Executives (of all parties) compliance checklist

	Yes	No	NA
Speeding – Risk types and control measures **Have you:**			
Exercised due diligence to: • acquire and keep up to date knowledge about speed management policies and procedures • gain an understanding of the nature of the transport activities, the hazards and risks of speeding • ensured that appropriate resources are obtained and used to address the risk of speeding and that appropriate speed management processes are implemented • have oversight of reporting of breaches and incidents and emerging risks to identify if any further actions or reasonable steps are required to be taken, for example, including a whistle-blower policy under which an officer or employee can alert an • independent party about concerns without fear of being punished • monitor speed management and speeding assurance policies and procedures to verify that the resources and processes are provided, used and implemented	☐	☐	☐
Created an overarching governance process that verifies the effectiveness of speed management and speeding assurance policies and procedures, including reporting and assurance. For example: (note this is not an exhaustive list) • number of over speed events/alerts (by severity level) • number of breaches (speeding infringements, fines and prosecutions) (by severity level) • number of fleet fitted with speed limiting devices and percentage serviced/calibrated to schedule • number of incidents (and near misses) where speed was a contributing factor (by severity level) • status of incidents (open/closed) - which can be an indicator of management commitment and availability of resources • summary reports of key findings from incidents and audits, including corrective action taken I control measures implemented.	☐	☐	☐
Fatigue – Risk types and control measures **Have you:**			
Exercised due diligence to: • acquire and keep up to date knowledge about fatigue management policies and procedures • gain an understanding of the nature of the transport activities, the hazards and risks of the driver driving while impaired by fatigue or in breach of their work/rest hours • ensure that appropriate resources are obtained and used to address the risk of fatigue and that appropriate fatigue management processes are implemented • have oversight of reporting of breaches and incidents and emerging risks to identify if any further actions or reasonable steps are required to be taken • monitor fatigue management and fatigue assurance policies and procedures to verify that the resources and processes are provided, used and implemented.	☐	☐	☐
Implemented an overarching governance process that verifies the effectiveness of fatigue management and fatigue assurance procedures	☐	☐	☐

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	Yes	No	NA
Mass, Dimension and Loading – Risk types and control measures **Have you:**			
Exercised due diligence to: • acquire and keep up to date knowledge about mass, dimension and loading policies and procedures • gain an understanding of the nature of the transport activities, the hazards and risks of mass, dimension and loading • ensure that appropriate resources are obtained and used to address the risks of mass, dimension and loading and that appropriate processes are implemented • have oversight of reporting of breaches and incidents and emerging risks to identify if any further actions or reasonable steps are required to be taken, and • monitor mass, dimension and loading management and assurance policies and procedures to verify that the resources and processes are provided, used and implemented	☐	☐	☐
Implemented an overarching governance process that verifies the effectiveness of mass, dimension and loading management and assurance procedures and processes, including reporting and assurance	☐	☐	☐
Vehicle Standards – Risk types and control measures **Have you:**			
Exercised due diligence to: • acquire and keep up to date knowledge about vehicle standards policies and procedures • gain an understanding of the nature of the transport activities, the hazards and risks associated with vehicle standards • ensure that appropriate resources are obtained and used to address the risks of vehicle standards and that appropriate processes are implemented • have oversight of reporting of breaches and incidents and emerging risks to identify if any further actions or reasonable steps are required to be taken • monitor vehicle standards management systems to verify that the resources and processes are provided, used and implemented	☐	☐	☐
Implemented an overarching governance process that verifies the effectiveness of vehicle standards management system i.e. vehicle standards management and assurance procedures and processes, including reporting and assurance	☐	☐	☐

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