



1. Organisation Details

Business name and address of company

Postcode	

Postal address (if different from above) N/A

Postcode	

Address where records are kept (if different from above)

Postcode	

Business Owner/Designated Representative

--

HVCBA Accreditation number

--

Australian Business Number (ABN)

--

Contact phone/fax number

--

Email address

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Please tick all units of competency that the RTO is registered to assess/provide training for:

LR MR HR HC MC

2. Assessor Details

Note: Where there are more than twelve staff employed, please complete Appendix A – Additional Staff.

i. Name

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Licence number Instructor licence class

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ii. Name

--

Licence number Instructor licence class

--	--

iii. Name

--

Licence number Instructor licence class

--	--

iv. Name

--

Licence number Instructor licence class

--	--

v. Name

--

Licence number Instructor licence class

--	--

vi. Name

--

Licence number Instructor licence class

--	--

vii. Name

--

Licence number Instructor licence class

--	--

viii. Name

--

Licence number Instructor licence class

--	--

ix. Name

--

Licence number Instructor licence class

--	--

x. Name

--

Licence number Instructor licence class

--	--

xi. Name

--

Licence number Instructor licence class

--	--

xii. Name

--

Licence number Instructor licence class

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Note: If any text fields has insufficient room for your information, record on a separate attached document and note this in the appropriate field.

3. Final Competency Assessments (FCA) conducted in the past year

		(number)		(number)
a) LR	Pass	<input type="text"/>	Fail	<input type="text"/>
b) MR	Pass	<input type="text"/>	Fail	<input type="text"/>
c) HR	Pass	<input type="text"/>	Fail	<input type="text"/>
d) HC	Pass	<input type="text"/>	Fail	<input type="text"/>
e) MC	Pass	<input type="text"/>	Fail	<input type="text"/>

4. Records

1. Have mandatory records been kept of the following?

- a) Name, driver's license number, driver's instruction license number and contact details of instructors and assessors engaged by the RTO.

Ref: Driving Instructors Regulation 2009 Clause 9

Yes No N/A

Comments – If no, provide details of any irregularities noted and actions taken.

- b) Name, address, contact details, licence details and dates/times of each lesson of students who have received instruction or undertaken assessment.

Ref: Driving Instructors Regulation 2009 Clause 9

Yes No N/A

Comments – If no, provide details of any irregularities noted and actions taken.

- c) Registration details for all vehicles used to provide instruction/assessment.

Ref: Driving Instructors Regulation 2009 Clause 9

Yes No N/A

Comments – If no, provide details of any irregularities noted and actions taken.

- d) A complaints register and complaints resolution mechanism.

Note: This is not a mandatory requirement, but Roads and Maritime Services is of the opinion that this would help with mandatory misconduct reporting

Yes No N/A

Comments – If no, provide details of any irregularities noted and actions taken.

- e) Records of communication to and from assessors showing that the requirements for monitoring FCAs via in-cabin camera and GPS technology are met.

Ref: Road and Maritime Document - Monitoring Heavy Vehicle Assessments using In-Cabin Cameras Item 4

Yes No N/A

Comments – If no, provide details of any irregularities noted and actions taken.

- f) Records that logbooks have been reviewed and certification that the entries are correct and appropriate.

Ref: HVCBA Records Management Policy

Ref: Driving Instructor's Regulation 2009 Clause 8

Yes No N/A

Comments – If no, provide details of any irregularities noted and actions taken.

2. The RTO has a requirement that no conflict of interest exists in the assessments carried out by the assessor. Have you identified any conflicts?

Ref: Accreditation Agreement clause 12.3 and definitions and interpretations 22.1

Yes No

Please document how the RTO has reviewed the existence of conflict – If yes, please provide details of any irregularities noted and actions taken.

3. The RTO has a requirement that it must provide the Code of Conduct training package to its assessors on an annual basis.

Do records show the name of assessor, date trained and trainer's declaration of delivery of training package?

Ref: Code of Conduct (V.1.4) S.3.12 RTO and Assessor Responsibilities

Yes No

Comments – If no, provide details of any irregularities noted and actions taken.

5. Electronic Surveillance

1. **The RTO has a requirement to ensure that all assessments have been recorded via video and GPS. For the number of assessments conducted (recorded in Section 3) do you maintain the required footage and GPS records?**

*Note: These records will be reviewed at a later date off-site audit
Ref: Accreditation Agreement Section 2.7*

Yes No

Comments – If no, provide details of any irregularities noted and actions taken.

2. **RTOs are required to review the ENTIRE footage of 5% of all FCA footage conducted each month. (Eg. If 100 FCA/CT were conducted you would fully review five of them, if only 10 were conducted you review the minimum, which is one)**

- a) Have appropriate footage review records been retained for inspection by RMS as part of the audit program and for self assessment submissions?

Yes No

- b) Following review of the footage and GPS Data, are there any irregularities which would indicate that misconduct has occurred?

Yes No

- c) Please write down the number of footages/GPS data files reviewed.
A review form should be completed for each assessment that the Auditor reviews.
Ref: HVCBA Annual Self Assessment Guideline

- d) If yes, document which assessor has irregularities, in what location and the number of times and what actions have been taken.

6. Insurance

1. **The RTO has a requirement to have current Professional Indemnity Insurance to the value of \$5 million. Does your organisation have consistent coverage?**

*Ref: Accreditation Agreement Clause 13.1
Ref: Accreditation Agreement Schedule A*

Yes No

Comments

2. **The RTO has a requirement to have Broadform Public Liability and Product Liability insurance \$20 million (for any single occurrence). Does your organisation have consistent coverage?**

*Ref: Accreditation Agreement Clause 13.1
Ref: Accreditation Agreement Schedule A*

Yes No

Comments

3. **The RTO has a requirement to ensure that vehicles supplied by Assessors or Providers have current comprehensive motor vehicle insurance for a minimum sum of \$20 million. Do all vehicles have consistent coverage?**

*Ref: Accreditation Agreement Clause 13.1
Ref: Accreditation Agreement Schedule A*

Yes No

Comments

4. **The RTO has a requirement to have current Workers Compensation Insurance. Does your organisation have consistent coverage?**

Ref: Accreditation Agreement Clause 13.1

Yes No

Comments

5. The RTO has a requirement to ensure that all contractors maintain the required insurances. Do all contractors of your organisation have required insurance coverage?

Ref: Accreditation Agreement Clause 13.1 and 13.4

Yes No N/A

If yes, please explain how compliance was reviewed.
Please provide details of any irregularities noted and what action was taken.

7. Assessors

1. The RTO has a requirement to ensure that staff who have conducted assessments are noted as Assessors in the Accreditation Agreement, or on an individually issued Assessor Deed Poll Agreement. Does your organisation have appropriate agreements with assessors?

Ref: Accreditation Agreement Clause 6

Yes No

If no, please explain actions taken.

2. Where additional assessors are engaged to conduct assessments have mandatory records been kept of the following:

a) All relevant qualifications for each competency each assessor is engaged to assess?

Yes No N/A

b) Evidence that each assessor is a fit and proper person?

Yes No N/A

c) Evidence that each assessor complies with WHS Legislation?

Yes No N/A

Ref: Accreditation Agreement Clause 4.5

d) Please explain how compliance is implemented. If no, please provide details of any irregularities noted and what action was taken.

3. Does the RTO have policies and procedures in place to ensure that assessments are conducted by an assessor who has not been involved in the student's training? Please provide details on how this is done.

Ref: Accreditation Agreement Section 4.2

Yes No

Comments

8. Work Health and Safety

1. The RTO has a requirement to have procedures in place to ensure assessors' safety. Does your organisation have safety procedures in place? If yes, please detail the procedures.

Ref: Accreditation Agreement Clause 2.9 (a)
Ref: Work Health and Safety Act (2011) s. 27

Yes No

Describe the processes put in place.

2. The RTO has a requirement to ensure that all RMS-issued WHS-related directives are complied with. Does your organisation comply with RMS directives? If yes, how is this achieved?

Ref: Accreditation Agreement Clause 2.9 (c)

Yes No

Describe the processes put in place

3. The RTO has a requirement to notify RMS immediately of a WHS incident taking place and provision of a written report within a timely fashion. Does your organisation have a system to implement this? If yes, how is this achieved?

Ref: Accreditation Agreement Clause 2.9 (e)(ii)

Yes No

Describe the processes put in place

4. The RTO has a requirement to have a documented system in place to conduct WHS Risk Assessments, particularly following an incident. Does your organisation have a documented Risk Assessment system?

Ref: Accreditation Agreement Clause 2.9 (e)(iii)

Yes No

Describe the processes put in place

5. The RTO has a requirement to maintain records of any and all WHS incidents arising from courses assessed on behalf of RMS. Does your organisation maintain records of WHS incidents?

Ref: Accreditation Agreement Clause 2.9 (e)(iv)

Yes No

If no, please explain why.

Please provide details of any irregularities noted and what action was taken.

9. FCA Routes

1. The RTO has a requirement to ensure that the assessor provides a map of the assessment route. Has each assessor provided maps of all assessment routes?

Ref: AusRoadsHeavy Vehicle Assessment Route Development Guide v1.2

Yes No N/A

If no, what actions have been taken

HVCBA Annual Self Assessment Reporting Tool

2. The RTO has a requirement that all FCA routes are valid and comply with minimum requirements. Are all routes valid and approved by an RTO Representative?

Ref: NSW Heavy Vehicle Route Development Guide

Yes No

If no, what actions have been taken

3. The RTO has a requirement to ensure that the assessor has utilised the approved routes for assessments. Have only approved routes been utilised?

Yes No

If no, what actions have been taken

10. Comments

Note: Where a non-conformance has been identified in any section above, please add any relevant comments demonstrating extenuating circumstances or mitigating factors.

End of Self Assessment

11. Checklist

Prior to sending the completed self assessment to Roads and Maritime please ensure the following have been completed:

- a) Appendix A – Additional Staff if required Yes No
- b) Footage Review Forms for 5% of the Assessments' have been completed and retained Yes No

12. Declaration

I hereby declare sections 1-10 inclusive of this form have been read by me and understood. The answers given to the questions in this Self Assessment are, to the best of my knowledge, true, correct and accurate in every detail. I understand failure to comply with all the relevant Acts and Regulations governing the operation of Heavy Vehicles Competency Based Assessment and any additional requirements which may be imposed by RMS from time to time may result in the immediate cancellation, suspension or variation of the HVCBA agreement.

I consent to the disclosure, by RMS, of information needed to verify the details I have given in this self assessment. I acknowledge any information obtained as part of this process may be required by Australian Police Services for law enforcement purposes. Further, I give authority for RMS to obtain details of any matters, which may be relevant to this self assessment, or during the currency of the accreditation, relevant to the suspension, cancellation or for any audit or review of the accreditation.

Name

Signature

Date

Please send completed Self Assessment and all documentation to:

Email: SchemeReview@rms.nsw.gov.au

Fax: 02 8874 6085

Mail: Scheme Review, PO Box 73, Glen Innes, NSW, 2370

