Western Australian Heavy Vehicle Accreditation

WAHVA Auditor FAQ's

Q1: Are Auditors required to use and submit the WAHVA Audit Matrix?

A: No. It is provided as a tool to assist auditors in completing the Western Australian Heavy Vehicle Audit Report and if used should be retained by the auditor.

Q2: What percentage of records do I need to review during an Entry, Re-Entry or Compliance audit?

A: This will depend on the operator's fleet size:
- Operators with a fleet of up to five towing units that require a permit to operate or which can operate under an order - Records for all vehicles up to 5 towing units, 5 dollies, 5 trailers and 5 drivers operating under WAHVA must be examined.
- Operators with a fleet of greater than five towing units that require a Main Roads permit to operate or which can operate under an order - Records for a minimum of 5 towing units, 5 dollies, 5 trailers and 5 drivers, or a minimum of 10% of all towing units, all dollies, all trailers and all drivers operating under WAHVA must be examined, whichever is the greater.

Q3: If a "Single Operator" has filled in the Operator Guide, will this suffice as their Management Systems?

A: No. The Operator Guide is *not* a management system but is a tool to assist operators in preparing their management system. They will still need written instructions etc, that meet the requirements of the modules.

Q4: The Module Standards refer to written instructions/documents/policies/procedures. Are written instructions/documents/policies/procedures required to be in hardcopy format?

A: No. These can be in either written or electronic format.

Q5: How long and in-depth are written instructions/documents/policies/procedures required to be?

A: An operator's written instructions/documents/policies/procedures will vary depending on the size of the operator and the nature of their business. The requirement is that they address the module standards/criteria and are specific to the operator's business.

Q6: Are depots required to be included in the audit?

A: Yes. All depots nationwide are to be included in the audit and address details for these depots need to be recorded in the audit report.

We're working for Western Australia.

Q7: There is only one (1) Corrective Action Request sheet in the audit report. How do I record if an operator has more than one (1) Non-Conformance, resulting in multiple Corrective Action Requests?

A: There are ten (10) lines on the Corrective Action Request sheet, which will accommodate a total of ten (10) Non-Conformances, resulting in ten (10) Corrective Action Requests. If there are more than ten (10) simply insert additional lines as required.

Q8: Why has the WAHVA Vehicle Roadworthiness Inspection / Certification Register been removed?

A: It is no longer required and has been absorbed into the Vehicle Register.

Q9: Is a Vehicle Register from the WAHVA Audit Report displaying the dates of current certificate(s) of roadworthiness or Accreditation Roadworthy Vehicle Checklists (no older than twelve months from the date of the audit) to demonstrate roadworthiness for each vehicle (includes trailing equipment), now required to be submitted with all Entry, Systems Entry, Re-Entry and Compliance audits?

A: Yes.

Q10: Are operators still required to have physical evidence of the Roadworthy Inspection / Checklist for all vehicles operating under their Accreditation?

A: Yes. They are still required to have evidence of the Roadworthy Inspection / Checklist for all vehicles operating under their Accreditation, as they are all subject to audit.

Q11: Are operators still required to submit physical evidence of the Roadworthy Inspection / Checklist for all vehicles operating under their Accreditation?

A: No. The Roadworthy Inspection / Checklist date must be within 12 months of the audit date and will need to be entered into the Vehicle Register. The Vehicle Register is submitted as part of the audit report.

Q12: How many Vehicles need to be recorded on the Vehicle Register?

A: All vehicles (including powered and trailing equipment) that is operating or has operated under the Accreditation during the last audit period must be recorded on the Vehicle Register, irrespective of the length of time.

Q13: Does the Vehicle Register need to be submitted with every audit report, even if there are no changes from the last audit?

A: Yes. Whilst the vehicle details may not have changed, it is highly probable the "Last Roadworthy Dates" will have.

Q14: Can I send the Vehicle Register to operators to fill in prior to an audit?

A: Yes. The Vehicle Register has been placed in the Operator Guide for operators to use.

Q15: A number of operators have developed their own Vehicle Registers which cater for more than just WAHVA. Are they able to continue to use these?

A: Yes, providing they meet all requirements of the WAHVA Vehicle Register. You can then insert this into the audit report prior to submission.

Q16: Do I need to complete and submit both the Vehicle Register and the Vehicle Registration Numbers of Records Examined with the audit report?

A: Yes. They both have different criteria and are linked by the Vehicle Registration Number. The Vehicle Register is a complete list of all vehicles and the Vehicle Registration Numbers of Records Examined will be as per the audit sampling requirements.

Q17: Can I send the Employee / Driver Names Register to operators to fill in prior to an audit?

A: Yes. The Employee / Driver Names Register has been placed in the Operator Guide for operators to use.

Q18: A number of operators have developed their own Employee / Driver Names Register which cater for more than just WAHVA. Are they able to continue to use these?

A: Yes, providing they meet all requirements of the WAHVA Employee / Driver Name Register.

Q19: How many Employees / Drivers need to be recorded on the Employee / Driver Names Register?

A: All commercial vehicle drivers and anyone associated with the management, supervision of drivers, including anyone associated with rostering, scheduling and the checking of trip records, who has operated under the Accreditation during the last audit period must be recorded on the Employee / Driver Register, irrespective of the length of time.

Q20: Do I need to complete and submit both the Employee / Driver Names Register and the Employee / Driver Names of Records Examined with the audit report?

A: Yes. They both have different criteria and are linked by the Employee / Driver Name. The Employee / Driver Names Register is a complete list of all Employees / Drivers and the Employee / Driver Names of Records Examined will be as per the audit sampling requirements.

Q21: What records am I required to check on the Employee / Driver Names Register?

A: Auditors are required to check the following for each listed employee / driver who has operated under the Accreditation during the last audit period:

- Commercial Vehicle Driver Medicals are available and valid or were when the individual was driving for all drivers and the "Medical Certificate Date / Years Valid For" are recorded correctly on the register.
- Evidence of Fatigue Management Training that includes a section on the Western Australian commercial vehicle driver hours of work for all drivers and the date of assessment is recorded correctly on the register.
- Evidence of Fatigue Management Training that includes a section on the Western Australian commercial vehicle driver hours of work for all administrators and the date of assessment is recorded correctly on the register.
- "Other Training Completed for Maintenance, D&L, Mass, Fatigue, and in the Common Standards" – only for the drivers who form part of your Employee / Driver Names of Records Examined audit sampling. (Auditors are not expected or required to check, validate and record information from this register, for employees /drivers that do not form part of their audit sampling)

Q22: If there are multiple auditors involved in an audit, how and where are their names recorded?

A: All auditors names are to be entered in the Audit Attendance List on the first page and only the Lead Auditors name is entered in the Auditor Declaration.

Q23: The Training and Education standard within the modules and audit report advises written instructions to ensure the regular review of training needs are required. What is meant by the term "regular" and what training needs to be reviewed?

A: With regards to WAHVA, there is no set definition of regular as this will depend on the size of the operator, type of operations undertaken, changes in operations etc. It is up to the operator to define this in their written instructions for any training relative to WAHVA and adhere to it.

Q24: What is the WAHVA Auditor Competency Check and who monitors this?

A: Main Roads Heavy Vehicle Services will publish documentation on the Main Roads website advising what is required and the process for the WAHVA Auditor Competency Check. Main Roads Heavy Vehicle Services is the party responsible for administering this process.

Q25: What written evidence is acceptable to confirm the vehicle drivers are sleeping in conforms to the requirements of ADR42?

A: Ratings letters or vehicle model specifications from the manufacturer/supplier stating the sleeper berth meets at least the minimum requirements of ADR42.

Q26: Several members of my family are system providers and auditors with separate companies. If one designs and/or implements a system for a transport operator, are any of the rest of us able to conduct the audit on that transport operator?

A: System providers, who are auditors and consultants (this includes any auditor that has an association with the auditor or consultant's i.e., business partner, partner, spouse, relative, employee etc), are not permitted to conduct the initial audit of a system they have designed and/or implemented. Once another auditor, who has no association with the system provider, has conducted the initial audit then the system provider may be engaged to conduct further audits of the accredited operator; except if the system provider is providing ongoing consultancy services to the operator.

Q27: The "Auditor Name" has been removed from the first page. Where do I enter this now?

A: In the Audit Attendance List on the first page and in the Auditor Declaration.

Q28: Am I able to conduct WAHVA audits remotely?

A: The WAHVA Business Rules – General Audit Requirements – 6.6 state "All audits (other than for "single operators") must be conducted at the site nominated on entry to the scheme or at a remote depot from which the operator's main business is conducted. However, at the prior request of an operator, and at the discretion of Main Roads, the audit may be performed at another location (remote audit) although this will only be considered for approval in exceptional circumstances." The operator will need to make a request in writing to Main Roads via hvoaccreditation@mainroads.wa.gov.au outlining their exceptional circumstances. If approved, this will be advised to the operator in writing. As an auditor you will need to sight this written approval prior to conducting the audit. Any audits conducted remotely without prior written approval from Main Roads will not be accepted.

Q29: If an auditor sets up / implements a system for an operator and the system is audited by another auditor at the System Entry Audit stage, can the original auditor perform the Entry Audit after the first 3 months?

A: No. The System Entry Audit and the Entry Audit form 2 parts of the same audit, meaning the auditor that set the system up would not be able to conduct the System Entry or Entry Audit, but would then be able to conduct the Compliance 1 audit.

Q30: The WAHVA Business Rules state "If a new vehicle is registered in the previous twelve months, Main Roads may accept this as evidence of its roadworthiness". What is required of me as an auditor?

A: Operators who have had a *new* vehicle registered within 12 months of their audit date will need to supply evidence of this to the auditor. The date of registration is to be entered into the "Last Roadworthy Date" column of the Vehicle Register. Other entries made in this column with reference to new vehicles (New Vehicle, New, N/A, Nap etc) will not be accepted and the audit report will be returned for correction, unprocessed.

Q31: How far back are trip sheet and maintenance records deemed acceptable by Main Roads, for use in an Entry Audit?

A: Records need to be collected for a period not exceeding twelve months prior to the date of the audit, allowing the auditor to ascertain the operator's eligibility for entry into the scheme. These can be the operator's records working for themselves, or records from the operator working for another operator. If records meeting these requirements are not available, an operator may have a Systems Entry Audit conducted with a subsequent entry audit conducted within three months.

Q32: The Vehicle Register has 4 columns in the colour green. What are these columns for?

A: The 4 columns in the Vehicle Register that are in the colour green are required to be completed for all vehicles operating under the Mass Management Module only. The Manufacturers GCM Rating is required for all powered vehicles and the ATM is required for all trailers both of which are operating under the Mass Management Module, irrespective if any permits have been issued. Issued Accredited Mass Management Scheme (AMMS) and Performance Based Standards (PBS) permit numbers and expiry dates are required to be entered in the remaining two columns in green.

Q33: The Vehicle Register contains a column for Manufacturers GCM Rating. What is this?

A: The Manufacturers GCM Rating is the maximum loaded weight of the towing Vehicle and any trailer, or trailers being towed. This will demonstrate the powered vehicles are suitably rated and authorised to operate at the higher mass levels under the Mass Management Module.

Q34: The Vehicle Register contains a column for ATM Rating. What is this?

A: The ATM (Aggregate Trailer Mass) is the rating for a trailer, referring to the maximum trailer mass. Transport operators are obliged to ensure their trailers are suitably rated for the load being carried. To assist operators, ATM Calculators are available via the Permits and Orders section on the Heavy Vehicle Services website.