

Internal Review Procedure:

An Internal Review is also known as an Internal Audit which is usually conducted by persons working within the Accredited Operator's business; an external auditor is not usually engaged for the purpose of conducting an Internal Review.

- This business's Internal Reviews will be conducted ideally by two (or more) people, where one person is auditing the records and systems of the Accredited Operator's accreditation system and the other person, usually the HVA Administrator is responding to the audit process by providing operational records and systems documentation to demonstrate the accredited operator's ongoing compliance.
- Preferably the person acting in the *auditor* role is not involved with the "day-to-day" recordkeeping and Systems Management of the Operator's accreditation system.
- As far as practicable this accreditation system will comply with the "two-person" requirement when conducting the Accredited Operator's Internal Reviews.
- Internal Reviews will be conducted on a regular basis and will be performed ***not less frequently than annually.***
- Regularly prepared ***Compliance Statements*** (monthly or quarterly) encompassing the Accredited Operator's Maintenance Management System, Fatigue Management System and Loading and Dimension System will be used and relied upon during the Internal Review Process to provide a measure (or KPI) of the accredited operation's continued compliance.
- Individual and Global Training Registers (if used) will be examined during the Internal Review process to ensure continued compliance with regard to ongoing training needs and the currency of individuals' licenses, medicals and any competencies held by individuals working within the accredited operation.
- Any areas or procedures identified by the Internal Review process in which compliance can be improved will be communicated to affected and associated personnel as effectively and promptly as possible.
- Outdated or ineffective procedures identified at the Internal Review will be addressed by the Accredited Operator, either for updating or removal from the accreditation system. Any outdated or deleted documentation will be archived for future audit purposes.
- Records to be audited at Internal Reviews will include Maintenance Management records and Fault Management records, drivers' tripsheets, checklists, Permits and Gazette Notices, any intercept reports and external work orders received, and internally raised non-conformances (NCR's).
- Any non-conformances identified during the Internal Review process, or at any other time are the responsibility of the accredited operator to manage and prevent recurrence.
- All Non-conformances will be closed out as quickly as practicable and all corrective actions will include documentation of any procedures that may be changed and steps taken (if possible) to prevent a recurrence of, or to lessen the likelihood of recurrence of the non-conformance, and to manage any other risks identified during the review process.
- Any non-conformances identified during the Internal Review process will be assigned a NCR reference/number and will be recorded and managed on the accredited operator's Non-Conformance Register.

INTERNAL REVIEW MATRIX

Date of Internal Review _____

Name of Reviewer(s) _____

Item for Review	Status of Review		Audit Comments
	OK	Improve	
Management System Overview			
Dimension & Load Check List			
Daily Vehicle Check List			
Trip Plan Sheet and Trip Records			
Fault Reporting and Repair Register			
Service Schedules and Maintenance Records			
Annual Compliance			
Health and Medical Certificates			
Vehicle Register			
Responsibilities			
Internal Review Process			
Workplace Conditions			
Incident Management			
Training and Education			
Document and Records			
Non-Compliance Management			
AMMS Loading Verification Records			

OK = Existing process is suitable

Improve = An improvement is required to the process

Signed: _____ Dated: _____

Signed: _____ Dated: _____

PLEASE NOTE:

- An internal review must be conducted at regular intervals (preferably quarterly, or on an annual basis) and when there is a major incident or a change occurs in the business.
- Preferably two people are required to conduct the Internal Review procedure; the system administrator and an "independent person".
- Use the internal review matrix as a guide to ensure all procedures and systems are reviewed.
- Ensure that the system complies with the appropriate standards and where appropriate, update the management system.
- Keep copies of review forms and audit reports for a minimum of three (3) years.

NON COMPLIANCE AND REQUEST FOR IMPROVEMENTS

Vehicle Registration _____

NCR No. _____

Date _____

Use to Report: Non Compliance / Improvement
(Circle one)

Detail of Non Compliance / Improvement

Signed (owner).....

(Signed Auditor*.....)

What Action Do You Plan to Take

Date for Completion of Planned Action:

Signed Owner.....

Action Taken to Prevent Recurrence

Date for Completion:

Signed Owner

Follow up and close out

- Proposed follow-up date
- Follow up details

All actions completed (closed out)

Signed (owner)

Close Out Date:

(Signed Auditor*.....)

* *If required by the auditor*

