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WESTERN AUSTRALIA

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Western Australia.*

Western Australian Heavy Vehicle Accreditation Process

GUIDELINES FOR AUDIT PROVIDERS

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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>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 cancelation 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: 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>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>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, whom 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 b) 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>	A set of guidelines outlining the intent of the transport operator to adhere to the Western Australian Heavy Vehicle Accreditation module standards framework.
<i>Provisional Accreditation</i>	The three (3) month 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 three-month period, the operator must have an auditor complete an audit on their records to ensure compliance has been achieved.
<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 transport operator, to assist in the maintenance of their vehicle/s.
<i>Suspension of Accreditation</i>	When an operator is prohibited from operating RAVs in WA for the suspension period. A suspension may be issue for any period up to three months. A proviso may be issued with the suspension that actions are required in order 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>Transport 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 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 Loading Standards Module, Common Module Standards and a Mass Management Standards Module (not mandatory), which operators are required to incorporate into their daily work practices.

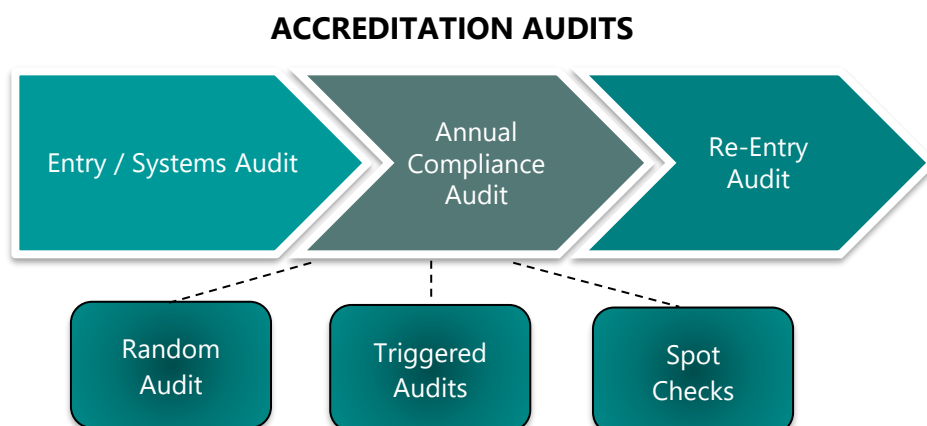
The Benefits of Accreditation are:

- Improved safety
- Improved 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
- Greater confidence in the condition of the company's vehicles.

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 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 transport 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 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 granted Provisional Compliance to the scheme. This is to allow an operator flexibility in gathering the required records (at the 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 written instructions that address the standards,
- Signed Maintenance, Fatigue, Dimension & Loading, Common Standards Management Policies (single operator) and Mass if required, and
- Signed Statement/s 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 ensure 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 Loading Management 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:

Mandatory Certifications

- Management Systems Auditing (AU)
- 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)

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 must 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 all vehicles up to 5 towing units, 5 dollies, 5 trailers and 5 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 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 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 written instructions 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 current version of the WAHVA Audit Report format (utilise the audit matrix as a guideline):

- Original is provided to the operator;
- Copy to be retained by the auditor;
- The operator or auditor is to forward a copy of 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
- 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 current version of the WAHVA Audit 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 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 – 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

Auditors are required to complete a full Audit Report for each audit conducted, with both the Auditor and Operator Declarations signed. 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 pages of WAHVA Audit Report:
 - Pages 1 and 2;
 - 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;
 - Corrective Action Requests with all NCRs closed out and signed by the auditor and operator;
 - Vehicles Registration Numbers of Records Examined;
 - Employee/Driver Names of Records Examined; (See ATTACHMENT 2 – Note 1)
 - 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;

- Employee / Driver Names Register;
- Sub-Contractor & Third Party Operator Information; and
- Signed Auditor Declaration and Operator Declaration and Consent.

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 the WAHVA Management Systems Standards is provided on the Main Roads website to assist auditors in completing the WAHVA Standard Audit Report 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. This information is entered on the audit report under "Evidence Sighted/Audit Findings" against the relevant criteria.

11.1 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.

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.

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 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.

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:

- NA – Not applicable;
- NAA – 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 480 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 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
 - Mass Management Standards
- Work Health and Safety (General) Regulations 2022;
- 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.

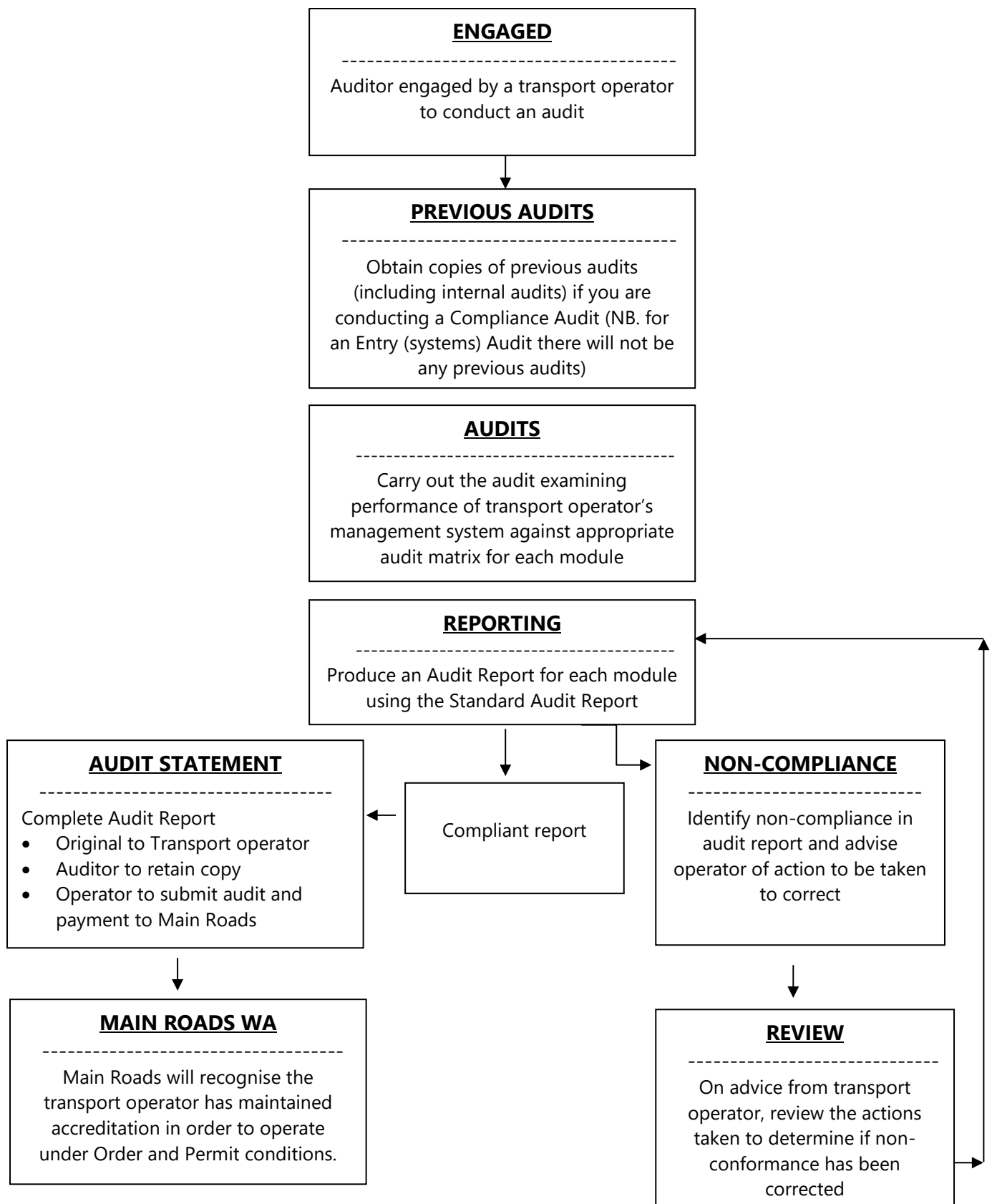
14 FURTHER ENQUIRIES

If you have any questions about accreditation contact:

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

Phone:	138 HVO (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
 - 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)