# Executives (of all parties) Compliance Checklist

| | Yes | No | NA |
|---|---|---|---|
| **Speeding – Risk types and control measures**<br>**Have you:** | | | |
| Exercised due diligence to:<br>• acquire and keep up to date knowledge about speed management policies and procedures<br>• gain an understanding of the nature of the transport activities, the hazards and risks of speeding<br>• ensured that appropriate resources are obtained and used to address the risk of speeding and that appropriate speed management processes are implemented<br>• 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<br>• independent party about concerns without fear of being punished<br>• 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)<br>• number of over speed events/alerts (by severity level)<br>• number of breaches (speeding infringements, fines and prosecutions) (by severity level)<br>• number of fleet fitted with speed limiting devices and percentage serviced/calibrated to schedule<br>• number of incidents (and near misses) where speed was a contributing factor (by severity level)<br>• status of incidents (open/closed) - which can be an indicator of management commitment and availability of resources<br>• summary reports of key findings from incidents and audits, including corrective action taken I control measures implemented. | ☐ | ☐ | ☐ |
| **Fatigue – Risk types and control measures**<br>**Have you:** | | | |
| Exercised due diligence to:<br>• acquire and keep up to date knowledge about fatigue management policies and procedures | ☐ | ☐ | ☐ |

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| - 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<br>- ensure that appropriate resources are obtained and used to address the risk of fatigue and that appropriate fatigue management processes are implemented<br>- 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<br>- 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 | ☐ | ☐ | ☐ |
| **Mass, Dimension and Loading – Risk types and control measures**<br>**Have you**: | | | |
| Exercised due diligence to:<br>- acquire and keep up to date knowledge about mass, dimension and loading policies and procedures<br>- gain an understanding of the nature of the transport activities, the hazards and risks of mass, dimension and loading<br>- ensure that appropriate resources are obtained and used to address the risks of mass, dimension and loading and that appropriate processes are implemented<br>- 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<br>- 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**<br>**Have you:** | | | |
| Exercised due diligence to:<br>- acquire and keep up to date knowledge about vehicle standards policies and procedures<br>- gain an understanding of the nature of the transport activities, the hazards and risks associated with vehicle standards<br>- ensure that appropriate resources are obtained and used to address the risks of vehicle standards and that appropriate processes are implemented | ☐ | ☐ | ☐ |

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| • 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<br>• 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 | ☐ | ☐ | ☐ |