



WESTERN AUSTRALIAN HEAVY VEHICLE ACCREDITATION PROCESS

GUIDELINES FOR AUDIT PROVIDERS

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1. INTRODUCTION

- 1.1. 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.
- 1.2. 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 and operate a RAV.
- 1.3. Accreditation involves four modules - 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.
- 1.4. Main Roads approves and manages accreditation in Western Australia.
- 1.5. The Benefits of Accreditation are:
 - Improved safety;
 - Improved community confidence;
 - Consistent standards;
 - Improved productivity and efficiency;
 - Improved skills and accountability of drivers and mechanics;
 - Reduced vehicle down time;
 - Greater confidence in the condition of the company's vehicles;
 - Increased vehicle life and lower maintenance costs;
 - Improved driver morale;
 - Better relationships with enforcement agencies; and
 - Reduced impact of enforcement.
- 1.6. Accreditation does not exempt operators from complying with the requirements of any other relevant Act or Regulations.

2. THE PURPOSE OF THIS GUIDE

- 2.1. This guide identifies the process individuals wishing to provide audit services to Main Roads should comply with. It explains what you need to do 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

3.1.1. An entry audit is the first official audit undertaken and determines the transport operator's eligibility to be accredited 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, an Accreditation Certificate is issued to the operator for a period of 36 months.

3.1.2. Alternatively a systems audit may be conducted which only looks at the systems in place. A further audit is required within three months of the date the operator was first accredited.

3.1.3. 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 and Fatigue Management Policies (single operator), and
- Signed Statement of responsibilities
- If an operator has a systems audit then a further audit is to be conducted within three months from the date the operator was first provisionally accredited to allow an operator flexibility in gathering the required records (at the cost of the operator).

3.2. Compliance Audits

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

3.2.2. Compliance audits consist of an audit of the transport operators' processes and systems to ensure the modules have been integrated into the operator's business practices and are being adhered to.

3.3. Re-Entry Audits

3.3.1. Re-entry audits are conducted on expiry of the Accreditation Certificate every 36 months. These audits should be treated in the same way as entry audits.

3.3.2. If the audit is not submitted to Main Roads before or on the due date the operators accreditation will lapse, no extension of time can be given.

3.3.3. The costs of entry, compliance and re-entry audits are met by the transport operator.

3.4. Random Audit (2nd Party)

3.4.1. Random audits are undertaken by Main Roads as part of its requirement to randomly audit 5% of current transport operators each financial year.

3.4.2. Where a random audit has been initiated, Main Roads will meet the costs of that audit.

3.5. Triggered Audit (2nd Party)

3.5.1. A triggered audit occurs when Main Roads initiates an audit of a transport operator and may be undertaken as a result of a breach of the standards. This could be generated by an enforcement officer (i.e. Main Roads Road Transport Compliance Officers, Police, WorkSafe or Transport Safety Inspectors) or by complaints from the community.

3.5.2. Where a triggered audit has been initiated, Main Roads will meet the costs of that audit.

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

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

4. BECOMING A RECOGNISED AUDITOR

4.1. In order to be recognised by Main Roads as an auditor it is necessary to be certified through Exemplar Global under the Heavy Vehicle Auditor scope.

4.2. Details on the requirements for Exemplar Global can be found on their web site at <http://www.exemplarglobal.org/> or by telephoning (02) 4728 4600.

5. RECORD KEEPING

5.1. Copies of completed Audit Reports should be retained by all auditors for a period of not less than three years from the date the audit was conducted.

6. AUDIT SAMPLING

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

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

6.2.1. 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 WA HVA must be examined;

6.2.2. Operators with a fleet of greater than five towing units operating under 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

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

7.2. 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.

7.3. The following is the recommended process:

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

7.3.2. 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 six months old at the time of audit.

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

7.3.4. 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 Reporting by Exception for Main Roads requirements relating to the submission of audit reports.

7.4. The cost of these audits is met by the transport operator.

8. THE AUDIT PROCESS – 2ND PARTY AUDITS

8.1. 2nd Party audits can be either a Triggered or Random Audit.

- 8.2. Each year Main Roads will randomly audit approximately 5% of current operators (Random Audit).
- 8.3. A triggered audit may be initiated by Main Roads as a result of a substantiated breach of the standards.
- 8.4. When a 2nd Party audit is required Main Roads may choose any certified Exemplar Global Heavy Vehicle auditor to conduct the audit on behalf of the agency.
- 8.5. The following is the recommended process:
 - Obtain a copy of the previous audit report from the transport operator;
 - Conduct triggered 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;
 - Copy to be retained by the auditor.
- 8.6. The cost of these audits will be met by MRWA.

9. THE AUDIT REPORT

- 9.1. Audit Reports are to be submitted using the WAHVA Standard Audit Report format.
- 9.2. The audit report is available on the MRWA website at www.mainroads.wa.gov.au. Select Using Roads, click on Heavy Vehicles, click on Accreditation then Auditor guidelines and forms and then click WAHVA Standard Audit Report Template.
- 9.3. It is the auditor's responsibility to ensure they are using the current version of the audit report.
- 9.4. In the previous section you will have seen references to the "Audit Report". An audit report is completed every time an audit is carried out. As a minimum the Audit Report must be presented in the template format, which includes the *Face Sheet, Audit Summary Sheet and Assessment/Audit Report - Observations and Comments*.
- 9.5. 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.

9.6. Observations and Comments – Compliance with Standards

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

9.7. Corrective Action Request (if required)

9.7.1. To be completed only if a non-conformance has occurred and therefore corrective action is required.

9.7.2. Each non-conformance is to be recorded separately on individual corrective action sheets with a unique corrective action identifier.

- *Please Note: A current vehicle register must accompany all Entry (systems) and Re-entry audit reports (a vehicle register is only required for Compliance audits if there has been a change since the last audit was conducted), together with a signed auditor declaration. A recommendation from the auditor is not a requirement. In addition, a signed operator declaration is required for all audits.*

9.7.3. The WAHVA Standard Report format is contained in Attachment 2.

10. REPORTING BY EXCEPTION

10.1. 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. The operator must still 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.

10.1 Requirements – Entry (Systems) and Re-entry Audit

10.1.1 The operator is responsible for submitting to Main Roads the complete Entry (systems) audit and must include the following documents:

- Audit Report Submission Checklist including Accreditation Fee as appropriate;
- Restricted Access Vehicle Operator and WA Heavy vehicle Accreditation Registration form;
- All relevant pages of WAHVA Heavy Vehicle Audit Report Format:
 - Front Sheets;
 - Audit Summary Sheets – Mass Management (if required), Dimension and Load, Maintenance and Fatigue Management;
 - Assessment/Audit Reports – Observations and Comments for Mass Management (if required), Dimension and Load, Maintenance and Fatigue Management;
 - Auditor Declaration and Operator Declaration and Consent;

- Corrective Action Requests with all major NCRs closed out;
 - Vehicles Registration Numbers of Records Examined Register;
 - Employee/Driver Names of Records Examined Register.
- Vehicle Register
 - Copy of all roadworthy certificates/inspections/checklist. For operators with greater than 10 vehicles, the 'Main Roads Western Australia vehicle roadworthy template for more than 10 vehicles' can be used as an alternative.

10.2 Requirements – Compliance Audit – Compliant Audit

10.2.1 The operator is responsible for submitting to Main Roads the following documents:

- Audit Report Submission Checklist including Accreditation Fee as appropriate;
- Restricted Access Vehicle Operator and WA Heavy vehicle Accreditation Registration form;
- WAHVA Standard Audit Report Front Sheets;
- Auditor Declaration and Operation Declaration page (**Note:** audits will not be accepted without both auditor and operator signatures);
- Audit Summary Sheets – Mass Management (if required), Dimension and Load, Maintenance and Fatigue Management;
- Vehicle Register only needs to be submitted when a change has occurred to the list since the last audit was conducted.

10.3 Requirements – Compliance Audit – Non Compliant Audit (Non Conformances Identified)

10.3.1 In addition to the documents stated in Clause 10.2.1, the operator is responsible for submitting to Main Roads the following documents:

- Corrective Action Requests for non-conformances (minor and/or major) identified for each Standard (separate CAR for each Standard) including close out of all major non-conformances (**Note:** audits will not be accepted if major non-conformances have not been closed out).

10.4 Auditors are required to complete a full audit report for each audit conducted, including all pages relevant to WA Heavy Vehicle Accreditation.

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

10.6 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

11.1 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.

11.2 *Standard*

11.2.1 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.

11.3 *Criteria*

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

11.4 *Assessment Step*

11.4.1 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.

11.5 *How does the Operator's System address the requirement:*

11.5.1 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.

11.6 *Indicate evidence sighted*

11.6.1 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.

11.7 *Compliance and Re-Entry Audit Only*

11.7.1 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.

11.8 *Compliance Code*

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

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

11.8.3 The codes are:

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

12 REVIEW

12.1 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*

12.2 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 believe the decision should be reconsidered.

12.3 A decision regarding the request must be made by Main Roads 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 reconsidering of the decision (The affected person should contact the SAT for information in regard to this process).

13 RELATED DOCUMENTATION

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

- West Australian Heavy Vehicle Accreditation Business Rules;
- Maintenance Management Module Standards;
- Fatigue Management Module Standards;
- Dimension and Load Module Standards;
- Mass Management Module 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:

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

14 FURTHER ENQUIRIES

14.1 If you have any questions about accreditation contact:

Main Roads Western Australia
Heavy Vehicles Operations
525 Great Eastern Highway
REDCLIFFE WA 6104

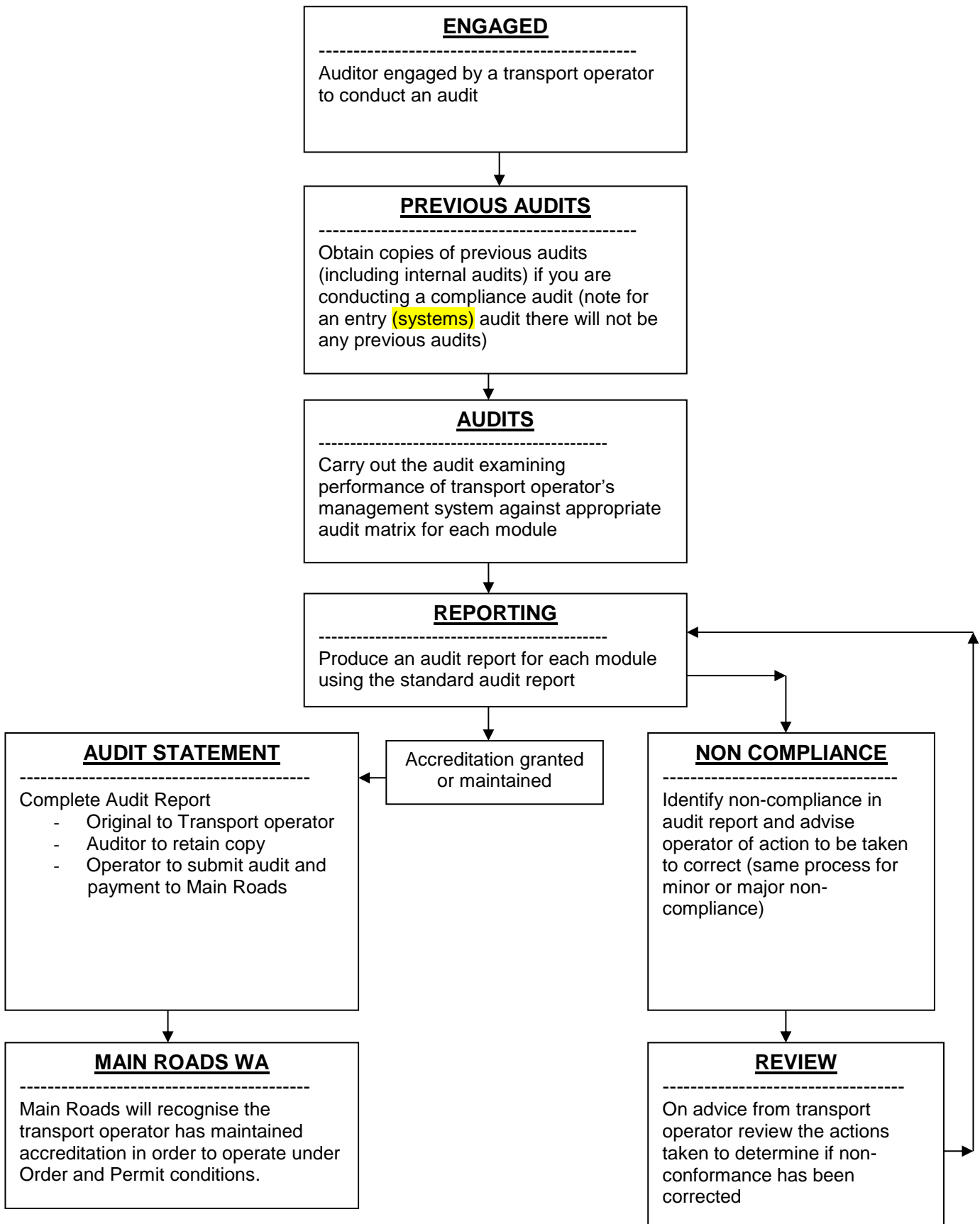
Phone: 138 486

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

- Main Roads WA Audit Report Submission Checklist including Accreditation Fee as appropriate
- Restricted Access Vehicle Operator and WA Heavy vehicle Accreditation Registration Form
- (Entry (systems)/Re-Entry) – Document is available from Main Roads website
- WAHVA Report Format – relevant pages including:
 - Front Sheets;
 - Audit Summary Sheets;
 - Assessment/Audit Report – Observations and Comments;
 - Auditor Declaration and Operator Declaration and Consent;
 - Corrective Action Requests with all major NCRs closed out;
 - Vehicles Registration Numbers of Records Examined Register;
 - Employee/Driver Names of Records Examined Register.
- Vehicle Register



Audit Report Submission Checklist

Please ensure when sending in your accreditation audit report you have completed and submitted the following documentation:

- Restricted Access Vehicle Operator and WA Heavy vehicle Accreditation Registration Form (completed, signed and dated) to accompany **all** Audit Reports
- **Auditor and Operator Declaration**(signed and dated by the auditor and operator)
- **Compliant** Audit Report (NCRs Identified- Closed Out CARs for major NCRs) for all Audits
- **Complete (Full)** Audit Report for **Entry/Re-Entry** Audit Reports
- **Compliance Audit** requirements – Pages 1, 2, 3, 4, 5 and Audit Summary Sheets, signed Auditor & Operator Declaration, CARs and a Vehicle Register if any changes from the previous audit
- Fleet/Vehicle Register required for **Entry/Re-Entry** Audits and only for Compliance Audits if changes have been made since last Audit
- Accreditation Payment (must be paid in full on Entry or Systems Entry and Re-Entry Audits)
- Copies of Roadworthy Certificates/Inspections/Checklists to accompany all **Entry/Systems/Re-Entry** audits (see Auditor Guidelines 10.1.1)

Please Note: Failure to submit an audit report in accordance with the requirements detailed in Clause 10 of “Guidelines for Audit Providers” (together with other necessary documentation), may result in the audit being returned, causing delays in meeting the audit due date.

RECEIPT NUMBER	<input style="width: 90%;" type="text"/>	AUDIT TYPE	<input style="width: 90%;" type="text"/>
<small>(Office Use Only)</small>			

ACCREDITATION FEE PAYMENT TYPE:

CASH CHEQUE CREDIT CARD

CREDIT CARD DEBIT AUTHORITY

NAME (ON CARD)

ADDRESS <input style="width: 95%;" type="text"/>	POST CODE	<input style="width: 90%;" type="text"/>
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MASTERCARD VISA EXPIRY DATE

CCV (Compulsory)

I authorise Main Roads to debit my credit card for the amount indicated: \$225.00

CARD NUMBER

SIGNATURE: _____

Payment may be made by cheque or personally attending the Heavy Vehicle Operations, Main Roads WA, 525 Great Eastern Highway, Redcliffe WA 6104 (Mon-Fri 8.30am–4.30 pm)



WESTERN AUSTRALIAN HEAVY VEHICLE ACCREDITATION AUDIT REPORT

TICK AS APPROPRIATE				TICK AS APPROPRIATE			
WAHVA – Maintenance Module		ENTRY AUDIT					
WAHVA – Fatigue Module		SYSTEMS ENTRY AUDIT					
WAHVA – Dimension & Loading Module		COMPLIANCE AUDIT					
WAHVA – Mass Module		RE-ENTRY AUDIT					
		RANDOM AUDIT					
		TRIGGERED AUDIT					
CONTACT INFORMATION							
WAHVA Operator Number							
Company/Individual Legal Entity Name							
Registered Business Name (As per ASIC web site)							
Australian Business Number							
Australian Company Number							
ASIC Business Number (if available)							
Operator Main Business Address							
Operator Main Postal Address							
Phone No.		Fax No.					
Mobile No.		Email address					
Operator Contact Person							
Full Operator Depot Address							
Full Operator Depot Address							
Full Audit Location Address							
Date of Audit							
Auditor name							
Auditor Certification id:		Certification Expiry Date	___/___/___				

AUDIT ATTENDANCE LIST (NAMES AND POSITION TITLES):

Name	Position Titles	Present at Entry Meeting	Present at Exit Meeting

NATURE OF OPERATOR BUSINESS (SUMMARY):

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SUB-CONTRACTOR INFORMATION – WORKING UNDER THEIR OWN ACCREDITATION

Does the operator utilise Sub-Contractors working under their own WAHVA?	
If Yes, is current evidence available to support this?	

COMPLIANCE & INTERCEPT REPORTS

Does the operator have any MRWA issued Intercept Reports?	
If yes, have any that required action been included in the Internal Review?	

ACCREDITATION VEHICLE SUMMARY (Attach copy of fleet register)

Number of powered vehicles		Number of trailing vehicles	
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ACCREDITATION DRIVER SUMMARY (Attach copy of driver list)

Number of drivers		Percentage sampled	
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Pages in Standard Report that are not included (i.e. for other modules)	
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AUDIT SUMMARY SHEET

COMPLIANCE CODES			
NAP	Not Applicable	NA	Not Assessed at this Audit
V	Conformance Verified	M	Minor Non-Conformance Requiring Rectification by an Agreed Date
C	Major Non-Conformance Requiring Rectification by an Agreed Date Prior to Accreditation Being Allowed	SFI	Suggestion For Improvement

MAINTENANCE MANAGEMENT MODULE				
REQUIREMENT OF STANDARD	COMPLIANCE CODE	CORRECTIVE ACTION REPORT (CAR)	AGREED CLOSEOUT DATE	ACTUAL CLOSEOUT DATE
Std 1. Daily Check				
Std 2. Fault Recording and Reporting				
Std 3. Fault Repair				
Std 4. Maintenance Schedules and Methods				
Std 5. Records and Documentation				
Std 6. Responsibilities				
Std 7. Internal Review				
Std 8. Training and Education				

FATIGUE MANAGEMENT MODULE				
REQUIREMENT OF STANDARD	COMPLIANCE CODE	CORRECTIVE ACTION REPORT (CAR)	AGREED CLOSEOUT DATE	ACTUAL CLOSEOUT DATE
Std 1. Scheduling				
Std 2. Rostering				
Std 3. Fitness for Work				
Std 4. Training and Education				
Std 5. Management of Accidents and Incidents				
Std 6. Workplace Conditions				
Std 7. Documentation and Records				
Std 8. Responsibilities				
Std 9. Internal review				

AUDIT SUMMARY SHEET

DIMENSION AND LOADING MODULE				
REQUIREMENT OF STANDARD	COMPLIANCE CODE	CORRECTIVE ACTION REPORT (CAR)	AGREED CLOSEOUT DATE	ACTUAL CLOSEOUT DATE
Std 1. Responsibilities				
Std 2. Vehicle Loading – Dimension and Safety				
Std 3. Records and Documentation				
Std 4. Internal Review				
Std 5. Training and Education				

MASS MANAGEMENT MODULE				
REQUIREMENT OF STANDARD	COMPLIANCE CODE	CORRECTIVE ACTION REPORT (CAR)	AGREED CLOSEOUT DATE	ACTUAL CLOSEOUT DATE
Std 1. Entry to Mass Management				
Std 2. Vehicle Control				
Std 3. Vehicle Loading - Mass				
Std 4. Responsibilities				
Std 5. Records and Documentation				
Std 6. Internal Review				
Std 7. Training and Education				

ASSESSMENT/AUDIT REPORT

OBSERVATIONS AND COMMENTS

1. Summary of Audit findings

The operator named in this report presented the following documentation to demonstrate compliance with the standards:

Provide details on how the operator demonstrated compliance for each Standard, including dates and type of sample documentation. Please refer to audit matrix for details of assessment steps.

<u>MAINTENANCE MANAGEMENT</u>	DETAILS
<p>Std 1. Daily Check The maintenance management system must include a daily check for each vehicle when it is in use. The daily check is a documented instruction of simple roadworthiness checks. The operator shall define when the inspection is carried out, by whom and how it is recorded. The individual completing the daily check shall acknowledge the vehicle to be roadworthy to limits of the inspection.</p>	<p>An operator's maintenance management system: Criteria: - 1.1 Must include a documented instruction detailing when the daily check is carried out, who carries it out, and how the check is recorded. Criteria: - 1.2 The daily check must cover as a minimum the inspection of:</p> <ul style="list-style-type: none"> • Wheels and tyres • Lights and reflectors • Windscreen, mirrors and wipers • Structure and bodywork • Brakes • On-Road Vehicle Fault Report <p>Criteria: - 1.3 The individual who carries out the check must understand they are certifying the vehicle is safe to the limits of the inspection when the vehicle leaves the yard or depot. OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>
<p>Std 2. Fault Recording and Reporting The maintenance management system must ensure provision is made to record and report vehicle faults on both the hauling and the trailing equipment. The driver should be able to record and report any recognisable fault occurring during the course of a journey so it may be assessed and rectified.</p>	<p>An operator's maintenance management system: Criteria: - 2.1 Needs to provide for a means which can be retained in the vehicle to record faults occurring during a journey to both trailing and hauling equipment. Criteria: - 2.2 Must include documented instruction which details how a driver records faults occurring during a journey and how the faults are reported to the maintenance provider, as soon as possible. Criteria: - 2.3 Must include documented instruction which provides for faults occurring at any other time to be reported to the maintenance provider as soon as possible. Criteria: - 2.4 Must include written instructions which explain how to find a major or serious fault, as soon as possible, even if the vehicle is away from home base. OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>

<u>MAINTENANCE MANAGEMENT</u>	DETAILS
<p>Std 3. Fault Repair The maintenance management system provides for the identification, assessment and action on reported faults.</p> <p>The system has a method of identifying, assessing and taking action on reported faults from any source (i.e. driver, maintenance provider, manager) and determining the priority placed upon repair of the fault.</p>	<p>An operator's maintenance management system:</p> <p>Criteria: - 3.1 Must have a method in place to identify and assess the nature of a fault and place priority on its repair.</p> <p>Criteria: - 3.2 Must identify on the record the person making the decision if a decision is made to defer working on a fault.</p> <p>Criteria: - 3.3 Must record where a decision is made to monitor the condition of a fault. The system must also set the upper limits for when a monitored condition is repaired (i.e. every 1000 km, when parts are received, etc.) The identity of the person who makes the decision to monitor a fault must be recorded.</p> <p>Criteria: - 3.4 At the completion of repair, records must show the fault has been rectified and tested.</p> <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION:</p>
<p>Std 4. Maintenance Schedules and Methods The maintenance management system must include periodic maintenance schedules with identified service periods that describe the tasks to be completed. This standard provides evidence the vehicle is being systematically maintained. This will be through a series of work schedules pertinent to various vehicle and system components. Within the maintenance schedules, or available to the maintenance provider, will be a description of the tasks for the inspection, service, repair or replacement of components utilised within the vehicle.</p>	<p>An operator's maintenance management system:</p> <p>Criteria: - 4.1 Must include evidence that at the time of entry into the scheme, the nominated fleet had been certified roadworthy by a qualified person experienced in the inspection of heavy vehicles in accordance with the national Roadworthiness Guidelines (Vehicle Standards) and the Australian Design Rules (ADRs). The evidence cannot be more than six months old. This must include a recent statement from the operator or designated responsible person verifying the nominated fleet is roadworthy.</p> <p>Criteria: - 4.2 Must include maintenance schedules which provide for the periodic maintenance of vehicles at defined intervals of time, distance, or hours of use. Schedules must include a description of the tasks to be completed during the service.</p> <p>Criteria: - 4.3 Must include evidence that maintenance and repairs are only undertaken by persons having suitable qualifications or experience to competently complete any maintenance or repair tasks, or to do so under suitable supervision.</p> <p>Criteria: - 4.4 Must include table of tolerances and wear limits for major components and it must comply with at least the national vehicle standards.</p> <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION:</p>

<u>MAINTENANCE MANAGEMENT</u>	DETAILS
<p>Std 5. Records and Documentation</p> <p>Documented evidence must be maintained to demonstrate the effective operation of the maintenance management system.</p> <p>Essential to the maintenance system is the keeping and preservation of pertinent records.</p>	<p>An operator's maintenance management system:</p> <p>Criteria: - 5.1</p> <p>Must keep as a minimum the following documented evidence:</p> <ul style="list-style-type: none"> • Daily check is being completed in accordance with the instruction; • Faults occurring on the road are being recorded and reported in accordance with the procedures; • Reported faults are being repaired in accordance with the set method; • Vehicles are maintained in accordance with the set periodic schedules; • Persons maintaining vehicles under the maintenance management system are suitably qualified or experienced to do so; and • Records, procedures, and methods in place under the system are regularly reviewed in accordance with the procedures. <p>Criteria: - 5.2</p> <p>Must ensure procedures include steps for making maintenance management procedures available to all relevant staff.</p> <p>Criteria: - 5.3</p> <p>A record of nominated vehicles must be kept and regularly updated. The format should be able to record the following details for each nominated vehicle:</p> <ul style="list-style-type: none"> • Type of unit • Manufacturer • Date of construction • Registration number; and • Unique identifier (VIN) <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION:</p>
<p>Std 6. Responsibilities</p> <p>The authorities, responsibilities and duties of all positions involved in the management, operation, administration, participation and verification of the maintenance management system are current, clearly defined and documented.</p> <p>Responsibility for each operation of the maintenance management system is to rest with appropriate people within the road transport operation as nominated by the operator.</p>	<p>An operator's maintenance management system:</p> <p>Criteria: - 6.1</p> <p>Must clearly identify:</p> <ul style="list-style-type: none"> • What the tasks in your maintenance management system are; and • Who is responsible for carrying out each task listed in your maintenance management system manual? • The people assigned to the listed tasks must be appropriate for those tasks. <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION:</p>
<p>Std 7. Internal Review</p> <p>The maintenance management system must be subject to an annual internal review to verify all results and activities comply with the system's policies, procedures and instructions.</p>	<p>An operator's maintenance management system:</p> <p>Criteria: - 7.1</p> <p>Must include procedures for carrying out internal reviews which cover:</p> <ul style="list-style-type: none"> • When the reviews are to take place; • Who is to conduct them; • How the reviews are to be conducted; and • Checklists to be used for the review. <p>Criteria: - 7.2</p> <p>As far as possible you must ensure the person or people carrying out your internal reviews are independent of the procedures being reviewed.</p> <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION:</p>

<u>MAINTENANCE MANAGEMENT</u>	DETAILS
<p>Std 7. Internal Review - continued</p>	<p>Criteria: - 7.3 Quite apart from your annual internal review, you must have written procedures for ensuring all non-compliances brought to light at any time during the year are corrected. This means identifying the people who are to be responsible for taking action so instances of non-compliance are not repeated. The procedures for handling non-compliances should include:</p> <ul style="list-style-type: none"> ▪ How non-compliances can be detected; ▪ Who is responsible for detecting them; ▪ Who else should be told about them; ▪ Corrective action to be taken; ▪ Timeframes for reporting identified non-compliances; ▪ And How the responsible person is to document the process so the non-compliance does not recur: and ▪ Evidence of non-conformances and the action taken to correct them must be retained. This is done in the form of a non-conformance register. <p>Criteria: - 7.4 Must write a quarterly compliance report that lists:</p> <ul style="list-style-type: none"> • The number of vehicles in your accredited fleet; • The total number of daily checks conducted over the period and the total number of incidences where the check was not done; • The total number of services and total number of incidences where services were not carried out at the recorded intervals; and • The total number of fault repairs and total incidences when faults were not closed out. <p>Criteria: - 7.5 Where changes to procedures are required in order to correct non-compliances, appropriate staff must be named to update the procedures</p> <p>Criteria: - 7.6 Must retain copies of superseded procedures, along with all other documentation relevant to the review, for later audit.</p> <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>
<p>Std 8. Training and Education The persons who hold a position of responsibility under the maintenance management system are trained in and are familiar with the specific policy, procedures and instructions they are to carry out.</p>	<p>An operator's maintenance management system: Criteria: - 8.1 Must keep evidence of relevant maintenance management system training provided to your staff.</p> <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>

ASSESSMENT/AUDIT REPORT

OBSERVATIONS AND COMMENTS

2. Summary of Audit findings

The operator named in this report presented the following documentation to demonstrate compliance with the standards:

Provide details on how the operator demonstrated compliance for each Standard, including dates and type of sample documentation. Please refer to audit matrix for details of assessment steps.

<u>FATIGUE MANAGEMENT</u>	DETAILS
<p>Std 1. Scheduling A Fatigue Management System must ensure drivers are not required to drive unreasonable distances in insufficient time and without sufficient notice and adequate rest. Scheduling must include fatigue management measures, where practicable and appropriate pre-trip or forward planning to minimise fatigue. Scheduling practices must not put the delivery of a load before a driver's safety or health.</p>	<p>An operator's Fatigue Management System must ensure:</p> <p><u>Criteria: - 1.1</u> The scheduling of trips is in accordance with the requirements of the WAOSH for commercial vehicle drivers.</p> <p><u>Criteria: - 1.2</u> Drivers do not operate outside the approved "commercial vehicle operating standard" requirements.</p> <p><u>Criteria: - 1.3</u> If a driver on a set run is continually exceeding the working hours as set out in the Regulations then the schedule must be changed; it is not practicable to allow the driver to continually exceed the allowable hours.</p> <p><u>Criteria: - 1.4</u> Company operating procedures provide drivers with flexibility to effectively manage unforeseen circumstances that require changes to schedules.</p> <p><u>Criteria: - 1.5</u> Necessary documentation, including trip sheets and rosters, are produced to demonstrate this standard is complied with.</p> <p><u>Criteria: - 1.6</u> The same scheduling practices apply to all drivers, including casual, relief, labour hire and subcontracted drivers.</p> <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>
<p>Std 2. Rostering A Fatigue Management System must ensure rosters and workload meet the commercial vehicle operating standard requirements of the WAOSH for commercial vehicle drivers. This will maximise the opportunity for a driver to recover from the effects or onset of fatigue.</p>	<p>An operator's Fatigue Management System must:</p> <p><u>Criteria: - 2.1</u> Ensure all drivers work time is in accordance with the WAOSH for commercial vehicle drivers.</p> <p><u>Criteria: - 2.2</u> Have written instructions that identify the requirements which must be complied with when preparing rosters.</p> <p><u>Criteria: - 2.3</u> Have documentation and instructions including trip sheets, rosters and schedules that demonstrate this standard is complied with.</p> <p><u>Criteria: - 2.4</u> Have a system in place that identifies how the trip sheets are checked to ensure:</p> <ul style="list-style-type: none"> • Commercial vehicle drivers are complying with the regulations; and • The accuracy of the information provided on the sheets (see WorkSafe WA Safety Alert 01/09). <p><u>Criteria: - 2.5.</u> Have a procedure in place to ensure a breach, if detected, does not continue</p> <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>

FATIGUE MANAGEMENT	DETAILS
<p>Std 3. Fitness for Work A Fatigue Management System must include requirements to ensure drivers present themselves in a fit state to safely perform their duties.</p>	<p>Criteria: - 3.1 Include a written policy relating to fitness for work, specifically referring to drugs and alcohol, which contains a statement that "drivers must present themselves fit for duty unimpaired by fatigue, alcohol or drugs".</p> <p>Criteria: - 3.2 Contain in this policy a statement that fitness for work will be diligently supervised as far as is practicable.</p> <p>Criteria: - 3.3 Include in the policy any action which can be taken in regard to breaches of the policy.</p> <p>Criteria: - 3.4 Detail and manage control measures for the recovery and treatment of fatigue.</p> <p>Criteria: - 3.5 Require all drivers have a <u>MEDICAL ASSESSMENT</u> in accordance with the requirements of the WAOSH for commercial vehicle drivers.</p> <p>Criteria: - 3.6 Have a system for monitoring their driver's medical assessments and ensuring they are current.</p> <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>
<p>Std 4. Training and Education A Fatigue Management System must ensure all persons associated with the management of fatigue have the appropriate knowledge and skills to undertake their required tasks and therefore practise effective fatigue management.</p>	<p>Criteria: - 4.1 Document what training in relation to Western Australian fatigue management is required for anyone associated with the management, supervision or driving of commercial vehicles, including anyone associated with rostering, scheduling and the checking of trip records. As a minimum, this should be WA WorkSafe on line assessment or equivalent Fatigue Management Training includes a section on the Western Australian commercial vehicle driver hours of work. All training is to include a test of knowledge with a pass requirement.</p> <p>Criteria: - 4.2 Document the training that has been undertaken in relation to Western Australian fatigue management by anyone associated with the management, supervision or driving of commercial vehicles, including anyone associated with rostering, scheduling and checking trip records.</p> <p>Criteria: - 4.3 Document what training in the operator's Fatigue Management System's policies and practices is given to all new drivers, contractors or employees as part of their induction process.</p> <p>Criteria: - 4.4 Require the regular review of training and detail this process, the staff responsible for it and its frequency.</p> <p>Criteria: - 4.5 Ensure all managers, supervisors and drivers are provided with information of the Fatigue Management System, including any revisions.</p> <p>Criteria: - 4.6 Ensure a system is in place to ensure the accuracy of schedules, rosters and trip records.</p> <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>
<p>Std 5. Management of Accidents and Incidents A Fatigue Management System must ensure comprehensive and thorough reporting of all accidents and incidents at work, including an internal review of this process.</p>	<p>An operator's Fatigue Management System must:</p> <p>Criteria: - 5.1 Have a written policy for the reporting and recording of accidents and incidents.</p> <p>Criteria: - 5.2 Have procedures to be followed for the reporting and recording of accidents and incidents (document should include the accident or incident, who was involved, what vehicle type or combination was involved, where did it occur, when and what were the circumstances).</p> <p>Criteria: - 5.3 Have documentation that demonstrates what investigation was carried out and record any follow up and remedial action taken for all accidents and incidents reported.</p> <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>

FATIGUE MANAGEMENT	DETAILS
<p>Std 6. Workplace Conditions</p> <p>A Fatigue Management System must ensure operator's workplaces comply with the requirements of the Occupational Safety and Health Act and the relevant Australian Design Rules.</p>	<p>An operator's Fatigue Management System must:</p> <p>Criteria: - 6.1 Ensure policies and procedures exist that ensure the working environment assists in the prevention of fatigue. The must include, where applicable, specific provisions relating to driver seating, driver sleeping facilities, depot facilities and air conditioning of driver cabs.</p> <p>Criteria: - 6.2 If drivers are required, as part of their duties, to sleep in a vehicle when away from their home location (this includes two up operations) then the vehicle they are sleeping in must conform to the requirements of ADR 42.</p> <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>
<p>Std 7. Documentation and Records</p> <p>A Fatigue Management System must contain sufficient documented evidence for an auditor to determine all standards have been complied with.</p>	<p>An operator's Fatigue Management System must:</p> <p>Criteria: - 7.1 Have written documentation recording all policies and procedures required under these standards.</p> <p>Criteria: - 7.2 Ensure all required records are legible and identifiable to the vehicle, driver and trip involved.</p> <p>Criteria: - 7.3 Ensure all commercial vehicle drivers maintain a trip record for all trips (as a minimum trip records must record – work time, breaks from driving and non-work time).</p> <p>Criteria: - 7.4 The record must be current, which should mean up until the last non-work period. The driver should complete the record as the trip progresses with breaks noted as they occur (see COPCVD).</p> <p>Criteria: - 7.5 Ensure all policies and procedures are available to all relevant staff and at all locations where operations related to fatigue management are undertaken.</p> <p>Criteria: - 7.6 Require all elements of the Fatigue Management System are maintained and updated and the responsibility for this task is documented.</p> <p>Criteria: - 7.7 Require all documents be kept for a minimum of three years. This includes superseded procedures.</p> <p>Criteria: - 7.8 The following documented evidence must be retained as a minimum:</p> <ul style="list-style-type: none"> • Documentation that records all trips; • Start and finish times (trip sheets) for trips with details of any alterations; • Scheduling of trips; • Rosters (including name of driver and expected start and finish times); • Confidential personnel records, including evidence of driver's medical assessments (only the portion the Doctor has signed confirming the driver is fit to drive – do not require all of the medical) and records of training undertaken; and • Documents detailing any reportable accidents or incidents. <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>

FATIGUE MANAGEMENT	DETAILS
<p>Std 8. Responsibilities A Fatigue Management System must ensure the authorities, responsibilities and duties of all positions involved in the management, operation, administration, participation and verification are current, clearly defined and documented. Drivers, managers and schedulers must understand their responsibility in relation to the hazards and risks and how these hazards and risks may be managed and controlled.</p>	<p>An operator's Fatigue Management System must: Criteria: - 8.1 Identify the tasks in your Fatigue Management System and who is responsible for carrying out each task, including who is responsible for ensuring the Fatigue Management System is being maintained and followed. Criteria: - 8.2 Ensure the people assigned to each listed task are appropriate for the task. Criteria: - 8.3 Ensure all of the relevant staff knows how to access the written record of what their responsibilities are. OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>
<p>Std 9. Internal Review A Fatigue Management System must be subject to annual internal review to verify all results and activities comply with the system's policies, procedures and instructions.</p>	<p>An operator's Fatigue Management System must: Criteria: - 9.1 Include procedures for carrying out annual internal reviews that cover:</p> <ul style="list-style-type: none"> • When the reviews are to take place; • Who is to conduct them; • How the reviews are to be conducted; and • The checklists of documents to be used for the review. <p>Criteria: - 9.2 Require the internal review be carried out by a person (independent) who is not involved in the operation of the procedures being reviewed, where practical. Criteria: - 9.3 Have written procedures for ensuring all non-conformances identified at any time during the year, including during regular compliance reporting, are corrected and for identifying the people who are to be responsible for taking action so instances of non-conformance are not repeated. The procedures for handling non-conformances must include:</p> <ul style="list-style-type: none"> • How non-conformances can be detected; • Who is responsible for detecting them; • Who else should be told about them; • The corrective action to be taken; • Timeframes for reporting identified non-conformances; and • How the responsible person is to document the process so the non-conformance does not recur. <p>Evidence of non-conformances and the action taken to correct them must be retained. This is done in the form of a non-conformance register. Criteria: - 9.4 Have written procedures for allocating to specific staff the responsibility for ensuring all non-conformances are addressed and not repeated. Criteria: - 9.5 Require the production of regular compliance statements, and detail the form of this report. OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>

ASSESSMENT/AUDIT REPORT

OBSERVATIONS AND COMMENTS

3. Summary of Audit findings

The operator named in this report presented the following documentation to demonstrate compliance with the standards:

Provide details on how the operator demonstrated compliance for each Standard, including dates and type of sample documentation. Please refer to audit matrix for details of assessment steps.

<u>DIMENSION & LOADING MANAGEMENT</u>	DETAILS
<p>Std 1. Responsibilities The Load Management System must clearly identify what tasks are involved in loading a vehicle, each person who is involved in the loading and their responsibilities during each task. Each person must be competent to undertake the task.</p> <p>Note: It is important that somewhere the operator clearly identifies the tasks to be carried out and who is responsible for performing each task.</p> <p>Note 1: One responsibility statement could be raised for all accreditation modules. Example forms can be found in the "Operator Guide – How to Become and Stay Accredited and Sample Forms", located on the MRWA web site.</p>	<p>An operator's Dimension & Loading Management System must:</p> <p>Criteria: - 1.1 Clearly identify who is responsible for carrying out each task and what the tasks in the Load Management System are, including:</p> <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. <p>Criteria: - 1.2 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.</p> <p>Criteria: - 1.3 Ensure there is a suitable system in place in the event the responsible person is not available.</p> <p>NOTE: One responsibility statement could be raised for all accreditation modules.</p> <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>

<u>DIMENSION & LOADING MANAGEMENT</u>	DETAILS
<p>Std 2. Vehicle Loading – Dimension and Safety</p> <p>The Load Management System must document the methodology used to ensure vehicles are loaded within allowable dimension limits and in a safe manner, taking into account suitable load restraint and vehicle stability.</p>	<p>An operator's Dimension & Loading Management System must:</p> <p>Criteria: - 2.1 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.</p> <p>Criteria: - 2.2 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.</p> <p>Criteria: - 2.3 Have written instructions in place so loads outside of legal dimension limits are rectified prior to the vehicle travelling on the road.</p> <p>Criteria: - 2.4 Have documented procedures in place for ensuring loads are adequately restrained or contained, in accordance with the current <i>Load Restraint Guide</i>.</p> <p>Criteria: - 2.5 Ensure written procedures are in place for managing the rollover risk of the vehicle.</p> <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>
<p>Std 3. Records and Documentation</p> <p>A Load Management System must contain sufficient records and documentation to verify all Standards have been complied with.</p>	<p>An operator's Dimension & Loading Management System must:</p> <p>Criteria: - 3.1 Have documentation recording all policies and procedures required under these Standards.</p> <p>Criteria: - 3.2 Ensure all required records are legible.</p> <p>Criteria: - 3.3 Ensure current documentation is available to all relevant staff and at all locations where operations related to load management are undertaken.</p> <p>Criteria: - 3.4 Ensure all elements of the Load Management System are maintained and updated and the responsibility for this task is documented.</p> <p>Criteria: - 3.5 Ensure all documents and records be kept for a minimum of three years. This includes superseded procedures.</p> <p>Criteria: - 3.6 Ensure Responsibility Statements are read, signed and dated by each person responsible for the task</p> <p>Criteria: - 3.7 Ensure the following records and documentation be retained for each trip, as a minimum:</p> <ul style="list-style-type: none"> • The dimension and loading checklist. <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>

<u>DIMENSION & LOADING MANAGEMENT</u>	DETAILS
<p>Std 4. Internal Review An annual internal review must be conducted to ensure loads are being adequately controlled and all activities are conducted in accordance with the Load Management System. An internal review of the Load Management System is required to confirm the ongoing relevance and appropriateness of processes and practices. An effective review will identify any non-conformance which must be actioned accordingly.</p> <p>Note 1: It is not necessary to have a separate Internal Review and quarterly compliance statement for each accreditation module. One Internal Review document and one quarterly compliance statement could be raised to capture the required criteria across all accreditation modules. Example forms can be found in the "Operator Guide – How to Become and Stay Accredited and Sample Forms", located on the MRWA web site.</p>	<p>An operator's Dimension & Loading Management System must:</p> <p>Criteria: - 4.1 Ensure the carrying out annual internal reviews covers:</p> <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. <p>Criteria: - 4.2 Ensure the internal review is being carried out by a person not involved in the operation of the procedures being reviewed, where practical.</p> <p>Criteria: - 4.3 Require the production of quarterly compliance statements and detail the form of this report, which must include as a minimum:</p> <ul style="list-style-type: none"> • Cautions • Infringements • Court Matters <p>Criteria: - 4.4 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.</p> <p>The processes for handling non-conformance must include:</p> <ul style="list-style-type: none"> • How non-compliances can be detected. • Who is responsible for detecting them. • 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>Criteria: - 4.5 Have written processes for allocating responsibility to designated staff for ensuring all non-conformances are addressed and not repeated.</p> <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>

<u>DIMENSION & LOADING MANAGEMENT</u>	DETAILS
<p>Std 5. Training and Education</p> <p>A Load Management System must ensure all persons associated with the management of loads have the appropriate knowledge and skills to undertake their required tasks.</p> <p>Note 1: It is not necessary to have a separate Training and Education register for each accreditation module. One Training and Education register could be raised to capture the required criteria across all accreditation modules. An example form can be found in the "Operator Guide – How to Become and Stay Accredited and Sample Forms", located on the MRWA web site.</p>	<p>An operator's Dimension & Loading Management System must:</p> <p>Criteria: - 5.1 Identify what training in relation to load management is required for each person associated with load management activities.</p> <p>Criteria: - 5.2 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).</p> <p>Criteria: - 5.3 Document and record what training in load management is given to all new drivers, contractors or employees as part of their induction process.</p> <p>Criteria: - 5.4 Ensure the regular review of training and detail this process, the staff responsible and the frequency.</p> <p>Criteria: - 5.5 Ensure all relevant staff (including sub-contractors) are provided with information on the Load Management System, including revisions.</p> <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>

ASSESSMENT/AUDIT REPORT

OBSERVATIONS AND COMMENTS

4. Summary of Audit findings

The operator named in this report presented the following documentation to demonstrate compliance with the standards:

Provide details on how the operator demonstrated compliance for each Standard, including dates and type of sample documentation. Please refer to audit matrix for details of assessment steps.

<u>MASS MANAGEMENT</u>	DETAILS
<p>Std 1. Eligibility Requirements for Mass Management</p> <p>Prior to being approved under AMMS, operators must declare they have loading controls in place through their Mass Management System to meet the Mass Management Module Standards.</p>	<p>An operator's Mass Management System must:</p> <p>Criteria: - 1.1 Provide appropriate documents and records in an audit to ensure the loading control methods were implemented at the time AMMS permits were first issued.</p> <p>Criteria: - 1.2 Engage a qualified Heavy Vehicle Auditor who has been approved by MRWA to audit the Mass Management System.</p> <p>Criteria: - 1.3 Complete an Entry Audit or a Mass Management Module Audit and submit the completed audit to MRWA for processing.</p> <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>

<u>MASS MANAGEMENT</u>	DETAILS
<p>Std 2. Vehicle Control Operators must ensure all vehicles operating under AMMS meet the technical specifications required for the relevant higher mass limits.</p> <p>Note 1: This could be as simple as adding extra columns to the vehicle register required under the Maintenance Management Module. An example template form can be found in the "Operator Guide – How to Become and Stay Accredited and Sample Forms", located on the MRWA web site.</p>	<p>An operator's Mass Management System must:</p> <p>Criteria: - 2.1 Have a comprehensive register (see Note 1) of all vehicles operating under AMMS (including sub-contractor's vehicles). The register must include the following details about each vehicle used under the Accredited Mass Management Scheme:</p> <ul style="list-style-type: none"> a) Make and model b) Registration number c) Registered owner d) Vehicle Identification Number (VIN) e) Tare mass f) Gross Vehicle Mass (GVM) rating g) Gross Combination Mass (GCM) rating h) Date added to or removed from vehicle list i) Relevant AMMS permit number and expiry date <p>Criteria: - 2.2 Ensure all vehicles have sufficient ratings to conform to the authorised higher mass limits and the required authorisations (i.e. licenses, permits or order) to operate under AMMS, prior to operating on the public road network.</p> <p>Criteria: - 2.3 Ensure any nominated subcontractor's vehicles are operating exclusively for the operator. If a subcontractor wishes to work for others, they must be accredited in their own right.</p> <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>

MASS MANAGEMENT	DETAILS
<p>Std 3. Vehicle Loading - Mass</p> <p>The Mass Management System must be able to ensure vehicles are loaded within allowable mass limits. Before the vehicle departs, it must have its weight assessed to ensure it is not exceeding the allowable mass (see note 3).</p> <p>The methodology must be able to allow for normal variations of the product and still ensure all mass requirements are met. The loading system must control vehicle loadings within the allowable limits, prior to the vehicle travelling on the road.</p> <p>Note 2: For the purpose of Standard 3.3 "provide certification", where an AMMS Approved Weighbridge (as published on the Main Roads Website under the AMMS Approved Weighbridge Supplier Member List) is used as the sole loading control method, the operator is not required to supply certification documentation. The weighbridge simply needs to be identified in the Mass Management System.</p> <p>Note 3: Weight can be assessed by a weigh bridge (weight distribution) or any other means which can confirm axle loadings (this can include systems that have been verified and then only require confirmation every quarter).</p>	<p>An operator's Mass Management System must:</p> <p>Criteria: - 3.1 Ensure the loading method is capable of controlling the vehicle's gross mass and load distribution across axle groups as shown in Appendix 1 (see note 1). Specify how the mass is recorded and where the records are kept for each trip.</p> <p>Criteria: - 3.2 Have written instructions that define the procedure for dealing with vehicles detected as being overloaded and how any variations, such as load density, temperature, size variations etc., will be controlled.</p> <p>Criteria: - 3.3 Provide documentary evidence of certification that any devices used for establishing mass or volumes have been appropriately calibrated in accordance with manufacturer's specifications, or National Measurement Institute (NMI) regulatory requirements (see note 2).</p> <p>Criteria: - 3.4 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.</p> <p>Criteria: - 3.5 Ensure written procedures are in place for managing the rollover risk of the vehicle.</p> <p>Note 1: For the purpose of Standard 3.1 "load distribution", the less than 5% tolerance across adjacent axle groups provided for in Section 29 <i>Road Traffic (Vehicles) Act 2012</i> may be applied as follows:</p> <p>A person does not commit an offence under subsection (1) in relation to a mass requirement that applies to a heavy vehicle and its load if —</p> <ul style="list-style-type: none"> (a) the load is grain, sand, ore, volume loaded liquid, or any other commodity, that is transported in bulk; and (b) the vehicle is built for the purpose of carrying that commodity in bulk; and (c) the vehicle is designed so that the load can move within the confines of the vehicle; and (d) the gross loaded mass of the vehicle at the time does not exceed the vehicle's GVM; and (e) the amount of mass in excess of the amount of the maximum mass permitted in relation to an axle mass requirement, expressed as a percentage of the amount of the maximum mass, is less than 5%. <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>

<u>MASS MANAGEMENT</u>	DETAILS
<p>Std 4. Responsibilities The Mass Management System must clearly identify what tasks are involved in loading a vehicle, each person who is involved and their responsibilities during each task. Each person must be competent to undertake the task.</p> <p>Note: An operator may choose to have a separate list of all the people involved in the Mass Management System and what they are responsible for or the positions or people responsible for the tasks could simply be named. It is important that somewhere the operator clearly identifies the tasks to be carried out and who is responsible for performing each task.</p> <p>Note 1: One responsibility statement could be raised for all accreditation modules. Example template forms can be found in the “Operator Guide – How to Become and Stay Accredited and Sample Forms”, located on the MRWA web site.</p>	<p>An operator’s Mass Management System must: Criteria: - 4.1 Clearly identify what the tasks in the Mass Management System are and who is responsible for carrying out each task. Criteria: - 4.2 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. Criteria: - 4.3 Ensure there is a suitable system in place in the event the responsible person is not available. OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>
<p>Std 5. Records and Documentation A Mass Management System must contain sufficient records and documentation to verify all Standards have been complied with.</p> <p>Note 1: For the purpose of an entry audit into AMMS, records of trips may not be available for the higher mass limits, but if available, records at normal weights showing the required controls are in place can be used.</p>	<p>An operator’s Mass Management System must: Criteria: - 5.1 Have documentation recording all policies and procedures required under these Standards. Criteria: - 5.2 Ensure all required records are legible and identifiable to the vehicle, driver and trip involved (see note 1). Criteria: - 5.3 Ensure current documentation is available to all relevant staff and at all locations where operations related to mass management are undertaken. Criteria: - 5.4 Ensure all elements of the Mass Management System are maintained and updated and the responsibility for this task is documented. Criteria: - 5.5 Ensure all documents and records be kept for a minimum of three years. This includes superseded procedures. Criteria: - 5.6 Ensure Responsibility Statements are read, signed and dated by each person responsible for the task. Criteria: - 5.7 Ensure the following records and documentation be retained for each trip, as a minimum:</p> <ul style="list-style-type: none"> • The registration details of all vehicles in the combination used. • Applicable authorisations (i.e. licenses, permits and orders) under which the vehicle was operating. • Details of the load carried. • The masses of the vehicle, and/or the methodology used for determining this information. <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>

MASS MANAGEMENT	DETAILS
<p>Std 6. Internal Review</p> <p>An annual internal review must be conducted to ensure loads are being adequately controlled and all activities are being carried out in accordance with the Mass Management System. An internal review of the Mass Management System is required to confirm the ongoing relevance and appropriateness of processes and practices. An effective review will identify non-conformance that must be actioned accordingly.</p> <p>Note 1: It is not necessary to have a separate Internal Review and quarterly compliance statement for each accreditation module. One Internal Review document and one quarterly compliance statement could be raised to capture the required criteria across all accreditation modules. Example template forms can be found in the "Operator Guide – How to Become and Stay Accredited and Sample Forms", located on the MRWA web site.</p>	<p>An operator's Mass Management System must:</p> <p>Criteria: - 6.1 Ensure the carrying out of annual internal reviews covers:</p> <ul style="list-style-type: none"> • When the reviews are to take place. • Who is to conduct them. • How the reviews are to be conducted. • The checklists of documents and records to be used for the review. <p>Criteria: - 6.2 Ensure the internal review is being carried out by a person not involved in the operation of the procedures being reviewed, where practical.</p> <p>Criteria: - 6.3 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.</p> <p>The processes for handling non-conformance must include:</p> <ul style="list-style-type: none"> • How non-compliances can be detected. • Corrective action to be taken. <p>Retain evidence of non-conformance and the action taken to correct the. This is done in the form of a Non-conformance Register.</p> <p>Criteria: - 6.4 Have written processes for allocating responsibility to designated staff for ensuring all non-conformances are addressed and not repeated.</p> <p>Criteria: - 6.5 Require the production of quarterly compliance statements, and detail the form of this report which must include as a minimum:</p> <ul style="list-style-type: none"> • The number of vehicles in the Mass Management System. • The number of trips taken. • The number of trips taken where a non-conformance occurred with the Mass Management System. • The level of mass excess for each non-compliant trip. <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>

<u>MASS MANAGEMENT</u>	DETAILS
<p>Std 7. Training and Education</p> <p>A Mass Management System must ensure all persons associated with the management of loads have the appropriate knowledge and skills to undertake their required tasks.</p> <p>Note 1: It is not necessary to have a separate Training and Education register for each accreditation module. One Training and Education register could be raised to capture the required details across all accreditation modules. An example template form can be found in the "Operator Guide – How to Become and Stay Accredited and Sample Forms", located on the MRWA web site.</p>	<p>An operator's Mass Management System must:</p> <p>Criteria: - 7.1 Identify what training in relation to mass management is required for each person associated with mass management activities.</p> <p>Criteria: - 7.2 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.</p> <p>Criteria: - 7.3 Document and record what training in mass management is given to all new drivers, contractors or employees as part of their induction process.</p> <p>Criteria: - 7.4 Ensure the regular review of training and detail this process, the staff responsible for it and its frequency.</p> <p>Criteria: - 7.5 Ensure all relevant staff (including sub-contractors) are provided with information of the Mass Management System, including any revisions.</p> <p>OBSERVATION / EVIDENCE SIGHTED: SUPPORTING DOCUMENTATION</p>

AUDITOR DECLARATION

PRINT NAME	ABN NUMBER

As an Accredited Auditor currently registered with Exemplar Global to conduct audits for Western Australian Heavy Vehicle Accreditation, I hereby certify

(print operator name)

_____ (please state “does” or “does not”) meet all requirements of accreditation for the modules and vehicles described in this report as assessed against the standards for each module

Audit was conducted on	_ _ / _ _ / _ _
CARs closed out on:	_ _ / _ _ / _ _
CARs to be closed out by:	_ _ / _ _ / _ _

I certify this audit has been conducted in accordance with the requirements of the Western Australian Heavy Vehicle Accreditation Business Rules and standards for the modules.

AUDITOR SIGNATURE _____ **DATE** _____

The operator listed in this application must comply with all the requirements of the Western Australian Heavy Vehicle Accreditation Business Rules and standards for the modules requested in this application.

OPERATOR DECLARATION

I hereby acknowledge all details in this declaration are true and correct and I have read and understand the conditions applicable to this Scheme, including the Scheme Business Rules and the Scheme Standards.

OPERATOR SIGNATURE _____ **DATE** _____

NAME _____ **POSITION** _____

CORRECTIVE ACTION REQUEST

OPERATOR NAME			
TYPE OF NON CONFORMANCE			
Major non-conformance requires correction by agreed date			
Minor non-conformance requires correction by agreed date			
Reference			
Corrective Action Request Number			
NON CONFORMANCE AND ACTION TAKEN			
Observed Non Conformance:			
Corrective Action Taken:			
Signed Operator Representative		Position	
		Date	__ __ / __ __ / __ __
ACTION TO PREVENT RECURRENCE (IF APPROPRIATE)			
Preventive Action Taken / Planned:			
Signed Operator Representative		Position	
		Date	__ __ / __ __ / __ __
CORRECTIVE ACTION FOLLOW UP BY AUDITOR			
Acceptance Recommended by:			
Signed Auditor		Date	__ __ / __ __ / __ __

VEHICLE REGISTRATION NUMBERS OF RECORDS EXAMINED

Operator Business Name

Vehicle Registration No.	Roadworthy Certificates/Inspections/Checklist (Where Applicable)	Maintenance & Service Records	Daily Vehicle Checks Yes/No	Fault Recording/Reporting / Repair	Dimension & Load Checks Yes/No	Internal Review Date

EMPLOYEE / DRIVER NAMES OF RECORDS EXAMINED

Operator Business Name

Employee/ Driver Name	Medical Certificate Date	WA Fatigue Management Training Records & Dates	Other Training Records & Dates	Trip Sheet Date Range	Fit For Work (Yes/No)	Internal Review Date

SUB-CONTRACTOR & THIRD PARTY OPERATOR INFORMATION – WORKING UNDER THIS OPERATORS ACCREDITATION

 Operator Business Name

____/____/____
 Date

Sub-Contractor / Third Party operator legal entity name	Dates of employment	Vehicle Owner	Vehicle Type (P Mover / Trailer / Dolly)	Vehicle Registration	Roadworthy Certificate Date

WAHVA - VEHICLE ROADWORTHINESS INSPECTION/CERTIFICATION REGISTER

Operator Business Name _____

Vehicle Type (P Mover / Trailer / Dolly)	Vehicle Registration	Vehicle Make	Vin / Chassis No.	Year of Manufacture	Vehicle Owner	Roadworthy Certificate Date	Roadworthy Undertaken By	Signed

VERIFICATION: Your name and signature in the “Signed” column deems you are a suitably qualified person, have inspected the vehicle/s aligned with your name & signature and certify them to be roadworthy, at the corresponding Roadworthy Certificate date.
 Your name and signature below declares all people named in the “RWC Undertaken By” column are suitably qualified, have inspected the vehicle/s aligned with their name and certified them to be roadworthy at the corresponding Roadworthy Certificate date and that an individual signed Roadworthy certificate / inspection / checklist is available for each vehicle.

Name

Signature

Date