

# Advanced Fatigue Management (AFM) 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.

## **AFM 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 Advanced 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.

**NTC Programs:** Fitness for Duty

**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 Advanced Fatigue Management Module.

**Purpose:** For information purposes only.

**Key words:** Heavy vehicle driver fatigue, advanced 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

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 Advanced 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.

Enquires can be addressed to Dr Neil Wong, ph 03 9236 5000, email [nwong@ntc.gov.au](mailto:nwong@ntc.gov.au)

# The Purpose of this Guide

This guide is an introduction to the Advanced Fatigue Management 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.

## Advanced Fatigue Management Accreditation

Advanced Fatigue Management 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.

The benefits 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;
- greater flexibility for drivers in managing their own fatigue;
- greater 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 Advanced Fatigue Management standards

### *and how you can meet them*

There are ten Advanced 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 assist with this, and 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 incorporate fatigue management measures.**

### What the standard means

Scheduling and rostering practices must ensure all trip schedules and driver rosters are planned and assigned in accordance with the operator's approved operating limits. Scheduling and rostering practices must include an assessment of the driver's recent work history, ability, welfare and preference (where appropriate). 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 no schedules and rosters are planned to extend outside the operating limits;
- 1.2 in general, schedules and rosters are planned to be achievable within the operating limits for all reasonably foreseen circumstances;
- 1.3 where there are regular schedules and rosters, these are documented;
- 1.4 schedules and rosters are monitored and regularly reviewed;
- 1.5 action is taken to minimise fatigue risks when altering schedules and rosters;

*Example: A fatigue risk assessment should be done if schedules or rosters are altered, especially if this results in and increase in work time or a decrease in opportunity to rest.*

- 1.6 drivers are provided with regular holidays and breaks throughout the year (including at least one period of five consecutive days);

- 1.7 the increased fatigue risk for a driver returning from leave is considered in scheduling and rostering of the driver;
- 1.8 guidelines are in place for the use of relief/casual drivers; and
- 1.9 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 your operating 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?

## Standard Two

# Operating Limits

**Operating Limits must provide drivers and operators with the flexibility to manage fatigue.**

**Operating Limits must take into account and provide for:**

- the time required to perform the transport task safely;
- the rest periods required to recover from the fatigue effects of work;
- the cumulative effects of fatigue over several days of work; and
- the effects of time of day on fatigue risks and quality of sleep.

### What the standard means

Operating limits are tools that allow operators and drivers to plan, monitor and manage work and rest times to minimise the impact of fatigue. Work and rest times are planned around operating limits. Operating limits may be exceeded up to the outer limits after a risk assessment is undertaken by the operator in conjunction with the driver and fatigue counter measures are implemented.

### What you must do to comply

To satisfy this standard an operator must demonstrate the following:

- 2.1 the approved operating limits are monitored and reviewed at least every twelve months to ensure they are still effective;
- 2.2 drivers are provided with flexibility to alter trip schedules within operating limits to maximise test opportunities and minimise fatigue risk;

*Example: You may develop a form for operations managers to complete when drivers call through seeking permission to exceed their operating limits. This could include questions to help determine the driver's fatigue level, and whether this has happened at any other point in the current roster cycle.*

- 2.3 the occasions when a driver is permitted to exceed the operating limits are managed to ensure appropriate counter measures are implemented;
- 2.4 instances where operating limits have been exceeded are recorded, including details of the risk assessment conducted and the fatigue management counter measures, corrective action and preventative action taken;
- 2.5 drivers do not exceed outer limits; and
- 2.6 records of drivers' work and rest times are regularly reviewed to ensure compliance with the approved operating limits for a minimum sample of two continuous weeks per driver per quarter.

### Standard Two checklist

- Do you have a written policy covering the monitoring and review of operating limits?
- Do you have a written policy for the management and recording of instances where operating limits have been exceeded? This should include details of the risk assessment conducted, and the fatigue counter measures, corrective and preventative action taken.
- Do you have a written policy stating that drivers are not able to exceed the outer limits?
- Do you have a written procedure for the regular review of drivers' work and rest times to ensure they are complying with the approved operating limits? This should involve a minimum of two consecutive weeks per driver per quarter. It should be noted that the more drivers work and rest times are reviewed, the better the chance of picking up on non-compliance by drivers.

## Standard Three

# Readiness for Duty

**Drivers must be in a fit state to safely perform required duties.**

### 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.

### What you must do to comply

To satisfy this standard an operator must demonstrate the following:

- 3.1 the operator has systems for driver readiness for duty which address issues of driver health, use of drugs/alcohol, medical condition, well-being and state of fatigue;
- 3.2 the driver's ability to perform the task safely is assessed prior to the driver commencing work where practicable;

*Example: You might require drivers to check in with the operations manager for assessment prior to commencing work.*

- 3.3 drivers assess their own fitness to complete a task prior to and during work; and
- 3.4 drivers advise the operator if they are unfit for duty due to any lifestyle, health or medical issue both before and during work.

### Standard Three checklist

- Do you have a written policy outlining your driver readiness for duty requirements? This should include driver health, use of drugs/alcohol, medical conditions, well-being and state of fatigue.
- Do you have a written policy requiring that drivers assess their own fitness for duty both prior to commencing work and during work?
- Do you have a written policy requiring drivers to advise management if they are unfit for duty due to any lifestyle, health or medical issue?



# Standard Four | Health

**Drivers must participate in a health management system to identify and manage fatigue risks.**

## What the standard means

Operators must implement a health management system that addresses, as a minimum, sleep disorders, medical history, substance abuse and diet, and provides preventative and remedial measures to assist drivers in the management of their health.

## What you must do to comply

To satisfy this standard an operator must demonstrate the following:

- 4.1 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 National Heavy Vehicle Accreditation Scheme - Fatigue Management (NHVAS-FM) medical standard, if they have been issued within the timeframes stated in 4.1.*

- 4.2 drivers are employed on duties they are capable of performing in accordance with the medical fitness assessment; and

- 4.3 drivers found unfit or placed on restricted duties are provided with appropriate assistance to aid recovery and improve the 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 staffs who are experiencing personal problems (e.g. marital problems) to access counselling.*

## Standard Four 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?



## Standard Five

# Management Practices

**Management practices must control the risks relating to driver fatigue.**

### What the standard means

Management practices must ensure all drivers are suited to the freight task and support effective communication between management and drivers on matters that affect the safe operation of the business.

### What you must do to comply

To satisfy this standard an operator must demonstrate the following:

5.1.1 driver recruitment, selection and induction practices include fatigue management requirements;

*Example: You may have a manual outlining how staff are to be recruited and selected, and what training they need to undertake as part of their induction.*

*You may have the driver recruitment, selection and induction requirements outlined in your Policy and Procedures manual.*

5.2 personnel performance management practices, including counselling and disciplinary action, are in place to deter non-compliance and implement corrective actions; and

5.3 an effective communication process (examples include in-trip communication with driver, meetings, notices, newsletter) is in place to facilitate the exchanges of information between drivers and management.

*Example: You may keep minutes for all staff meetings, file copies of newsletters or notices that are circulated, and/or have the operations managers keep a record of their phone contact with drivers while on the road.*

### Standard Five checklist

- Do you have a written policy for the recruitment, selection and induction of new employees, including fatigue management practices?
- Do you have a written policy outlining personnel performance management practices, including counselling and disciplinary action?
- Do you have a written policy outlining your communication process with staff?



# Standard Six | Workplace Conditions

**Workplace environments and conditions must assist in the prevention of fatigue.**

## What the standard means

Operators must ensure that depot facilities, vehicles and sleep accommodation are suitable for the management and prevention of fatigue.

## What you must do to comply

To satisfy this standard an operator must demonstrate the following:

- 6.1 vehicles used for sleep during rest periods must be fitted with, as a minimum standard, a sleeper berth which meets Australian Design Rule (ADR) 42;
- 6.2 the vehicle is safe and suitable for the freight task and include as a minimum ventilation in accordance with ADR 42.18;
- 6.3 vehicles are maintained to ensure that drivers are subject to a minimum of breakdowns during trips; and

*Example: You may choose to demonstrate your vehicle maintenance regime through accreditation in the NHVAS maintenance management module or the Australian Trucking Association's TruckSafe program. In this case, your last audit report would be acceptable as proof of vehicle maintenance.*

*If you are not in a maintenance management accreditation scheme, you can demonstrate compliance with workshop and/or service records, and having current Certificates of Inspection (COI) on each heavy vehicle.*

- 6.4 operators provide access to safe and suitable fatigue management facilities (e.g. lunch rooms, sleep accommodation, roadhouse) that are appropriate to the operator's freight task and in accordance with Workplace/Occupational Health and Safety requirements.

*Note: What is considered appropriate will depend upon the type of operation you run and what facilities such as road houses are located nearby. As a minimum it is expected that drivers will have access to toilets and lunch room facilities where appropriate. Depots which do mainly linehaul work may also have sleep facilities available, especially for those drivers not based where the depot is located. In any case, they must at the very least meet occupational health and safety minimum requirements.*

## Standard Six checklist

- Are all of the vehicles used by your drivers for sleep fitted with sleeper berths compliant with ADR 42?
- Do all vehicles have safe and suitable cabins, compliant with the ventilation requirements of ADR 42.18?
- Do you have a written policy outlining your vehicle maintenance regime? Do you keep records of your vehicle maintenance regime?
- Do you provide access to safe and suitable fatigue management facilities for your drivers, in accordance with your Workplace/Occupational Health and Safety obligations?



## Standard Seven

# Training and Education

All personnel involved in the management, operation, administration, participation and verification of the National Heavy Vehicle Accreditation Scheme–Advanced Fatigue Management (NHVAS–AFM) are provided with relevant training on the causes, effects and management of fatigue, and the operator's fatigue management systems.

### What the standard means

Training and education is essential to ensure all employees, including managers, understand fatigue management issues and have the knowledge and skills to practice effective fatigue management and comply with the NHVAS-AFM requirements. Training must include an assessment process to ensure learning objectives are met. Customer understanding and support for the NHVAS-AFM is also important for successful fatigue management.

### What you must do to comply

To satisfy this standard an operator must demonstrate the following:

- 7.1 persons who hold a position of responsibility under the NHVAS-AFM are trained in and familiar with the specific policy procedures and instructions they are to carry out;
- 7.2 all managers, supervisors and drivers participating in the NHVAS-AFM are trained in managing driver fatigue, including the causes and effects of fatigue, recognising the symptoms of fatigue, strategies to better manage fatigue and make lifestyle changes, and methods of conducting fatigue risk assessments and applying counter measures;

*Note: All staff should undertake the approved NHVAS-AFM training course applicable to their position to ensure they are able to meet this standard. The AFM Fatigue Guide provides further assistance in conducting risk assessments and applying counter measures.*

- 7.3 NHVAS-AFM operation, administration, verification and participation training needs are identified and appropriate training is given;

- 7.4 the knowledge of managers, supervisors and drivers participating in the NHVAS-AFM is regularly assessed to identify training needs and required training is conducted; and
- 7.5 customers are provided with information on the operator's participation in the NHVAS-AFM and any obligations/responsibilities this places on the customer.

*Example: You may inform customers by supplying them with details of any obligations/responsibilities as part of your quotation. You could hold face to face information sessions with them or provide Chain of Responsibility brochures available from the National Transport Commission and State jurisdictions. It is really up to you how you do it, so long as customers understand what is required of them in your system.*

### Standard Seven 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-AFM 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 counter measures? Do you have records of this?
- Do you have a written procedure outlining how regular and what assessment of training needs are to be conducted?
- Do you have a written procedure outlining how customers are to be informed of your fatigue management system and their responsibilities under it?

## Standard Eight

# Responsibilities

**All personnel involved in the management, operation, administration, participation and verification of the NHVAS-AFM are aware of their authorities, responsibilities and duties and carry these out accordingly.**

### What the standard means

The successful operation of the NHVAS-AFM is dependent on all personnel knowing and fulfilling their responsibilities to ensure that the NHVAS-AFM standards are met.

### What you must do to comply

To satisfy this standard an operator must demonstrate the following:

8.1 authorities, responsibilities and duties relating to NHVAS-AFM are current, clearly defined, regularly reviewed and communicated to all appropriate personnel; and

*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.*

8.2 all personnel are carrying out their NHVAS-AFM duties and responsibilities as required.

### Standard Eight checklist

- Have you clearly documented the authorities, responsibilities and duties for all staff under the NHVAS-AFM?
- 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-AFM?
- Are all personnel carrying out their duties and responsibilities under the NHVAS-AFM?



## Standard Nine

# Records & Documentation

**The operator must implement, authorise, maintain and review documented policies and procedures that ensure the effective management, performance and verification of the NHVAS - AFM in accordance with the standards.**

Records that demonstrate the effective operation of the NHVAS-AFM and compliance with each standard must be identified, collected, stored and maintained.

### What the standard means

Policies, procedures and instructions must be authorised, current and clearly identify and describe all NHVAS-AFM management, operation, administration, participation and verification activities.

### What you must do to comply

To satisfy this standard an operator must demonstrate the following:

- 9.1 policies, procedures and instructions covering all activities required to meet the NHVAS-AFM standards are authorised, 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.*

- 9.2 all NHVAS-AFM records are legible, stored alphabetically and in date order, maintained and available for management and audit purposes for at least three years;
- 9.3 all work diaries, driver identification cards and vehicle identification labels are accounted for at all times;
- 9.4 records of participating drivers and vehicles 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.*

- 9.5 documents are approved, issued, reviewed, modified, and accounted for in accordance with the operator's prescribed control procedures.

### Standard Nine checklist

- Do you have written policies, procedures and instructions covering all of the NHVAS-AFM 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-AFM 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?
- Are all of your documents maintained in accordance with the document control procedures?

# Standard Ten | Internal Review

**An internal review system is implemented to identify non-compliances and verify that activities comply with the NHVAS-AFM standards, policies, procedures and instructions.**

## What the standard means

The internal audit process is an essential management tool that checks that procedures are being followed and indicates how the NHVAS-AFM system is working. Fundamental to the effective management of the fatigue risk is the capacity of the NHVAS-AFM system to identify, report and investigate incidents of non-compliance with the standards 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 example given above, the corrective action 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; or
- sending the driver 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:

10.1 procedures are in place to define how an internal review program of all the NHVAS-AFM standards is produced, conducted, reported and recorded at least every 12 months and corrective action taken where required;

10.2 internal reviews are undertaken by competent persons not responsible for the activity being reviewed, where practical;

10.3 procedures are in place to monitor, identify, report, investigate and record non-compliances and take the necessary corrective action to prevent further occurrences;

10.4 procedures are in place to investigate incidents to determine whether fatigue was a contributing factor and to report findings to the accrediting authority; and

10.5 a quarterly compliance statement is produced containing advice of compliance with the NHVAS-AFM standards, including a summary of:

- instances where drivers have been permitted to work beyond operating limits; and
- non-compliances detected.

*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 Ten 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 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?
- Does your accident investigation procedure include the requirement to notify the accrediting authority for fatigue incidents?
- 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?



# 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 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 monitoring and review of operating limits.  
*Standard 2: Operating Limits*
- Procedures for managing instances where operating limits are exceeded, including how they are to be recorded.  
*Standard 2: Operating Limits*
- Records of instances where the operating limits were exceeded.  
*Standard 2: Operating Limits*
- Procedures for the regular review of drivers' work and rest times for compliance.  
*Standard 2: Operating Limits*
- Records of the review of drivers' work and rest times.  
*Standard 2: Operating Limits*
- Driver's work diary pages, stored in chronological order by driver's name.  
*Standard 2: Operating Limits*
- Procedures outlining drivers' readiness for duty requirements.  
*Standard 3: Readiness for Duty*
- Policy for the assessment of drivers' readiness for duty by management.  
*Standard 3: Readiness for Duty*
- Policy for driver medicals.  
*Standard 4: Health*
- Records of current driver medicals.  
*Standard 4: Health*
- Policy requiring drivers to be employed to do tasks they are medically certified fit to do.  
*Standard 4: Health*
- Rehabilitation policy.  
*Standard 4: Health*
- 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 for staff communication.  
*Standard 5: Management Practices*

- Records of staff meetings, newsletters, notices, etc produced to pass on important NHVAS-AFM related information.  
*Standard 5: Management Practices*
- Records of vehicle compliance with ADR 42 (sleeper berth and ventilation).  
*Standard 6: Workplace Conditions*
- Procedures for vehicle maintenance regime.  
*Standard 6: Workplace Conditions*
- Records of vehicle maintenance and repairs.  
*Standard 6: Workplace Conditions*
- Certification of adherence to Workplace/Occupational Health and Safety requirements.  
*Standard 6: Workplace Conditions*
- Policy outlining NHVAS-AFM training requirements for staff.  
*Standard 7: Training and Education*
- Records of all staff attending training on the NHVAS-AFM policies and procedures, and the causes, effects and management of fatigue.  
*Standard 7: Training and Education*
- Policy on identifying training needs and how they are to be addressed.  
*Standard 7: Training and Education*
- Procedures for regular assessment of training needs.  
*Standard 7: Training and Education*
- Records of training assessments undertaken.  
*Standard 7: 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-AFM and when.  
*Standard 7: Training and Education*
- 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 8: Responsibilities*
- Procedures for the reviewing and updating documented authorities, responsibilities and duties?  
*Standard 8: Responsibilities*
- A list of all drivers and vehicles included in your accreditation.  
*Standard 9: Records and Documentation*
- Procedures for the retention and maintenance of all NHVAS-AFM records.  
*Standard 9: Records and Documentation*
- Records of all work diaries, driver identification cards, interception report books and vehicle labels and who/what they have been issued to.  
*Standard 9: Records and Documentation*
- Procedures for document control.  
*Standard 9: Records and Documentation*
- Procedures outlining how an internal review is to be undertaken, including how often and the corrective action to be taken.  
*Standard 10: Internal Review*
- Copies of internal reviews that have been completed.  
*Standard 10: Internal Review*
- Procedures for non-conformances including how they are to be monitored, identified, investigated and recorded.  
*Standard 10: Internal Review*
- Non-conformance register with details of all non-conformances raised and their corrective action.  
*Standard 10: Internal Review*
- Procedures for investigating incidents to determine whether or not fatigue was a contributing factor.  
*Standard 10: Internal Review*
- Procedures for the conduct of quarterly compliance reports.  
*Standard 10: Internal Review*
- Records of quarterly compliance reports that have been completed.  
*Standard 10: Internal Review*

# 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 Advanced 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 or as outlined in the NHVAS-AFM accreditation agreement.

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.

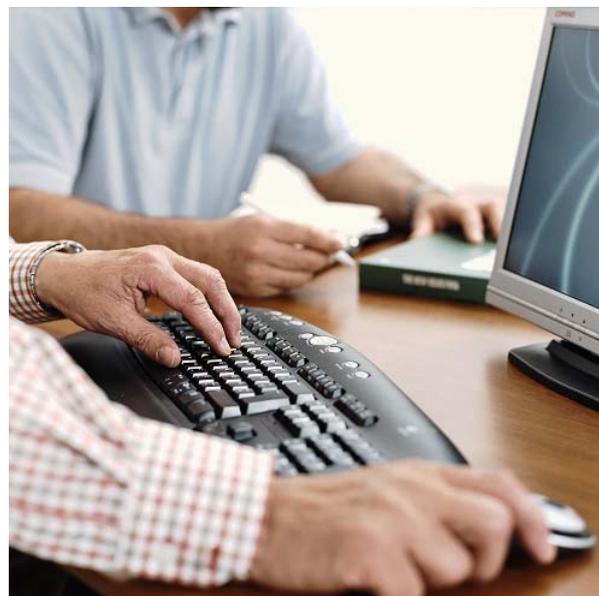
It is up to you to arrange and pay for these audits. To maintain your accreditation, you should arrange your Compliance Audits to occur 12 months or less before the end of your current accreditation period.

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 Advanced 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

<b>Accreditation</b>	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.
<b>Accreditation Period</b>	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.
<b>Accredited Operator</b>	The owner or manager of a transport company that has been granted accreditation.
<b>Audit</b>	<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.</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 twelve 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>
<b>Corrective Action</b>	Action taken to eliminate the causes of an existing non-conformity, defect, or other undesirable situation in order to prevent a recurrence.
<b>Drivers</b>	Includes drivers that are working exclusively for the NHVAS-AFM accredited operator. If a subcontractor wishes to be part of the NHVAS-AFM, they must work exclusively for the operator or be accredited in their own right as an owner-driver under NHVAS-AFM.
<b>Fatigue Management System</b>	An operator's policies and procedures for ensuring their firm complies with the Advanced Fatigue Management Standards.
<b>Internal Review</b>	A review arranged by an operator to ensure they continues to comply with the standards. Internal reviews must be conducted annually, and corrective action taken if necessary. An internal review should always be conducted before a Compliance Audit is arranged.

<b>Non-conformance</b>	<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-AFM.</p> <p>It covers the lapsing or absence of Fatigue Management System elements required by the NHVAS-AFM module standards. It also covers the failure of the Fatigue Management System to comply consistently with the NHVAS-AFM module standards.</p>
<b>Operator</b>	A person or company, including an owner-driver, that manages the labour of drivers.
<b>Operating Limits</b>	Operating Limits are limits that guide the scheduling and rostering of each driver's rest and work (including driving) times. These limits provide the basis around which the business is planned and organised. Operating limits must take into account the time required to perform the task safely under all reasonably foreseeable contingencies. Working beyond operating limits requires risk management action by the operator and driver.
<b>Outer Limits</b>	Outer Limits is the point at which further driving or work would pose an unacceptable fatigue risk as evidenced by research on the ability of people to tolerate lack of sleep. Outer Limits cannot be exceeded under any circumstances.
<b>Owner-Driver</b>	A driver who manages his/her own labour and is not an employed driver.
<b>Personnel</b>	All employees, including managers, sales staff, supervisors and drivers.
<b>Register</b>	A list of nominated vehicles for which an operator is seeking or has been granted accreditation.
<b>Regularly Reviewed</b>	Reviewed within the time frames defined in the relevant policy/procedure, and must be at least every quarter (i.e. three months).

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