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Western Australia.*

Western Australian Heavy Vehicle Accreditation Process

GUIDELINES FOR AUDIT PROVIDERS

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6	3 rd March 2023	Added Main Roads definition of a consultant to Common Terminology	Page 4
6	28 th March 2023	Added Main Roads definition of a qualified person (Re vehicle maintenance) and management systems to Common Terminology	Page 6
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8	June 2026	Record Keeping Audit Report Submission Auditor Breach Process Appeals Process	Page 11 Page 14 Page 14 Page 15
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COMMON TERMINOLOGY

<i>Anniversary Date</i>	The date the Operator entered WAHVA or the date a re-entry audit and payment were made. This is the date when future audits (compliance/re-entry) are due.
<i>Appeal</i>	The reconsideration of a decision of the accrediting agency, by an external body, normally the Courts, the State Administration Tribunal or the Ombudsman.
<i>Auditor (External)</i>	A person certified as a Heavy Vehicle Accreditation Auditor (HVAA) to undertake heavy vehicle accreditation audits. MRWA can certify Auditors to undertake audits of Operators who either currently hold or seek to hold MRWA accreditation.
<i>Auditor (External) – Definition</i>	An external Auditor performs an audit, in accordance with specific laws or rules of a company, government entity, other legal entity, or organisation, and <u>is independent of the entity</u> being audited.
<i>Auditor Breach Process</i>	Where an issue is identified in an audit report or through compliance monitoring, Main Roads will issue a written notice to the Auditor. The Auditor must respond in writing within 10 days of the notice, addressing all identified issues. Main Roads will review the response and make a decision within 14 days of receipt. Outcomes may include suspension and or cancellation. Auditors may appeal within 28 days of the decision.
<i>Australian Design Rules (ADR)</i>	National standards for vehicle safety, anti-theft and emissions.
<i>Authorised Person</i>	A person authorised by the Commissioner of Main Roads, Commissioner of Police or Accreditation Officers employed by Main Roads Western Australia.
<i>Breach</i>	A non-compliance with the standards within a module or the requirements relating to heavy vehicles specified in relevant road transport legislation.
<i>Cancellation of Accreditation</i>	When an Operator is prohibited from operating RAV's in WA. To become accredited, the Operator must have a full re-entry audit completed on their systems and pay the \$225 accreditation admin fee. A minimum period of six months must elapse from the date of cancellation before a re-entry audit will be accepted by Main Roads from the Operator or persons connected with the Operator.
<i>Certification</i>	Evidence a management system has been examined by an Auditor and is eligible for accreditation.
<i>Certificate of Roadworthiness</i>	Evidence of a physical inspection of the vehicle, which demonstrates compliance with all legal requirements for the intended use of the vehicle.
<i>Commercial Vehicle</i>	Any motor vehicle with a GVM over 4.5 tonnes, within the meanings of those terms in the <i>Road Traffic (Vehicle Standards) Regulations 2002</i> used or intended to be used for the carriage of goods for hire or reward.
<i>Commercial Vehicle Driver</i>	A person who drives a commercial vehicle in the course of work and whose work time: <ul style="list-style-type: none"> a) Is more than 60 hours per week; b) For more than once per week – is more than 10 hours in any 24-hour period; or c) For more than once per week – includes the period from midnight to 5 am.

<i>Consultant</i>	Defined by Main Roads Heavy Vehicle Services as an individual or company who provide expert advice and /or services re implementation, design and ongoing support professionally, whether compensated or not, on all matters relating to an Operators WAHVA.
<i>Decision Maker</i>	The Commissioner of Main Roads and includes persons to which delegated authority has been given.
<i>Dry Hire</i>	A contractual arrangement whereby a company or individual hires a vehicle but not a driver/Operator.
<i>Evidence of Identity (EOI)</i>	The documents provided as evidence of a person’s identity to satisfy the requirements for a vehicle registration or driver licencing transaction in Western Australia.
<i>External Review</i>	An external review as provided under the laws of this jurisdiction, i.e., a State Administration Tribunal or an Ombudsman’s inquiry. An external review request must be in writing and lodged within the relevant timeframes.
<i>Fatigue</i>	A term to describe the feeling of tiredness and exhaustion, both physically and mentally.
<i>Fatigue Management</i>	Managing the requirements for commercial vehicle drivers to carry out their driving duties while not being affected by fatigue, drugs or alcohol.
<i>Fatigue Management System</i>	The procedures developed and documented by the Operator to meet the standards of the Fatigue Management Module Standards.
<i>Gross Vehicle Mass (GVM)</i>	The maximum loaded mass of the vehicle: a) as specified by the vehicle’s manufacturer on an identification plate on the vehicle; or b) as specified by the Authority if; i. a mass is not specified by the vehicle’s manufacturer on an identification plate on the vehicle; or ii. mass specified on an identification plate is no longer appropriate because the vehicle has been modified.
<i>Gross Combination Mass (GCM)</i>	The greatest possible sum of the maximum loaded masses of the vehicle and of any vehicles that may be towed by it at the one time; a) as specified by the vehicle’s manufacturer; or b) as specified by the relevant authority if — i. the manufacturer has not specified the sum of the maximum loaded mass; or ii. the manufacturer cannot be identified; or iii. the vehicle has been modified to the extent that the manufacturer’s specification is no longer appropriate
<i>Independent Audit</i>	A systematic, independently planned and documented activity performed by an external Auditor. It is to verify for external purposes by investigation, and the examination and evaluation of objective evidence, that applicable elements of a system have been developed, documented and effectively implemented in accordance with the relevant standards applicable to a particular module.
<i>Internal Review</i>	A review of a decision made by Main Roads. A request for a review must be in writing and lodged with the decision maker within 28 days of the notification of the decision.
<i>Incident</i>	An event occurring while a vehicle is being operated on a road or area open to or used by the public and is inclusive of near misses. It may involve damage to any person or property.

<i>Loading Plan</i>	The documented loading procedures developed by an Operator based on their proven loading control methods and forms part of the Operator’s Mass Management System.
<i>Load Management System</i>	The procedures developed and documented by the Operator to meet the standards of the Dimension & Load Management Module Standards.
<i>Maintenance</i>	Ongoing service and repair of vehicles via schedules and routine inspections.
<i>Maintenance Management System</i>	The procedures developed and documented by the Operator to meet the standards of the Maintenance Management Module Standards.
<i>Management Systems</i>	This means the Maintenance Management System, Mass Management System, Load Management System, Fatigue Management System and the Common Standards.
<i>Mass Management System</i>	The procedures developed and documented by the Operator to meet the standards of the Mass Management Module.
<i>Operator</i>	Legal entity, being either an individual person or company registered on ASIC, that either controls or directs the operation of the vehicle and is compliant with Western Australian Heavy Vehicle Accreditation.
<i>Person</i>	In relation to a vehicle and accreditation a person is; a) an individual who is a responsible person for the vehicle; or a company given an Australian Company Number under the Corporations Act 2001 (Commonwealth) who is a responsible person for the vehicle.
<i>Policies (Fatigue Management / Education & Training)</i>	b) A set of guidelines outlining the intent of the Operator to adhere to the Western Australian Heavy Vehicle Accreditation module standards framework.
<i>Provisional Accreditation</i>	The ninety day provisional period after completing a Systems Accreditation Audit a new Operator can access the heavy vehicle Notice Network and apply for dimension and mass permits. Prior to the end of the ninety day period, the Operator must have an Auditor complete an audit on their records to ensure compliance has been achieved.
<i>Qualified Person (Re vehicle maintenance)</i>	This includes the following people: 1) Trade qualified in-house mechanics/repairers/workshop employees and any person/s who are working under their supervision; 2) any person/s who have had at least five years’ experience in the maintenance of heavy vehicles; and 3) external registered suppliers.
<i>Records</i>	Written or electronic preservation of information about work that has been undertaken, decisions made and implemented which demonstrate written instructions, legislative and policy requirements have been met.
<i>Regulatory Standards</i>	The requirements relating to the operation of heavy vehicles specified in legislation.
<i>Review</i>	A reconsideration of a decision of the accrediting agency by the designated internal review body.
<i>Roadworthiness</i>	All vehicles operating under WAHVA are to be free of mechanical defects to operate safely on the public road network.
<i>Rostering</i>	Assigning drivers/employees to a scheduled transport task, taking into consideration all Western Australian Occupational Safety and Health

	fatigue management requirements.
<i>RTVR</i>	This is Road Traffic (Vehicles) Regulations 2014 - Western Australian legislation.
<i>Scheduling</i>	The planning/preparation of an intended transport task which includes such considerations as departure time/site, delivery/collection times/sites and final destination time/site.
<i>Show Cause</i>	The process by which an accredited Operator may be issued a Show Cause letter, requiring the Operator to explain any non-compliance occurrences and what actions have been taken to prevent further occurrences of similar nature, as systems should have been in place under WAHVA to prevent such occurrences.
<i>Single Operator</i>	An Operator who operates up to and including two powered vehicles, which under normal circumstances would require Heavy Vehicle Accreditation (this is irrespective of the number of trailing equipment).
<i>Suppliers (maintenance)</i>	A person or business that provides a product and/or service to the Operator, to assist in the maintenance of their vehicle/s.
<i>Suspension of Accreditation</i>	When an Operator is prohibited from operating RAVs in Western Australia for the suspension period this renders any permits or orders that require Accreditation as a condition as invalid. A suspension may be issued for any period up to ninety days. A condition may be issued with the suspension that actions are required for the suspension to be lifted. There is no requirement for the Operator to submit a re-entry audit.
<i>System Accreditation Audit (Entry Audit)</i>	An independent audit, which examines the underlying management controls including documented procedures and records management systems. It is designed to ensure adequate procedures are in place to effectively and consistently achieve the outcomes required.
<i>System Compliance Audit (Compliance Audit)</i>	An independent audit, which assesses the effectiveness of the compliance management systems by examining and measuring the level of compliance actually achieved over a given period.
<i>Operator</i>	An individual or company that operates one or more commercial vehicles for hire or reward.
<i>Trip Sheet</i>	A written or electronic record of the details for each trip undertaken.
<i>Vehicle/s</i>	Includes all trailing equipment as well as the hauling unit.
<i>WA Heavy Vehicle Accreditation Scheme</i>	Is mandatory for anyone requiring a permit or order to perform any transport task within Western Australia, including interstate Operators, which requires Operators to comply with a minimum set of System Management Standards.
<i>Wet Hire</i>	A contractual arrangement whereby a company or individual hires both the vehicle and the driver/Operator.
<i>Written Documentation</i>	Documentation accepted in either a written or electronic format.
<i>Written Instructions</i>	Clearly defined set of tasks or processes that are to be followed and can be in either written or electronic format.

1 INTRODUCTION

Main Roads Western Australia (Main Roads) approves and manages Heavy Vehicle Accreditation in Western Australia (WA).

In WA, Operators of Class 1, Class 2 or Class 3 heavy vehicles must become accredited to operate under a permit or order on the WA road network.

WA Heavy Vehicle Accreditation (WAHVA) is mandatory for individuals and businesses (together referred to as Operators) that perform any transport task for hire or reward within WA, including interstate Operators who operate a RAV.

Accreditation requires Operators to pass five modules, 4 of which are mandatory, being, Fatigue Management, Maintenance Management, Dimension and Loading Standards, Common Module Standards. The Mass Management Standards Module is optional. Operators must incorporate at least the 4 mandatory modules during their daily work practices.

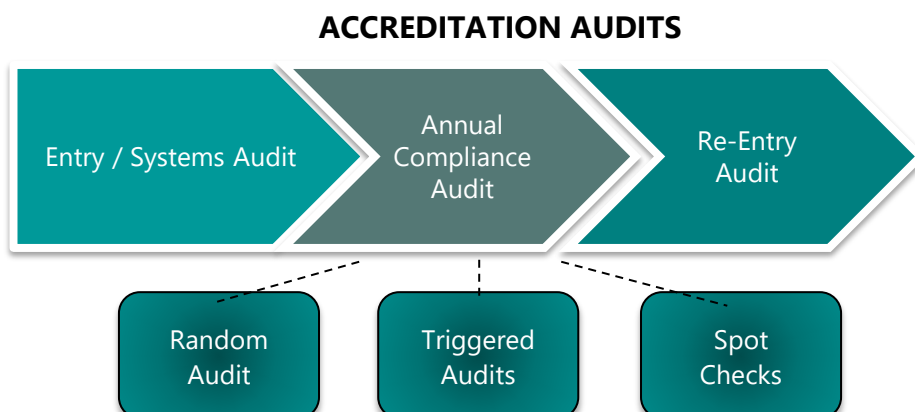
The Benefits of Accreditation are as follows:

- improved safety;
- improved community confidence;
- consistent standards;
- increased vehicle life and lower maintenance costs;
- improved skills and accountability of drivers and mechanics;
- reduced vehicle down time;
- improved productivity and efficiency;
- improved driver morale;
- reduced impact of enforcement;
- better relationship with enforcement agencies; and
- greater confidence in the condition of the company's vehicles.

Accreditation does not exempt Operators from complying with the requirements of any other relevant legislation.

2 THE PURPOSE OF THIS GUIDE

This guide outlines the process individuals should comply with if they wish to provide WAHVA audit services. It explains what is necessary to be recognised as an Auditor by Main Roads, and where to find other important information about the process.



3 THE ROLE OF THE AUDITOR

3.1 Entry Audits

An entry audit is the first official audit undertaken and determines the Operator's eligibility to be accredited. This is achieved by verifying the record keeping and procedures kept by the Operator comply with the Maintenance Management, Fatigue Management, Dimension and loading and Common Module standards (includes Mass Management if required). On successful completion of an entry audit, the Operator is issued an Accreditation Certificate, for a period of 36 months.

Alternatively, a Systems Accreditation Audit may be conducted which only looks at the systems in place. On passing the Systems Accreditation Audit the Operator will be granted a Provisional Accreditation. A further audit is then required within ninety days from the date the Operator was granted the Provisional Accreditation to the scheme. This is to allow an Operator flexibility in gathering the required records (at the cost of the Operator).

A Systems Accreditation Audit must review, at a minimum, the following documents and records:

- Vehicle Roadworthy Certificates/Inspection/Checklist (completed and signed);
- Fatigue Management plan;
- Commercial Vehicle Driver Medicals completed by a qualified medical practitioner;
- Signed and dated training and education records (including fatigue);
- Policies and written instructions that address the standards;
- Signed and dated Maintenance, Fatigue, Dimension and Loading, Common Standards and Mass (where applicable), Statements of Responsibilities; and
- Completed Management Systems.

3.2 Compliance Audits

Following a successful entry audit, compliance audits are conducted annually for two years to ensure the Operator continues to meet the requirements of accreditation.

Compliance audits consist of an audit of the Operators' processes and systems to ensure the modules have been effectively integrated into the Operator's business and are adhered to by the Operator.

3.3 Re-Entry Audits

Re-entry audits must be conducted within ninety days prior to the date that the Operator's Accreditation Certificate is due to expire. An Operator's Accreditation Certificate is valid for a maximum of 36 months from the date it is granted. Re- Entry Audits are to be treated in the same way as Entry Audits.

If the audit is not submitted to Main Roads by the due date, the Operator's accreditation will lapse, and no extension of time to submit the relevant documents will be given

NB: All the costs associated with the entry, compliance and re-entry audits are the Operator's responsibility.

3.4 Random Audit (2nd Party)

Random audits are undertaken by Main Roads as part of its requirement to randomly audit 5% of the current Operators each financial year. In order to meet this requirement Main Roads may also appoint Auditors that are certified by MRWA and who have no association to the accredited Operator, to conduct a Random audit on behalf of Main Roads.

NB Main Roads will bear the costs of these random audits.

In each of the above audit types, Auditors must assess and certify that the minimum requirements are being met by the Operator as set out in the following standards and documents:

- Common Standards;
- Maintenance Management Standards;
- Fatigue Management Standards;
- Dimension and Loading Management Standards;
- Mass Management Standards (if included as part of accreditation); and
- Audit matrices.

4 BECOMING A RECOGNISED AUDITOR

To be recognised by Main Roads as a certified Auditor it is necessary for the Auditor to be certified by Main Roads, Heavy Vehicle Services with the following certification:

Mandatory Certifications

- Management Systems Auditing (AU); and
- Quality Management Systems (QM)

Optional Certification (Required for any Auditor leading a team of Auditors on any WAHVA audit)

- Leading Management Systems Audit Teams (TL)

To obtain the above certification, auditors are required to undertake the training modules provided by Main Roads. The training modules are delivered online and auditors will be required to complete a registration process to gain access to the online training.

The WAHVA Auditor Certification is valid for a 4-year period, with a competency check required at the 2-year mark.

5 RECORD KEEPING

- All Auditors must retain copies of completed Audit Reports for a period of not less than twelve months from the date the audit was conducted.
- Auditors must be able to produce, upon request from Main Roads WA copies of all records cited/relied on during any audit to demonstrate that the evidence was reviewed and correctly assessed.

6 AUDIT SAMPLING

The audit process requires the review of a sample of records depending on the size and scope of the operation.

Auditors are required to use the following sampling guide when conducting audits:

- 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; or
- 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.

7 THE AUDIT PROCESS - 3RD PARTY AUDITS

As described above there are a number of audits that must be conducted. In each case the process will be the same.

The Auditor will be required to conduct an audit of the systems which examines the underlying management controls including written instructions and record management systems against relevant standards for each module.

The following process should be followed:

- (1) obtain a copy of the previous audit report (including internal audit reports) from the Operator (if appropriate);
- (2) conduct the audit examining the performance of the Operator's management systems against the standards for each module.
- (3) the Auditor must ensure the Operator is a legal entity and their details are correct and current as per the business rules.
- (4) produce an audit report using the current version of the WAHVA Audit Report format and utilise the audit matrix as a guideline (found on the Main Roads website);
- (5) the original audit report must be provided to the operator;
- (6) a copy of the audit report must be retained by the Auditor;
- (7) the Operator or Auditor must forward a copy of the audit report to Main Roads;
- (8) payment must be submitted to Main Roads together with the audit report (if required);

Please refer to paragraph 10 in the Audit Report Submission for Main Roads' requirements relating to the submission of audit reports.

NB The Operator meets the cost of these audits.

8 THE AUDIT PROCESS - 2ND PARTY AUDITS

2nd Party audits can be a Spot Check, Show Cause or Random Audit.

Each year Main Roads will randomly audit approximately 5% of current Operators (Random Audit).

Main Roads may initiate a triggered audit as a result of an alleged breach of the standards.

When a 2nd Party audit is required, Main Roads may choose any appropriately certified Heavy Vehicle Auditor to conduct the audit on behalf of the agency.

The following process should be followed:

- (1) obtain a copy of the previous audit report from the Operator;
- (2) conduct the audit examining the performance of the Operator's management systems against standards for each module where necessary;
- (3) produce an audit report using the current version of the WAHVA Audit Report format and

appropriate matrix as a guideline;

- (4) the original audit report must be provided to Main Roads, who will provide a copy to the Operator; and
- (5) the Auditor is to retain a copy of the audit report.

MRWA will meet the costs of these audits.

Submitted Audit Reports must be on the current version of the WAHVA Audit Report format.

The Audit Report is available on the MRWA website at www.mainroads.wa.gov.au. It is the Auditor's responsibility to ensure they are using the current version of the audit report.

In previous sections, there have been references made to the 'Audit Report'. Every time an audit is conducted, an Audit Report must be completed using the template format in its entirety.

The Auditor is required to provide a brief overview of the Operator being audited, as well as comments on the overall performance of the operation against the standards.

Observations and Comments – Summary of Audit Findings

- Where the Operator presented the required records and documentation to demonstrate compliance with the criteria and standards at the audit, compliance is to be noted with "YES".
- Where the Operator was unable to present the required records and documentation to demonstrate compliance with the criteria and standards at the audit, compliance is to be noted with "NO" and a corresponding Corrective Action Request is to be raised.
- Where the Operator was not required to present records and documentation to demonstrate compliance with certain criteria and standards at the audit, compliance is to be noted with "NA".

Corrective Action Request (if required)

- Completed only if a non-conformance has occurred and therefore corrective action is required.
- Each non-conformance is to be recorded on the Corrective Action Request sheet with a unique corrective action identifier.

The WAHVA Standard Report format is contained in Attachment 2.

9 AUDIT REPORT SUBMISSION

Auditors are required to complete a full Audit Report for each audit conducted. They must ensure that both the Auditor and Operator declarations are signed. For all audits except for Random Audits, the Operator must be provided with the full original audit report for their records.

The Operator is responsible for submitting their audit (including all required documentation, records and payments) to Main Roads. However, the Auditor may submit the audit on the Operator's behalf if there is an agreement with the Operator to do so.

The Operator is responsible for submitting the complete audit to Main Roads and must include the following documents:

- (1) If any operators contact details have changed, a Restricted Access Vehicle Operator Registration form is required to be submitted to the email address nominated on the form to have these details updated. Alternatively, the operator "Primary Contact" can make these changes via MOVES;
- (2) All pages of WAHVA Audit Report:
- (3) Audit Summary Sheets – Mass Management (if required), Dimension and Load,

- Maintenance, Common Standards and Fatigue Management;
- (4) Assessment/Audit Reports – Observations and Comments for Mass Management (if required), Dimension and Load, Maintenance, Fatigue Management and Common Standards;
 - (5) Corrective Action Requests with all NCRs closed out and signed by the Auditor and Operator;
 - (6) Vehicles Registration Numbers that relate to the records examined;
 - (7) Employee/Driver Names that relate to the records examined (see ATTACHMENT 2 – Note 1);
 - (8) A complete Vehicle Register from the WAHVA Audit Report displaying the dates of current service or roadworthiness certificates/checklist/inspections (no older than 12 months from the date of the audit) to demonstrate roadworthiness for each vehicle must be provided;
 - (9) Employee / Driver Names Register;
 - (10) Sub-Contractor & Third-Party Operator Information; and
 - (11) Signed Auditor Declaration and Operator Declaration.

Auditors must retain a copy of the full audit report for twelve months from the date audit was conducted.

All Auditors will be subject to examination and review by Main Roads WA on an on-going basis. Electronic copies of full Audit Reports and Documentation for specific Operators must be provided by email to Main Roads HVA Auditors for examination and review upon request.

Main Roads may, at its discretion:

- Undertake or arrange to have undertaken, a review of an Auditor’s accreditation audit report and/or
- Undertake an on-site observation of an Auditor’s competencies during a heavy vehicle accreditation audit.

10 AUDITOR BREACH PROCESS

Main Roads WA is committed to maintaining the integrity of the Western Australian Heavy Vehicle Accreditation (WAHVA) Scheme. To ensure compliance and uphold standards, the following breach process applies to WAHVA Certified Auditors:

10.1 Breach Notification and Response

- Where an issue is identified in an audit report or through compliance monitoring, Main Roads WA will issue a written notice to the Auditor.
- The Auditor must respond in writing within 10 days of the notice, addressing all identified issues.
- Main Roads WA will review the response and make a decision within 14 days of receipt.

10.2 Possible Outcomes

If the breach is substantiated, Main Roads WA may issue a 28-Day Notice of Intent to apply one of the following outcomes:

Outcome	Duration	Description
Suspension	3 Months	Temporary removal from conducting WAHVA audits. Auditor remains listed but flagged as inactive. No audits conducted during this period will be accepted.
Cancellation	6 months	Auditor's certification is revoked, and their name removed from the register. Auditor must wait at least six months before reapplying for certification.

10.3 Triggers for Suspension

- First-time or procedural breaches.
- Minor audit errors or failure to meet reporting requirements.
- Non-compliance that can be addressed through remedial training.

10.4 Triggers for Cancellation

- Serious breaches such as:
 - Audits not conducted to required standards.
 - Certification based on knowingly misleading or false information.
 - Breach of the Auditor Code of Conduct (e.g., bias, conflict of interest, confidentiality breach).
- Repeated non-compliance or multiple suspensions.

10.5 Appeals

Auditors may appeal any decision within 28 days of receiving the Notice of Intent. Appeals must include detailed reasons and supporting evidence.

11 THE APPEALS PROCESS

Main Roads WA provides WAHVA Certified Auditors with the right to appeal decisions relating to suspension or cancellation of certification. The appeals process ensures fairness, transparency, and accountability.

11.1 Eligibility

Auditors may appeal any decision made under the Auditor Breach Process, including suspension or cancellation of certification.

11.2 Timeframe

Appeals must be lodged within 28 days of the date the decision was communicated to the Auditor.

11.3 Submission Requirements

Appeals must be submitted in writing to Main Roads WA using the contact details provided in the decision letter.

The appeal must include:

- Detailed reasons for disputing the decision.
- Supporting documentation or evidence.
- Auditor's preferred postal or email address for correspondence.

11.4 Review Process

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

11.5 Restrictions During Appeal

During the appeal process, if the Auditor is suspended or cancelled, they cannot conduct any audits, and Main Roads WA will not accept audits from them during this period.

12 THE AUDIT MATRIX

An audit matrix for the WAHVA Management Systems Standards is provided on the Main Roads website to assist Auditors in completing the WAHVA Standard Audit Report. As a minimum, Auditors will be required to demonstrate that the Operator meets the criteria outlined in the matrices. This information is entered on the audit report under "Evidence Sighted/Audit Findings" against the relevant criteria.

12.1 Standard

The matrix is divided into the Standards for each module. The standards are as defined in the appropriate Standards document on the Main Roads website.

12.2 Criteria

Each standard is further broken down into the criteria defined in the appropriate Standards.

12.3 Assessment Step

This identifies what you must do as a minimum to assess the criteria. An Auditor is not limited to only reviewing the suggested step stated in the matrix. However, the minimum requirement must be achieved.

12.4 How does the Operator's System address the requirement?

On reviewing the systems, the Auditor must be satisfied, the Operator's system addresses the requirements for each criteria.

12.5 Indicate evidence sighted

The Auditor must record details of what was sighted that indicates the system was operating and the processes were being adhered to, including dates of sample documentation sighted (fault reports, repairs, trip sheets, weigh dockets, load documentation, internal reviews, etc.) registration numbers of sample vehicles and names of sample employees on the appropriate audit record sheets.

12.6 Compliance and Re-Entry Audit Only

There are certain aspects of the audit matrix which would not be used for Entry and/or Systems Entry Audit, because the “audit trail” may not yet exist. These are marked on the audit matrix by an “X” for Entry audits and “Y” for Systems Entry audits. Otherwise, all criteria will need to be audited.

12.7 Compliance Code

The compliance code indicates the Auditor’s assessment of the extent the Operator’s procedures comply with the criteria.

Auditors will be required to provide this assessment for each of the criteria.

The compliance codes are:

- (1) NA – Not applicable;
- (2) NAA – Not assessed at this audit;
- (3) V – Conformance verified;
- (4) C – Non-conformance requiring rectification prior to accreditation being allowed (Note: audits will not be accepted if non-conformance has not been closed out);
- (5) SFI – Suggestion for improvement

13 RELATED DOCUMENTATION

Other documents available from Main Roads associated with the Western Australian Heavy Vehicle Accreditation Process:

- West Australian Heavy Vehicle Accreditation Business Rules
- Management Systems Standards including
 - Common Standards
 - Maintenance Management Standards
 - Fatigue Management Standards
 - Dimension and Load Standards; and
 - Mass Management Standards
- Work Health and Safety (General) Regulations 2022
- Frequently Asked Questions
- WAHVA Auditor Certification Policy and Process
- WAHVA Certified Auditor Code of Conduct; and
- Standard Forms

Information is available on the Main Roads website, through links, or can be obtained by contacting Main Roads.

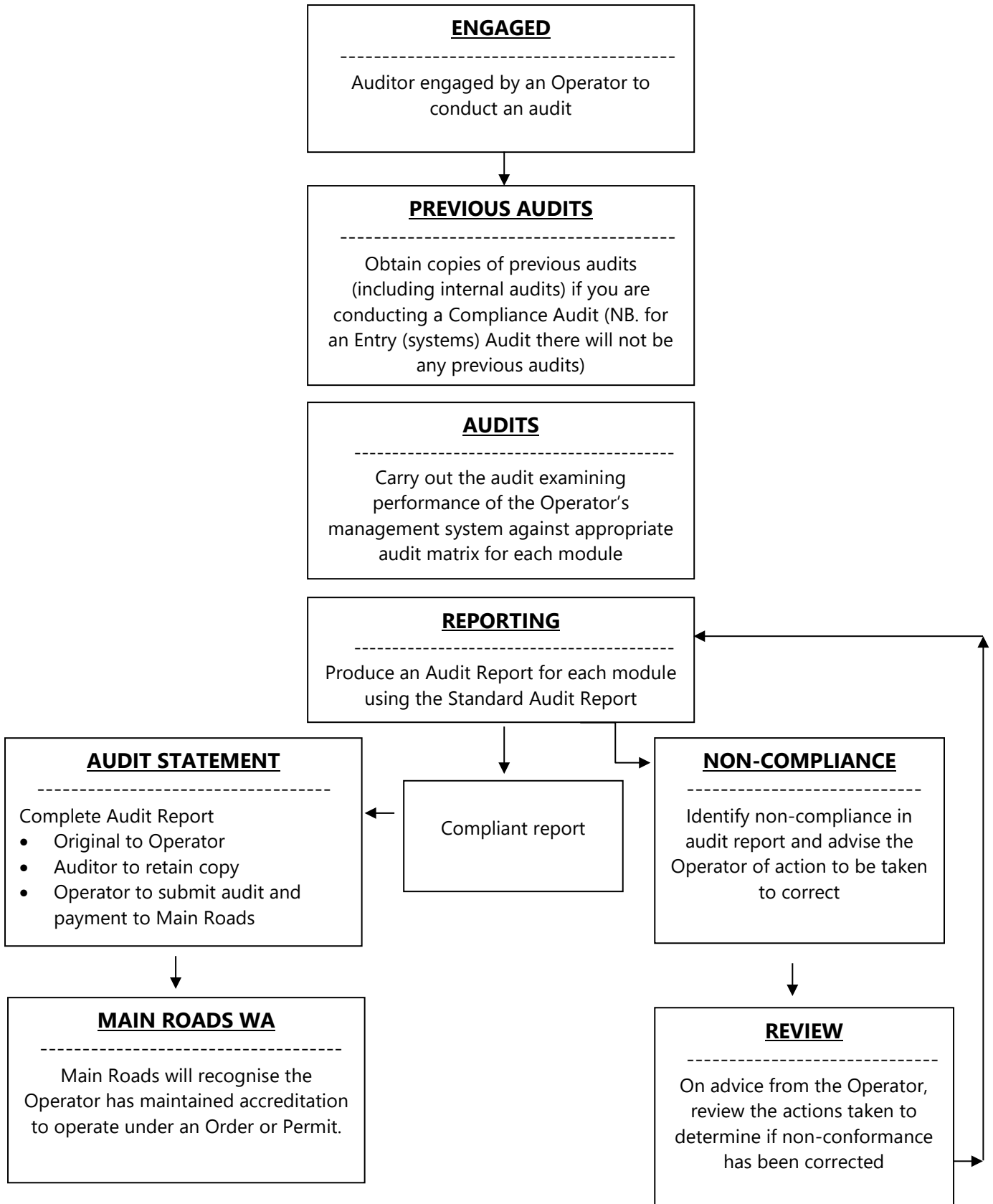
14 FURTHER ENQUIRIES

If you have any questions about accreditation contact:

Main Roads Western Australia
Heavy Vehicle Services
525 Great Eastern Hwy
REDCLIFFE WA 6104

Phone:	138 HVO (138 486)	Web address:	www.mainroads.wa.gov.au
E-mail:	hvoaccreditation@mainroads.wa.gov.au		

ATTACHMENT 1 - FLOW CHART FOR AUDIT OF THE OPERATOR



ATTACHMENT 2 - STANDARD FORMS

- Restricted Access Vehicle Operator and WA Heavy Vehicle Accreditation Registration Form
- Entry (systems)/Re-Entry/Compliance audit report – Document is available from Main Roads website
- WAHVA Report Format:
 - Front Sheet
 - Audit Summary Sheet
 - Assessment/Audit Report – Observations and Comments
 - Corrective Action Requests with all NCRs closed out
 - Vehicles Registration Numbers of Records Examined
 - Employee/Driver Names of Records Examined **(See Note 1)**
 - Vehicle Register
 - Employee / Driver Names Register **(See Note 1)**
 - Sub-Contractor & Third Party Operator Information
 - Signed Auditor Declaration and Operator Declaration and Consent

Note 1

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)