



mainroads
WESTERN AUSTRALIA

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Western Australia.*

WESTERN AUSTRALIAN HEAVY VEHICLE ACCREDITATION PROCESS

GUIDELINES FOR AUDIT PROVIDERS

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1 INTRODUCTION

Main Roads approves and manages Heavy Vehicle accreditation in Western Australia.

In Western Australia, operators of Class 1, Class 2 or Class 3 heavy vehicles must become accredited to operate under permit or order on the road network.

Western Australian Heavy Vehicle Accreditation (WAHVA) is mandatory for individuals and organisations that perform any transport task for hire or reward within Western Australia, including interstate operators who operate a RAV.

Accreditation involves five modules, 4 of which are mandatory - Fatigue Management Module, Maintenance Management Module, Dimension and Load Standards Module and a Mass Management Standards Module (not mandatory), which operators are required to incorporate into their daily work practices.

The Benefits of Accreditation are:

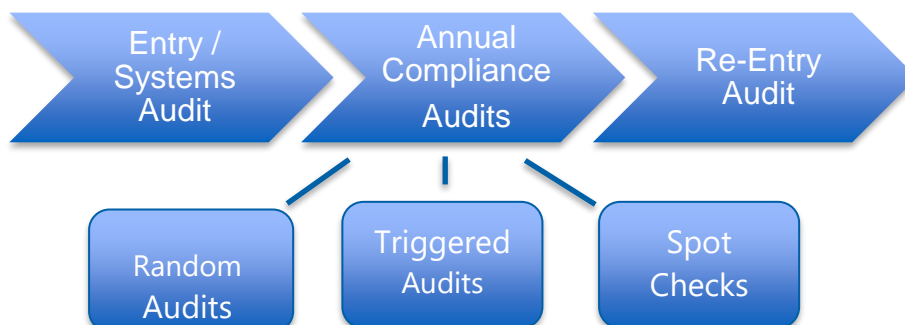
- Improved safety
- Improved productivity and efficiency
- Improved community confidence
- Improved driver morale
- Consistent standards
- Reduced impact of enforcement
- Increased vehicle life and lower maintenance costs
- Better relationship with enforcement agencies
- Improved skills and accountability of drivers and mechanics
- Greater confidence in the condition of the company's vehicles
- Reduced vehicle down time

Accreditation does not exempt operators from complying with the requirements of any other relevant Act or Regulations

2 THE PURPOSE OF THIS GUIDE

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

ACCREDITATION AUDITS



3 THE ROLE OF THE AUDITOR

3.1 Entry Audits

An entry audit is the first official audit undertaken and determines the transport operator's eligibility to be accredited. This is achieved by verifying the record keeping and procedures kept by the company comply with the Maintenance Management, Fatigue Management and Dimension and load 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 audit may be conducted which only looks at the systems in place. A further audit is then required within three months of the date the operator was first accredited. This is to allow an operator flexibility in gathering the required records (at cost of the operator).

A systems audit must contain as 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,
- Training and education records (including fatigue),
- Policies and procedures that address the standards,
- Signed Maintenance, Fatigue, Dimension & Loading (Mass if required) Management Policies (single operator), and
- Signed Statement of Responsibilities

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 transport operators' processes and systems to ensuring the modules have been integrated and adhered to within the operator's business practices.

3.3 Re-Entry Audits

Re-entry audits are to be conducted within the period three months prior to expiry of the Accreditation Certificate, every 36 months. These 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 can be given.

The transport operator meets the costs of entry, compliance and re-entry audits.

3.4 Random Audit (2nd Party)

Random audits are undertaken by Main Roads as part of its requirement to randomly audit 5% of current transport operators each financial year. Main Roads will meet the costs of any initiated random audits.

3.5 Triggered Audit (2nd Party)

A triggered audit occurs when Main Roads initiates an audit of a transport operator that may be

undertaken as a result of a breach of the standards. Generation can be by an enforcement officer (i.e. Main Roads Road Transport Compliance Officers, Police, WorkSafe or Transport Safety Inspectors) or by complaints from the community.

Main Roads will meet the costs of any initiated triggered audits.

In each case, auditors will be required to assess and certify the minimum requirements are being met as prescribed by:

Management Systems Standards including:

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

4 BECOMING A RECOGNISED AUDITOR

For recognition as an auditor by Main Roads, it is necessary to be certified through Main Roads Western Australia Heavy Vehicle Services with the following scope:

- Management Systems Auditing (AU)
- Quality Management Systems (QM)
- Leading Management Systems Audit Teams (TL)
- Auditors are required to undertake training modules provided by Main Roads and hold a certification as a WAHVA auditor, in order to conduct audits.

5 RECORD KEEPING

All auditors should retain copies of completed Audit Reports for a period of not less than three years from the date the audit was conducted.

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 operating under Main Roads WA permit or order - Records for the entire fleet and total drivers operating under WAHVA must be examined
- Operators with a fleet of greater than five towing units operating under a Main Roads permit or order - Records for a minimum 10% of the entire fleet and total drivers or 5 towing units, 5 items of trailing equipment or 5 drivers operating under must be examined, whichever is the greater.

7 THE AUDIT PROCESS - 3RD PARTY AUDITS



As described above there are several types of audits that will be conducted, i.e. entry and re-entry audits, annual compliance audits and random audits. In each case the process will be the same.

The auditor will be required to conduct an audit on the systems which examines the underlying management controls including documented procedures and record management systems against relevant standards for each module.

The following is the recommended process:

Obtain a copy of the previous audit report (including internal audit reports) from the transport operator (if appropriate)

Conduct the audit examining the performance of the transport operator's management systems against the standards for each module. If it is an entry or re-entry audit the auditor must verify roadworthiness certification for the vehicle fleet (including a Systems Audit). The roadworthiness certificate/inspection/checklist must be no more than twelve months old at the time of audit.

The auditor must ensure the operator is a legal entity and their details are correct and current as per the business rules.

Produce an audit report using the WAHVA Standard Report format (utilise the appropriate matrix as a guideline):

- Original is provided to the operator;
- Copy to be retained by the auditor;
- The operator or auditor is to forward the audit report to Main Roads;
- Payment must be submitted with the audit report (if required);
- Please refer to Clause 10 Audit Report Submission for Main Roads requirements relating to the submission of audit reports.

The transport operator meets the cost of these audits.

8 THE AUDIT PROCESS - 2ND PARTY AUDITS

2nd Party audits can be a Spot Checks, Triggered 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 is the recommended process:

- Obtain a copy of the previous audit report from the transport operator

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- Conduct the audit examining the performance of the transport operator's management systems against standards for each module where necessary, with emphasis on the issue that triggered the audit
 - Produce an audit report using the Main Roads standard report format and appropriate matrix as a guideline:
 - Original is provided to Main Roads, who will provide a copy to the operator
 - Auditor to retain Copy.

MRWA will meet the costs of these audits.

9 THE AUDIT REPORT

Submitted Audit Reports are to use the WAHVA standard 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 – Compliance with Standards

- The auditor is required to list the evidence that was presented to support and verify compliance with the standard

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.

10 AUDIT REPORT SUBMISSION

There will be no change to the auditing process in relation to how audits are to be conducted or the WAHVA Standard Audit Report format that needs to be completed as part of this process. Auditors are required to complete a full Audit Report for each audit conducted. 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 with payment on the operator's behalf if there is 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:

- Restricted Access Vehicle Operator and WA Heavy vehicle Accreditation Registration form (Required for all Entry/Re-Entry audits and Compliance audits if contact details have

changed);

- All relevant pages of WAHVA Heavy Vehicle Audit Report Format:
 - Front Sheets;
 - Audit Summary Sheets – Mass Management (if required), Dimension and Load, Maintenance, Common Standards and Fatigue Management;
 - Assessment/Audit Reports – Observations and Comments for Mass Management (if required), Dimension and Load, Maintenance, Fatigue Management and Common Standards;
 - Signed Auditor Declaration and Operator Declaration and Consent;
 - Corrective Action Requests with all NCRs closed out;
 - Vehicles Registration Numbers of Records Examined Register;
 - Employee/Driver Names of Records Examined Register.
- Vehicle Register
- Employee / Driver Names Register
- Copy of all roadworthy certificates/inspections/checklist. The 'Main Roads Western Australia vehicle roadworthy template' can be used as an alternative. (Required for Entry / Systems and Re-Entry audits)

Auditors must retain a copy of the full audit report for three years from the date audit conducted.

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

11 THE AUDIT MATRIX

An audit matrix for each module is provided on the Main Roads website at www.mainroads.wa.gov.au. As a minimum, auditors will be required to demonstrate the transport operator meets the criteria outlined in the matrices.

11.1 Standard

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

11.2 Criteria

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

11.3 Assessment Step

This identifies what you must do as a minimum in order 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.

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

On reviewing the systems the auditor has to be satisfied, the transport operator's system addresses the requirements for each criterion. This information is recorded on the matrix.

11.5 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.

11.6 Compliance and Re-Entry Audit Only

There are certain aspects of the audit matrix which would not be used for Entry (systems) Audit, because the "audit trail" would not yet exist. These are marked on the audit matrix by an "x". Otherwise all criteria will need to be audited.

11.7 Compliance Code

The compliance code indicates the auditor's assessment of the extent the transport operator's procedures comply with the criteria.

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

The codes are:

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

12 REVIEW

An operator, who is subject to a decision to not allow entry to, cancel or suspend accreditation, has a right of review under Regulation 475 of the *Road Traffic (Vehicles) Regulations 2014*.

A person affected by a decision may request the decision maker in writing to reconsider the decision:

- The request must be made within 28 days after notice of the decision has been given, and
- Must state the decision to be reconsidered and outline why the person believes the decision should be reconsidered

Main Roads must make a decision regarding the request within 28 days of receiving the request.

If a decision is not made within 28 days or the original decision is confirmed, the affected person may apply to the State Administrative Tribunal (SAT) for a review of the decision made on the reconsideration of the decision (The affected person should contact the SAT for information concerning this process).

13 RELATED DOCUMENTATION

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

- West Australian Heavy Vehicle Accreditation Business Rules
- Management Systems Standards including:
 - Common Standards
 - Maintenance Management Standards
 - Fatigue Management Standards

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- Dimension and Load Standards
 - Mass Management Standards
 - Occupational Safety and Health Regulations 1996;
 - Code of Practice - Fatigue Management for Commercial Vehicle Drivers 2004;
 - Frequently Asked Questions;
 - Staying Alert at the Wheel Handbook; 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 Vehicles Operations
525 Great Eastern Highway
REDCLIFFE WA 6104

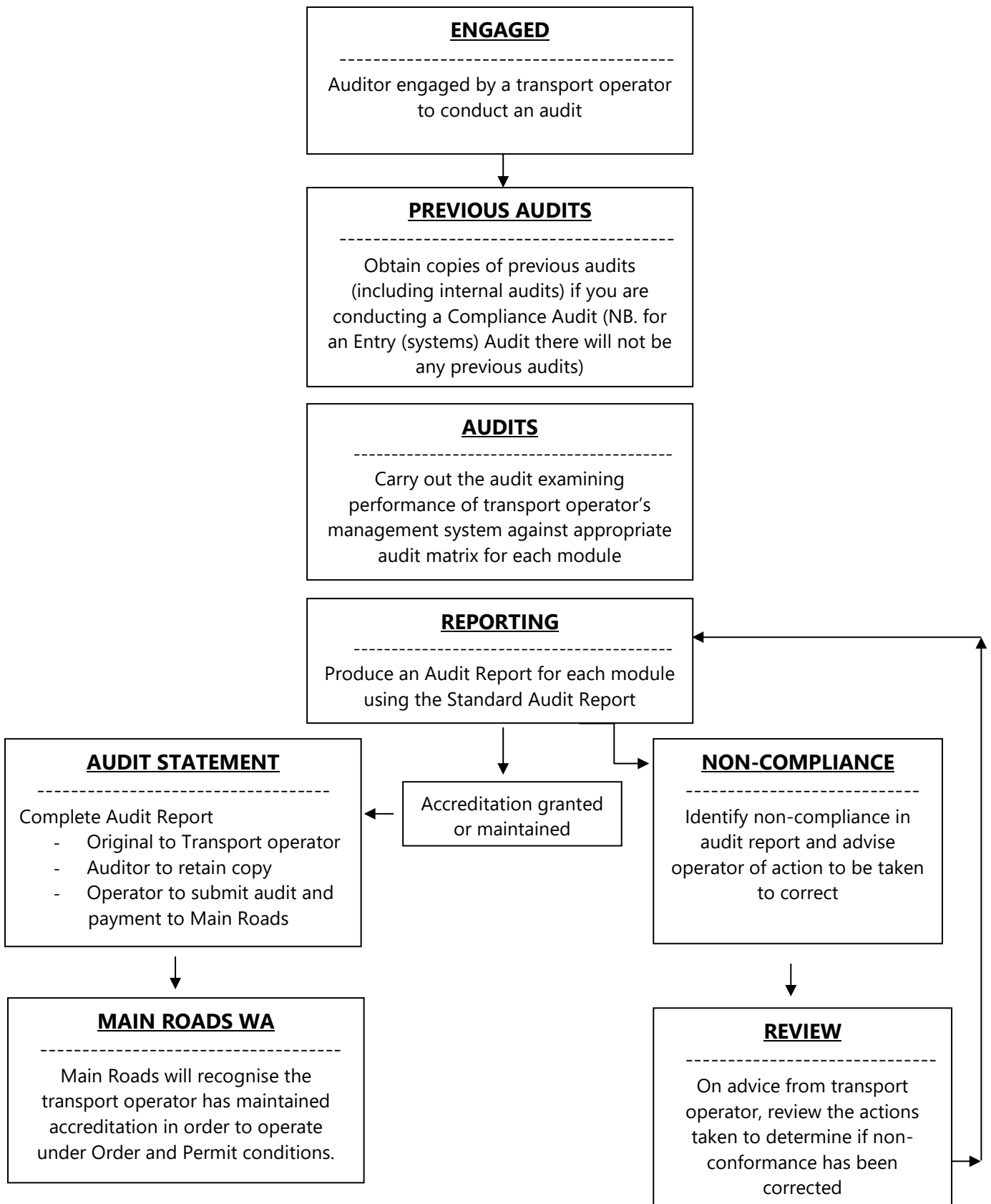
Phone: 138 486

Fax: (08) 9475 8455

Web address: www.mainroads.wa.gov.au

E-mail: hvoaccreditation@mainroads.wa.gov.au

ATTACHMENT 1 - FLOW CHART FOR AUDIT OF TRANSPORT 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 Register
 - Employee/Driver Names of Records Examined Register
 - Vehicle Register
 - Employee / Driver Names Register
 - Signed Auditor Declaration and Operator Declaration and Consent