

Basic Fatigue Management (BFM) Accreditation Guide



The heavy vehicle driver fatigue review is a key component of the third heavy vehicle reform package. The aim of the review is to improve road safety through the implementation of policies and practices addressing the management of fatigue in the road transport supply chain.

BFM Accreditation Guide

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This report summarises what operators need to do in order to become accredited and maintain accreditation under the National Heavy Vehicle Accreditation Scheme Basic Fatigue Management Module.

Type of report: Accreditation Guide

Objectives: The heavy vehicle driver fatigue review is a key component of the third heavy vehicle reform package. The aim of the review is to improve road safety through the implementation of policies and practices addressing the management of fatigue in the road transport supply chain.

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Key Milestones: This document is being released at this date for public information only. Public consultation on both the draft legislation and revised policies developed for the heavy vehicle driver fatigue reform will take place later in 2006 upon receipt of the draft legislation.

Abstract: This report summarises what operators need to do in order to become accredited and maintain accreditation under the National Heavy Vehicle Accreditation Scheme Basic Fatigue Management Module.

Purpose: For information purposes only.

Key words: Heavy vehicle driver fatigue, basic fatigue management, accreditation.

Comment by: Not applicable.



Foreword

The National Transport Commission (NTC) is a body established under an inter-governmental agreement with a charter to develop, monitor, and maintain uniform or nationally consistent regulatory and operational reforms relating to road transport, rail transport, and inter-modal transport. The NTC is funded jointly by the Australian Government, States and Territories.

Fatigue is one of the main causes of crashes involving heavy vehicle drivers. The Heavy Vehicle Driver Fatigue Review is a key component of the Third Heavy Vehicle Reform Package. The aim of this review is to improve road safety through the implementation of policies and practices addressing the management of fatigue in the road transport supply chain.

This report is an introduction to the Basic Fatigue Management Accreditation. It summarises what operators need to do in order to qualify for accreditation and to maintain accreditation. It also explains where to find other important information about the scheme. Stakeholders should note that the views expressed are those of the NTC which have been informed by discussions with industry, regulators and relevant experts. These views have not been endorsed by any other organisations including the Transport Agencies Chief Executives or industry peak bodies.

While NTC is not formally seeking comment on this paper, the project manager is happy to consider any written or verbal responses and may be able to attend meetings or seminars to discuss the issues. Contact details are below. NTC plans to release the package of revised policy papers, regulatory impact statement and draft legislation in August 2006 for a six week period. Formal comment will be sought at that stage. Comments will then be analysed and a final package will be sent to the Australian Transport Council for endorsement in December 2006.

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The Purpose of this Guide

This guide is an introduction to Basic Fatigue Management (BFM) Accreditation. It summarises what you need to do in order to qualify for accreditation and to maintain accreditation. It also explains where to find other important information about the scheme.

Basic Fatigue Management Accreditation

Basic Fatigue Management (BFM) Accreditation encourages heavy vehicle operators to take more responsibility for managing the fatigue of their drivers, while encouraging drivers to be more active in monitoring their own personal fatigue levels. BFM is one of two options under the National Heavy Vehicle Accreditation Scheme – Fatigue Management Module (NHVAS-FM). The BFM option is detailed in the BFM accreditation guide.

The benefits of BFM to operators can include:

- improvements in productivity and efficiency;
- greater accountability of both drivers and operations staff for managing the fatigue levels of drivers;
- improved driver morale;
- improved flexibility for drivers in managing their own fatigue;
- improved flexibility for operators in scheduling and rostering;
- better relationships with enforcement agencies through a more transparent operating system;
- improved safety; and
- better management of chain of responsibility requirements.

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

If you are an accredited operator, you must ensure that the fatigue levels of your drivers are actively monitored and managed by both drivers and operations personnel. You need to keep a record of and review relevant driving records for each driver, including their work diary pages, pay records, fuel records, operations manager's diary, etc. so that you can prove that the fatigue management systems are being practised and monitored at all times.

It is up to managers and drivers to decide how you are going to manage your drivers' fatigue and prove adherence to the standards. This will be your Fatigue Management System (FMS). To stay accredited, you need to have documents that prove your method works and your drivers' fatigue is managed effectively.

Standards have been developed to ensure that everyone in the scheme has achieved the same standard of compliance. Your FMS must comply with these standards, which are explained later in this guide.

Accredited operators are audited periodically by independent auditors to verify they are continuing to meet the standards required by the accreditation program. If your audit is successful, your accreditation should be renewed. Alternatively, you may be asked to improve your methods in some way before renewal.

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 you are conforming to the performance standards. Your vehicles' accreditation stickers will indicate to enforcement officers the company is operating under an accreditation program. Drivers will also be required to carry their own driver identification to identify them as a participating driver.

The Basic Fatigue Management standards

and how you can meet them

There are six Basic Fatigue Management standards 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 to comply and how you can show you are complying.

There are checklists to help you to be well prepared for an internal review and for an external audit.

Your Fatigue Management System manual should contain all the relevant documentation which supports your 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 the audit takes and consequently its cost.

Examples: At its simplest, the manual could be a list of clearly marked policies and procedures in a folder. Alternatively, if the company has ISO or Trucksafe certification, the Fatigue Management System Manual could be a computer produced manual similar to a company's Quality Assurance Manual.



Standard One

Scheduling & Rostering

Scheduling of individual trips and rostering of drivers must be in accordance with limits prescribed in legislation.

What the standard means

Scheduling and rostering practices must ensure all trip schedules and driver rosters are planned and assigned in compliance with the legislated operating limits taking into account the transport task. Time must be allowed for the transport task to be completed safely.

What you must do to comply

To satisfy this standard, you must demonstrate the following:

- 1.1 schedules and rosters are planned to be achievable under legislative operating limits;
- 1.2 where there are regular schedules and rosters, these are documented;
- 1.3 action is taken to minimise fatigue risks when altering schedules and rosters;
- 1.4 schedules and rosters are monitored and regularly reviewed to ensure that they are/remain appropriate;
- 1.5 drivers are provided with regular holidays and breaks throughout the year (including at least one period of five consecutive days);
- 1.6 the increased fatigue risk for a driver returning from leave is considered in scheduling and rostering of the driver;
- 1.7 guidelines are in place for the use of relief/casual drivers; and
- 1.8 records detailing the actual schedules and rosters worked by drivers (e.g. driver's work diary, pay records, operations manager's diary) are maintained and are available for audit.

Standard One checklist

- Do you have a documented procedure outlining how schedules and rosters are to be planned?
- Are your schedules and rosters planned within legal limits?
- Have you documented all of your regular schedules and rosters?
- Do you have a written procedure for the regular monitoring and review of schedules and rosters?
- Do you have a procedure outlining the fatigue issues to be considered when altering schedules and rosters?
- Do you have a written holiday policy requiring drivers to be given regular breaks throughout the year, including at least one break of five consecutive days?
- Do you have a written policy detailing the increased fatigue risks to be considered when a driver returns from leave?
- Do you have a documented procedure outlining the use of relief or casual drivers?
- Do you have a documented policy for the retention and maintenance of records to support your adherence to the scheduling and rostering standard?
- Do you have a documented policy on how much notice is given to drivers for major roster and schedule changes?

Standard Two

Readiness for Duty

Drivers must be in a fit state to safely perform required duties and meet the specified medical requirements.

What the standard means

Operators must ensure that time off is provided for drivers to recover from or to prepare for the fatigue effects of work. Drivers must ensure that they consider the impact of activities such as recreational activities and personal life on their well being and capacity to work safely, and use time off responsibly to prepare for, or to recover from, the fatigue effects of work. Operators must ensure that drivers have undertaken the required medical examination.

What you must do to comply

To satisfy this standard an operator must demonstrate the following:

2.1 drivers are certified as being fit to drive a heavy vehicle by a medical practitioner according to the Austroads/NTC guideline "Assessing Fitness to Drive – for commercial and private vehicle drivers" (or equivalent document approved by the Australian Transport Council). The examination must include an assessment to detect drivers in the high risk group for sleep disorders. Examinations are to be conducted, as a minimum, once every three years for drivers aged 49 or under, and annually for driver's aged 50 or over;

Note: This frequency does not override regulations that also require examinations such as in Dangerous Goods or bus operator accreditation.

TruckSafe accredited companies, or drivers with dangerous goods licences are able to use medical certificates undertaken for either of those schemes to satisfy the NHVAS FM medical standard, if they have been issued within the timeframes stated in 4.1.

2.2 ensure the safety of two-up driving by incorporating good fatigue management practices into their day-to-day operations and addressing the issues of driver and team selection, driver training, despatching practices, and vehicle

requirements. Issues to consider when scheduling two-up driving include:

- drivers need to be capable of sleeping in a moving vehicle;
- drivers must be confident in the ability of the co-driver or the quality of rest may be lower;
- the sleeper berth needs to be compliant with the Australian Design Rule 42;
- whether a sleeper berth requires better insulation and if it should be fitted with independent air-conditioning; and
- allowing drivers to volunteer for two-up driving with the capacity to select their driving partner.

2.3 drivers are employed on duties they are capable of performing, in accordance with the medical fitness assessment;

2.4 a driver's ability to perform the task safely is assessed prior to the driver commencing work where practicable. The increased fatigue risk for a driver returning from leave should be included in this assessment;

2.5 drivers assess their own fitness to complete a task prior to and during work;

2.6 drivers advise the operator if they are unfit for duty due to any lifestyle, health or medical issue both before and during work; and

2.7 drivers are provided information to promote and encourage better management of their health.

Example: You might have a rehabilitation policy which details how drivers are to be re-introduced to the workforce after an accident or health problem. You might assist staff who are experiencing personal problems (e.g. marital problems) access counselling.

Standard Two checklist

- Do you have a written policy requiring drivers to undergo medicals as per the 4.1 above, and the Austroads/NTC guideline, Assessing Fitness to Drive – for commercial and private vehicle drivers?
- Do you have a policy stating that drivers are only to be employed to do duties they are certified as fit to undertake through their medical fitness assessment?
- Do you have a written policy detailing your rehabilitation process for drivers found unfit or placed on restricted duties, including access to counselling where appropriate?
- Do you have a policy stating that drivers must assess whether they are fit for duty due to any lifestyle, health or medical issue both before and during work, and must advise you if they are unfit for duty?
- Do vehicle selection and sleeper berth design comply with the following standards:
 - o Do sleeper berths have auxiliary air conditioning units?
 - o Do sleeper berths have separate suspension?
 - o Do sleeper berths have dual escape hatches?
 - o Are sleeper berths clean and tidy and do they have adequate noise and heat insulation?
 - o Do sleeper berths have good quality mattress should be replaced at least annually?

Driver & team selection

- Do drivers only **self-select** for two-up operations and have a say in the choice of two-up driving partner (trustworthiness, reliability, consideration)?
- Do you take time in matching the suitable applicant with a suitable partner?

- Have you implemented a pre-employment screening process for two-up drivers to ensure selected drivers must be able to sleep in a moving vehicle?

Drivers who cannot sleep in a moving vehicle should not be involved in two-up

- Do you carefully screen potential applicants for two-up by checking applicants' backgrounds and references and asking referees to provide an assessment of the drivers experience and skills?
- Do you assess married teams as individuals?
- Do you test applicants for suitability for a two-up operation? Options include matching newcomers to two-up with a more experienced driver for a probationary period. During this period a number of runs should be undertaken as a team. The experienced driver should provide feedback on the new drivers' skills. This process will check if the applicant has the right attitude and behaviours for two-up.

Trip preparation

- Are drivers provided with sufficient advance pre-trip notification?
- Are two teams notified far enough in advance, preferably prior to the weekend off-duty period, for drivers to plan their trip and arrange who will be lead driver?
- NHVAS business rules to recommend that two-up drivers as a rule should not get involved in loading prior to a long distance trip.
- Two-up operator and drivers to ensure that trip plans include where and when to take rest breaks and changeovers. (Note: NSW recently amended OH&S legislation will require trip plans for those operators operating out of NSW.



Standard Three

Training & Education

All personnel are provided with relevant training on the causes, effects and management of fatigue.

What the standard means

Training and education is essential to ensure all responsible employees, including managers, understand fatigue management issues and have the knowledge and skills to practice effective fatigue management commensurate with their level of responsibility and exposure.

What you must do to comply

To satisfy this standard an operator must demonstrate the following:

- 3.1 all managers, supervisors and drivers participating in the Basic Fatigue Management option are trained in managing driver fatigue, including the causes and effects of fatigue, recognising the symptoms of fatigue, strategies to better manage fatigue including lifestyle changes, methods of conducting fatigue risk assessments, and applying countermeasures;

Note: All staff should undertake the approved NHVAS-BFM training course applicable to their position to ensure they are able to meet this standard.

The accrediting authority must be informed of which managers, supervisors and drivers are participating in the Basic Fatigue Management option and therefore have received appropriate training.

- 3.2 staff are trained in their responsibilities under the Basic Fatigue Management option;
- 3.3 customers are informed of regulations and NHVAS requirements and how customers may cause driver fatigue and how they can address this;
- 3.4 if undertaking two-up operations:
 - o two-up operator to ensure two-up applicants have completed modules of a nationally recognised driver training course

including a module in fatigue management training;

- o driver training to include education on the issue of 'sleep hygiene' and napping techniques;
- o driver training to provide instruction on how to handle unforeseen delays including rescheduling due to unforeseen delays;

- 3.5 driver training to provide information on the long term effects of stimulant use; and

- 3.6 on-going training needs are assessed.

Standard Three checklist

- Do you have a written policy detailing the training that is to be made available to all employees to ensure they are aware of your NHVAS-BFM procedures and their responsibilities in the system?
- Have all staff been trained in managing driver fatigue, the causes and effects of fatigue, strategies to better manage fatigue and methods of conducting risk assessments and applying countermeasures? Do you have records of this?
- Do you provide information to drivers about the consequences of using stimulants? Do you provide adequate supervision to prevent use of stimulants?
- Do you provide advice of information provided to your customers on NHVAS-BFM and regulatory requirements?
- Do you have a written procedure outlining how regular and what assessment of training needs are to be conducted?

Standard Four

Responsibilities

The authorities, responsibilities and duties of all positions involved in the management, operation, administration, participation and verification of their operations under the Basic Fatigue Management option are current, clearly defined and documented.

What the standard means

The successful operation of the Basic Fatigue Management option is dependent on all personnel knowing and fulfilling their responsibilities to ensure that the requirements of the Basic Fatigue Management option are met.

What you must do to comply

To satisfy this standard an operator must demonstrate the following:

- 4.1 all personnel are carrying out their duties and responsibilities as required to meet the standards and legislated requirements;

Example: You need to make it clear who is responsible for what tasks within your Fatigue Management System.

An owner-driver may be responsible for almost all tasks in their Fatigue Management System. In a bigger firm, an operations manager may be responsible for scheduling and rostering of drivers, drivers may be responsible for completing their work diaries and ensuring their fitness for duty, administration staff may be responsible for checking work diary sheets for compliance, the depot manager may be responsible for undertaking internal reviews to ensure the Fatigue Management System is being followed, and so on.

You could choose to have a separate list of all people involved in your Fatigue Management System and what they are responsible for, or you could 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 some 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.

- 4.2 two-up team to ensure where practicable that the night driving task (hours between midnight and 6:00am) is shared equally;
- 4.3 management practices are in place to deter non-compliance and implement corrective actions;
- 4.4 an effective communication process is in place to facilitate the exchange of information between drivers and management; and
- 4.5 authorities, responsibilities and duties relating to the Basic Fatigue Management option are current, clearly defined and communicated to all appropriate personnel.



Standard Four checklist

- Have you clearly documented the authorities, responsibilities and duties for all staff under the NHVAS-BFM?
- Are these authorities, responsibilities and duties current?
- Do you have a written policy outlining how often the documented authorities, responsibilities and duties are to be reviewed and updated?
- Are all personnel aware of their authorities, responsibilities and duties under the NHVAS-BFM?
- Are all personnel carrying out their duties and responsibilities under the NHVAS-BFM?

Standard Five

Internal Review

An internal review system is implemented to identify all non-compliances and verify that all activities comply with the Basic Fatigue Management option requirements.

What the standard means

The internal audit process is an essential management tool that checks that requirements are being followed. Fundamental to the effective management of the fatigue risk is the capacity of the internal management system to assess fatigue risk and to identify, report and investigate incidents of non-compliance with requirements and take the necessary corrective action.

Examples: An internal review may pick up that some drivers do not have Fatigue Management System procedures or work instructions in their vehicles, or that a driver does not have a current medical. The reviewer will raise a non-conformance report which describes the non-conformance and what should be done about it, and by when. The reviewer will then check to make sure corrective action has been taken.

In the cases given as examples above, it could be a matter of:

- *ensuring the person responsible for giving drivers their work instructions is counselled, or that drivers are counselled to carry out their work instructions, and then checking periodically to ensure it is happening; and*
- *sending the driver off to have a new medical and implementing a more effective medical reminder system to ensure this does not happen again.*

What you must do to comply

To satisfy this standard an operator must demonstrate the following:

- 5.1 records of drivers' work and rest times are regularly reviewed to ensure compliance with the legislated operating limits;
- 5.2 quarterly compliance statements are produced;
- 5.3 internal reviews are undertaken at least every 12 months of fatigue management practices and procedures by, where

practical, competent persons not responsible for the activity being reviewed;

- 5.4 periodically review two-up teams to assess if they are working well together; and
- 5.5 procedures are in place to monitor, identify, report, investigate and record non-compliances and take the necessary corrective action to prevent further occurrences.



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 need to be taken. It is much better to be honest in these reports and show you are making efforts. An external audit will find evidence of inaccuracies, so it is best to prepare accurate reports and act on them.

Standard Five checklist

- Do you have a written procedure outlining how an internal review program is to be conducted, reported and recorded?
- Does this procedure include how often the internal review is to be conducted, and how corrective action is to be taken?
- Does the procedure review if members of two-up driving teams are working well together?
- Does your internal review procedure require that reviews be undertaken by competent persons not directly responsible for the activity being reviewed, where practical? (This may not be possible in the case of owner drivers or very small operations.)
- Do you have a written procedure outlining how non-conformances are to be monitored, identified, investigated and recorded?
- Does your non-conformance procedure detail how corrective action is to be implemented to prevent further recurrences?
- Do you have a written procedure for the investigation of any incidents to determine whether or not fatigue was a contributing factor?
- Do you have a written procedure requiring that quarterly compliance reports are to be compiled?
- Does the quarterly compliance procedure include what information is to be recorded?



Standard Six | Records & Documentation

Documented evidence must be maintained to demonstrate the effective operation of the Basic Fatigue Management option.

The Operator shall establish, implement and maintain documented procedures to manage the issue of documents, and to manage and maintain records that relate to the requirements of the Basic Fatigue Management Standards.

What the standard means

Essential to the Basic Fatigue Management option is the keeping and preservation of pertinent records.

What you must do to comply

To satisfy this standard an operator must demonstrate the following:

6.1 policies, procedures and instructions covering all activities required to meet the Basic Fatigue Management option are current, clearly defined and available to all relevant personnel;

Example: You could have a distribution list for all Fatigue Management System manuals. You could provide training courses to all staff on your policies and procedures.

6.2 all records are legible, stored, maintained and available for management and audit purposes for at least three years;

6.3 records must include individual driving hours records for all drivers (e.g. work diaries) plus supplementary records such as timesheets and pay sheets or fuel docketts, etc. Records must also be kept of the fatigue management system and compliance with the BFM standards;

6.4 records of participating drivers are kept current; and

Note: You must ensure that you advise the accrediting agency of any changes to your driver and vehicle lists, including if a driver leaves the company or a vehicle is sold or its registration changed.

6.5 all work diaries, driver identification cards and vehicle identification labels are accounted for at all times, and kept alphabetical order by driver's family name, and in chronological order.

Standard Six checklist

- Do you have written policies, procedures and instructions covering all of the NHVAS-BFM standards?
- Are these written policies, procedures and instructions authorised, current, clearly defined and available to all relevant personnel?
- Do you have a written policy for the retention and maintenance of NHVAS-BFM records?
- Are your records of participating drivers and vehicles current and correct? Do you have a written procedure to govern how this is to be done?
- Do you have adequate records to ensure you can prove that you have complied with the NHVAS-BFM standards and business rules?
- Are all of your documents maintained in accordance with the document control procedures?
- Are all work diaries kept in alphabetical and chronological order?
- Are supplementary/secondary supporting documents kept?

Documents You Must Keep

The items with a black square could be included in your Fatigue Management System Manual in order to consolidate all your policies and procedures for meeting the standards. The items with a clear square could be kept separately.

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

- Procedures outlining how rosters and schedules are to be planned.
Standard 1: Scheduling and Rostering
- Documented copies of regular schedules and rosters.
Standard 1: Scheduling and Rostering
- Procedures for monitoring and reviewing schedules and rosters.
Standard 1: Scheduling and Rostering
- Procedures for considering fatigue issues when altering schedules and when drivers come back from leave.
Standard 1: Scheduling and Rostering
- Procedures for drivers taking holidays.
Standard 1: Scheduling and Rostering
- Procedures for the use of relief/casual drivers.
Standard 1: Scheduling and Rostering
- Procedures for the regular review of drivers' work and rest times for compliance.
Standard 1: Scheduling and Rostering
- Records of the review of driver's work and rest times.
Standard 1: Scheduling and Rostering
- Driver's work diary pages, stored in chronological order by driver's name.
Standard 1: Scheduling and Rostering
- Procedures outlining drivers' readiness for duty requirements.
Standard 2: Fitness for Duty
- Policy for the assessment of drivers' readiness for duty by management.
Standard 2: Fitness for Duty
- Policy for driver medicals.
Standard 2: Fitness for Duty
- Records of current driver medicals.
Standard 2: Fitness for Duty
- Policy requiring drivers to be employed to do tasks they are medically certified fit to do.
Standard 2: Fitness for Duty
- Rehabilitation policy.
Standard 2: Fitness for Duty
- Procedures for the recruitment, selection and induction of employees.
Standard 5: Management Practices
- Procedures for personnel performance management.
Standard 5: Management Practices
- Records of any counselling or disciplinary action taken against employees.
Standard 5: Management Practices
- Policy outlining NHVAS-BFM training requirements for staff.
Standard 3: Training and Education
- Records of all staff attending training on the NHVAS-BFM policies and procedures, and the causes, effects and management of fatigue.
Standard 3: Training and Education
- Policy on identifying training needs and how they are to be addressed.
Standard 3: Training and Education
- Procedures for regular assessment of training needs.
Standard 3: Training and Education

- Records of training assessments undertaken.
Standard 3: Training and Education
- Policy for educating customers on your NHVAS-AFM system and their responsibilities within it.
Standard 7: Training and Education
- Records of information provided to your customers on NHVAS-BFM and when.
Standard 3: Training and Education
- Policy for staff communication.
Standard 4: Responsibilities
- Records of staff meetings, newsletters, notices, etc produced to pass on important NHVAS FM related information.
Standard 4: Responsibilities
- A list of all tasks in your Fatigue Management System and the names (or position titles) of all those responsible for carrying out the tasks.
Standard 4: Responsibilities
- Procedures for the reviewing and updating documented authorities, responsibilities and duties?
Standard 4: Responsibilities
- Procedures outlining how an internal review is to be undertaken, including how often and the corrective action to be taken.
Standard 5: Internal Review
- Copies of internal reviews that have been completed.
Standard 5: Internal Review
- Procedures for non-conformances including how they are to be monitored, identified, investigated and recorded.
Standard 5: Internal Review
- Non-conformance register with details of all non-conformances raised and their corrective action.
Standard 5: Internal Review
- Procedures for investigating incidents to determine whether or not fatigue was a contributing factor.
Standard 5: Internal Review
- Procedures for the conduct of quarterly compliance reports.
Standard 5: Internal Review
- Records of quarterly compliance reports that have been completed.
Standard 5: Internal Review
- A list of all drivers included in your accreditation.
Standard 6: Records and Documentation
- Procedures for the retention and maintenance of all NHVAS-BFM records.
Standard 6: Records and Documentation
- Records of all work diaries, driver identification cards, interception report books and who they have been issued to.
Standard 6: Records and Documentation
- Procedures for document control.
Standard 6: Records and Documentation

When Audits Happen

To qualify for accreditation, you must be audited by an independent auditor to verify your record keeping and procedures to ensure you can comply with the Basic Fatigue Management standards. This is called an Entry Audit.

You must also be audited at specified intervals after you qualify so your accreditation can be renewed. These are called scheduled Compliance Audits, and they are to check 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, depending on the length of the accreditation period.

An additional audit (Triggered Compliance Audit) may be required if, for instance, it seems you are not fully meeting all of the fatigue management standards. If no breaches are found, then these costs will be at the accrediting authority's expense.

Your accreditation lasts for two years unless a Compliance Audit recommends it be terminated sooner, or you have a history of highly successful Compliance Audits and the auditor recommends your accreditation period be changed to three years and the authority concurs with this recommendation.

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 (QSA) or your accreditation provider.

What an Audit Consists Of

An audit is a check to verify your FMS works and you are complying with the Basic Fatigue Management standards. The auditor may find some evidence of non-compliance and recommend you take corrective action. Unless the non-compliance is persistent and serious, it will not necessarily affect your re-accreditation in the long term, but you will have to demonstrate you have taken successful corrective action before your accreditation will be renewed and the non-conformance closed out. If your records and procedures are all correctly in place, the auditor will recommend your application be granted or your accreditation be renewed.

There are strict guidelines for auditors. If you have successfully completed your own internal review first the external audit should not be a problem for you.

Definitions

Accreditation	Formal approval by a transport authority of an operator's Fatigue Management System so the operator is accredited to the scheme. It means the operator is meeting the standards described in this guide.
Accreditation Period	Usually accreditation is granted for up to two years, subject to the operator continuing to comply with the standards. If a compliance audit finds a very high standard of compliance, the auditor may recommend the operator be accredited for three years instead of two. This recommendation will be acted upon at a transport authority's discretion.
Accredited Operator	The owner or manager of a transport company that has been granted accreditation.
Audit	<p>A systematic and documented review by an external, accredited auditor of an operator's Fatigue Management System. There are two main types of audit: System Accreditation Audits and Compliance Audits. Compliance Audits can be scheduled or triggered.</p> <p>An Entry Audit is conducted after an operator has developed a Fatigue Management System, conducted an internal review and applied for accreditation. The result of this audit determines whether or not the operator's vehicles are accredited.</p> <p>A Compliance Audit is conducted before an operator's accreditation can be renewed. For a newly accredited operator, the first Compliance Audit is conducted six months after accreditation is granted. Otherwise, scheduled Compliance Audits are conducted 12 months or less before an operator's accreditation period expires. An operator must conduct an internal review before arranging a Compliance Audit.</p> <p>A triggered Compliance Audit can be conducted at any time by a transport authority or an auditor engaged by the Authority. For example, if there is reason to believe that an operator is no longer complying with the Fatigue Management standards, a triggered compliance audit may be required.</p>
Corrective Action	Action taken to eliminate the causes of an existing non-conformity, defect, or other undesirable situation in order to prevent a recurrence.
Drivers	Includes drivers that are working exclusively for the NHVAS-BFM accredited operator. If a subcontractor wishes to be part of the NHVAS-BFM, they must work exclusively for the operator or be accredited in their own right as an owner-driver under NHVAS-BFM.
Fatigue Management System	An operator's policies and procedures for ensuring his or her firm complies with the Basic Fatigue Management Standards.

Internal Review	A review arranged by an operator to ensure they continue to comply with the standards. Internal reviews must be conducted at least annually and corrective action taken if necessary. An internal review should always be conducted before a Compliance Audit is arranged.
Non-conformance	<p>A deficiency in the characteristics, documentation or implementation process of an operator's accredited Fatigue Management System which means it does not fulfil a specified requirement of the NHVAS-BFM.</p> <p>It covers the lapsing or absence of Fatigue Management System elements required by the NHVAS-BFM module standards. It also covers the failure of the Fatigue Management System to comply consistently with the NHVAS-BFM module standards.</p>
Operator	A person or company, including an owner-driver that manages the labour of drivers.
Owner-Driver	A driver who manages his/her own labour and is not an employed driver.
Personnel	All employees, including managers, sales staff, supervisors and drivers.
Register	A list of nominated vehicles for which an operator is seeking or has been granted accreditation.
Regularly Reviewed	Means reviewed within the time frames defined in the relevant policy/procedure, and must be at least every quarter (i.e. 3 months).



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