard 6: Internal Review.

- Copies of superseded procedures that your Internal Review has identified for updating.

See Standard 6: Internal Review.

- Quarterly compliance reports.

See Standard 6: Internal Review.

- Evidence of training provided to staff involved in the Mass Management System.

See Standard 7: Training and education.

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WHAT AUDITS CONSIST OF

When audits happen

To qualify for accreditation you must be audited by an independent auditor to verify that your record-keeping and procedures ensure you can comply with the Mass Management Standards. This is called a System Accreditation Audit.

You must also be audited at specified intervals after you qualify so that your accreditation can be renewed. These are called Scheduled Compliance Audits, and they are to check that you are doing what you said you would do. The first Scheduled Compliance Audit will be conducted six months after your accreditation. After that, Scheduled Compliance Audits occur every two or three years.

An additional audit (Triggered Compliance Audit) may be required if, for instance, it seems that you are not fully meeting all of the Mass Management Standards.

Your accreditation lasts for two years unless a Compliance Audit recommends that it be terminated sooner, or you have a highly successful Compliance Audit and the auditor recommends that your accreditation period be changed to three years.

It is up to you to arrange and pay for these audits. To maintain your accreditation you should arrange your Compliance Audits to occur 12 months or less before the end of your current accreditation period.

You can get a list of accredited auditors from the Quality Society of Australasia.

What an audit consists of

An audit is simply a check to make sure that your Mass Management System works and that you are complying with the Mass Management Standards. If your records and procedures are all correctly in place, the auditor will recommend that your application be granted or that your accreditation be renewed.

There are strict guidelines for auditors, but if you have successfully completed your own Internal Review first, the external audit shouldn't be a problem for you.

The auditor may find some evidence of non-compliance and recommend that you take corrective action. Unless the non-compliance is persistent and serious, it won't necessarily affect your re-accreditation in the long term, but you will have to demonstrate that you have taken successful corrective action before your accreditation will be renewed.

APPLYING FOR ACCREDITATION

The companion booklet in this series called the "National Heavy Vehicle Accreditation Scheme (NHVAS)," explains how operators can apply for Mass Management Accreditation.

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FURTHER ENQUIRIES

If you have any questions about accreditation, or the contents of this information sheet, contact:



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