



WESTERN AUSTRALIAN HEAVY VEHICLE ACCREDITATION PROCESS

DIMENSION AND LOADING MANAGEMENT AUDIT MATRIX



**WA Heavy Vehicle
Accreditation**

June 2016

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

Objective: To ensure the authorities, responsibilities and duties of all positions involved in the management, operation, administration, participation and verification of the Dimension & Load system are current, clearly defined and documented.

STANDARD 1 RESPONSIBILITIES					
Criteria	Assessment Step	How does the system address the requirement	Indicate evidence sighted	Entry, (Systems), Re-Entry, Compliance	Compliance Code
Clearly identify who is responsible for carrying out each task and what the tasks in the Load Management System are, including: <ul style="list-style-type: none"> ○ Ensuring the vehicle is fit for task; ○ Positioning the load appropriately; ○ Restraining the load appropriately; ○ Checking the vehicle and load dimensions; ○ Ensuring an appropriate permit is current, if applicable. ○ Ensuring compliance with approval conditions 	Verify the tasks have been identified in the Dimension and Loading Management system policies and procedures, together with who is responsible for carrying out each task, including who is responsible for ensuring the system is being maintained and followed. Review evidence.				
Ensure all people assigned to the task are appropriate for the task, suitably trained and know how to access the written record stating their responsibilities	Review policies/procedures for identifying training requirements of all relevant staff in load management. Verify people assigned to tasks are aware of how to access the written record stating their responsibilities Review evidence.				
Ensure there is a suitable system in place in the event the responsible person is not available.	Review evidence.				

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Objective: To ensure vehicles are loaded within allowable dimension limits and in a safe manner, taking into account suitable load restraint and vehicle stability.

STANDARD 2 VEHICLE LOADING – DIMENSION AND SAFETY					
Criteria	Assessment Step	How does the system address the requirement	Indicate evidence sighted	Entry, (Systems), Re-Entry, Compliance	Compliance Code
Have written instructions in place for ensuring vehicle dimensions are within allowable limits prior to the vehicle travelling on the road and specify how the dimension and loading checks are completed and what record is kept.	Verify a written procedure is in place for checking the dimension of loads are within allowable limits prior to the vehicle travelling on the road. Verify there a system in place for keeping suitable records. Review evidence.				
Ensure all necessary approvals (permits, exemptions, orders etc.) are obtained before the journey commences, the proposed route is approved for the particular vehicle combination and staff are aware of these conditions.	Review the procedure and ensure the requirements are met. Review evidence.				
Have written instructions in place so loads outside of legal dimension limits are rectified prior to the vehicle travelling on the road.	Verify written instructions are in place. Review evidence.				
Have documented procedures in place for ensuring loads are adequately restrained or contained, in accordance with the current <i>Load Restraint Guide</i> .	Verify there is a documented procedure for checking the load restraint prior to the vehicle travelling on the road. Review evidence.				
Ensure written procedures are in place for managing the rollover risk of the vehicle.	Verify written procedures are in place to ensure vehicle stability is managed. Review evidence.				

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Objective: To ensure there are sufficient documents and records to verify that a Dimension and Loading management system is in place, working effectively and the standards are complied with.

STANDARD 3 RECORDS AND DOCUMENTATION					
Criteria	Assessment Step	How does the system address the requirement	Indicate evidence sighted	Entry, (Systems), Re-Entry, Compliance	Compliance Code
Have documentation recording all policies and procedures required under these Standards.	Verify documented policies and procedures are in place and comply with all Dimension and Loading Management standards. Review evidence.				
Ensure all required records are legible.	Review evidence.				
Ensure current documentation is available to all relevant staff and at all locations where operations related to load management are undertaken.	Verify documentation is available to all relevant staff and at all locations where operations related to load management are undertaken. Review evidence				
Ensure all elements of the Load Management System are maintained and updated and the responsibility for this task is documented.	Verify statement of responsibility, which should identify the responsible person for maintaining and updating the relevant documentation. Verify documentary evidence has been kept to show procedures and methods in place under the Load Management System are regularly reviewed.				
Ensure Responsibility Statements are read, signed and dated by each person responsible for the task	Verify Responsibility Statements are signed and dated by all appropriate people. Review evidence.				
Ensure all records and documents be kept for a minimum of three years. This includes superseded procedures.	Review evidence				

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Ensure the following records and documentation be retained for each trip, as a minimum: <ul style="list-style-type: none">o The dimension and loading checklist.	Verify dimension and loading checklist documentation and records have been retained for each trip. Review evidence				
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Objective: The Dimension and Loading system must be subject to annual internal review to verify that all results and activities comply with the system’s policies, procedures and instructions.

STANDARD 4 INTERNAL REVIEW					
Criteria	Assessment Step	How does the system address the requirement	Indicate evidence sighted	Entry, (Systems), Re-Entry, Compliance	Compliance Code
Ensure the carrying out of annual internal reviews cover: <ul style="list-style-type: none"> ○ When the reviews are taking place. ○ Who is conducting them. ○ How are the reviews being conducted. ○ The checklist of documents and records to be used for the review. 	Verify procedures for conducting annual internal reviews cover at least the minimum criteria requirements. Review evidence				
Ensure the internal review is being carried out by a person not involved in the operation of the procedures being reviewed, where practical.	Review evidence				
Require the production of a quarterly compliance statements and detail the form of this report, which must include as a minimum; <ul style="list-style-type: none"> ○ Cautions. ○ Infringements. ○ Court Matters. 	Verify completed quarterly compliance reports cover at least the minimum criteria requirements. Review evidence			X	
Separate from the annual internal review, an operator must have written processes to ensure all non-conformance identified at any time during the year, including quarterly compliance reporting, are corrected. The processes for handling non-conformance must include: : <ul style="list-style-type: none"> ○ How non-compliances can be detected. ○ Who is responsible for detecting 	Verify documented evidence of a Non-conformance register or similar. Verify there are written procedures for ensuring all non-conformances brought to light at any time are recorded in a Non-conformance Register or similar and corrected. Verify there are written processes			X	

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STANDARD 4 INTERNAL REVIEW					
Criteria	Assessment Step	How does the system address the requirement	Indicate evidence sighted	Entry, (Systems), Re-Entry, Compliance	Compliance Code
<p>them.</p> <ul style="list-style-type: none"> ○ Who else should be told about them. ○ Corrective action to be taken. ○ Timeframes for reporting identified non-conformance. ○ How the responsible person is to document the process so the non-conformance does not recur. <p>Retain evidence of non-conformance and the action taken to correct them. This is done in the form of a Non-conformance Register.</p>	<p>identifying the responsible person/people/position for updating the Load Management System procedures.</p> <p>Review evidence</p>				
<p>Have written processes for allocating responsibility to designated staff for ensuring all non-conformances are addressed and not repeated.</p>	<p>Verify staff been identified to take appropriate action, so instances of non-conformance are not repeated.</p> <p>Review evidence</p>				

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Objective: To ensure all persons who hold a position of responsibility under the Dimension and Loading management system are trained in and are familiar with the specific policy, procedures and instructions they are to carry out.

STANDARD 5 TRAINING AND EDUCATION					
Criteria	Assessment Step	How does the system address the requirement	Indicate evidence sighted	Entry, (Systems), Re-Entry, Compliance	Compliance Code
Identify what training in relation to load management is required for each person associated with load management activities:	Review policies/procedures for identifying training requirements of all relevant staff in dimension and Load management. Review evidence.				
Document and record what training has been undertaken in relation to load management by anyone associated with load management activities and when the training was undertaken (included as part of the training register).	Review policies/procedures for recording training of all relevant staff in dimension and load management. May be included as part of the training register. Review evidence.				
Document and record what training in load management is given to all new drivers, contractors or employees as part of their induction process.	Review policies/procedures for training in dimension and load management for all new employees as part as of the induction process. Review evidence.				
Ensure the regular review of training and detail this process, the staff responsible and the frequency	Review policies/procedures for training review process including responsible person(s). Verify documentation and records showing refresher training is conducted when an identified non-conformance is highlighted, the training is recorded and it is documented.				
Ensure all relevant staff (including sub-contractors) are provided with information on the Load Management System, including revisions.	Review policy/procedures for ensuring staff are provided information on the Load Management System and all revisions. Review evidence.				