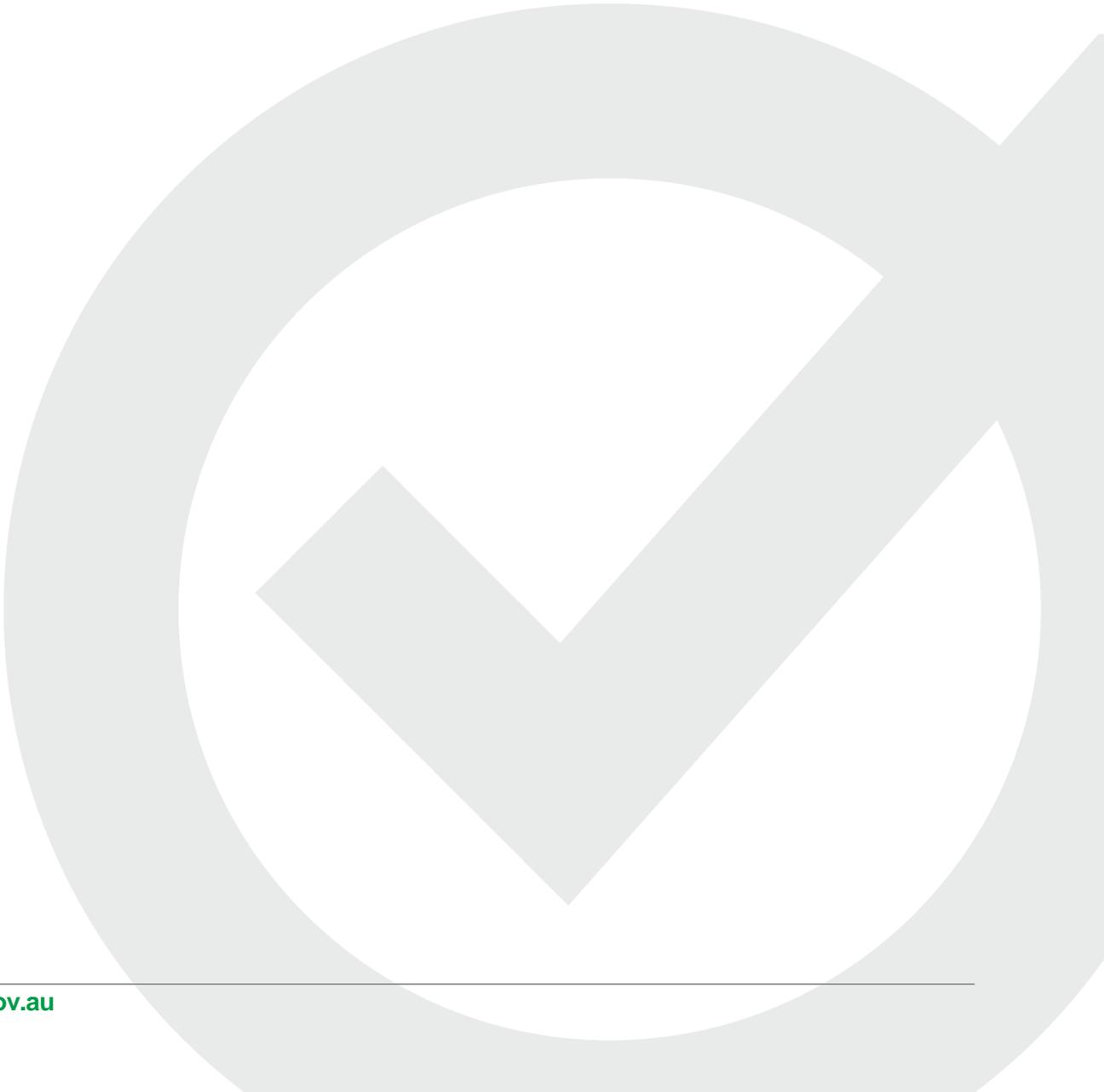


# Intelligent Access Program (IAP)

## Certification Process Guideline

June 2013



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## 1 INTRODUCTION TO TCA

Transport Certification Australia Limited (TCA) was established by Australian Governments in 2005 in response to governments growing use of telematics and other intelligent technologies to address public policy needs.

TCA is a public company established under the Corporations Act (Cth). TCA’s Constitution provides for nine Members, which comprise the Australian Government and State and Territory Road Agencies.

The business structure of a company limited by guarantee was chosen because it provided the ability to facilitate cross jurisdictional membership and the necessary rigour in the governance arrangements to certify and audit, and as necessary cancel the certification of service providers who operate on a national level.

TCA is governed by a Board of Directors, which consists of senior representatives from, and appointed by the head, of each Member Agency.

## 2 TCA PROVIDES ASSURANCE

TCA provides assurance in the use of information, communications and sensor solutions through identifying, delivering and deploying quality systems. We promote and inform governments and other stakeholders on the use of regulatory and quality assured telematics to deliver public purpose outcomes.

TCA administers a certification and auditing program of in-vehicle and information systems to provide governments with the ability to manage risks through the use of technology confidently.



The Intelligent Access Program (IAP) was the first regulatory telematics application administered by TCA on behalf of Australian Governments.

The IAP is made available to transport operators through IAP Service Providers certified by TCA.

### 3 THE INTELLIGENT ACCESS PROGRAM

The IAP uses the Global Navigation Satellite System (GNSS) to monitor heavy vehicles' road use, giving transport operators flexible access to the Australian road network to suit their specific business and operational needs.

In return, the IAP provides road agencies with confidence that heavy vehicles are complying with the agreed road access conditions.

A milestone for Australia's transport industry, the IAP is an innovative solution to Australia's growing freight task. It enables an increase in the productivity of road freight transport while improving road safety, asset management and environmental outcomes.

Under the IAP, participating heavy vehicles are monitored using telematics services with an in-vehicle unit (IVU). The IVU is supplied and operated by an IAP Service Provider – a company that may already provide telematics services to transport operators.

The IAP is capable of monitoring three parameters - route, time and speed.

This means that the IAP Service Provider is capable of determining whether the vehicle has:

- been somewhere other than the permitted route/location
- travelled at a prohibited time
- exceeded a speed condition.

Although a vehicle operating in the IAP is monitored continually, road authorities are only interested in data that demonstrates the vehicle's non-compliance with its conditions of access.

### 4 BECOMING AN IAP SERVICE PROVIDER

The IAP offers companies new business ventures as they can add the IAP to their list of telematics and GNSS service offerings to transport operators. Once certified, IAP Service Providers can display the TCA Certified for IAP trademark (see below):



#### 4.1 Certification

Certification is the process by which TCA determines whether a company seeking to be TCA Certified for the IAP meets the probity, financial, functional and technical standards of the program. There are five stages in the certification process.

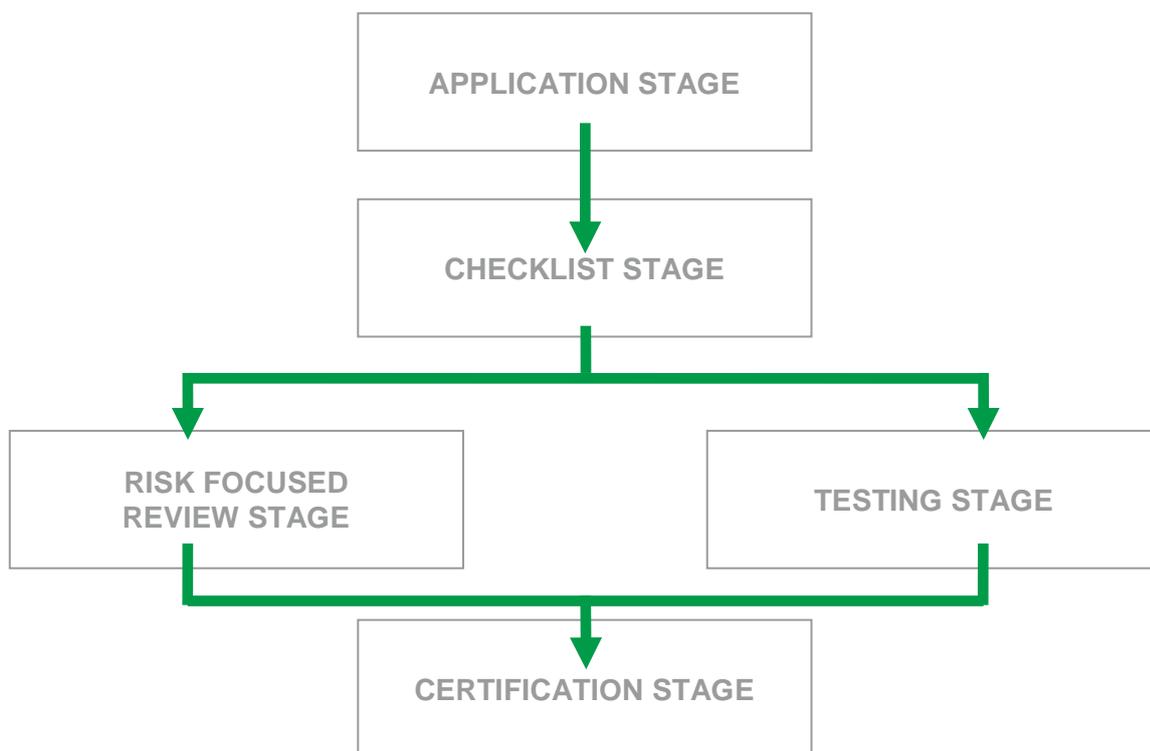
## 4.2 Review and Audit

IAP Service Providers undergo periodical and continuous reviews and audits by TCA.

To ensure that the IAP is consistently implemented and adapted by IAP Service Providers, TCA audits IAP Service Providers' adherence to the requirements of the TCA/IAP Service Provider Certification Agreement.

TCA may, conduct such audits using its own employees and consultants to assist it or engage from time to time external parties to act on TCA's behalf to conduct all or part of the audit of IAP Service Providers.

## 4.3 The IAP Certification Process



There are no fixed time frames associated with the certification process. As the Applicant successfully completes one stage, they will progress to the next until the process is complete and certification is achieved. TCA will determine whether the Applicant has successfully completed one stage and may proceed to the next. This guideline explains each stage.

Applicants that are dissatisfied with a TCA decision relating to any stage may issue a complaint to the Certification and Audit Committee for consideration.

In circumstances where the Applicant remains dissatisfied with a response from the Certification and Audit Committee, Applicants may elect to raise their concerns to the TCA Board, through the Chief Executive Officer.

### 4.3.1 Application Stage

The **Application Stage** involves a review of the Applicant from the probity and financial perspectives. The Applicant completes and submits the Application Form to TCA. TCA assesses

the completed Application Form to determine whether the Applicant meets the probity and financial requirements.

To apply, an interested company requires the following documents, which are available through [www.tca.gov.au](http://www.tca.gov.au)

- Intelligent Access Program – Application for Certification as an IAP Service Provider (the Application Form)
- Intelligent Access Program – Overview Guideline
- Chapter 7 of the Heavy Vehicle National Law
- TCA/IAP Service Provider Certification Agreement
- IAP Service Provider/Transport Operator Agreement
- IAP Functional and Technical Specification (note that a confidentiality agreement must be signed before access to this document is given)
- TCA Corporate Capability Document.

#### 4.3.2 Checklist Stage

The **Checklist Stage** deals with the Applicant's capacity to meet the required functional and technical standards. The Certification Checklist is provided by TCA at commencement of this stage.

The Applicant submits their completed Certification Checklist to TCA, along with two samples of each of their proposed vehicle-based devices (the In-Vehicle Unit and Trailer Identification Device) and one Self-Declaration Input Device.

TCA evaluates the completed Certification Checklist and determines whether the Applicant should progress to the next stage.

On commencement of the Checklist Stage, TCA will also provide the Applicant with the following suite of supportive documents and systems:

- sample of the Intelligent Access Map (IAM)
- Intelligent Access Condition (IAC)/Non-Compliance Report (NCR) Test Guideline
- IAP Business-to-Business Interface Reference System (IBIRS).

*Note: A further confidentiality agreement must be signed before access to these documents is given.*

#### 4.3.3 Risk Focused Review and Testing Stages

The **Risk Focused Review and the Testing Stages** comprise a more detailed risk-based evaluation of the Applicant's completed Certification Checklist, and the testing of the Applicant's back office systems and vehicle-based devices.

The risk based evaluation and associated testing is undertaken by TCA for the purpose of verifying the completed Certification Checklist as submitted by the Applicant. The Risk Focused Review and the Testing Stages may be undertaken concurrently, at TCA's discretion.

The Risk Focused Review and the Testing Stages will require the Applicant to provide access to their system and processes, and fully cooperate with TCA and the IAP auditors.

#### 4.3.4 Certification Stage

During the **Certification Stage**, TCA's Board of Directors considers the Application and determines whether or not the Applicant will be certified. Where an Applicant is to be certified, the

final step is the signing of the TCA/IAP Service Provider Certification Agreement by TCA and the Applicant.

#### **4.3.5 Ongoing Review and Audit of the IAP Service Provider**

Ongoing review and audit is required to ensure that an IAP Service Provider continues to meet the requirements of the TCA/IAP-SP Certification Agreement and the IAP Functional and Technical Specification.

Standard ongoing review and audit activity is funded by the monthly Operational Fee that the IAP Service Provider pays to TCA.

The ongoing review and audit activity will include, but not be limited to:

- static and laboratory testing of vehicle based device(s)
- dynamic testing of vehicle based device(s) and associated IAP Service Provider system(s)
- field based reviews and audits
- IAP Service Provider system(s) review and audits
- due diligence and probity audits.

## **5 RE-CERTIFICATION OF THE IAP SERVICE PROVIDER**

An IAP Service Provider will need to be re-certified where:

- the IAP Service Provider proposes to implement new (or make changes to existing) hardware, software, system, processes and vehicle-based device(s) which are likely to impact the provision of the IAP service
- TCA proposes changes to, or the inclusion of new IAP parameters in the IAP service
- TCA/IAP-SP Certification Agreement is nearing its normal expiry date, and renewal is available.

The IAP Service Provider must notify TCA in writing of any proposed change to activities and/or equipment after certification. Changes cannot be introduced without first having been approved by TCA. Re-certification will require assessment, possibly including audit and testing by TCA.

Where audit and testing is required, TCA will determine the amount of any cost payable by the IAP Service Provider.

## **6 STATUTORY NATURE OF THE IAP**

Chapter 7 of the Heavy Vehicle National Law makes provision for the use of the system of vehicle telematics known as the Intelligent Access Program, as part of a system of nationally consistent road transport laws.

Given the statutory nature of the IAP it follows that TCA is obligated to monitor for compliance by the IAP Service Provider with the Intelligent Access Program – Certification Process Guideline and to respond appropriately to any non-compliance.

Applicants seeking certification therefore need to recognise the statutory nature of the IAP, which should not be taken lightly.

## 7 FEES

Applicants and IAP Service Providers will pay for certification and ongoing review and audit. IAP Service Providers will also pay for any re-certification and non-compliant activity audits which become necessary.

These costs can be found on the TCA website.

For more information on the Intelligent Access Program contact:

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