



# **WESTERN AUSTRALIAN HEAVY VEHICLE ACCREDITATION PROCESS**

## **MASS MANAGEMENT AUDIT MATRIX**



**WA Heavy Vehicle  
Accreditation**

**June 2016**



## NOTE

It is mandatory for operators who wish to operate under the Accredited Mass Management Scheme (AMMS) to comply with the Western Australian Heavy Vehicle Accreditation (WAHVAS) Mass Management Module Standards. Coverage of the individual Standards within this audit matrix align with the sequence of the Mass Management Module Standards and are best suited to first understanding and then assessing the operator's Mass Management System.

The WAHVA Mass Management Module Standards and supporting criteria stipulate the establishment and use of policies, procedures and documentation in respect of the operation of specific components of an Operator's Mass Management System. Whilst some standards and criteria specifically state that such policies and procedures should be formally documented, others do not.

In attempting to establish compliance with these standards and criteria, whether they stipulate the existence of formally documented policies and procedures or not, the auditor should ascertain how such procedures are communicated to staff (e.g. through training services or via a manual). The auditor should then seek to establish the extent of knowledge and understanding of these procedures amongst operator staff, through enquiry made of a sufficient number of staff.

## INSTRUCTIONS

The following instructions must be followed in conducting an Entry Audit or Mass Management Module Audit. These instructions tell the auditor how to follow and complete the Audit Matrix which will in turn assist in completing the audit report.

- Ensure you understand the assessment steps and evidence you are looking for.
- Perform the assessment step as indicated. There are additional notes or focus questions in some instances to assist the auditor to identify how the operator's system satisfies the requirements of the Standards.
- Answer the relevant questions by providing a summary description of the requested information in the 'How does the system address the requirement' column and identify supporting evidence where required in the 'Indicate evidence sighted' column. Add any additional information which could be helpful in understanding the operator's system.

Enter a conclusion in the 'Compliance Code' column alongside each assessment step completed. The code should indicate the auditor's assessment of the extent to which the operator's procedures examined by you comply with the corresponding criteria and compliance indicators. Standard codes should be used to record your conclusion.

There are certain aspects of the audit matrix that 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.

**Objective:** To ensure operators have loading controls in place since AMMS permits were first issued to demonstrate they can control their vehicle loading within the allowed mass limits.

<b>STANDARD 1: ELIGIBILITY REQUIREMENTS FOR MASS MANAGEMENT</b>					
<b>Criteria</b>	<b>Assessment Step</b>	<b>How does the system address the requirement</b>	<b>Indicate evidence sighted</b>	<b>Entry, (Systems), Re-Entry, Compliance</b>	<b>Compliance Code</b>
<p>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><i><b>NOTE:</b> Whilst the Mass Management System may not be fully developed initially, a minimum requirement is the loading control method must be demonstrated and documented prior to AMMS permits being issued.</i></p>	<p>Review procedures to ensure they can demonstrate control over the vehicle loading process.</p> <p>Verify documentation and records to ensure the loading control methods were implemented at the time AMMS permits were first issued.</p> <p>Review a sample of AMMS permits to ensure no commencement dates were prior to the loading control procedures being in place.</p>				
Engage a qualified Heavy Vehicle Auditor who has been approved by MRWA to audit the Mass Management System.					
Complete an Entry Audit or a Mass Management Module Audit and submit the completed audit to MRWA for processing.					

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**Objective:** To ensure all vehicles operating under the Accredited Mass Management Scheme meet the technical specifications required for the relevant higher mass limits.

<b>STANDARD 2: VEHICLE CONTROL</b>					
<b>Criteria</b>	<b>Assessment Step</b>	<b>How does the system address the requirement</b>	<b>Indicate evidence sighted</b>	<b>Entry, (Systems), Re-Entry, Compliance</b>	<b>Compliance Code</b>
<p>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"> <li>• Make and model</li> <li>• Registration number</li> <li>• Registered owner</li> <li>• Vehicle Identification Number (VIN)</li> <li>• Tare mass</li> <li>• Gross Vehicle Mass (GVM) rating</li> <li>• Gross Combination Mass (GCM) rating</li> <li>• Date added to or removed from vehicle list</li> <li>• Relevant AMMS permit number and expiry date</li> </ul> <p><b>NOTE:</b> When considering the relevance of this indicator, the auditor should consider the number of vehicles to be covered by</p>	<p>Review the register to ensure it contains all required information fields for each vehicle operating under the Accredited Mass Management Scheme, inclusive of all vehicle details.</p> <p>Review procedures for ensuring the register remains up-do-date.</p> <p>Ensure documentation is available detailing the responsible person for maintenance of the vehicle list, how and when the list will be updated and how Main Roads WA will be advised a vehicle has been added/deleted from the list.</p> <p>Verify the documented vehicle list is available to the appropriate staff.</p>				

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<p><i>the application for certification under the Scheme and the dispersion of the vehicles over the different locations at which they are garaged. For example, in the case of an operator which has only a small number of vehicles garaged in a central location, ensuring the register remains up-to-date will not be difficult and specific procedures to achieve this are likely to be unnecessary. However, if there are a large number of vehicles garaged at a number of different locations, specific procedures will be appropriate to ensure the register is updated to reflect new or sold vehicles and changes to vehicle specifications and registration details. This could be as simple as adding extra columns to the vehicle register required under the Maintenance Module.</i></p>				
<p>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>Verify evidence of ratings for vehicles (i.e. registration papers, engineering certificates or compliance plates).</p> <p>Review procedures for maintaining the register to ensure all vehicles have a current AMMS permit.</p>			
<p>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><b>NOTE:</b> <i>If a subcontractor wishes to work for others, they must be accredited in their own right.</i></p> <p><i>Documentation should exist which specifies how vehicles, which are sub-contracted to the operator, are to be 'captive' or secured. For example evidence of a formal agreement in place between</i></p>	<p>Verify records and documentation regarding sub-contractors working exclusively for the operator or being accredited in their own right.</p> <p>Verify evidence of written agreements between any subcontractors and the operator to demonstrate their compliance with the operators Mass Management System.</p>			

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<i>the operator and sub-contractor identifying that the sub-contractor works solely for this operator.</i>					
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**Objective:** The vehicle mass must be determined by weighing or by a method of assessment to ensure vehicles are loaded within all allowable mass limits, prior to the vehicle travelling on the road.

<b>STANDARD 3: VEHICLE LOADING - MASS</b>					
<b>Criteria</b>	<b>Assessment Step</b>	<b>How does the system address the requirement</b>	<b>Indicate evidence sighted</b>	<b>Entry, (Systems), Re-Entry, Compliance</b>	<b>Compliance Code</b>
<p>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><b>Note:</b> For the purpose of this criterion "load distribution", the &lt;5% tolerance across adjacent axle groups provided for under Section 29 Road Traffic (Vehicles) Act 2012 may be applied as follows: 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 — (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,</p>	<p>Review procedures to ensure they can demonstrate control over the vehicle loading process including:</p> <ul style="list-style-type: none"> <li>• How the mass is determined prior to departure by weighing or method of assessment.</li> <li>• The type of measuring system is used.</li> <li>• How is the vehicle loading limits established?</li> <li>• What procedures exist to ensure the loading complies with gross mass and load distribution across axle groups applicable to the vehicle.</li> <li>• Specify the equipment and facilities required to undertake individual activities.</li> <li>• How details of the vehicle and load are to be produced and recorded for each trip.</li> </ul> <p>Review how procedures demonstrate effective control over the vehicle loading process.</p> <p>For the various types of vehicles and loads:</p> <ul style="list-style-type: none"> <li>• Is mass determined prior to</li> </ul>				

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<p>expressed as a percentage of the amount of the maximum mass, is less than 5%.</p>	<p>departure? How?</p> <ul style="list-style-type: none"> <li>Describe the measuring system used. Consider whether it is objective.</li> <li>Describe how vehicle loading limits have been established.</li> <li>How does the operator ensure loading actually complies with axle/gross mass restrictions applicable to the vehicle?</li> <li>Is any specialised equipment or facilities required to undertake activities within the mass assurance system? If so, what equipment and what activities are they used for?</li> </ul> <p><i>Note: A method of assessment other than weighing may include filling to a marked line in the vehicle body or loading a known volume of liquid at known specific gravity.</i></p> <p>Where different methods are used to establish vehicle/axle group mass, review procedures to ensure they address all methods utilised.</p> <p>Summarise the different methods of recording required evidence.</p> <ul style="list-style-type: none"> <li>How and where are the details of the weight of a vehicle and load produced?</li> <li>Who produces this documentation?</li> <li>When is this documentation produced?</li> <li>Where are the documents kept?</li> </ul>				
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	<p><b>NOTE:</b> There should be a record for each method used to evidence weight specific to a vehicle.</p> <p>Review procedures to ensure there is a schedule in place for continual verification to ensure the loading is within the allowed limits.</p> <p>Review procedures where verification identifies deficiencies in the method of assessment and how the method is to be corrected.</p>				
<p>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><b>NOTE:</b> Mass variations may exist for common load types. For example, where loading is controlled by number, the system must give regard to variations in density (e.g.: density of timber can vary for different types of wood and due to the water content of the same type of wood).</p> <p>Where it is controlled by volume (e.g. liquids), then the mass management system must give regard to the variations in specific gravity (e.g. cement can have different mass per volume depending on the mixture used/water content which can vary from batch to batch; and the specific gravity of petrol and other liquids can vary from batch to batch).</p>	<p>For each type of load the operator carries ensure procedures are in place to review the processes and identify possible variations in loads. This should also specify how compliance is to be ensured and how product loading is to be controlled</p> <p>Verify written instructions are in place ensuring overloads are rectified before vehicles operate on public roads.</p> <p>Verify documentation and records to show all parties involved in the loading process are aware of the vehicles maximum mass and where the mass should be placed for correct distribution.</p>				

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<p>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><b>NOTE 2:</b> 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>Verify up-to-date certification &amp; calibration records are available.</p>				
<p>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>Ensure written procedures are in place for managing the rollover risk of the vehicle.</p>	<p>Verify written procedures are in place to ensure stability of the vehicle is managed.</p>				

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

<b>STANDARD 4: RESPONSIBILITIES</b>					
<b>Criteria</b>	<b>Assessment Step</b>	<b>How does the system address the requirement</b>	<b>Indicate evidence sighted</b>	<b>Entry, (Systems), Re-Entry, Compliance</b>	<b>Compliance Code</b>
Clearly identify what the tasks in the Mass Management System are and who is responsible for carrying out each task.	Verify the tasks have been identified in the mass management system policies and procedures, together with who is responsible for carrying out each task, including who is responsible for ensuring the system is being maintained and followed.  Review evidence.				
Ensure all people assigned to the task are appropriate for the task, suitably trained and know how to access the written record stating their responsibilities.	Review policies/procedures for identifying training requirements of all relevant staff in load management.  Verify people assigned to tasks are aware of how to access the written record stating their responsibilities  Review evidence.				
Ensure there is a suitable system in place in the event the responsible person is not available.	Review evidence				
<b>NOTE:</b> The size and complexity of the operator's systems will affect the level of detail expected in satisfying the above compliance indicators.					

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

<b>STANDARD 5: RECORDS AND DOCUMENTATION</b>					
<b>Criteria</b>	<b>Assessment Step</b>	<b>How does the system address the requirement</b>	<b>Indicate evidence sighted</b>	<b>Entry, (Systems), Re-Entry, Compliance</b>	<b>Compliance Code</b>
Have documentation recording all policies and procedures required under these Standards.	Verify documented policies and procedures are in place and comply with all Mass Management standards.  Review evidence.				
Ensure all required records are legible and identifiable to the vehicle, driver and trip involved (see note 1).  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.	Ensure all required records are legible and identifiable to the vehicle, driver and trip involved.				
Ensure current documentation is available to all relevant staff and at all locations where operations related to mass management are undertaken.  <b>NOTE:</b> In performing this assessment step, the auditor should bear in mind the complexity of the system under review.	Verify documentation is available to all relevant staff and at all locations where operations related to mass management are undertaken.  Review evidence				

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<p>Ensure all elements of the Mass Management System are maintained and updated and the responsibility for this task is documented.</p>	<p>Verify statement of responsibility, which should identify the responsible person for maintaining and updating the relevant documentation.</p> <p>Verify documentary evidence has been kept to show procedures and methods in place under the Mass Management System are regularly reviewed.</p>				
<p>Ensure all documents and records be kept for a minimum of three years. This includes superseded procedures.</p>	<p>Review evidence.</p>				
<p>Ensure Responsibility Statements are read, signed and dated by each person responsible for the task.</p>	<p>Verify Responsibility Statements are signed and dated by all appropriate people.</p> <p>Review evidence.</p>				
<p>Ensure the following records and documentation be retained for each trip, as a minimum:</p> <ul style="list-style-type: none"> <li>• The registration details of all vehicles in the combination used.</li> <li>• Applicable authorisations (i.e. licenses, permits and orders) under which the vehicle was operating. Registered owner</li> <li>• Details of the load carried.</li> <li>• The masses of the vehicle, and/or the methodology used for determining this information.</li> </ul>	<p>Verify the minimum required documentation and records have been retained for each trip.</p> <p>Review evidence</p>				

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**Objective:** The Mass Management System must be subject to annual internal review to verify all results and activities comply with the system's policies, procedures and instructions.

<b>STANDARD 6: INTERNAL REVIEW</b>					
<b>Criteria</b>	<b>Assessment Step</b>	<b>How does the system address the requirement</b>	<b>Indicate evidence sighted</b>	<b>Entry, (Systems), Re-Entry, Compliance</b>	<b>Compliance Code</b>
<p>Ensure the carrying out annual internal reviews covers:</p> <ul style="list-style-type: none"> <li>• When the reviews are taking place.</li> <li>• Who is conducting them.</li> <li>• How are the reviews being conducted.</li> <li>• The checklists of documents and records to be used for the review.</li> </ul>	<p>Verify procedures for conducting annual internal reviews cover at least the minimum criteria requirements.</p> <p>Review evidence.</p>				
<p>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>Review evidence</p>				
<p>Separate from the annual internal review, an operator must have written procedures to ensure all non-conformance identified at any time during the year, including during quarterly compliance reporting, are corrected.</p> <p>The procedures for handling non-conformance must include:</p> <ul style="list-style-type: none"> <li>• How non-compliances can be detected</li> </ul>	<p>Verify documented evidence of a Non-conformance register or similar.</p> <p>Verify there are written procedures for ensuring all non-conformances brought to light at any time are recorded in a Non-conformance Register or similar and corrected.</p> <p>Verify there are written processes identifying the responsible person/people/position for updating the Load Management System procedures.</p>				

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<ul style="list-style-type: none"> <li>• Corrective action to be taken.</li> </ul> <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>Have written processes for allocating responsibility to designated staff for ensuring all non-conformances are addressed and not repeated.</p>	<p>Verify staff been identified to take appropriate action, so instances of non- conformance are not repeated.</p> <p>Review evidence</p>				
<p>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"> <li>• The number of vehicles in the Mass Management System</li> <li>• The number of trips taken</li> <li>• The number of trips taken where a non-conformance occurred with the Mass Management System</li> <li>• The level of mass excess for each non-compliant trip</li> </ul>	<p>Verify completed quarterly compliance reports cover at least the minimum criteria requirements.</p> <p>Review evidence</p>				

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**Objective:** To ensure all persons who hold a position of responsibility under the Mass Management System are suitably trained and have appropriate knowledge specific to the policy, procedures and instructions they are to carry out.

<b>STANDARD 7: TRAINING AND EDUCATION</b>					
<b>Criteria</b>	<b>Assessment Step</b>	<b>How does the system address the requirement</b>	<b>Indicate evidence sighted</b>	<b>Entry, (Systems), Re-Entry, Compliance</b>	<b>Compliance Code</b>
<p>Identify what training in relation to mass management is required for each person associated with load management activities.</p> <p><i><b>NOTE:</b> Formal training needs analyses and specific training courses in respect of mass management functions are only likely to be necessary where the mass management system is complex or where the loading and verification processes are highly specialised.</i></p>	<p>Review policies/procedures for identifying training requirements of all relevant staff in dimension and Load management.</p> <p>Review evidence.</p>				
<p>Document and record what training has been undertaken in relation to mass management by anyone associated with load management activities and when the training was undertaken.</p>	<p>Review policies/procedures for recording training of all relevant staff in mass management.</p> <p>May be included as part of the training register.</p> <p>Review evidence.</p>				
<p>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>Review policies/procedures for training in mass management for all new employees as part as of the induction process.</p> <p>Ensure training procedures and manuals appropriate for the complexity of the tasks to be performed are available.</p>				



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<p>Ensure the regular review of training and detail this process, the staff responsible for it and its frequency.</p>	<p>Review policies/procedures for training review process including responsible person(s).</p> <p>Verify documentation and records showing refresher training is conducted when an identified non-conformance is highlighted, the training is recorded and it is documented.</p>				
<p>Ensure all relevant staff (including sub-contractors) are provided with information of the Mass Management System, including any revisions.</p>	<p>Review policy/procedures for ensuring staff are provided information on the Load Management System and all revisions.</p> <p>Review evidence.</p>				