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WA Performance Based Standards (PBS) Scheme Audit Framework

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REFERENCES AND RELATED DOCUMENTS

The following documents are related to the WA PBS Scheme and should be read in conjunction with this Audit Framework. These documents are available on the Performance Based Standards (PBS) page on the Main Roads website.

Document Name	Location
WA PBS Manufacturer's Vehicle Certification Application	Performance Based Standards (PBS) Page
WA PBS Vehicle Certification Application	https://www.mainroads.wa.gov.au/globalassets/heavy-vehicles/getting-a-permit/pbs/wa-performance-based-standard-scheme-vehicle-certification-application.pdf?v=48ecd9
PBS Vehicle Dimension Guide	Performance Based Standards (PBS) Page
WA Performance Based Standards (PBS) Scheme – Access Levels and Principles	https://www.mainroads.wa.gov.au/globalassets/heavy-vehicles/getting-a-permit/pbs/wa-performance-based-standards-pbs-scheme-access-levels.pdf?v=48f8d9
WA Performance Based Standards (PBS) Scheme – Application and Approval Process	https://www.mainroads.wa.gov.au/globalassets/heavy-vehicles/getting-a-permit/pbs/wa-performance-based-standards-pbs-scheme-application-and-approval-process-as-at-5-november-2020.pdf?v=4928b3
WA Performance Based Standards (PBS) Scheme – Assessment Results (Part A)	https://www.mainroads.wa.gov.au/heavy-vehicles/permit-order-scheme/PBS/
WA Performance Based Standards (PBS) Scheme - Manufacturer's Declaration - Towing Vehicle	https://www.mainroads.wa.gov.au/heavy-vehicles/permit-order-scheme/PBS/
WA Performance Based Standards (PBS) Scheme - Manufacturer's Declaration – Trailer	https://www.mainroads.wa.gov.au/heavy-vehicles/permit-order-scheme/PBS/
WA Performance Based Standards (PBS) Scheme - Road Train TEBS Voltage Test Procedure	https://www.mainroads.wa.gov.au/globalassets/heavy-vehicles/getting-a-permit/pbs/wa-pbs-scheme-road-train-tebs-voltage-test-procedure.pdf?v=4a65ab

Document Name	Location
WA Performance Based Standards (PBS) Scheme – Standards and Vehicle Assessment Rules	https://www.mainroads.wa.gov.au/globalassets/heavy-vehicles/getting-a-permit/pbs/wa-performance-based-standards-pbs-scheme-standards-and-vehicle-assessment-rules.pdf?v=49a411
WA Performance Based Standards (PBS) Scheme - Trailer Manufacturer's Checklist	https://www.mainroads.wa.gov.au/heavy-vehicles/permit-order-scheme/PBS/
WA Performance Based Standards (PBS) Scheme - Vehicle Certification Guidelines	Performance Based Standards (PBS) Page
WA Performance Based Standards (PBS) Scheme – Vehicle Specifications (Part B)	https://www.mainroads.wa.gov.au/heavy-vehicles/permit-order-scheme/PBS/

1 PURPOSE

Vehicle combinations approved under the WA Performance Based Standards (PBS) Scheme are assessed, certified and approved based on a specific vehicle design. To ensure PBS vehicles continue to perform to a high safety standard, it is essential the vehicles are maintained to their defined specifications, i.e. components are not altered without approval, and the vehicle is maintained in good working order.

This document provides a framework for Main Roads staff for conducting audits on vehicles approved under the PBS Scheme, for the purpose of ensuring the vehicles are being maintained to their defined specifications and continue to meet the safety standard that formed the basis of their initial approval.

2 AUDIT TYPES

2.1 Scheduled Audit

PBS vehicle fleets generally consist of new vehicles, or retrofitted vehicles, which must be inspected and certified prior to being issued a permit. This is to ensure the vehicle has been constructed to the specifications defined in the PBS assessment and design documentation.

While the majority of PBS vehicles will be relatively young in age, they are generally high productivity vehicles that endure a significant workload to justify their investment. As such, a PBS vehicle fleet should be audited at least once every three years. This will require a suitably qualified Main Roads staff member (or contractor) to attend the transport operator's depot (or other suitable location) and perform audits on randomly selected vehicles that will need to be made available for physical inspection.

2.2 On-Roads Compliance Audit

While the PBS vehicle fleets will be formally audited at least once every three years, it is important to ensure the vehicles are being appropriately maintained and are not being altered while in operation. Critical components such as tyres, tow couplings and braking systems must be maintained and only replaced with components of the same classification.

As such, it is essential to inspect these vehicles on a regular basis while they are in operation. Main Roads on-road compliance staff will refer to the information provided within the PBS permits to determine the vehicle specifications and may be requested to target particular vehicles when rostered on patrol in the relevant location.

2.3 Triggered Audit

Where there is reason to believe a PBS vehicle has not been certified correctly or is not being maintained appropriately, whether this is via an *On-Road Compliance Audit* or via a *Public Information Report*, a suitably qualified Main Roads staff member (or contractor) will attend the transport operator's depot (or other suitable location) to perform an audit, including a physical inspection of selected vehicles.

3 PROCESS

3.1 Scheduled Audit

The scheduled audits will be based on the *WA Performance Based Standards (PBS) Scheme – Vehicle Specifications (Part B)* and the Vehicle Design Approval. The register of all PBS vehicle designs is maintained by Main Roads Heavy Vehicle Services Access Branch (HVSAB). The scheduled audits will occur at least every three years, which will commence from the date the first vehicle of a particular PBS vehicle design was built and issued a Main Roads permit.

On (or around) the three-year anniversary of the particular PBS vehicle design, Main Roads HVSAB will randomly select a relative portion of PBS vehicles, from an individual transport operator's fleet, that have been issued permits under the particular PBS vehicle design. While the number of vehicles will not be prescribed, the number will be relative to the transport operator's fleet size and enough to satisfy Main Roads that the fleet is being appropriately maintained.

HVSAB will contact the transport operator and provide at least 48 hours' notice prior to conducting the audit. A suitably qualified Main Roads staff member (or contractor) will attend the agreed location to inspect the selected vehicles.

The selected vehicles will be inspected and compared against the current *WA Performance Based Standards (PBS) Scheme – Vehicle Specifications (Part B)* and the Vehicle Design Approval.

3.2 On-Roads Compliance Audit

Once the PBS vehicles are located in operation, the Main Roads on-road compliance staff will intercept and inspect each vehicle to compare them against the specifications provided within the PBS permit.

The on-road compliance staff will refer to the Vehicle Certification Approval attached to the PBS Permit for the list of PBS vehicles that are approved to operate under the PBS design and in some cases, the specific position the trailers must be connected within the vehicle combination.

The on-road compliance staff will refer to the Vehicle Design Approval attached to the PBS Permit, which will identify specific vehicle features that require inspection and measuring.

3.3 Triggered Audit

Where information is received that suggests a PBS vehicle has not been certified correctly, has been modified or is not being appropriately maintained, HVSAB will contact the transport operator and provide at least 48 hours' notice of the intention to conduct an audit. A suitably qualified Main Roads staff member (or contractor) will attend the agreed location to inspect the specific PBS vehicle or fleet of PBS vehicles in question.

The selected PBS vehicles will be inspected and compared against the current *WA Performance Based Standards (PBS) Scheme – Vehicle Specifications (Part B)* and the Vehicle Design Approval that applies to the particular PBS vehicle design.

4 NON-CONFORMANCE

4.1 On-Road Compliance

Where Main Roads on-road compliance staff identify a PBS vehicle has been altered or has not been appropriately maintained, they may take the following action:

- (a) If the non-conformance is a clear breach of a mass or dimension requirement, or a vehicle defect, they may direct the driver to return to the transport operator's depot to rectify the issue.
- (b) If the vehicle does not meet the requirements outlined in the Vehicle Design Approval and Vehicle Certification Approval and the compliance officer is unsure how the non-conformance will impact the vehicle safety performance, they will contact HVSAB for advice.

4.2 Show Cause Notice

Where it is identified during a scheduled audit that the PBS vehicles have not been certified correctly, are not being maintained appropriately or have been altered from the approved specifications, the transport operator may be issued a Show Cause Notice. The transport operator will be required to provide a written response outlining why the non-conformance has occurred and what corrective actions have been taken to prevent a further non-conformance of similar nature.

4.3 Permit Suspension or Cancellation

- 4.3.1** Where a non-conformance is identified through any of the audit processes and is deemed to have an adverse effect on the PBS vehicle's safety performance, the permit for the particular PBS vehicle and any other PBS vehicle of the same design and under control of that same transport operator, may be suspended until such time as the transport operator demonstrates the non-conformance has been rectified.
- 4.3.2** If a Show Cause Notice is issued, the transport operator will be provided 28 days to respond. If the transport operator has not provided a sufficient response within the 28 days, all related PBS permits will be suspended. The transport operator will then be given a further 28 days to provide a sufficient response.
- 4.3.3** Where the transport operator has not provided a sufficient response following the further 28 days, the related PBS permits will be cancelled.
- 4.3.4** The transport operator may be granted an extension to provide a response. However, the permit suspension will remain in effect until a sufficient response is received.

4.4 Follow-up Audit

Following the close-out of any non-conformance or "show cause" process, it is necessary to conduct an audit within the following 12-month period to ensure the corrective actions implemented by the transport operator are still in place.

5 ENFORCEMENT

5.1 Heavy Vehicle Services Access Branch

When a transport operator's permits are suspended or cancelled, HVSAB will issue written notification to the transport operator advising the permits have been suspended or cancelled.

5.2 Intelligence Section

Where a transport operator's permits have been suspended or cancelled, HVSAB will notify Main Roads Intelligence Section who will prepare an Intelligence Tasking for the on-road compliance staff to ensure the transport operator is not continuing to operate the PBS vehicles.