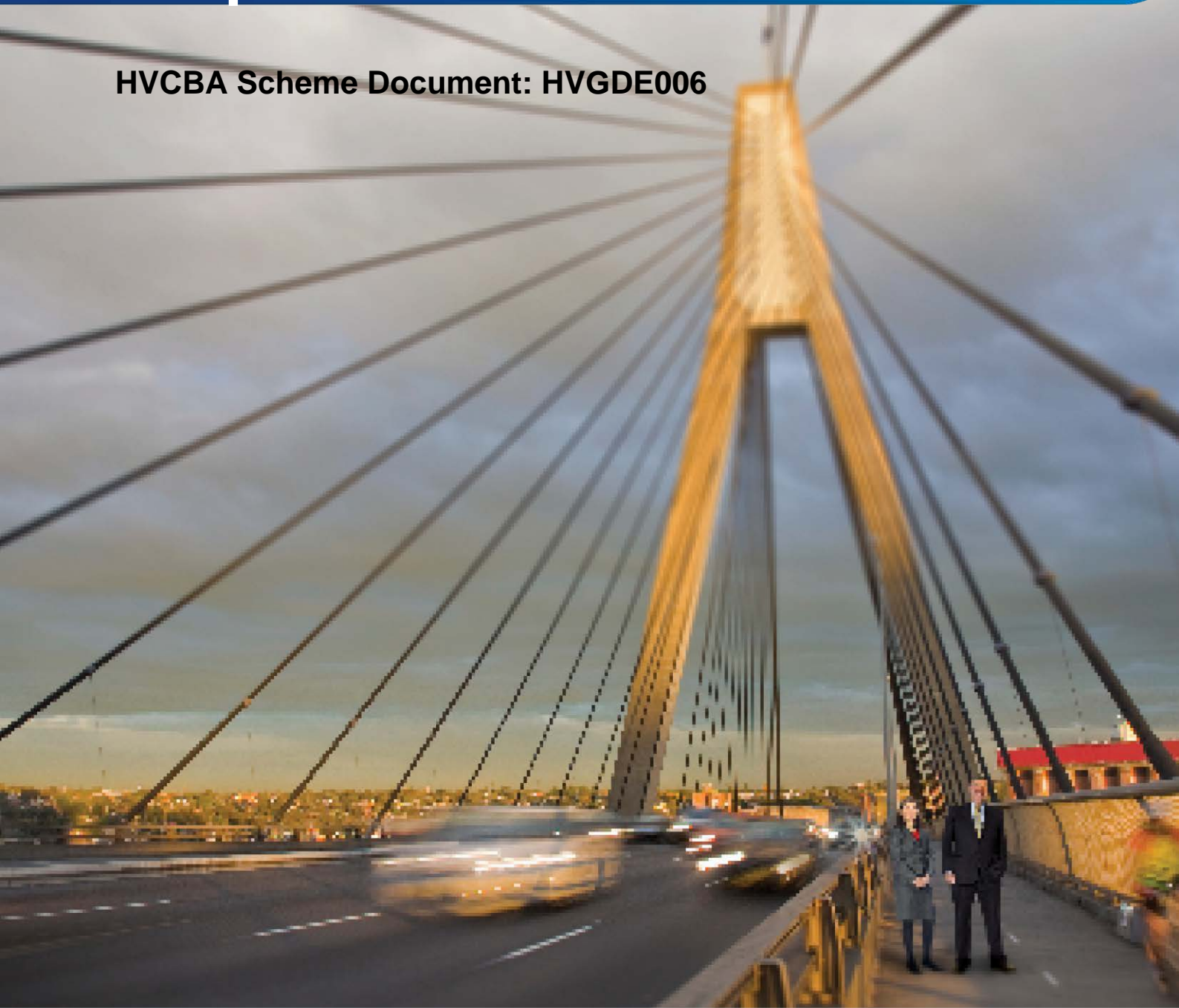




HVCBA Guide to Self-Assessment and Reporting Requirement

HVCBA Scheme Document: HVGDE006



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1. Purpose

The purpose of this document is to:

- Provide an overview of the Registered Training Organisations' (RTOs) self-assessment requirements including tools and reporting
- Document the Final Competency Assessment (FCA) video footage review requirement.

Note: Please read these guidelines in conjunction with HVDGE002 HVCBA Assessment Standards and Requirements and HVDGE003 Conducting HVCBA Assessments.

2. Self-assessment requirement

2.1 What is self-assessment?

Self-assessment is undertaken by an RTO to help improve service. It enables an organisation to identify whether they comply with their requirements as scheme participants and where potential deficiencies and/or non-conformances exist. It also provides opportunities for improvement and assists in the achievement of best practice.

The self-assessment will help identify improvements to customer service and how well Heavy Vehicle Competency Based Assessment (HVCBA) assessors, staff and management have improved their performance.

Regular updating of self-assessment practices reflects the organisation's current performance, allowing the organisation to assess their performance. Another benefit is that the self-assessment process allows Transport for NSW Services (Transport for NSW) Scheme Inspection Officers to have a good understanding of the RTOs performance prior to conducting an audit.

If outcomes and activities are documented well, it makes the audit verification process less cumbersome.

RTOs can use self-assessment tools to continually improve their service to customers, improve assessors' performance to meet safety requirements and in the process as a third party provider uphold the image of Transport for NSW.

2.2 How to self-assess

RTOs will have an opportunity to identify data or information on outcomes, which activities have been reviewed and how they can be improved in future. RTOs must ensure that for everything written in the self-assessment there are appropriate sources documented and made available for verification by Transport for NSW officers at any on site audit.

To self-assess RTOs will identify data on outcomes and assess performance against the Accreditation requirements, Self-Assessment Guide and policies and procedures.

Clause 10.3 of the Heavy Vehicle Competency Based Assessment Accreditation Agreement states that:

- RTOs must conduct an annual self-assessment of its performance under the agreement
- The self-assessment must be completed in accordance with a template provided by Transport for NSW and the HVCBA Scheme Policies and Procedures. The self-assessment must include all information required by the HVCBA Scheme Policies and Procedures.

The self-assessment process is one component of the audit approach used by Transport for NSW to ensure that third party providers are compliant under their respective schemes. It requires providers to assure Transport for NSW that they are meeting their obligations through a series of questions such as:

- What quantitative and qualitative data are available to describe the HVCBA outcomes? The answers to this question will identify if the RTO has:
 - data on outcomes
 - data to provide safety of general public by assessing heavy vehicle drivers according to standards and criteria and
 - data on complaints and complaints resolution.
- What has been reviewed since the last self-assessment?

This will enable an RTO to identify what has been reviewed when compared to the last self-assessment and find out what has changed and if the RTO is improving.

- What does the RTO need to do to improve?

This will enable RTOs to know what is needed to improve performance, by whom, at what level, who will be responsible, the expected outcome of further action, and when and how should the new system be evaluated.

2.3 What do I need to do?

- Be aware of obligations under the HVCBA Accreditation Agreement and Scheme policies and procedures
- Be aware of what you need to report on annually
- Establish procedures within in your business to support your obligations and annual reporting requirements
- Complete and submit to Transport for NSW the Self-Assessment Tool by 10 March each year (the first being due in 2016).

3. Video footage review requirement

3.1 Requirement

As part of the self-assessment process, RTOs are required to review the entire video footage of five per cent of the total number of assessments conducted each month by its assessors. For example, if a total of 100 FCAs/CTs were conducted in the month, the RTO should review the video footage of five. Where five per cent equates to an uneven number, round up or down to the nearest whole number ensuring that a minimum of one review is undertaken per month. For example if a total of ten FCAs/CTs were conducted in the month, the RTO is required to review the video footage of one.

The purpose of the review is to assure Transport for NSW that assessments and surveillance by in-cabin cameras is conducted in accordance with HVCBA Scheme policies and procedures. Refer to the Footage Review Form for further information on what aspects of the FCA/CT need to be reviewed and reported.

Another purpose of the video footage review is to assess what aspects of the FCA criteria is being assessed well, what is being done well and what further improvements could be made to improve compliance and quality of assessments in accordance with the criteria requirements. This also gives an opportunity to compare the results of previous assessments with the current one and see if there are opportunities to improve.

3.2 What do I need to do?

- Ensure a reasonable cross section of footage from each assessor across licence categories is reviewed over time
- Ensure the reviews are undertaken by an employee of the RTO that is not the Assessor that conducted the FCA
- Ensure a Footage Review Form is completed and retained for each review undertaken
- Schedule time in your monthly business activities to support the review process.

4. Self-assessment components

RTOs are required to report on the following on an annual basis using the form - Heavy Vehicle Competency Based Assessment (Self-assessment) RTO Tool. Corresponding sections of the Self-assessment form are provided in brackets.

4.1 Assessor details (section 2)

RTOs must provide Transport for NSW with the names and details of all assessors engaged by the RTO during the reporting period, including those that may no longer be engaged at the time of the report. Details include name, NSW Driving Instructor Licence Number and the licence classes the assessor is eligible to assess.

4.2 FCA/CTs conducted in the past year (section 3)

RTOs must report on the total annual number of FCAs/CTs conducted for each vehicle class, with a breakdown of the total number of applicants who passed and failed.

What does the RTO want to do to improve pass rate? The actions an RTO puts in place will demonstrate continuous improvement and best practice. This may include better training of assessors, more explicit dissemination of information policies and procedures.

4.3 Records (section 4)

RTOs must assure Transport for NSW that their records are maintained in accordance with HVCBA Scheme policies and procedures.

If any irregularities are observed, or records have not been maintained in accordance with HVCBA Scheme policies and procedures, the RTO must make a note in the comments column of the Self-assessment form and note what action was taken.

4.4 Electronic Surveillance (section 5)

RTOs must assure Transport for NSW that all assessments have been recorded via in-cabin camera video and GPS in accordance with HVPOL002 Monitoring Heavy Vehicle Assessments using In-Cabin Cameras.

In addition, RTOs must assure that it has reviewed video footage as outlined in sections 3.1 and 3.2 above.

4.5 Insurance (section 6)

RTOs must assure Transport for NSW that all relevant insurances specified in the HVCBA Accreditation Agreement have been maintained during the reporting period.

4.6 Assessors (section 7)

RTOs must assure Transport for NSW that all assessors engaged to conduct FCA/CT assessments in the reporting period are noted as assessors in its Accreditation Agreement or assessors Deed Poll Agreement and mandatory records maintained.

4.7 Work Health and Safety (section 8)

RTOs must assure Transport for NSW that they have policies and procedures in place to manage work health and safety including reporting and maintaining records.

4.8 FCA Routes (section 9)

RTOs must assure Transport for NSW that:

- Each assessor has provided maps of all assessment routes
- Only routes that are valid and signed off by an RTO Representative are used by the Assessor to conduct FCAs
- Only approved routes have been utilised by Assessors.

- RTOs must provide details of any irregularities noted and what action was taken. The following points may be considered when self-assessing:
- In addition to checking compliance, the Annual Self-assessment document provides an opportunity for RTOs to review their business practices. The document is intended to allow the RTO to focus on emerging issues for any particular assessor and heavy licence category and across regions
- In the subsequent self-assessments, it would be appropriate if outcome statements are stated such as the objective of a 5 per cent reduction in error rate in the video footage review was achieved when compared to the last review. Such targets assists RTOs to continually self improve and achieve standards. Doing this will assist the RTO to find out how they are tracking their performance.

4.9 Code of Conduct

RTOs must assure Transport for NSW that:

- Each Assessor operating under their agreement has completed Code of Conduct training annually
- A copy of form 1727 Code of Conduct for the Heavy Vehicle Competency Based Assessment Industry is retained for each Assessor

5. Submitting self-assessments and footage reviews

RTOs should complete and submit to Transport for NSW the Self-Assessment Tool by 10 March each year (the first being due in 2016) to SchemeReview@transport.nsw.gov.au.

6. Related Information

Effective date: 18 February 2020

First published: 7 July 2015

The following information can be found in the document HVDGE003 Conducting HVCBA Assessments:

- 6.1. Introductory Assessment Script
- 6.2. Post Assessment Script
- 6.3. Self-disclosure of non-compliance form

<http://www.rms.nsw.gov.au/documents/business-industry/driving-instructors/hvcba-conducting-assessments.pdf>

7. Appendices

7.1 Terms and Abbreviations

Term/Acronym	Definition
Applicant	Individual undertaking assessment
CT	Competency Test
FCA	Final Competency Assessment
HVCORS	The Heavy Vehicle Criteria Online Reporting System (HVCORS) is a secure, audited system that allows Heavy Vehicle Competency Based Assessors and RTO administrators to report results of completed criteria assessments directly to Transport for NSW. Refer to HVGDE005 Using the Heavy Vehicle Competency Online Reporting System for instructions on using the system.
RTO	Registered Training Organisation