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Western Australian Heavy Vehicle Accreditation Auditor Certification Policy and Process

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Amendments

Revision Number	Revision Date	Description of Key Changes	Section / Page No.
1	10 th May 2022	Formatting throughout document	
2	23 rd May 2023	Review of entire document	
3	14 th June 2023	Amended refresher course wording	3.9, 3.10, 3.11
4	28 th June 2023	Amended competency check wording	3.9, 3.10, 3.11
5	31 st July 2023	Amended competency check requirement	3.10
6	June 2026	Review and update of entire document Added Breach Appeal Process information Added clarification information to Auditor Responsibilities	All

1. PURPOSE

Main Roads Western Australia administers the Western Australian Heavy Vehicle Accreditation Scheme (WAHVAS) through Heavy Vehicle Services (HVS). To maintain the integrity of the WAHVAS, external independent auditors conduct audits on the accredited operators' systems.

The purpose of this document is to ensure a transparent and clear process for certifying and overseeing external independent auditors is in place and followed.

The processes and requirements set out in this document may be reviewed and updated from time to time.

2. APPROVAL AUTHORITY

Manager Heavy Vehicle Transport Compliance (MHVTC) is the approving authority for all auditor certification under the WAHVAS.

3. AUDITOR CERTIFICATION PROCESS

3.1 The applicant must submit, to HVS via HVAmodules@mainroads.wa.gov.au, a 'Registration Form' together with evidence of the following qualifications:

(i) Mandatory Qualifications:

1. Management Systems Auditing Certification;
2. Quality Management Systems Certification;
3. Commercial Vehicle Driver Fatigue Management Training (available at safetyline.wa.gov.au); and
4. Administer the Implementation of Fatigue Management Strategies for Administrators (available at safetyline.wa.gov.au)

(ii) Optional Qualifications:

1. Leading Management Systems Auditing Teams Certification; and

(iii) Photographic identification

3.2 If the above qualification requirements are met, a website link will be sent to the applicant to set up a 'MRWA My Account'.

3.3 Once the applicant's 'MRWA My Account' is set up, the applicant will be provided a link to the online E-Learning training modules. These modules can only be accessed by registered users.

3.4 The applicant must then log onto E-Learning website and successfully complete all the following training modules:

- (i) Introduction to WAHVA;
- (ii) Business Rules Module;
- (iii) Maintenance Management Module Standards;
- (iv) Fatigue Management Module Standards;
- (v) Loading and Dimension Module Standards;

- (vi) Mass Management Module Standards; and
- (vii) Common Standards.

- 3.5 It is the Applicant's obligation to ensure that they prepare and are familiar with the accreditation process in undertaking the training modules.
- 3.6 Applicants have three attempts to pass each training module. If after the third attempt, the applicant cannot pass the training modules, the applicant cannot attempt to redo the module for 60 days. Please note that the applicant will only be required to successfully complete the modules that they have failed.
- 3.7 On the successful completion of the training modules, a certificate will be issued to the applicant.
- 3.8 The Auditor Certification is valid for four years, at which time the auditor will need to recertify through the same process as applying for the auditor certification.
- 3.9 Every two years, from the date of certification, the auditor is required to undertake a competency check online.
- 3.10 At least 60 days prior to the competency check being due, the Auditor will be notified that the competency check is available to be accessed.
- 3.11 If the auditor fails to complete the competency check by the due date, the Auditor's Certification will be suspended, and they will not be able to conduct any audits until such time the certification is reinstated.
- 3.12 Main Roads WA reserves the right to refuse to re-certify or cancel the auditor's certification should the Auditor not comply with the Code of Conduct or has been suspended twice.
- 3.13 There is no cost to the candidate for taking the course or for the certification.

4. AUDITOR RESPONSIBILITY

The Auditor is responsible for the information they provide in the Audit report.

By signing the Auditor Declaration in the Western Australian Heavy Vehicle Accreditation Audit Report, the Auditor is certifying that the information in the report is true and correct to the best of their knowledge and that the audit was conducted in accordance with the requirements set out in the Western Australian Heavy Vehicle Accreditation Business Rules, the Western Australian Heavy Vehicle Accreditation Process Guidelines for Audit Providers and any relevant Standards for the applicable modules.

Auditors must identify and report any change in an Operator's registered business name during audits. Such changes trigger a mandatory Systems Audit under WAHVA Business Rules. Auditors must document this in the audit report and advise the Operator of the requirement to complete the Systems Audit.

28 Day Notice of Intent to Suspend or Cancel: where an Operator fails to submit a required audit or address non-conformance, auditors must advise the Operator that Main Roads WA

will issue a suspension notice and that they have 28 days to submit a conforming audit before accreditation is cancelled. Failure to provide this advice may be considered a breach of auditor responsibilities.

5. AUDITOR BREACH PROCESS

Where any Issue is identified in an audit report, the Auditor Breach Process will be triggered and Main Roads WA will request, in writing, the Auditor to respond to the Issue(s) identified.

The Auditor must, within 10 days from the date of the request to respond, provide to Main Roads WA, in writing, a response addressing the Issue(s) identified.

If an Auditor fails to provide a response within 10 days Main Roads WA may suspend or cancel an Auditors certification.

Once Main Roads has received the Auditor's response to the request to respond, Main Roads WA will review the response and any supporting documentation and make a decision on what action to take, if any within 14 days.

Issues include, but are not limited to, the following:

- Audits that are not conducted to the requirements of the Guidelines for WAHVA Certified Audit Providers;
- Anything causing the relevant audit/s to be cancelled in part or in full and a new audit to be conducted, e.g. multiple errors
- An Auditor being certified based on incorrect or misleading information
- An action which is required to be taken but it was not taken
- The occurrence of a safety related incident, or the causation of such an incident that has been signed off by an Auditor; and
- Main Roads WA not satisfied that the Auditor is complying with all the conditions set out in the Auditor Code of Conduct.,
- Failure to advise an Operator of the 28-day suspension response period when non-conformance occurs.
- Failure to report a business name change as a compliance trigger requiring a Systems Audit.

Decision outcomes may include (but are not limited to):

- Providing the auditor with feedback and or advice
- Recommending the auditor undertake remedial training
- Providing the Auditor with a written warning; and
- Issuing a 28 Day Notice of Intent to Suspend or Cancel WAHVA Auditor Certification, effecting:

- The temporary suspension of the Auditor from conducting WAHVA audits for 3 months. Auditor remains listed but flagged as inactive. No audits conducted during this period will be accepted.
- The cancellation of an Auditor's Certification for 6 months and removal of their name from the register of auditors for that period.

6. APPEAL PROCESS

If the Auditor feels a decision has been made contrary to the intention or any requirements they are mandated to comply with, they may appeal the decision, in writing to Main Roads WA to the contact identified in the letter, within 28 days of the decision being made.

7.1.1 The appeal must include the following:

7.1.1.1 detailed reasons supporting the Auditor's opinion to cancel/amend the decision.

7.1.1.2 any documentation as supporting evidence; and

7.1.1.3 The Auditors preferred postal address or email address for any correspondence relating to the appeal.

7.2 Main Roads WA will review the reasons provided by the Auditor and will subsequently decide whether to uphold its decision.

7.3 Main Roads WA will notify the Auditor, in writing via email and post within 10 working days of the outcome of any appeal submitted.

7.4 During any period of suspension or cancellation, the Auditor is not permitted to audit any operators' systems and Main Roads WA will not accept any audits conducted by the Auditor during this period.

7.5 If an Auditor's certification is cancelled, a minimum period of 6 months must elapse before the Auditor can apply to be certified to conduct WAHVA audits.

7. NOTICE IN WRITING

Any notice required to be provided to an Auditor in writing will be delivered to the Auditor's most recent email address on record, as indicated in their latest correspondence.

8. CHANGE IN CONTACT DETAILS

If an Auditor's contact information changes, the onus is on the Auditor to inform Main Roads WA in writing of that change.

Where an Auditor fails to inform Main Roads WA of a change in contact details, Main Roads WA is not responsible for any notice or information, or action taken that results from that information or notice not being received by the Auditor.