



**OCAS IMPLEMENTATION MANUALS**  
**MARCH 2019**



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## **I. NATIONAL FOREWORD**

This Implementation Manual or Guideline was approved by the SANS/ISO39001 Road Traffic Safety Management Systems and Operator Compliance Accreditation Scheme National Steering Committee, and served at the National Road Safety Steering Committee (in line with procedures of the committees).

The Implementation Manual was approved after extensive consultations with Government and Private Sector Stakeholders in South Africa and the region, to enable implementation of SANS/ISO39001 by Government Stakeholders and Road Transport Operators.

## **II. SCOPE**

This Manual can be implemented by all public sector stakeholders interacting with the road traffic system (for regulating and law enforcement), and freight and passenger road transport operators. It provides the requirements, processes, procedures, stakeholder roles and systems that the organisations must implement for compliance with the requirements of the Operator Compliance Accreditation Scheme, achievement of the objectives of the SANS39001 Road Traffic Safety Management System standard and the Multilateral Cross-Border Road Transport Agreement.

The Manual provides guidelines to the key implementing stakeholders i.e. the Cross-Border Road Transport Agency (C-BRTA), Road Traffic Management Corporation (RTMC), South African National Roads Agency Limited (SANRAL), Road Traffic Infringement Agency (RTIA), Provincial and local Law Enforcement Authorities, and road transport operators.

Application and implementation of the Manual will enable organisations to implement a systems approach towards improving road safety, reduce and ultimately eliminate risks of serious injuries and deaths, achieve quality regulation objectives, achieve quality transport operations, enhance regulatory and law enforcement efficiency and overall compliance for road transport operators.

## **III. TERMS AND DEFINITIONS**

- (a) **Accreditation** - A formal process of recognition that the Operator Compliance Accreditation Scheme is able to perform and achieve its objectives and can be used for certification of road transport operators.
- (b) **Applicant** – A person or organisation or representative of an organisation applying for recognition, registration, certification or licensing
- (c) **Audit** – A systemic independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled.
- (d) **Auditor** - A person with demonstrated personnel attributes and competence to conduct audit

**Audit criteria** – Set of policies, procedures or requirements used as a reference against which audit evidence is compared

**Audit evidence** – Records, statements of facts or other information which are relevant to the audit criteria and verifiable.

**Certification Audits** – Audits conducted by the C-BRTA on road transport operators in terms of OCAS requirements

**Commitment-** Level of work and dedication given to a management system and OCAS

**Competence** – Ability to apply knowledge and skills to achieve intended results.

**Compliance** – Extent to which legislative, regulatory and other requirements are met

**Compliance Audits** –Audits conducted to determine the extent to which legislative, regulatory and other requirements are met

**Conformity** – Fulfilment of requirement(s)

**Continual improvement** – Action Recurring activity to enhance performance

**Correction** – Action taken to correct nonconformity

**Corrective Action** – Action to eliminate the cause of a nonconformity

**Death** - Loss of human life as a result of road traffic crash

**Documented Information-** Information required to be controlled and maintained by an organisation and the medium on which it is contained

**Effectiveness** – Extent to which planned activities are realised and planned results achieved

**Environmental factors** –Factors influencing or affecting organisation in its operating environment

**First Party Audits** – Internal audits conducted by road transport operators to determine readiness for registration and or certification and or licensing

**Intercept book-** A book carried in a vehicle accredited under the Scheme and presented to the law enforcement officer to record incidences of non-compliance. The books are used to gauge compliance with scheme standards and rules at any time.

**Interested party** – Person or organisation that can affect, be affected by, or perceive themselves to be affected by a decision or activity

**Licence** – Right granted by C-BRTA or regulator to access the road transport market

**Logbook:** A book containing the official record of trips made by a vehicle

**Management system** – Set of interrelated or interacting elements of an organisation to establish policies objectives and processes and procedures to achieve those objectives

**Nonconformity** – Nonfulfillment of requirement

**Objective** – Result to be achieved

**Operator Disc**- Disc issued to a vehicle to show vehicle is licensed to operate

**Operator Registration System** – System used for registration of transport operator, vehicle, driver, depots and responsible competent persons

**Organisation** –A person or group of people that has its own functions with responsibilities, authorities and relationships to achieve objectives

**Performance** – Measureable result

**Points Demerit System** – A system used to determine points accrued due to operational conduct

**Policy** – Intentions and direction of an organisation as formally expressed by its top management

**Preventive action** – Actions to eliminate the cause of potential nonconformity

**Procedure** – A specified way to carry put an activity or process

**Process** – A set of interrelated or interacting activities which transforms inputs into outputs

**Requirements** – Set of results to be achieved

**Risk Management System** – A systems used to determine and manage risk

**Road** – Surface where vehicles and people use for travel including adjacent area

**Road network** – System roads

**Road Traffic** – Motorised and non-motorised transport

**Road Traffic Crash** – Collision or other impact on a road causing death or any injury or damage

**Road Traffic Incident** - Occurrence arising from a failure of a component or external contributing factors of the road traffic system

**Road Traffic Safety** – Conditions and factors related to crashes and other road traffic incidents that have an impact on or have the potential to have an impact on death or serious injurie of road users

**Standards** – Standards referred to in the Manual

**Vehicle** - In relation to cross-border freight road transport, any mechanically-propelled road vehicle or combination of vehicles which is constructed, adapted or used for the carriage of freight and which exceeds a maximum gross mass of 3 500 kg; (b) in relation to cross-border

passenger road transport, any mechanically-propelled road vehicle which is constructed or adapted for the conveyance of passengers or any other vehicle which is used to convey passengers

**Work diary** - A work diary is evidence that a driver's work and rest hours are compliant with the Scheme standards and that their fatigue is being managed. A driver is required to create a record of time spent working (including driving time) and resting on a daily basis.

## **ACCRONYMS**

C-BRTA	Cross-Border Road Transport Agency
COMESA	Common Market for Eastern and Southern Africa
DAMS	Driver Authorisation Management System
DFMS	Driver Fitness Management System
EAC	East African Community
GVM	Gross Vehicle Mass
ICT	Information and Communications Technology
IPRMS	Incident Preparedness and Response Management System
ISO	International Organization for Standardization
MCBRTA	Multilateral Cross-Border Road Transport Agreement
OCAS	Operator Compliance Accreditation Tool
PrDP	Professional Driving Permit
RCP	Responsible Competent Person
REC	Regional Economic Community
RPMS	Route Planning Management System
RTDMS	Road Transport Documentation Management System
RTMC	Road Transport Management Corporation
RTSMS	Road Traffic Safety Management Systems
SADC	Southern African Development Community
SANAS	South African National Accreditation System
SANRAL	South African National Roads Agency Limited
SANS	South African National Standard
SDSMS	Safe Driving Speed Management System
SVLMS	Safe Vehicle Loading Management System
TRIPS	Transport Registers and Information Platform System
VSMS	Vehicle Safety Management System

## **1 SECTION 1: OCAS IMPLEMENTATION MANUAL**

### **1.1 OCAS Implementation Manual**

- 1.1.1** This Operator Compliance Accreditation Tool (OCAS) manual or guideline provides the requirements and procedures that shall be implemented and administered in the implementation of OCAS by or for C-BRTA, RTMC, RTIA, Provincial and local law enforcement (or organisations) in the road transport environment.
- 1.1.2** The implementation manual is compatible and enables organisations to achieve the objectives of SANS/ISO39001 Road Traffic Safety Management Systems and the Multilateral Cross-Border Road Transport Agreement with respect to quality regulation.
- 1.1.3** The implementation manual also provides guidelines for operators whose operations will be regulated and administered through OCAS.
- 1.1.4** The manual shall be used in conjunction with the OCAS Design Framework (**Annexure 1**) which provides detailed architecture of the tool and stakeholder roles and areas of responsibilities, amongst others.

### **1.2 Objectives of the Implementation Manual**

- 1.2.1** To assist organisations implementing OCAS with implementation guidelines for each component or module of OCAS, OCAS requirements, the processes that should be followed, procedures that should be followed and performance requirements for systems. This is to enable organisations to effectively implement the tool and achieve its objectives.
- 1.2.2** To assist organisations with guideline on how to introduce system wide processes, procedures, standards and systems that promote implementation of predetermined steps and procedures that will lead to achievement of regulatory efficiency, compliance, quality regulation and harmonisation, application of common standards, improved law enforcement, improved road safety, reduction in deaths and serious injuries, and improved road transport system efficiency, amongst others.
- 1.2.3** To transport operators as an outcome, to achieve productivity, safety, efficiency, and cost effectiveness, amongst others.

### **1.3 Organisations Implementing OCAS**

- 1.3.1** The implementation manual provides guideline for implementation of OCAS as a regulatory tool for road transport. The implementation of the tool will lead to effective law enforcement for law enforcement authorities.
- 1.3.2** The manual articulates requirements for road transport, regulatory y authorities and law enforcement organisations in the road transport environment at local, national and regional levels tasked to regulate, provide law enforcement and provide administration of road traffic infringements.
- 1.3.3** The manual can be implemented by small, medium and big regulatory and law enforcement organisations in road transport environment.

**1.3.4** The operator guidelines in articulated in this manual can be implemented by small, micro, medium and big road transport operators in relation to ISO39001/MCBRTA/OCAS requirements

#### **1.4 OCAS Performance Factors**

**1.4.1** The implementation of OCAS by respective organisations is targeted to address and/or achieve the following performance factors, safety outcomes and list of risk exposure factors.

**1.4.1.1 Performance factors:** Quality regulation (vehicle quality, driver quality, quality of operations) improved regulatory efficiency, compliance and law enforcement effectiveness, transport system efficiency and reduced environmental impact.

**1.4.1.2 Intermediate safety outcomes:** Improved vehicle maintenance and roadworthiness, optimal and correct vehicle load capacity and mass management, vehicle loading and load restraint for safety of vehicles, safety of vehicle occupants, road crash avoidance and mitigation, improved driver competence and behaviour, fitness of driver considering substance abuse and distraction, driver health, adherence to speed and route, safety with respect to cargo type, cargo size, handling equipment, use of seatbelts, safe planning, journey scheduling, driver assignment and authorisation for vehicle class driven, driving hours and fatigue management.

**1.4.1.3 Final safety outcomes:** Regulatory efficiency, quality operations, compliance, reduced number of incidents, number of accidents, frequency of accidents, deaths and serious injuries.

**1.4.1.4 Risk exposure factors:** Influence and impact of distance travelled by vehicles and drivers, vehicle type and capacity, traffic volumes, natures and volume of consignments carried and driver behaviour.

#### **1.4.2 Performance measurement for Organisations**

**1.4.2.1** Organisations shall establish performance measurement at relevant functional areas and levels to monitor effectiveness of OCAS on achieving its objectives and addressing above performance factors.

**1.4.2.2** Organisations shall implement a performance measurement tool with parameters consistent with the objectives of OCAS.

**1.4.2.3** The parameters shall be measurable, take into account applicable requirements, be monitored, be communicated and updated as may be required and appropriate.

**1.4.2.4** When establishing and reviewing implementation, organisations shall take into account OCAS objectives, applicable legislations, regulations and standards, set targets, and performance factors. Organisations shall also consider their business requirements, financial and environmental factors.

## **1.5 Environmental Factors**

- 1.5.1** Organisations implementing OCAS shall consider the following environment factors which they need to assess as they define requirements for implementing OCAS in their environment:
  - 1.5.1.1** Organisational functions, mandates and objectives with respect to road transport and road traffic.
  - 1.5.1.2** The policies of government applicable, which they should comply to and whose objectives they seek to advance and achieve.
  - 1.5.1.3** The applicable legislations and regulations with bearing on road transport and road traffic.
  - 1.5.1.4** The requirements of road transport agreements, legislations and regulations in their environment.
  - 1.5.1.5** The requirements of applicable standards as they pertain to the organisation systems, the operator, vehicles, the drivers, responsible competent persons.
  - 1.5.1.6** Business requirements, what will be done, what resources are required, who will be responsible for what, when will the set targets be achieved and how the outcomes or results be measured, evaluated and monitored.

## **1.6 Implementation Support**

- 1.6.1 Coordination:** Organisations implementing OCAS shall endeavour to coordinate with relevant stakeholders at local, national and regional level, with all interested parties including transport operators to ensure smooth implementation and operation of OCAS. Internal and external consultations shall be conducted with relevant stakeholders.
- 1.6.2 Resources:** Organisations shall determine and provide resources (financial and non-financial) needed to implement, maintain and continually improve OCAS in order to achieve its objectives and set targets.
- 1.6.3 Competence:** Organisation shall determine necessary competent persons doing work under its control, ensure the persons are competent, trained and skilled, and take actions to enhance their competence, training and skills.
- 1.6.4 Awareness:** Organisation shall take steps to ensure affected stakeholders are informed of OCAS and its objectives as well as their roles, persons working under its control are aware of OCAS and its objectives, their role and contribution and implications of not conforming to OCAS management requirements.
- 1.6.5 Communication:** Organisation shall implement a communication framework for internal and external stakeholders articulating objectives of OCAS and roles of specific stakeholders.
- 1.6.6 Documented information:** Organisation shall document all information required by the organisation for implementation of OCAS, requirements for OCAS, processes and procedures for implementation of OCAS as well as systems required. Organisations shall also have a document control and management system.
- 1.6.7 Operation of OCAS:** Organisations shall undertake operational planning and implement control systems, determine, plan, implement and control predetermined processes and procedures to ensure that requirements are met and outcomes are achieved and performance factors are also achieved.
- 1.6.8 Performance Evaluation:** Organisations shall implement a performance evaluation system to determine effectiveness of OCAS with respect to their set targets in line with their mandate. Monitoring and measurement shall continuously conducted.
- 1.6.9 Internal Audits:** Organisations shall conduct internal audits at planned intervals to determine if the organisation conforms to the requirements of OCAS and check if OCAS is being effectively implemented and its objectives are being met. Organisation shall plan, establish and maintain an audit programme.
- 1.6.10 Management Review:** Top management shall review its progress and set targets with respect to OCAS objectives at planned intervals to ensure continued suitability, adequacy and effectiveness with respect to its business, functions and mandate. Management shall consider changes in internal and external environments and opportunities for continual improvement amongst others.

- 1.6.11 Improvement:** Organisation shall ensure the Plan-Do-Check-Act principle is implemented and upheld. Organisation shall take action on nonconformities identified and review effectiveness of actions taken and make changes to its set targets where necessary.

## **2 SECTION 2: OCAS OVERVIEW**

### **2.1 Operator Compliance Accreditation Tool**

- 2.1.1** The Operator Compliance Certification Scheme or tool is an intelligent risk-based regulatory tool for certifying and licencing cross-border operators.
- 2.1.2** It is a tool for implementing the requirements of ISO/SANS 39001 Road Traffic Safety Management Systems and the MCBRTA.
- 2.1.3** The tool is underpinned by introduction of market access criteria, auditing, operator registration, registration of responsible competent persons, operator profiling and certification for authorization of all commercial operations on public roads to improve regulatory efficiency, road safety, transport quality and transport system efficiency.
- 2.1.4** The tool can also achieve the objectives of other standards with quality management objectives such as ISO9001, ISO14001, ISO45001 and the Cross-Border Road Transport Management System.

### **2.2 Vision**

- 2.2.1** OCAS is aimed at implementing system wide predetermined standards, processes, procedures and systems in organisations to enable them to improve regulatory efficiency, transport system efficiency, road safety, compliance and high transport operational quality through application of predetermined regulatory and law enforcement standards, procedures and systems.
- 2.2.2** OCAS is focused on implementing a systems approach towards improving road safety.
- 2.2.3** OCAS seeks to connect the region through a coherent and harmonised regulatory regime that facilitates transport transit and trade in the region whilst addressing corridor inefficiencies.

### **2.3 Mission**

- 2.3.1** To improve regulatory efficiency, transport operational quality and road safety, compliance and reduce road traffic deaths and serious injuries through deployment of effective and efficient regulatory and law enforcement standards, processes, procedures and systems.

## **2.4 Scope and context**

**2.4.1** OCAS is a risk-based regulatory tool for certifying and licencing cross-border operators to achieve the objectives of road transport legislations, regulations, road transport policies, road safety, road transport operational quality as provided for in the MCBRTA and ISO/SANS39001.

### **2.4.1 Implementing ISO/SANS 39001**

**2.4.1.1** Organisations implementing OCAS introduce a market access criteria, auditing, operator registration, registration of responsible competent persons, operator profiling and certification for authorization of all commercial operations on public roads.

**2.4.1.2** The objective shall be to improve regulatory efficiency, road safety, transport quality and transport system efficiency.

**2.4.1.3** This shall be done in consideration of all environmental factors affecting the organisation and shall consider organisational context, legislations and standards applicable to the sector and the organisation.

### **2.4.2 Implementing MCBRTA**

**2.4.2.1** The MCBRTA is a cross-border road transport agreement entered into by and between member states in the COMESA, EAC and SADC region for regulation and facilitation of cross-border road transportation in the region. The agreement seeks to implement quality regulation, quality operations, and improvement in trade, socio-economic development and regional integration.

**2.4.2.2** Organisations implementing the MCBRTA shall implement a market access criteria, auditing, operator registration, registration of responsible competent persons, operator profiling and certification for authorization of all commercial operations on public roads.

**2.4.2.3** The objective shall be to improve regulatory efficiency, road safety, transport quality and transport system efficiency.

**2.4.2.4** This shall be done in consideration of all environmental factors affecting the organisation and shall consider organisational context, legislations and standards applicable to the sector and the organisation.

### **2.4.3 Transport Policies, Strategies and Legislation**

Organisations implementing OCAS shall:

**2.4.3.1** Design or review their policies, strategies, management systems and legislations in order to provide the legal basis and overall framework for implementation of OCAS.

**2.4.3.2** Design or review policies to ensure they are aligned to the objectives of OCAS, MCBRTA and ISO/ SANS39001.

- 2.4.3.3 Design a policy framework for setting OCAS objectives and targets that can be tracked and monitored.
- 2.4.3.4 Implement policies across the organisation that promotes implementation of OCAS.
- 2.4.3.5 Implement a policy framework that shows commitment for achievement of the objectives of OCAS.
- 2.4.3.6 Clearly declare commitment towards achievement of OCAS goals and objectives.
- 2.4.3.7 Commit to continual improvement of OCAS in the long term and achievement of its overall objectives and performance factors.
- 2.4.3.8 Document all policies, communicate policy directives in the organisation and make documentation available to interested parties in and outside the organisation.
- 2.4.3.9 Ensure that all relevant national road transport legislations are complied with and implemented accordingly.

## **2.5 Leadership Roles in Implementing OCAS**

- 2.5.1 The leadership of organisations implementing OCAS shall develop, support and implement relevant policies required to implement OCAS, and ensure that the objectives of OCAS are achieved and requirements for the MCBRTA and ISO/SANS39001 are fulfilled.
- 2.5.2 Top management shall monitor and review relevant policies in order to ensure employees work processes and procedures are aligned to requirements objectives of OCAS.
- 2.5.3 Top management shall ensure OCAS requirements and objectives are aligned to and embedded into the organisation's strategic plans, annual plans and overall direction of the business.
- 2.5.4 Top management shall provide commitment, Design systems, processes and procedures, determine decision flow processes and decision making gates, and determine resource requirements.
- 2.5.5 Top management shall adopt need for effective quality regulation and regulatory efficiency as priorities in the long term and determine desired outcomes to be achieved.
- 2.5.6 Top management shall endeavour to reduce deaths and serious injuries in road traffic crashes as the long term objective of OCAS and determine desired outcomes to be achieved.
- 2.5.7 Top management shall communicate the importance of OCAS and OCAS requirements towards achieving regulatory efficiency, transport system quality and achieving road safety targets.
- 2.5.8 Top management shall continuously provide financial, non-financial, human, processes and systems for implementation, maintenance and improvement of OCAS.

## **2.6 Organisation Responsibilities and authorities**

- 2.6.1** Top management shall ensure that responsibilities and authorities are assigned to relevant parties in the organisation or external stakeholders, in order to implement, operationalise, administer and monitor operation of OCAS.
- 2.6.2** Top management shall ensure separation of responsibilities and powers i.e. decision making authorities to ensure elimination of risks and possible inappropriate actions and decisions in the administration of OCAS.
- 2.6.3** Top management shall assign responsibilities and authorities to ensure OCAS requirements and implementation conforms to the requirements of MCBRTA and ISO/SANS39001.
- 2.6.4** Top management shall appoint a management team to support and report on overall performance of OCAS, progress on achievement of goals and objectives and provide recommendations for continual improvement to top management.

## **2.7 Planning**

- 2.7.1** The organisation implementing OCAS shall determine requirements applicable to their environment, risks and opportunities for implementing OCAS, identify and select OCAS requirements and performance factors applicable, set targets to be achieved over time and timelines, set strategic implementation plan and operational plan that they monitor and ensure OCAS objectives are achieved.
- 2.7.2** The organisation shall follow a process that reviews its current regulatory systems, law enforcement systems, operational quality management systems and road safety management systems to align with the OCAS requirements and objectives.
- 2.7.3** The review of processes shall consider the context of the organisation, its mandate and goals with respect to processes, procedures and systems that the organisation has to implement to achieve the objectives of OCAS and set performance factors.

## **2.8 Implementation of OCAS**

- 2.8.1** The manual provides step by step processes and procedures to be followed to ensure smooth implementation and operation of OCAS (Part 5).
- 2.8.2** The manual also identifies the tools that shall be used for executing tasks for each of the OCAS components or modules.

## **2.9 Monitoring and evaluation**

- 2.9.1** The organisation shall establish a committee to drive implementation and framework for monitoring implementation and operation of OCAS. The committee shall liaise with all relevant stakeholders and report to top management.
- 2.9.2** The committee shall be tasked to implement a Plan, Do, Check and Act principle, as a mechanism for reducing risks and ensuring corrective measures are taken to improve effectiveness of OCAS as a regulatory tool.
- 2.9.3** The committee shall document all processes and procedures followed in administration of OCAS, document areas requiring improvement and provide recommendations to top management improvements to be implemented.
- 2.9.4** Periodic evaluation of processes and procedures shall be conducted by the committee and report provided to top management to determine the extent to which the goals and objectives of OCAS are being met.
- 2.9.5** Corrective actions shall be undertaken to ensure OCAS improvement and administration efficiency in order to ensure OCAS goals are achieved.
- 2.9.6** Periodic monitoring shall be sustained.

## **3 SECTION 3 APPLICABLE STANDARDS**

### **3.1 Applicable standards**

- 3.1.1** Implementation of OCAS shall be guided by standards developed or adopted to guide implementation and operation of the tool by regulatory authorities and law enforcement authorities at local, national and regional levels.
- 3.1.2** Applicable standards include OCAS standards, MCBRTA standards and SANS/ISO39001 standards, SANS9001 and any other legislative requirements as adopted and applied by regulatory authorities, law enforcement authorities at local, national and regional levels.
- 3.1.3** Any other standards developed and adopted to guide road transport operators to meet the requirements for OCAS, whose operations are conducted and regulated through OCAS.

### **3.2 ISO39001 Road Traffic Safety Management Systems**

- 3.2.1** This implementation manual is compatible with requirements and objectives of implementing SANS/ISO39001 standard and the MCBRTA.
- 3.2.2** The guideline sets the framework (requirements, processes, procedures and systems) for application of SANS/ISO39001 by C-BRTA, RTMC and local law enforcement in the road transport and traffic environment.
- 3.2.3** The implementation of this manual will lead organisations to achieve greater mandate delivery, efficiency and overall goals of the road transport and traffic legislations and regulations.

### **3.3 Regulatory standards**

- 3.3.1** The implementation manual is compatible for implementation of requirements of the MCBRTA and OCAS standards
- 3.3.2** The processes, procedures and systems requirements in this manual will enable regulatory, road traffic infringement administration and law enforcement authorities to achieve the objectives of industry specific standards developed and implemented to improve safety, efficiency and improve compliance.

### **3.4 Integrated Approach for Regulatory Authorities**

- 3.4.1** The implementation manual is primarily aimed at guiding organisations to achieve the objectives of OCAS, MCBRTA and SANS/ISO39001.
- 3.4.2** Whilst the manual is a guideline for implementation of OCAS, MCBRTA and SANS/ISO39001, the manual may also be used to achieve the objectives of other sector standards such as ISO9001, ISO14001 and ISO45001.
- 3.4.3** Specific business rules aimed to guide organisations achieve the objectives of improving road safety and regulatory efficiency may also be achieved through this implementation manual.
- 3.4.4** The manual may also be implemented to achieve the objectives of other regulatory instruments and industry best practices such as regional road transport agreements, national road traffic standards and industry initiatives geared towards enhancing road safety.

## **4 SECTION 4 INSTITUTIONAL FRAMEWORK**

### **4.1 OCAS Accreditation and Certification Bodies**

**4.1.1** The following requirements shall be met

**4.1.1.1** Provision of capacity building for implementation and operation of OCAS with respect to institutional framework, systems, training and skills development.

**4.1.1.2** Recognition of the roles of an accreditation body (SANAS), for accreditation of OCAS. The role of the accreditation body will be to accredit OCAS and ensure that the tool operates in line with sector requirements, amongst others.

**4.1.1.3** Establishment of a framework for certification of transport operators, drivers and RCPs for OCAS by regulatory authorities.

**4.1.1.4** Establishment of an accreditation and certification body for auditors tasked to conduct OCAS audits.

**4.1.1.5** Ensuring separation of roles to avoid conflict of processes and procedures and conflict of interests particularly with respect to C-BRTA, RTMC and local law enforcement and transport operators.

**4.1.1.6** Creation of an environment required to empower C-BRTA, RTMC and local law enforcement to administer OCAS.

### **4.2 Stakeholder Roles and Responsibilities in Implementing OCAS**

#### **4.2.1 Departments of Transport**

The National Department of Transport shall:

**4.2.1.1** Be responsible for review and alignment of relevant national road transport policies and legislations to ensure alignment.

**4.2.1.2** Conduct awareness and campaign for the development and implementation of OCAS/ SANS/ISO39001.

**4.2.1.3** Support C-BRTA, RTMC and local law enforcement to implement OCAS.

**4.2.1.4** Enhance alignment between domestic and regional implementation of the tool.

**4.2.1.5** Coordinate the work of various stakeholders involved with implementing and administration of OCAS.

**4.2.1.6** Support C-BRTA where necessary and appropriate, to integrate national road transport systems and enable interface to road transport systems at regional level (TRIPS).

## **4.2.2 Cross-Border Road Transport Agency**

C-BRTA shall:

- 4.2.2.1** Provide administration of the functions of C-BRTA in implementing and operating OCAS.
- 4.2.2.2** Develop, adopt and implement requirements, processes, procedures, systems, rules and standards for OCAS.
- 4.2.2.3** Provide and administer a cross-border road transport system, ensure the system is integrated to the TRIPS system, share information with other C-BRTAs through the TRIPS, especially information required for administration of OCAS and the MCBRTA.
- 4.2.2.4** Register, certify and license transport operators, vehicles, drivers and RCPs in line with OCAS requirements.
- 4.2.2.5** Conduct certification and compliance audits to monitor compliance and ongoing risk assessments.
- 4.2.2.6** Set standards for type-approval of telematics required to operationalise OCAS.
- 4.2.2.7** Collaborate, share information, and coordinate administration of OCAS.
- 4.2.2.8** Monitor operational conduct of transport operators and application of points demerit system in conjunction with law enforcement authorities.
- 4.2.2.9** Establish an intra-Agency committee tasked to provide support for implementation and operation of OCAS.
- 4.2.2.10** Provide resources to a national inter-Agency committee or the National Steering Committee tasked to coordinate implementation of OCAS.

### **4.2.3 Road Traffic Management Corporation**

RTMC shall:

- 4.2.3.1** Conduct law enforcement inspections in line with national legislations, regulations and OCAS requirements and procedures.
- 4.2.3.2** Detect, register and submit transgressions committed by transport operators to C-BRTA for profiling of operators.
- 4.2.3.3** Collaborate, share information and coordinate law enforcement operations in corridors.
- 4.2.3.4** Monitor risks and matters pertaining to road safety and transgressions on the road in line with national road traffic legislation and regulations.
- 4.2.3.5** Conduct road safety audits.
- 4.2.3.6** Establish an intra-Agency or committee tasked to provide support for implementation and operation of OCAS.
- 4.2.3.7** Provide resources to a national inter-Agency or committee or Steering Committee tasked to coordinate implementation of OCAS.

### **4.2.4 Provincial and Local Law enforcement (DoTs and Municipalities)**

- 4.2.4.1** Conduct law enforcement inspections in line with national legislations, regulations and OCAS requirements and procedures.
- 4.2.4.2** Detect, register and submit transgressions committed by transport operators to C-BRTA for profiling of operators.
- 4.2.4.3** Collaborate, share information and coordinate law enforcement operations in corridors.
- 4.2.4.4** Monitor risks and matters pertaining to road safety and transgressions on the road in line with national road traffic legislation and regulations.
- 4.2.4.5** Establish an intra-Agency or authority committee tasked to provide support for implementation and operation of OCAS.
- 4.2.4.6** Provide resources to a national inter-Agency or authority committee or Steering Committee tasked to coordinate implementation of OCAS.

### **4.2.5 South African National Roads Agency Limited and Provincial Authorities**

SANRAL and Provincial roads authorities shall:

- 4.2.5.1** Provide relevant equipment at weigh bridges and coordinate integration of weighbridge systems.
- 4.2.5.2** Conduct law enforcement with respect to overload management, monitor overloading and mass management.
- 4.2.5.3** Detect, register and submit transgressions to C-BRTA for profiling of operators.
- 4.2.5.4** Collaborate, share information, coordination between regulatory authorities, law enforcement in corridors.
- 4.2.5.5** Monitor risks and matters pertaining to road safety and transgressions on the road in line with national road traffic legislation and regulations.
- 4.2.5.6** Establish an intra-Agency or committee tasked to provide support for implementation and operation of OCAS.
- 4.2.5.7** Provide resources to a national inter-Agency or committee or Steering Committee tasked to coordinate implementation of OCAS.

#### **4.2.6 The Intra- Agency Committees**

The intra-agency committees shall:

- 4.2.6.1** Ensure incorporation and representation of agency's requirements in line with mandate in design, implementation and operation of OCAS.
- 4.2.6.2** Manage risk areas in line with the agency's mandate.
- 4.2.6.3** Provide information to the national steering committee to build the database for OCAS.
- 4.2.6.4** Consult and engage with industry stakeholders and interface individual operators on specific matters.
- 4.2.6.5** Participate in the national steering committee.

#### **4.2.7 The Operator Steering Committee**

The committee shall:

- 4.2.7.1** Represent operator interests to intra-agency and national steering committee.
- 4.2.7.2** Coordinate and encourage operators to elevate requirements to government stakeholders.
- 4.2.7.3** Promote and support operators to implement management systems that will lead to achievement of the objectives of OCAS.
- 4.2.7.4** Champion development of initiatives for the transport operators.

#### **4.2.8 The National Steering Committee**

The National Steering committee shall:

- 4.2.8.1** Be formed and constituted by Government Departments and /or Agencies with responsibilities in cross border road transport sector and road transport operators' representative. The secretariat shall be provided by the agency/departments/ministries with direct involvement in the cross border road transport operations.
- 4.2.8.2** Conduct awareness campaigns with stakeholders and support implementation of OCAS.
- 4.2.8.3** Support and participate in the development of relevant standards, render technical support towards application of this implementation manual by Government stakeholders and transport operators.
- 4.2.8.4** Coordinate national stakeholders within both government and private sector in the development, rolling out and operation of the scheme.
- 4.2.8.5** Monitor compliance matters and risks by transport operators and recommend interventions.
- 4.2.8.6** Resolve operational matters at national level in collaboration with C-BRTA, RTMC and local law enforcement
- 4.2.8.7** Interface other national steering committees at regional level and engage the regional steering committee with respect to the alignment.

#### **4.2.9 The Regional Steering Committee or Tripartite Transport Commission**

The regional Committee shall:

- 4.2.9.1** Be constituted by technical experts and members drawn from National Steering Committees.
- 4.2.9.2** Coordinate the implementation of OCAS/MCBRTA and promote the process of harmonisation.
- 4.2.9.3** Coordinate the establishment and operation of the regional electronic TRIPS to support the development of the harmonisation of Operator registration and the supporting national frameworks.
- 4.2.9.4** Coordinate the development and operation of the electronic Operator Registration System and the interfaces linking the national systems.
- 4.2.9.5** Collaborate with countries to promote adoption of the harmonised standards and coordinated implementation.
- 4.2.9.6** Coordinate measures to promote improved training for operators, Responsible Competent Persons, drivers and professional drivers, driver trainers, driver examiners and vehicle examiners by supporting the establishment of professional training institutions in Member States and assistance with development of courses and training aids.
- 4.2.9.7** Receive and continually publish and disseminate the changing regulations in Member States, to operators and all other stakeholders and to support a readily accessible enquiry and information centre.
- 4.2.9.8** Create a framework for monitoring the effects of harmonisation of regulations and to identify further actions necessary to promote efficiency in road transport in the region.
- 4.2.9.9** Produce occasional and annual reports to the Tripartite RECs detailing progress with the development of harmonisation in the region.
- 4.2.9.10** Prepare budgets and recommendations to Tripartite RECs for activities in need of funding and to prepare terms of reference for research and project management.
- 4.2.9.11** Develop and manage a system, processes and facilities to enable arbitration and settlement of disputes which may arise from the implementation and application of this Agreement.
- 4.2.9.12** Resolve matters emanating from member-states government agencies, national steering committees and transport operators participating in the scheme.
- 4.2.9.13** Monitor risks and resolving the matters thereof emanating from the participating member states.

#### **4.2.10 Regulatory Officials**

C-BRTA shall:

- 4.2.10.1** Embark on training of relevant regulatory staff that will be tasked with roles in the implementation and administration of OCAS.
- 4.2.10.2** Embark on overall capacity building including establishment of relevant intra-Agency committees that will administer and support regulatory systems and functions.
- 4.2.10.3** Include training on OCAS requirements, systems, procedures, MCBRTA and SANS/39001.
- 4.2.10.4** Shall design implementation templates and systems to support the functioning of regulatory functions.

#### **4.2.11 Law enforcement Officials**

RTMC, C-BRTA, Provincial and Municipal Law Enforcement Departments shall:

- 4.2.11.1** Embark on training of relevant law enforcement staff that will be tasked with roles in the implementation and execution of law enforcement administration of OCAS.
- 4.2.11.2** Embark on overall capacity building including supporting relevant intra-Agency committees handling law enforcement programmes and matters.
- 4.2.11.3** Include training on OCAS law enforcement requirements, systems, procedures, MCBRTA and SANS/39001.
- 4.2.11.4** Design implementation templates and systems to support the functioning of law enforcement functions.

## **5 SECTION 5: IMPLEMENTING AND OPERATING OCAS**

### **5.1 Policy and Legislative**

**5.1.1** RTMC, C-BRTA, Provincial and Municipal Law Enforcement Departments shall establish favourable policy framework and align legislative instruments and standards to achieve the objectives of OCAS.

**5.1.2** This shall be done with a view to achieve the objectives of OCAS and OCAS performance factors.

### **5.2 Operator Registration for OCAS**

#### **5.2.1 Registration System**

**5.2.1.1** C-BRTA shall implement manual or electronic operator registration system.

**5.2.1.2** The systems shall provide for registration of the organisation conducting cross-border operations, the RCP, the depot, the driver and fleet including truck tractors and trailers.

**5.2.1.3** The system shall provide a platform for details on market access criteria, auditing, operator registration, registration of responsible competent persons, operator profiling and certification.

**5.2.1.4** The system shall provide for requirements to be met by transport operators such as vehicle road worthiness, driver competence, records management, insurance, vehicle condition, compliance to national legislations, etc.

**5.2.1.5** The system must have method of recoding violations and offences, and be able to record transgressions and provide analysis for operator conduct based on historical data on conduct.

**5.2.1.6** The system should be able to grade an operator based on OCAS and MCBRTA standards and operating conduct of the operator.

**5.2.1.7** The system must be able to link, interface or integrate to other national and regional road transport systems

## **5.2.2 Requirements and Outcomes**

**5.2.2.1** Registration shall be conducted only when an operator complies with OCAS registration requirements.

**5.2.2.2** The registration of operators shall be contingent on a commitment to be compliant with the following:

5.2.2.2.1 All relevant road traffic and transport regulations in the country.

5.2.2.2.2 Shall not have been convicted for any infringement of national legislation, such as commercial law and trafficking in human beings or drugs.

5.2.2.2.3 Roadworthiness of its vehicles.

5.2.2.2.4 Safety in the carriage of dangerous goods.

5.2.2.2.5 Driving licences and professional driving permits of its drivers.

5.2.2.2.6 Appointment of a duly registered Responsible Competent Person in respect of each depot or operations centre.

5.2.2.2.7 Where applicable, the undertaking shall not have infringed rules regarding the driving time and rest periods of drivers.

**5.2.2.3** The C-BRTA shall make deduction in terms of the extent to which an operator meets the assessment requirements and make determination on registration or corrective actions to be undertaken by applicant.

**5.2.2.4** Measurement of assessment of outcomes shall entail comparison of actual assessment outcomes against desired outcomes.

**5.2.2.5** C-BRTA shall determine a score on assessment outcomes and undertake registration or make recommendation for corrective actions.

**5.2.2.6** C-BRTA shall give applicant 3 months period for applicant to take corrective action and reapply for registration without paying again for assessment for registration.

**5.2.2.7** Corrective actions means actions to be taken to make good of the nonconformity detected during the assessment.

**5.2.2.8** Operator Discs will only be issued once the details of registered vehicles have been provided and their fitness certification of compliance with the OCAS requirements have been validated.

**5.2.2.9** Cross-border Operator Discs will only be issued to transport operators meeting OCAS requirements.

### **5.2.3 Processes**

- 5.2.3.1** C-BRTA sets format and requirements for application to register as a transport operator.
- 5.2.3.2** Applicant shall prepare and present application for registration as a transport operator to C-BRTA.
- 5.2.3.3** C-BRTA shall receive application from transport operator and give date for registration assessment to applicant.
- 5.2.3.4** C-BRTA conducts compliance audits and assessment of transport operator organisation, management systems, vehicles, drivers and its RCPs in line with OCAS requirements.
- 5.2.3.5** C-BRTA may request additional actions and documentation from road transport operator to enable completion of assessment.
- 5.2.3.6** C-BRTA finalises assessment and informs applicant of outcomes within 14 days from application.
- 5.2.3.7** Where application is not approved, C-BRTA shall inform applicant of the reasons and corrective actions to be taken by transport operator before reapplying.
- 5.2.3.8** When successful, the C-BRTA shall register the transport operator on the cross-border road transport system.
- 5.2.3.9** The C-BRTA shall give a registration certificate to the transport operator, a registration certificate for the driver, vehicles and RCPs registered on the system.

### **5.2.4 Procedures**

- 5.2.4.1** C-BRTA shall establish an operator assessment and audit team as well as a registration office.
- 5.2.4.2** The registration office shall have a minimum of three decision making layers as follows:
  - 5.2.4.2.1** Application receiving desk which assesses completeness of application and does document verification before submission to registration assessment committee.
  - 5.2.4.2.2** Application assessment committee or regulatory sub-committee that shall be supported by auditors who conduct compliance audits and checks for OCAS registration requirements and submit recommendations to regulatory committee.
  - 5.2.4.2.3** Regulatory committee that takes decision to register applicant or not register applicant depending on outcomes from compliance audits and assessment conducted.
  - 5.2.4.2.4** When application is approved, registration is concluded.
  - 5.2.4.2.5** When application is not approved, reason shall be communicated to applicant via the application desk, with recommended corrective actions.

### **5.2.5 Stakeholder Role sequence or Flow**

**5.2.5.1** The Operator shall prepare and apply for registration of the organisation, the fleet, drivers and RCPs to the C-BRTA.

**5.2.5.2** The C-BRTA shall receive application from applicant, review, assess compliance and make determination on the application.

**5.2.5.3** The C-BRTA shall inform applicant of outcomes of the assessment for registration and advise accordingly.

**5.2.5.4** The law enforcement shall provide information on operator conduct and quality of operations based on historical data.

**5.2.5.5** Should the applicant meet all requirements, the C-BRTA shall register the operator, fleet, drivers and RCPs.

**5.2.5.6** Should the applicant not satisfy all requirements, the C-BRTA shall indicate corrective action to be undertaken and advise applicant.

**5.2.5.7** Applicant shall responsibility of all corrective actions as guided by C-BRTA

### **5.2.6 Information flow**

The C-BRTA shall:

**5.2.6.1** Conduct registration of operators.

**5.2.6.2** Register information on the operator database.

**5.2.6.3** Share the information into the TRIPS.

**5.2.6.4** Received and share information on operator conduct with law enforcement authorities.

**5.2.6.5** Use operator conduct information for purposes of profiling and risk management.

### **5.3 Operator Certification**

#### **5.3.1 Certification System**

- 5.3.1.1** C-BRTA shall implement an operator certification framework in line with OCAS requirements and performance factors, which shall be used as a quality assurance mechanism.
- 5.3.1.2** The certification process shall be able to determine the extent to which the operator, driver, fleet and RCPs satisfies the requirements of OCAS.
- 5.3.1.3** Certification shall only be conducted for operators that are registered with the C-BRTA for specified operations.
- 5.3.1.4** The C-BRTA shall carry out the certification of transport operators, their fleet and drivers operating in cross-border road transportation and RCPs.
- 5.3.1.5** The certified operators, vehicles, depots, RCPs shall receive certification certificates and a cross-border disc in respect to each vehicle certified.
- 5.3.1.6** C-BRTA shall maintain a register of all certified operators, fleet, drivers, depots and CRPs. The register can be created as a module of operator registration system.
- 5.3.1.7** The C-BRTA shall make available the schedule of all certified operators, fleet, drivers, depots and CRPs to other regulatory authorities.
- 5.3.1.8** The C-BRTA shall share the data base with law enforcement.
- 5.3.1.9** RTMC, Provincial and local law enforcement shall detect and record all transgressions and violations committed by certified operators, fleet, drivers, depots and CRPs.

#### **5.3.2 Requirements and outcomes**

The following outcomes shall be achieved:

- 5.3.2.1** Compliance to standards, regulatory and legislative requirements, regulatory and law enforcement efficiency and effectiveness.
- 5.3.2.2** Improvement in road safety , vehicle maintenance and roadworthiness, vehicle load capacity, vehicle loading and load restraint, safety of vehicles, safety of vehicle occupants, road crash avoidance and mitigation, driver competence and behaviour, fitness of driver considering substance abuse and distraction, driver health, speed, route adherence, cargo type, cargo size, handling equipment, use of seatbelts, safe planning, journey scheduling, driver assignment and authorisation for vehicle class driven, driving hours and fatigue management.
- 5.3.2.3** Reduced number of incidents, number of accidents, and frequency of accidents, deaths and serious injuries.
- 5.3.2.4** Quality regulation (vehicle quality, driver quality, quality of operations) improved regulatory efficiency, compliance and law enforcement effectiveness, transport system efficiency and reduced environmental impact.

### **5.3.3 Processes**

#### **5.3.3.1 Certification shall entail assessing:**

- 5.3.3.1.1 Operator certification based on cross-border road transport licensing requirements, documentation and conditions, route adherence management, incident management, environmental emissions, loading dimensions, restraint and mass management, fleet maintenance and roadworthiness, driver competence management, driver fatigue management and speed compliance management, insurance
- 5.3.3.1.2 Driver certification based on driver health and competence
- 5.3.3.1.3 Fleet certification based on condition, road worthiness, maintenance regime and overall performance
- 5.3.3.1.4 Depots certification based on equipment, management systems, historical performance and compliance
- 5.3.3.1.5 RCPs certification based on competence and skills.

### **5.3.4 Procedures**

#### **5.3.4.1 C-BRTA shall after registration of applicants, conduct assessment for certification for operators, fleet, drivers and RCPs.**

#### **5.3.4.2 The organisation shall conduct compliance audits and determine conformity to requirements.**

#### **5.3.4.3 The outcomes of the audits shall be communicated to the applicant.**

#### **5.3.4.4 Should applicant not be successful, corrective measures shall be determined and recommended.**

#### **5.3.4.5 The registration office shall have a minimum of three decision making layers as follows:**

- 5.3.4.5.1 Application receiving desk which assesses completeness of application and does document verification before submission to certification committee.
- 5.3.4.5.2 Application assessment committee or regulatory sub-committee that conducts compliance checks for OCAS certification requirements and submit recommendation to regulatory committee
- 5.3.4.5.3 Regulatory committee that takes decision to register applicant or not certify applicant.

### **5.3.5 Responsible committee or person**

Operator certification shall be conducted by the C-BRTA.

**5.3.5.1** The C-BRTA shall consider information required pertaining to certification requirements.

**5.3.5.2** C-BRTA may use information received from law enforcement pertaining to operator conduct in relation to OCAS requirements.

**5.3.5.3** C-BRTA may use information received from counterpart regulators in the region through TRIPS.

**5.3.5.4** Articulation of stakeholder roles, responsibilities, actions, authority, control power etc. in administration of the module.

### **5.3.6 Role sequence**

C-BRTA shall:

**5.3.6.1** Receive certification application from operator.

**5.3.6.2** Assess application against OCAS requirements.

**5.3.6.3** Make determination on application for certification.

**5.3.6.4** Operator may take corrective actions and reapply within specified timelines.

### **5.3.7 Information flow**

**5.3.7.1** Transport operator shall communicate request for certification to C-BRTA.

**5.3.7.2** C-BRTA shall communicate decision outcome to applicant after taking decision.

**5.3.7.3** Transport operator shall acknowledge receipt and feedback.

## **5.4 Operator Licensing**

### **5.4.1 Licensing System**

**5.4.1.1** C-BRTA shall license all certified transport operators, vehicles, depots, drivers and RCPs.

**5.4.1.2** C-BRTA shall record all licensed operators, vehicles, depots, drivers and RCPs on the cross-border transport registration system.

**5.4.1.3** The licensing module shall be on the operator registration system. The system shall be used to record all organisations, fleet, drivers and RCPs licenced to conduct cross border operations.

**5.4.1.4** Only operators, vehicles, depots, drivers and RCPs that are registered on the cross-border registration system and are certified shall be licensed to conduct operations in line with their certification grade.

**5.4.1.5** The system must be able to record operator grade, operational conduct, transgressions and violations committed.

**5.4.1.6** The system must be linked to other transport information systems.

**5.4.1.7** The system must be able to record the grade and conduct of the operator against OCAS requirements.

### **5.4.2 Requirements and outcomes**

The licensing system shall provide for:

**5.4.2.1** Capturing of licenced operators.

**5.4.2.2** Licenced vehicles, drivers and RCPs.

**5.4.2.3** Licensing will only be granted to operators certified according to OCAS requirements.

**5.4.2.4** Licensing shall consider OCAS requirements, legislative and regulatory requirements and standards.

**5.4.2.5** Periodic assessment shall be conducted considering OCAS requirements, legislative and regulatory requirements and standards.

### **5.4.3 Processes**

**5.4.3.1** Certification shall be conducted by the C-BRTA.

**5.4.3.2** Outcomes of assessment for certification shall be communicated to the operator.

**5.4.3.3** Operator may conduct periodic assessments.

#### **5.4.4 Procedures**

Operator to apply for certification.

**5.4.4.1** C-BRTA to conduct assessment for certification.

**5.4.4.2** C-BRTA to determine approval or rejection of application.

**5.4.4.3** C-BRTA to communicate outcomes to transport operator.

**5.4.4.4** Transport operator may take corrective actions and reapply.

#### **5.5 Responsible committee or person**

**5.5.1** C-BRTA shall certify transport operators

**5.5.2** C-BRTA shall assess and conduct compliance audits for all applications for certification in view of OCAS requirements.

**5.5.3** C-BRTA shall communicate outcomes of certification application to applicants.

#### **5.5.4 Role sequence**

**5.5.4.1** Transport operator shall conduct first part audits.

**5.5.4.2** Transport operator shall apply for licensing after successful registration by C-BRTA on the registration system.

**5.5.4.3** C-BRTA shall receive and review application for certification and may request additional information from applicant.

**5.5.4.4** C-BRTA shall conduct compliance assessment and audits to determine compliance to OCAS requirements.

**5.5.4.5** C-BRTA shall make determination on the application and communicate outcomes to transport operators.

#### **5.5.5 Information flow**

**5.5.5.1** Application shall be received from the transport operator.

**5.5.5.2** Once determination is made, C-BRTA shall communicate outcome to the operator.

## **5.6 Operator Auditing**

### **5.6.1 Auditing Systems**

**5.6.1.1** C-BRTA shall implement an operator assessment and compliance auditing system for transport operators, fleet, drivers and RCPs to support the quality assurance system in line with OCAS requirements.

**5.6.1.2** Compliance audits will be undertaken regularly to assess compliance with OCAS requirements and satisfy law enforcement requirements.

**5.6.1.3** Audits will be carried out to satisfy regulatory and law enforcement authorities requirements for operator, fleet, driver, depot and RCPs.

**5.6.1.4** Initial audits will be conducted for initial registration and certification. All newly acquired and all other vehicles shall go through initial audits.

**5.6.1.5** Organisations may conduct status verification audits at periods determined by the organisations implementing OCAS. Audits may be carried at least twice per annum per operator.

**5.6.1.6** Audits may also be triggered by significant events detected by organisations implementing OCAS.

### **5.6.2 Requirements and outcomes**

Auditing shall be conducted based on OCAS requirements, standards, legislations and regulations.

**5.6.2.1** Auditing shall be conducted to achieve compliance and road safety which shall be recorded in an audit report.

**5.6.2.2** Measurement shall be conducted with respect to assessment outcomes against OCAS requirements, standards, legislations and regulations.

**5.6.2.3** Corrective actions shall be taken to ensure alignment to OCAS requirements, standards, legislations and regulations.

### **5.6.3 Processes**

**5.6.3.1** Regulator audits shall be conducted as follows:

**5.6.3.1.1** Applicant conducts first party audits.

**5.6.3.1.2** C-BRTA conducts registration and certification audits.

#### **5.6.4 Procedures**

5.6.4.1.1 First party audits shall be conducted initially before application for certification.

5.6.4.1.2 Compliance audits shall be conducted after first party audits.

5.6.4.1.3 Incident triggered audits may be conducted as and when required.

#### **5.6.5 Responsible authority/ person**

5.6.5.1.1 Transport operator shall be responsible for first part audits.

5.6.5.1.2 C-BRTA and RTMC shall be responsible for certification and licensing audits.

5.6.5.1.3 C-BRTA shall have the right to overturn decisions taken by first party auditor.

#### **5.6.6 Role sequence**

5.6.6.1.1 First part audits shall be conducted first.

5.6.6.1.2 Certification and licensing audits shall be conducted second.

#### **5.6.7 Information flow**

5.6.7.1.1 Transport operator shall indicate intention to be certified and licensed to C-BRTA.

5.6.7.1.2 C-BRTA shall make determination and communicate with transport operator.

#### **5.6.8 Auditor Requirements**

5.6.8.1.1 Auditors for OCAS shall have gone through professional training and accredited by recognised institutions.

5.6.8.1.2 Auditors shall be certified by recognised training accredited institutions nationally and /or internationally.

## **5.7 Risk Management**

### **5.7.1 Systems**

**5.7.1.1** C-BRTA and RTMC shall implement and operate an electronic risk management systems. The authorities shall be responsible for management of the system.

**5.7.1.2** C-BRTA and RTMC shall operate a risk management system which shall have a mechanism for determining risks associated with operators especially with respect to non-compliance and no-conformity to OCAS requirements, standards, legislation and regulations.

**5.7.1.3** The C-BRTA and RTMC shall use and apply the requirements for OCAS with respect to transport operators in determination of risk profiles. These shall be the parameters that are used to determine operator risks.

**5.7.1.4** The risk management system shall cover all OCAS requirements and shall be able to determine the probability of an operator, fleet, driver or RCPs not conforming to OCAS requirements.

**5.7.1.5** The risk management system shall be interfaced with the operator registration system and operator certification system, as well as TRIPS.

**5.7.1.6** The risk management system must enable operator risk profiling considering need requirements specified in the standards, MCBRTA and other road transport national information systems.

### **5.7.2 Requirements and outcomes**

**5.7.2.1** The variables that will guide the application of the risk management system include:

**5.7.2.2** Non adherence to OCAS requirements with respect to all OCAS module requirements as articulated in operator guidelines.

**5.7.2.3** Non-conformities and frequency of non-conformity.

**5.7.2.4** Historical data from operator conduct.

**5.7.2.5** The system must be able to measure and inform C-BRTA, RTMC and local law enforcement ,of operators, vehicles, drivers and RCPs with high and/ or low probability on being non-conforming to requirements and non-compliant.

**5.7.2.6** The system must be able to determine and give corrective actions that may be required on the part of transport operator.

### **5.7.3 Processes**

**5.7.3.1** A risk determination framework with a risk engine shall be implemented by C-BRTA to determine operator risk profiles and probability of non-compliance.

**5.7.3.2** Risks will be identified, monitored and managed by regulatory and law enforcement authorities.

**5.7.3.3** Risk level shall inform regulatory and law enforcement actions and operations.

**5.7.3.4** Information on operator risks will be shared with law enforcement to enhance intelligent law enforcement operations.

#### **5.7.4 Procedures**

**5.7.4.1** C-BRTA, RTMC and local law enforcement establishes a risk management committee to undertake risk management. Consideration shall be given to monitor potential internal conflict of interest by the members.

**5.7.4.2** C-BRTA, RTMC and local law enforcement authorities to implement risk management system and use it to determine risks associated with transport operators.

**5.7.4.3** Application of risk management to be guided by OCAS module requirements and outcomes as articulated.

**5.7.4.4** C-BRTA, RTMC and local law enforcement authorities to apply the risk engine to determine risks.

**5.7.4.5** Risks will be used to update operator profiles in addition to transgressions recorded during law enforcement operations.

**5.7.4.6** Risk management system application outcome to be used for decision making by C-BRTA, RTMC and local law enforcement.

**5.7.4.7** Risk management system to be used to determine corrective actions.

#### **5.7.5 Responsible authority/ person**

**5.7.5.1** The C-BRTA shall appoint a risk management committee.

**5.7.5.2** Risk management shall be the responsibility of appointed committee.

**5.7.5.3** The committees and staff involved in daily administration of OCAS shall be required to provide information and updates to the risk management committee.

**5.7.5.4** The risk management committee shall interact and request representations from relevant stakeholders from time to time, who may be required to assist the committee as the case maybe. The risk management committee shall interact with the National Steering committee.

**5.7.5.5** The risk management committee shall interact and provide information to intra-Agency committee and Regulatory Committee.

**5.7.5.6** The risk management committee shall report to top management.

### **5.7.6 Role sequence**

**5.7.6.1** Risk management committee shall focus on risk detection and monitoring.

**5.7.6.2** Identified risks shall be recorded in a risk register and operator profile which shall be on the operator registration system.

**5.7.6.3** The risk management committee shall alert the Regulatory Committee of risk profiles of a transport operator.

**5.7.6.4** Reported and recorded risks shall be monitored until corrective actions are implemented to ensure conformity to OCAS requirements.

### **5.7.7 Information flow**

**5.7.7.1** The risk management committee shall detect and record risks.

**5.7.7.2** Information on operator conduct detected through law enforcement shall be transmitted to the risk management committee.

**5.7.7.3** The committee shall transmit relevant information to the Regulatory committee and national steering committee.

**5.7.7.4** The committee may request information from law enforcement and other stakeholders for purposes of completing its work.

## **5.8 Points Demerit System and administration**

### **5.8.1 Systems**

**5.8.1.1** C-BRTA shall implement a points demerit system.

**5.8.1.2** The system must be able to assign or deduct points to operators based on parameters built with respect to nonconformity to OCAS requirements, standards, legislation and regulations.

**5.8.1.3** The system should be able to interface other road transport systems.

## **5.8.2 Requirements and outcomes**

- 5.8.2.1** The C-BRTA shall implement a points demerit system in terms of national road traffic and transport legislation for the purpose of identifying repeat transgressors.
- 5.8.2.2** C-BRTA shall assign penalty points to all transgressions defined in the national traffic and transport regulations.
- 5.8.2.3** The record of transgressions shall be transmitted to the Operator Registration System to be recorded on a register of transgressions incurred in respect of drivers, vehicles, loads and operating practices against the transport operator.
- 5.8.2.4** Penalty points will accrue in respect of the transgressions relating to the driver, the vehicle, the load or operation, and shall be used to inform a computer-generated operator grading process within the Operator Registration System.
- 5.8.2.5** The C-BRTA shall have the discretion to curtail, suspend or cancel the Transport Operator registration for repeated transgressions when penalty points saturation levels are reached following repeated transgressions.
- 5.8.2.6** The recording of transgressions and penalty points in the Operator Registration System shall not replace the due processes performed by the law enforcement agencies.
- 5.8.2.7** The penalty points system must be fair and reasonable and take due cognisance of the numbers of vehicles and drivers controlled by the relevant RCP and the Registered Transport Operator.

## **5.8.3 Processes**

- 5.8.3.1** Determine nonconformity to OCAS requirements, standards, legislations and regulations.
- 5.8.3.2** Determine points assigned to parameter to be measured.
- 5.8.3.3** Apply demerit system to determine overall points accumulated and/ or detected.
- 5.8.3.4** Take action on nonconformity.
- 5.8.3.5** Continuous information update.

#### **5.8.4 Procedures**

**5.8.4.1** C-BRTA and RTMC administrate the system.

**5.8.4.2** C-BRTA and RTMC record transgressions detected and upload into the system.

**5.8.4.3** The system calculates and automate points deduction which is communicated back to C-BRTA and law enforcement.

**5.8.4.4** C-BRTA takes decision on certification and licensing status.

#### **5.8.5 Responsible authority/ person**

**5.8.5.1** The risk management committee shall administer the points demerit system.

**5.8.5.2** The committee and staff involved in daily administration of OCAS shall be required to provide information and updates to the risk management committee.

**5.8.5.3** The risk management committee shall interact and request representations from relevant stakeholders from time to time, who may be required to assist the committee as the case maybe. The risk management committee shall interact with the National Steering committee.

**5.8.5.4** The risk management committee shall interact and provide information to intra-Agency committee and Regulatory Committee.

**5.8.5.5** The risk management committee shall report to top management.

#### **5.8.6 Role sequence**

**5.8.6.1** Risk management committee shall monitor operator conduct and transgressions committed.

**5.8.6.2** Identified transgressions shall be recorded in a transgressions register and operator profile which shall be on the operator registration system.

**5.8.6.3** The risk management committee shall alert the Regulatory Committee of significant changes to transport operator points level.

**5.8.6.4** Reported and recorded transgressions and points deductions shall be monitored until corrective actions are implemented to ensure conformity to OCAS requirements.

### **5.8.7 Information flow**

- 5.8.7.1** Information obtained from assessments and law enforcement operations to be recoded on the points demerit system.
- 5.8.7.2** Information fed into the points demerit system to be used to determine points accumulation or deduction based on severity of transgression.
- 5.8.7.3** Level of points accumulated or deducted to be used to determine overall operator profile by the risk management committee and fed to Regulatory committee and law enforcement authorities.

### **5.9 Recording of Transgressions**

- 5.9.1** C-BRTA, RTMC and local law enforcement shall contribute data to the creation of a computerised Transgression System to monitor transgressions committed by operators
- 5.9.2** The Transgression System will maintain a register to tabulate offences, violations or legal action reported by traffic of other law enforcement authorities with regard to drivers, vehicles and operators, citing the operator number of Registered Transport Operators.
- 5.9.3** The Transgression System in will include the means to monitor the administration of summonses served, admission of guilt payments made, suspension notices served and all associated activities for all road traffic and transport transgressions.
- 5.9.4** The records will include all outstanding (unpaid) amounts for all transgressions related to vehicles and drivers recorded in the Operator Registration System of Registered Transport Operators.
- 5.9.5** Provision shall be made for reporting violations and offences committed by the vehicles and drivers of all Registered Transport Operators in their territories, both domestic and foreign registered.
- 5.9.6** Provision will be made for recording, suspension, withdrawal, revocation or termination of Operator Discs subject to a Points Demerit System.

## **5.10 ICT Systems**

### **5.10.1 Systems**

**5.10.2** Organisations shall implement appropriate ICT systems to enable the smooth operation and administration of all OCAS modules.

**5.10.3** ICT systems shall be implemented to enable electronic transmission of information between C-BRTA, law enforcement and transport operator.

**5.10.4** ICT systems shall be designed in such a manner that they can be integrated and interfaced with existing and future road transport related systems including TRIPS.

### **5.10.5 Requirements and outcomes**

**5.10.5.1** ICT systems shall be designed to serve the requirements of operationalising OCAS modules and creating dashboards as may be required.

**5.10.5.2** ICT systems shall be able to support effective transmission of information, real-time or semi-real-time transmission of information required by C-BRTA, RTMC and local law enforcement.

**5.10.5.3** ICT shall be able to provide safe and secure transmission of data and information.

**5.10.5.4** ICT systems shall include various type approved applications and telematics that shall be implemented by C-BRTA, RTMC and local law enforcement and transport operators.

### **5.10.6 Responsible authority/ person**

**5.10.6.1** C-BRTA, RTMC and local law enforcement shall establish and capacitate internal authorities to administer ICT systems and ensure they are effective.

**5.10.6.2** ICT systems shall be designed with a view to ensure that different authorities have different access and user rights to the system.

**5.10.6.3** The user rights shall be designed according to powers and duties assigned to various stakeholders and committees as articulated in this manual or as maybe desired.

### **5.10.7 Information flow**

**5.10.7.1** ICT systems shall be designed to enable information exchange as determined by the roles and responsibilities of respective stakeholders as articulated in this manual or as may be desired.

**5.10.7.2** The system shall be designed to ensure each stakeholder or authority accesses information they require in administration of their responsibilities.

**5.10.7.3** The system shall enable stakeholders to share information with ease.

**5.10.7.4** C-BRTA, RTMC and local law enforcement. C-BRTA and transport operators shall be able to receive and despatch information between each other for purposes of administration of OCAS including information on operator conduct, driver behaviour, vehicle condition and use.

## **6 SECTION 6: OPERATOR GUIDELINES FOR OCAS**

### **6.1 Roles and responsibilities of Transport Operator**

- 6.1.1** Transport operators shall ensure that all road transport operations are conducted in conformity to OCAS requirements and standards.
- 6.1.2** Transport operators shall implement management systems, procedures and management standards that ensures their operations, vehicles, drivers, depots and RCPs actions are consistent with OCAS requirements and standards, and that they fulfil the OCAS requirements.
- 6.1.3** Transport operator shall provide a list all vehicles in the company or in his/her possession to be registered by C-BRTA, together with the physical address of the depot, operations centre or location where the vehicle(s) and trailers will be maintained and parked, list all drivers with valid driving licenses including Professional Driving Permit (PrDP) in compliance with the vehicle categories, employ the Responsible Competent Person certified by the relevant authority responsible for ensuring that the duties are carried out correctly and put in place transport management systems in order to fulfil requirements for implementation of OCAS standards and MCBRTA.
- 6.1.4** Transport operators may implement any management system of their choice that is able to help them achieve results consistent with OCAS objectives, requirements and outcomes.
- 6.1.5** Operator management systems can be manual or an electronic system or a combination of the two, as long as they are able to achieve desired results.
- 6.1.6** Transport operators shall provide relevant information and documentation to C-BRTA, RTMC and local law enforcement as may be required for purposes of registration, certification, and auditing and law enforcement operations.
- 6.1.7** Transport operators shall be required to conduct all preparatory work required to enable the C-BRTA, RTMC and local law enforcement to administer their roles and functions in administration of OCAS. This include preparatory work to enable auditing, registration, certification and licencing of operator, vehicles, depots and RCPs
- 6.1.8** Transport operators shall undertake to employee competent, skilled and experienced drivers and RCPs in their employment.
- 6.1.9** Transport operators shall keep records and all relevant documentation pertaining to vehicles, drivers, depots and RCPs, and shall avail them to C-BRTA, RTMC and local law enforcement as required.
- 6.1.10** Transport operators shall allow and give access to C-BRTA, RTMC and local law enforcement with respect to their operations, vehicles, depots and RCPs.

**6.1.11** Transport operators shall take responsibility for the status of and actions and/ or inactions of their fleet, drivers, depots and RCPs, and shall ensure that each of them complies to requirements of OCAS.

**6.1.12** Transport operators shall install appropriate telematics in vehicles and enabling communication systems to allow C-BRTA, RTMC and local law enforcement to conduct their work and transmission of information between operator, vehicle and C-BRTA and law enforcement authorities.

## **6.2 Requirements for Operator management systems**

**6.2.1** The transport operators shall implement management systems of their choice and own determination. However, the management systems must be able to achieve the desired results in terms of operator requirements, operational quality, compliance and performance as required by C-BRTA and law enforcement authorities, in line with OCAS requirements.

**2.1.1.1** The operator shall provide a vehicle management systems designed to ensure vehicles are constantly in good condition and are roadworthy in order to fulfil requirements for implementation of OCAS.

**6.2.2** Management systems that are implemented by operators should address the following areas:

### **6.2.2.1 Quality and Operations management**

**6.2.2.1.1** The operator shall implement a quality and management system that addresses the following and achieves the following outcomes.

**6.2.2.1.2** Achievement of applicable and predetermined OCAS performance factors.

**6.2.2.1.3** High operational quality and standards for all operations conducted.

**6.2.2.1.4** High levels of compliance by operator, vehicles, drivers and RCPs to compliance to OCAS requirements.

### **6.2.2.2 Vehicle safety management**

6.2.2.2.1 The operator must ensure a daily check for each registered vehicle when it is in use. The daily check is a documented instruction for basic safety checks. The operator must indicate when the inspection is carried out, by whom and how it is recorded. The person completing the daily check must acknowledge the vehicle to be safe to the limits of the inspection.

6.2.2.2.2 To satisfy this standard an operator must demonstrate the following:

6.2.2.2.2.1 A documented instruction detailing when the daily check is carried out, who carries it out and how the check is recorded.

6.2.2.2.2.2 Where applicable, the daily check must cover as a minimum, the inspection of:  
Wheels and tyres, Lights and reflectors, Windscreen, mirrors and wipers, Structure and bodywork, Brakes, Steering wheel, Seat belts, recording of any faults found during the daily check.

### **6.2.2.3 Safe vehicle operation on the road**

- 6.2.2.3.1 The driver should be able to record and report any recognisable fault occurring during the course of a journey so that it may be assessed and rectified.
- 6.2.2.3.2 To satisfy this standard an operator must demonstrate the following: a means that can be retained in the vehicle to record faults occurring to both horse and trailer during a journey, a documented instruction which details how drivers record faults occurring during a journey and how the faults are reported to the maintenance provider, a documented instruction which provides for faults occurring at any other time to be reported to the maintenance provider as soon as possible, documented instruction that provides direction to fix major or serious faults as soon as possible, even if the vehicle is away from the depot.
- 6.2.2.3.3 The system must provide for the identification, assessment and action on reported faults. To satisfy this standard an operator must demonstrate the following: a method of identifying, assessing and taking action on reported faults from any source (i.e. driver, maintenance provider or manager) and determining the priority placed upon repair of the fault, a method to identify and assess the nature of the fault and place priority on its repair, if a decision is made to defer fixing of a fault, the person making the decision must be identified on the record, and the consequence of deferment should be identified and recommendation should be drawn for use of the vehicle, where a decision is made to monitor the condition of a fault, the decision must be recorded. The system must also set the upper limits for when a monitored condition is repaired such as every 1000 kilometres, when parts are received and/or etc. The identity of the person who makes the decision to monitor a fault must be recorded, and such decision should be communicated to the driver, at the completion of the repair, records must show the date the fault was rectified and tested.

#### **6.2.2.4 Vehicle maintenance and Road worthiness**

- 6.2.2.4.1 The operator must provide a system for and evidence that a vehicle is being systematically maintained. This could be through a series of work schedules related to the various vehicle components. Within the maintenance schedules or available to the maintenance provider will be a description of the items for inspection, service, repair or the components to be replaced. The system must include periodic maintenance schedules, which identifies service periods that describe the tasks to be completed.
- 6.2.2.4.2 To satisfy this standard an operator must demonstrate the following: Evidence that, at the time of entry to the scheme, the nominated fleet has been certified roadworthy by a qualified person experienced in the inspection of vehicles of the specific class. The evidence cannot be more than six months old, the system must include maintenance schedules that provide for the periodic maintenance of vehicles at defined intervals of time, distance or hours of use. Schedules must include a description of the tasks to be completed during the service, the system must also provide for unscheduled maintenance, evidence that maintenance and repairs are only undertaken by persons who have suitable qualifications and/or experience to competently complete any maintenance or repair tasks or to do so under supervision and table of tolerances and wear limits for major components must form part of the system and it must comply with the manufacturer's specifications and the national vehicle standards.

##### **6.2.2.4.2.1 Suspension maintenance**

- 6.2.2.4.2.1.1 All vehicles subject to this accreditation, including trailers supplied by other parties, must have their suspension systems maintained and replaced according to manufacturer's or a qualified mechanical engineer's specification.
- 6.2.2.4.2.1.2 To satisfy this standard an operator must demonstrate the following: the operator must document the manufacturer's or qualified mechanical engineer's specification for the suspension for all accredited vehicles, develop a procedure that specifies when the suspension should be checked, by whom, and how the check is to be recorded, develop instructions for recording faults with the suspension during a journey, and how those faults are reported.
- 6.2.2.4.2.1.3 Keep records of suspension maintenance being carried out, including the final sign-off after the repair is completed.
- 6.2.2.4.2.1.4 Keep evidence that suspension maintenance and repairs are only undertaken by persons having suitable qualifications or experience to competently complete any maintenance tasks or to do so under supervision.
- 6.2.2.4.2.1.5 Document a table of tolerances and wear limits for major components within the suspension systems.



### **6.2.2.5 Driver Training and Competence**

- 6.2.2.5.1 Transport operators shall ensure that all drivers in their employee have the right competence requirements and are holders of required driving license.
- 6.2.2.5.2 Transport operators shall ensure that drivers in their employee are trained and are skilled to operate vehicles
- 6.2.2.5.3 Transport operators shall ensure that drivers with right competence level are assigned to the vehicles they have the right competence for.
- 6.2.2.5.4 Transport operators shall ensure that all drivers meet the minimum competence required for vehicles they are assigned to drive.

### **6.2.2.6 Vehicle Load Restraint Management**

- 6.2.2.6.1 The operator must be able to prove that registered vehicles meet the necessary vehicle loading standards and are operated in accordance with the Safe Vehicle Loading Management System.
- 6.2.2.6.2 To satisfy this standard an operator must demonstrate the following:
  - 6.2.2.6.2.1 The operator must keep a list of all the vehicles they want to register for accreditation, including subcontractors' vehicles.
  - 6.2.2.6.2.2 The list must include the following details about each vehicle: date of registration, registration number, registered owner, registered GVM, manufacturer's GVM, tare weight (including full fuel tank and any normal operating equipment or other materials), accreditation label's serial number (if accreditation has already been granted for the vehicle), and date of de-registration (applies to vehicles that are removed from the register).
  - 6.2.2.6.3 Before a loaded vehicle departs it must be weighed, or have its load assessed. The operator must show that the loading system is objective and delivers axle and gross loading within the relevant limits before the vehicle goes on the road
    - 6.2.2.6.3.1 To satisfy this standard an operator must demonstrate the following:
      - 6.2.2.6.3.2 The operator must have a written schedule of the methods used to load the trucks in order to establish load distribution. The operator could use different methods in different circumstances, or a combination of methods. The important thing is that the manual must describe the methods to be used for each different type of load for each different type of vehicle, in all of the circumstances that may occur.
      - 6.2.2.6.3.3 It is important that the system is objective, which means that it can be verified by another method. For instance, if the primary method of assessment is to use on-board scales, this could be verified by physical weighing.

- 6.2.2.6.3.4 Each method that the operator uses must include the following: the vehicle's loading limits, the type of load this method is used for, how the loading of the vehicle is controlled to ensure correct axle weights (where applicable), how the weighing method can be verified and how the measurement is recorded and where that record is kept.
- 6.2.2.6.4 For each method the operator must also describe any variations needed because of special conditions (load density, number, volume or mass that could affect the method used to do the loading and to gauge the weight)
- 6.2.2.6.5 Where third parties are involved in the loading, the operator must explain to them what the vehicle's mass limits are for each trip.
- 6.2.2.6.6 The people tasked with the Safe Vehicle Loading Management System must understand load dynamics.

- 6.2.2.6.7 The operator must be able to prove that the methods for assessing the weight of vehicle loads are accurate. The weight of the vehicle and load must be verified to produce an auditable record.
- 6.2.2.6.7.1 To satisfy this standard an operator must demonstrate the following: Verify each measurement by a different method to check if the original method is sound. For instance, if loading is controlled by volume rather than weight, every so often the operator needs to verify that the volume limits being used still fall within the allowable weight limits, perhaps by periodically weighing vehicles and loads to confirm the relationship between the volume and weight and a procedure followed for producing evidence of the weighing method used for each load which indicates: how this measurement method can be verified; how often it is to be verified, what documentary evidence of the verification is required and where the evidence of verification is to be stored.
- 6.2.2.6.7.2 A procedure for corrective action so that if a verification procedure shows a deficiency in the original measurement method, that method is corrected.
- 6.2.2.6.7.3 A backup procedure to use in case the usual method of weighing becomes impossible.
- 6.2.2.6.7.4 Communicate alternative weighing procedures to staff members.
- 6.2.2.6.7.5 Procedures on calibration of the measuring equipment. These procedures should include: the equipment to be checked, how it is to be checked, who is to check it, how often it is to be checked and what records of the calibration are to be produced and where they are to be kept.
- 6.2.2.6.7.6 A maintenance contract could be used as evidence of calibration.
- 6.2.2.6.8 The operator must ensure that vehicles are loaded in such a way that the dimensions of the load are within the regulatory guidelines. The load should be secured to ensure the safety of road users at all times.
- 6.2.2.6.8.1 To satisfy this standard an operator must demonstrate the following: Procedures for loading of vehicles to ensure that vehicle loads are within the required length, height and width, procedure for the loads securements, policy and procedures to comply with abnormal loads requirements and Records of occasions where abnormal loads were transported, and proof of compliance with abnormal loads requirements.

### **6.2.2.7 Driver Fatigue and Wellness Management**

- 6.2.2.7.1 This standard ensures that all trip schedules and driver assignments are planned and are in compliance with the Scheme Standards taking into account the transport task and time for the transport task to be completed safely.
- 6.2.2.7.2 To satisfy this standard an operator must demonstrate the following: Schedules and rosters are documented, schedules and rosters are monitored and regularly reviewed, action is taken to minimise fatigue risks when altering schedules and rosters, Guidelines are in place for the use of relief or casual drivers where required, the increased fatigue risk for a driver returning from leave or long trips is considered in scheduling and assignment of the driver, drivers to give input into schedules where practicable to ensure trip plans are reasonable, schedulers provide sufficient advance pre-trip notification to ensure drivers can comply with Scheme Standards, schedules and rosters are planned to be reasonable and achievable under Scheme Standards and monitor and log driver hours of work.
- 6.2.2.7.3 This standard requires that a system be developed to ensure that drivers are fit for work and can perform their duties safely. To satisfy this standard an operator must demonstrate the following: drivers are certified as being fit to drive a heavy vehicle by a registered medical practitioner, procedures for driver fitness for duty which address issues of driver health, use of drugs/ alcohol, medical condition, well-being and state of fatigue, procedures for drivers to assess their fitness for duty prior to commencing and during work, procedures for the drivers to notify the operator if they are unfit for duty due to any lifestyle, health or medical issue both before and during work, where applicable, procedures for undertaking co-driver recruitment and team selection, and ensuring that the alternative driver's comfort is optimised while resting in a moving vehicle.
- 6.2.2.7.4 All personnel involved in the management, operation, administration, participation and verification of the Driver Fitness Management System can demonstrate competency in fatigue knowledge relevant to their position on the causes, effects and management of fatigue.
- 6.2.2.7.5 To satisfy this standard an operator must demonstrate the following:
  - 6.2.2.7.5.1 Steps in place to ensure anyone involved in the management, operation, administration, participation and verification of the Driver Fitness Management System is made aware of the operator's current fatigue management policies and procedures.
  - 6.2.2.7.5.2 That all persons who hold a position of responsibility under the operator's Fitness of Drivers System: are identified, have been inducted and regularly updated in the operator's fatigue management policies and procedures and are able to demonstrate competence in managing driver fatigue, including understanding the causes, effects and symptoms of fatigue, and being able to apply strategies to better manage fatigue, procedure for maintaining the currency of knowledge in fatigue management for all people who hold a position of responsibility, including identifying if, and when, any reassessment of competence is to be conducted, and ensuring that this has occurred

- 6.2.2.7.5.3 That knowledge needs are identified, and that appropriate action is taken to address those needs.
- 6.2.2.7.5.4 That records of competence of drivers, schedulers or those who supervise or manage drivers and scheduling staff have been maintained, including: details of what, if any, training was undertaken, who delivered the training and when this training occurred if, and when any re-training is required, and record of the qualifications of workers, including any units of competence achieved.
- 6.2.2.7.5.5 Drivers are provided with information to promote and encourage better management of their health and lifestyle.
- 6.2.2.7.5.6 Subject to the national legislative requirements governing the basic conditions of employment in participating countries, the operator must set minimum rest hours and maximum work hours for heavy vehicle drivers in order to better manage driver fatigue.
- 6.2.2.7.5.6.1 To satisfy this standard an operator must demonstrate the following: in any five (5) hour period, each driver must take a minimum of sixty (60) minutes stationary rest. The rest period must include at least thirty (30) minutes of continuous stationary rest period with the balance to be taken at the driver's discretion in a minimum of fifteen (15) minutes continuous rest breaks. The driver shall therefor drive a maximum of four (4) hours in this work period.
- 6.2.2.7.5.7 In any eight (8) hour period, each driver must take a minimum of ninety (90) minutes stationary rest. The rest period must include at least forty five (45) minutes of continuous stationary rest period with the balance to be taken at the driver's discretion in a minimum of fifteen (15) minutes continuous rest breaks. The driver shall therefor drive a maximum of six (6) hours and 30 minutes in this work period.
- 6.2.2.7.5.8 In any nine (9) hour period, each driver must take a minimum of one hundred and five (105) minutes stationary rest. The rest period must include at least 60 minutes of continuous stationary rest period with the balance to be taken at the driver's discretion in a minimum of fifteen (15) minutes continuous rest breaks. The driver shall therefor drive a maximum of seven (7) hours and 15 minutes in this work period.
- 6.2.2.7.5.9 In any ten (10) hour period, each driver must take a minimum of hundred and twenty (120) minutes stationary rest. The rest period must include at least 60 minutes of continuous stationary rest period with the balance to be taken at the driver's discretion in a minimum of fifteen (15) minutes continuous rest breaks. The driver shall therefor drive a maximum of eight (8) hours in this work period.
- 6.2.2.7.5.10 In any twelve (12) hour period, each driver must take a minimum of one hundred and fifty (150) minutes stationary rest. The rest period must include at least 90 minutes of continuous stationary rest period with the balance to be taken at the driver's discretion in a minimum of fifteen (15) minutes continuous rest breaks. The driver shall therefor drive a maximum of 9 hours and 30 minutes in this work period.

6.2.2.7.5.11 In any twenty four (24) hour period, each driver must take a minimum of thirteen (13) hours and 15 minutes stationary rest. The rest period must include at least 12 hours of continuous stationary rest period with the balance to be taken at the driver's discretion in a minimum of fifteen (15) minutes continuous rest breaks. The driver shall therefor drive a maximum of eleven (11) hours in this work period.

### **6.2.2.8 Road Transport Documentation Management**

- 6.2.2.8.1 Original copies of all documents required by cross-border legislation and regulations in the region should be kept in the vehicle and be produced on demand by relevant law enforcement officers.
- 6.2.2.8.2 To satisfy this standard an operator must demonstrate the following:
  - 6.2.2.8.2.1 Procedures for the management of mandatory documents.
  - 6.2.2.8.2.2 Procedures to be communicated to all stakeholders including drivers.
  - 6.2.2.8.2.3 Implement pre-trip inspections forms showing availability of such documents in the vehicle.
  - 6.2.2.8.2.4 Copies of mandatory documents to be filed for three years for audit purposes.
- 6.2.2.8.3 The cross-border legislation and regulations require that certain documents be returned subject to certain conditions. These documents include passenger lists, consignment notes and expired permits.
- 6.2.2.8.4 To satisfy this standard an operator must demonstrate the following: procedures for the return of relevant documents, records of returned documents showing: document title, date of return; and name and signature of the person receiving the document.
- 6.2.2.8.5 The operator must keep and preserve records relevant to the safety of vehicles. Documented evidence must be maintained to demonstrate the effective operation of the Road Transport Documentation Management System. All documents must be kept for a minimum of three years for audit purposes.
- 6.2.2.8.6 The operator will must keep, as a minimum, the following documented evidence: Procedures for the management of mandatory documents, copies of completed pre-trip inspections forms, records of returned documents.
- 6.2.2.8.7 The operator must plan the routes to be followed by drivers. When a trip is to be undertaken, the company must consider the safest and most appropriate route in light of the type of cargo, the most appropriate vehicle class/type and driver suitability.
- 6.2.2.8.8 To satisfy this standard an operator must demonstrate the following:
  - 6.2.2.8.8.1 Policy and procedures for route planning.
  - 6.2.2.8.8.2 Properly authorised route plans.
  - 6.2.2.8.8.3 Communication of route plans to allocated drivers.
  - 6.2.2.8.8.4 Records of route plans for registered vehicles.

- 6.2.2.8.9 Where relevant authorities have identified routes for vehicles to follow as a condition for the permit or license to operate, the operator will ensure that such a vehicle complies with the route description. There should be a mechanism to monitor adherence to routes identified by relevant authorities in real-time or give historical compliance records.
- 6.2.2.8.10 To satisfy this standard an operator must demonstrate the following:
- 6.2.2.8.10.1 Policies and procedures for route compliance.
  - 6.2.2.8.10.2 Route compliance equipment to be installed on each vehicle.
  - 6.2.2.8.10.3 The route compliance system to be able to report the vehicle route over a period of time.
  - 6.2.2.8.10.4 The route compliance system to report exceptions or non-compliances.
  - 6.2.2.8.10.5 Keep route compliance records for each registered vehicle for audit purposes.
  - 6.2.2.8.10.6 Keep route adherence exception reports for each vehicle.
- 6.2.2.8.11 The operator must keep and preserve records relevant to the safety of vehicles. Documented evidence must be maintained to demonstrate the effective operation of the Route Planning Management System. All documents must be kept for a minimum of three years for audit purposes.
- 6.2.2.8.12 The operator will must keep, as a minimum, the following documented evidence: policy and procedures for route planning, approved route plans, procedures for route compliance monitoring, historical vehicle route compliance monitoring, non-compliance reports and records of corrective action for non-compliance to route compliance.

### **6.2.2.9 Driver Authorisation Management**

6.2.2.9.1 The driver of the vehicle must have a license and due authorisation to drive a vehicle within a certain class as specified by relevant licensing authorities.

6.2.2.9.2 To satisfy this standard an operator must demonstrate the following:

6.2.2.9.2.1 Policy and procedures on driver licensing requirements.

6.2.2.9.2.2 Records of driver license details, including the driver names, date of birth, date the license was issued and renewal date, Copies of driver licenses and Procedure to ensure that licenses are valid and renewed when due.

6.2.2.9.3 In addition to the license required to drive a vehicle of a certain class, the driver must have the authorisation or permission to offer a certain service using the vehicle as required.

6.2.2.9.4 To satisfy this standard an operator must demonstrate the following:

6.2.2.9.4.1 Procedures on driver authorisation or permit requirements.

6.2.2.9.4.2 Records of driver authorisation details, including the driver names, date of birth, date the license was issued and renewal date.

6.2.2.9.4.3 Copies of driver authorisation or permit.

6.2.2.9.4.4 Procedure to ensure that authorisations or permits are valid and renewed when due.

6.2.2.9.4.5 The operator must ensure that licensed and properly authorised drivers have the necessary competence and experience whenever they are required to drive.

6.2.2.9.4.6 To satisfy this standard an operator must demonstrate the following: Assessment of driver competence and experience, Records of driver competence assessments, Procedures on integration of drivers who have taken long breaks from driving (e.g. break due to long leave, illness etc.), Procedures on monitoring driver behaviour and corrective action following accidents and general traffic non-compliances.

6.2.2.9.4.7 Records of any interventions to improve driver competence.

#### **6.2.2.10 Incident Preparedness and Response Management**

- 6.2.2.10.1 The operator shall respond to actual incidents that may cause death or serious injuries in which the organisation's vehicle is involved.
- 6.2.2.10.2 To satisfy this standard an operator must demonstrate the following incident Preparedness and Response Plan or Procedure, Procedure to record reported incidents, Procedure to record, investigate and analyse road crashes and other incidents and Records of road crashes and other incidents that could cause death and serious injuries of road users.
- 6.2.2.10.3 The operator shall ensure that corrective action is taken to prevent and mitigate against the repeat of road traffic incidents.
- 6.2.2.10.4 To satisfy this standard an operator must demonstrate the following:
  - 6.2.2.10.4.1 The underlying factors that the operators can control and/or influence that can be causing or contributing to the occurrence of incidents.
  - 6.2.2.10.4.2 Any corrective measure that should be and have been taken to prevent or mitigate against similar incidents in future.
  - 6.2.2.10.4.3 Adequacy of the Incident Preparedness and Response Plan and Procedure.
  - 6.2.2.10.4.4 Records of the old and revised plan and procedures.
  - 6.2.2.10.4.5 Documented evidence must be maintained to demonstrate the effective operation of the Incident Preparedness and Response Management System. All documents must be kept for a minimum of three years for audit purposes.
  - 6.2.2.10.4.6 The operator will must keep, as a minimum, the following documented evidence: Incident Preparedness and Response Plan or Procedure, Records of road crashes and other incidents and Corrective measures taken to prevent or mitigate against future incidents

#### **6.2.2.11 Safe Driving Speed Management**

- 6.2.2.11.1 Operators must ensure that drivers adhere to minimum and maximum speed limits as determined by relevant local, national and regional traffic authorities and legislation
- 6.2.2.11.2 To satisfy this standard an operator must demonstrate the following: policy on safe driving speeds: Methods to monitor vehicle speeds, Policy on speed compliance to be communicated to drivers and relevant personnel.
- 6.2.2.11.3 Records of any interventions to improve driver competence.
- 6.2.2.11.4 The operator should have a mechanism to measure, monitor or calculate and report real-time or historical vehicle speeds.
- 6.2.2.11.5 To satisfy this standard an operator must demonstrate the following: Methods to monitor vehicle, monitor or calculate speeds, speed monitoring system to be able to report the vehicle speed over a period of time, speed monitoring system to report exceptions or non-compliances and where possible, the company could consider vehicle speed restraint mechanism.
- 6.2.2.11.6 Documented evidence must be maintained to demonstrate the effective operation of the Safe Driving Speed Management System. All documents must be kept for a minimum of three years for audit purposes. The operator will must keep, as a minimum, the following documented evidence: Policy on safe driving speeds, Historical speed compliance reports per vehicle containing: Vehicle registration number; and Period for which the speed was recorded.
- 6.2.2.11.7 Records of any interventions to improve driver competence.
- 6.2.2.11.8 Report on safe speed exceptions or non-compliances.
- 6.2.2.11.9 Corrective measures taken to prevent or mitigate against future non-compliances.
- 6.2.2.11.10 Communication of safe driving speeds to drivers and relevant personnel.



## **6.2.2.12 General Guidelines**

- 6.2.2.12.1 The authorities, responsibilities and duties of all positions involved in the management, operation, administration, participation and verification of the all management systems must be clearly defined and documented.
- 6.2.2.12.2 To satisfy this standard an operator must demonstrate the following: identify the tasks in the respective management systems, identify responsible people for carrying out each task, clearly defined communication lines and the people assigned to the tasks must be appropriate for those tasks.
- 6.2.2.12.3 An internal review of the Management System is a regular look at the system against the Scheme standards to see that it complies. An effective review will pick up problem areas in the basic requirements, show failures to comply with procedures and identify non-compliances which should be corrected as soon as possible.
- 6.2.2.12.4 To satisfy this standard an operator must demonstrate the following: Procedures for carrying out internal reviews that cover: when the reviews are to take place, who is to conduct the, procedures, how the reviews are to be conducted and checklists to be used for the review, how the reviews are communicated.
- 6.2.2.12.5 As far as possible, the operator must ensure that the person or people carrying out internal reviews are independent of the procedures being reviewed.
- 6.2.2.12.6 Apart from annual internal review, the operator must have written procedures for ensuring all non-compliances brought to light at any time during the year are corrected. This means identifying the people who are to be responsible for taking action so instances of non-compliance are not repeated.
- 6.2.2.12.7 The procedures for handling non-compliances should include: how non-compliances can be detected, who else should be told about them, corrective action to be taken, timeframes for reporting identified non-compliances overall history of non-compliance and how the responsible person is to document the process so the non-compliance does not recur.
- 6.2.2.12.8 Retain a register of non-conformances and the action taken to correct them.
- 6.2.2.12.9 Where changes to procedures are required in order to correct non-compliances, appropriate staff must be named to update the procedures.
- 6.2.2.12.10 The operator must retain copies of superseded procedures along with all other documentation relevant to the review for later audit.
- 6.2.2.12.11 The persons who hold a position of responsibility under each Management System are trained in and familiar with the specific policy, procedure and instructions they are to carry out.
- 6.2.2.12.12 To satisfy this standard an operator must demonstrate the following: Evidence of relevant training provided to employees, which include fleet managers, route planning staff, workshop staff and the drivers.

#### **6.2.2.13 Documentation and records management**

- 6.2.2.13.1 Documented evidence must be maintained to demonstrate the effective operation of the operator. All documents must be kept for a minimum of three years for audit purposes. The operator will must keep, as a minimum, the following documented evidence:
- 6.2.2.13.2 The tasks in the respective management systems and responsible people for carrying out each task
- 6.2.2.13.3 Clearly defined communication lines for each Management System.
- 6.2.2.13.4 Procedures for carrying out internal reviews.
- 6.2.2.13.5 Procedures for handling all non-compliances.
- 6.2.2.13.6 Register of non-conformances and the action taken to correct them.
- 6.2.2.13.7 Copies of superseded procedures along with all other documentation relevant to the review for later audit
- 6.2.2.13.8 Records of training provided relevant employees on each Management System.

#### **6.2.2.14 Environmental management**

- 6.2.2.14.1 Transport operators shall be required to implement an environmental management system in respect to the organisation, vehicles and operations.
- 6.2.2.14.2 Transport operators shall ensure compliance to the environmental management system.
- 6.2.2.14.3 Transport shall detect and take corrective actions to ensure compliance.

## **6.3 Preparation for Operator Registration**

### **6.3.1 Requirements and outcomes**

- 6.3.1.1** Transport operators shall ensure all requirements for OCAS are met before application for registration.
- 6.3.1.2** Transport operator shall implement and have evidence for compliance to OCAS requirements with respect to management systems, depots, vehicles and RCPs.
- 6.3.1.3** Transport operator shall apply for registration as an operator and allow C-BRTA to conduct assessment with respect to management systems, depots vehicles and RCPs.
- 6.3.1.4** Transport operator shall provide list all vehicles in the company or in his/her possession to be registered in the Scheme, together with the physical address of the depot/s, operations centre/s or location/s where the vehicle(s) and trailers will be maintained and parked.
- 6.3.1.5** List all drivers with valid driving licenses including Professional Driving Permit (PrDP) in compliance with the vehicle categories.
- 6.3.1.6** Employ the Responsible Competent Person certified by the relevant authority in order to ensure that the duties are carried out correctly.
- 6.3.1.7** Put in place transport management systems in order to fulfil requirements for implementation of OCAS standards and MCBRTA.
- 6.3.1.8** Transport operator seeking registration should complete the Application Form and submit the completed form to the relevant authority.
- 6.3.1.9** Transport operator has to submit separate applications for each legal entity if the operator is a group of companies.
- 6.3.1.10** Each legal entity of the transport operator will receive their own authorisation/registration number.
- 6.3.1.11** If transport operator operates in other SADC member states as well as in the Republic of South Africa, his/her application must cover all business activities existing in every country.
- 6.3.1.12** Transport operator needs to have evidence of processes and procedures to support his/her application and meet the requirements for implementation of OCAS standards and MCBRTA. These processes and procedures must always be kept for the competent authority's audit visit.
- 6.3.1.13** Business owner shall submit application. If the application is made by someone else, it must be endorsed by a responsible person of the business.
- 6.3.1.14** Acceptance checks shall then be carried out by the relevant authority, and any audits shall be completed by competent authority;

- 6.3.1.15** Upon receipt of the OCAS registration form, the C-BRTA shall send an acknowledgement provide an acknowledgement, via email, to the transport operator. After the C-BRTA has reviewed the application, the Agency shall send a notice of acceptance to the applicant if it is complete and satisfactory.
- 6.3.1.16** The relevant authority shall then arrange to visit the business premises to audit documentation.
- 6.3.1.17** Transport operator must make sure that all the documentations are available for the visit, along with the necessary documented processes and procedures.
- 6.3.1.18** An entity may register as a Joint-Venture on behalf of one or more of its members or related entities, for one or more cross-border transport modes for which such members or related entities would otherwise be required to register. Therefore, the Joint-Venture would accept, on behalf of such members or related entities, all compliance responsibility for those cross-border transport modes including all reporting requirements.
- 6.3.1.19** Any entity seeking to register as a Joint-Venture must submit a written agreement with its members or related entities, identifying the cross-border transport modes for which the entity is registering and taking responsibility. Neither competent authorities shall be parties to any such agreement, nor shall competent authorities have responsibility for reviewing or approving any such agreement, other than to verify that the agreement provides for an assignment of responsibilities consistent with the Joint-Venture registration.
- 6.3.1.20** The C-BRTA may request clarification of any list submitted that identifies the members or related entities of the Joint-Venture and may request such additional information as the C-BRTA deems appropriate. The Joint-Venture is responsible for providing all of the information on behalf of the members or related entities, including submitting information needed for compliance purposes.
- 6.3.1.21** An application shall not be accepted if either:
- 6.3.1.21.1 Transport operator or his/her legal representative has been convicted of serious criminal offences; or
  - 6.3.1.21.2 Transport operator is subject to insolvency proceedings.
  - 6.3.1.21.3 An application shall also be rejected if transport operator does not meet all the requirements for implementation of OCAS standards and MCBRTA.
  - 6.3.1.21.4 If transport operator cannot meet the requirements for implementation of OCAS standards and MCBRTA, transport operator shall be given time to get things right.
  - 6.3.1.21.5 Transport operator can withdraw his/her application at any time if his/her needs more time to meet the requirements for implementation of OCAS standards and MCBRTA.

6.3.1.21.6 If an application is rejected, or transport operator withdraws it by him/herself, transport operator can re-apply when he/she meets the requirements for implementation of OCAS standards and MCBRTA.

6.3.1.21.7 Transport operator can request a review or appeal if his/her application is rejected. Details shall be included in the letter transport operator gets from the C-BRTA advising him/her that her/his application has been rejected.

6.3.1.21.8 The C-BRTA shall contact transport operator if his/her application is incomplete, or return it to the transport operator.

## **6.3.2 Responsible authority/ person**

**6.3.2.1** Transport operator is the applicant and the owner of the business.

**6.3.2.2** The transport operator's application may be submitted by the CRPs.

## **6.4 Application for Vehicle registration for conducting operations**

**6.4.1** Transport operators or applicant implementing OCAS shall apply for registration of vehicle's to be used for conducting road transport operations.

**6.4.2** The applicant shall include the list of vehicles, physical address of the depot or operations centre and the location at which vehicles will be maintained and parked

**6.4.3** Applicants intending to start a transport business, if granted registration as a transport operator, must provide details of intended vehicle acquisitions. When vehicles are purchased the details must be submitted for inclusion on the Operator Registration System.

**6.4.4** For vehicles not owned by the applicant, a lease agreement from the registered owner is required, authorizing its usage by the applicant.

**6.4.5** All vehicles registered in respect of a particular depot shall be deemed to be controlled by the nominated Responsible Competent Person employed by the applicant for that particular depot.

**6.4.6** All vehicles registered for use in cross-border transport shall display the Operator Identification.

## **6.5 Application for Registration of Responsible Competent Persons or authorities**

- 6.5.1** Transport operators implementing OCAS shall appoint CRPs to manage daily operations and be accountable for all operational matters for depots they manage.
- 6.5.2** A person wishing to perform the duties of a responsible competent person must apply to the Competent Authority for registration as a Responsible Competent Person.
- 6.5.3** The application for registration as a Responsible Competent Person shall be made in the manner required by the C-BRTA and accompanied by the required fees.
- 6.5.4** Registration shall be dependent on submission of the required information (required by C-BRTA) to be recorded on the Operator Registration System and evaluation of the application.
- 6.5.5** On confirmation that the applicant complies with the requirements, the C-BRTA shall register the Responsible Competent Person and issue a registration certificate in the required format.
- 6.5.6** The Organisations shall endeavour to appoint trained RCPs with requisite competency levels to run cross-border road transport operations.
- 6.5.7** The RCPs shall be certified by the regulatory authority as a means of certifying their competence and knowledge.
- 6.5.8** The RCPs shall be responsible and accountable for administration of operations for depots they are registered for including ensuring that the vehicles, fleet, drivers and operator adheres to quality requirements, standards and all procedures
- 6.5.9** RCPs shall ensure operations are conducted in line with OCAS requirements and, administrative processes and procedures
- 6.5.10** RCPs shall keep records and make them records as and when required by the C-BRTA, RTMC and local law enforcement, in the required format.

## **6.6 Application for Registration of Drivers**

- 6.6.1** The operator shall endeavour to appoint drivers with a valid driving licence in compliance with the vehicle categories as required.
- 6.6.2** The drivers shall be required to have a Professional Driving Permit (PrDP) in compliance with the vehicle categories as determined.
- 6.6.3** Drivers of goods vehicles with a GVM of more than 3,500kg, passenger vehicles with a seating capacity of more than 8 passengers in addition to the driver and vehicles conveying dangerous goods, abnormal loads in cross-border transport operations may not operate such vehicles without a valid PrDP.
- 6.6.4** The application for registration as a Transport Operator shall include a list of all PrDP holders employed by depot or operations centre to enable validation of the status of each PrDP holder by the C-BRTA on the driver register.

**6.6.5** The transport operator shall notify the C-BRTA of all changes to the list of PrDP holders in their employ within 30 days of such change.

## **6.7 Operator Disc**

**6.7.1** Registered transport operators wishing to perform cross-border transport operations shall apply for operator discs to be issued by the C-BRTA in respect of all nominated vehicles upon payment of the required fees.

**6.7.2** Operator discs shall be applied for each vehicle subject to satisfying all requirements as required.

**6.7.3** Operator discs shall be renewed annually subject to review of the status of the Registered Transport Operator.

**6.7.4** Operator discs shall display details as required by the C-BRTA.

**6.7.5** Operator discs may be applied for before expiry of current disc to facilitate distribution and fitment.

**6.7.6** The application of the operator disc shall be done using the Disc application form provided by the C-BRTA.

**6.8** Compliance with national road traffic legislations, regulations and standards.

**6.8.1** The transport operator shall comply with national legislations and regulations in force in each country.

**6.8.2** The transport operator shall ensure its vehicles are in a condition that complies with national regulations and are used in a manner that complies with regulations

**6.8.3** The operator shall ensure its drivers conduct themselves and perform their duties in line with national regulations.

**6.8.4** The operator shall endeavour to conduct operations in a manner consistent to the requirements of OCAS and any other identified standards.

## **6.9 Preparation for Operator Certification**

### **6.9.1 Requirements and outcomes**

- 6.9.1.1** Before application for certification, transport operator shall ensure that the organisation, vehicles, drivers, depots and RCPs are have been registered on the C-C-BRTA's road transport system.
- 6.9.1.2** Transport operator shall ensure that all vehicles, drivers, depots and RCPs have been assessed and dully complies with requirements for certification before application for certification.
- 6.9.1.3** Transport operator shall conduct first part audits and have evidence of audit outcomes.
- 6.9.1.4** Transport operator shall prepare and provide evidence for compliance on all OCAS requirements and submit to C-BRTA for assessment.
- 6.9.1.5** Transport operator shall ensure that all certified vehicles, drivers, depots and RCPs are recorded in a register.
- 6.9.1.6** Transport operator shall undertake to ensure that operational conduct of the vehicles, drivers, depots and RCPs meets the requirements for OCAS and the MCBRTA.

### **6.9.2 Management systems**

- 6.9.2.1** Transport operator shall implement management systems to ensure operations comply with OCAS standards and MCBRTA requirements.
- 6.9.2.2** Transport operator shall ensure there is documented evidence of performance against each OCAS requirement in respect of vehicles, drivers, depots and RCPs.

## **6.10 Preparation for Operator Licensing**

### **6.10.1 Requirements and outcomes**

- 6.10.1.1** Transport operator shall receive a cross-border license disc for all registered vehicles, drivers, depots and RCPs from the C-BRTA.
- 6.10.1.2** Transport operator shall keep records of all registered vehicles, drivers, depots and RCPs.
- 6.10.1.3** Licensing of vehicles, drivers, depots and RCPs shall be reviewed as per OCAS requirements.

## **6.10.2 Management systems**

**6.10.2.1** Transport operator shall implement management systems to ensure operations comply with OCAS standards and MCBRTA requirements.

**6.10.2.2** Transport operator shall ensure there is documented evidence of performance against each OCAS requirement in respect of vehicles, drivers, depots and RCPs.

## **6.11 Preparation for Operator Auditing**

### **6.11.1 Requirements and outcomes**

**6.11.1.1** Transport operator shall conduct internal or first party audits for determination of fulfilment of requirements for registration, certification and licensing, and effectiveness of management systems.

**6.11.2** Transport operator may engage any certified and accredited auditor for OCAS, ISO39001 and MCBRTA requirements.

**6.11.3** After first party audits, operator may take corrective actions to correct nonconformities.

**6.11.4** Transport operator shall submit application and evidence for compliance to OCAS requirements to C-BRTA.

### **6.11.5 Management systems**

**6.11.5.1** Transport operator shall implement management systems to ensure operations comply with OCAS standards and MCBRTA requirements.

**6.11.5.2** Transport operator shall ensure there is documented evidence of performance against each OCAS requirement in respect of vehicles, drivers, depots and RCPs.

## **6.12 ICT Systems**

### **6.12.1 Requirements and outcomes**

**6.12.1.1** Transport operator shall implement an information Communication system to enable exchange of information with C-BRTA in format required.

**6.12.1.2** Transport operator shall ensure access to relevant information required by C-BRTA, RTMC and local law enforcement for purposes of executing their functions.

**6.12.1.3** Transport operator shall install relevant telematics to enable C-BRTA to monitor compliance with OCAS requirements.

**6.12.1.4** Transport operator to submit relevant information as may be required by C-BRTA, RTMC and local law enforcement authorities.

**6.12.1.5** Transgressions committed by operator or any nonconformity shall be submitted to the C-BRTA within required timeline in required format.