



# WA Performance Based Standards (PBS) Audit Framework

# Contents

<b>1</b>	<b>PURPOSE .....</b>	<b>4</b>
<b>2</b>	<b>AUDIT TYPES .....</b>	<b>4</b>
2.1	Scheduled Audit.....	4
2.2	On-Roads Compliance Audit.....	4
2.3	Triggered Audit .....	4
<b>3</b>	<b>PROCESS .....</b>	<b>4</b>
3.1	Scheduled Audit.....	4
3.2	On-Roads Compliance Audit.....	5
3.3	Triggered Audit .....	5
<b>4</b>	<b>NON-CONFORMANCE .....</b>	<b>5</b>
4.1	On-Road Compliance .....	5
4.2	Show Cause Notice .....	6
4.3	Permit Suspension or Cancellation .....	6
4.4	Follow-up Audit .....	6
<b>5</b>	<b>ENFORCEMENT .....</b>	<b>6</b>
5.1	Heavy Vehicle Network Access Section.....	6
5.2	Intelligence Section.....	6

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## 1 PURPOSE

Vehicle combinations approved under the Performance Based Standards (PBS) Scheme are assessed, certified and approved based on a specific vehicle design. To ensure PBS vehicles continue to perform to a high safety standard, it is essential the vehicles are maintained to their defined specifications, i.e. components are not altered without approval and the vehicle is maintained in good working order.

This document provides a framework for Main Roads staff to conduct audits on vehicles approved under the PBS Scheme, for the purpose of ensuring the vehicles are being maintained to their defined specifications and as such will continue to meet the safety standard that formed the basis of their initial approval.

## 2 AUDIT TYPES

### 2.1 Scheduled Audit

PBS vehicle fleets generally consist of new vehicles, or retrofitted vehicles, which must be inspected by an approved Certifier prior to being issued a permit. This is to ensure the vehicle has been constructed to the specifications defined in the PBS assessment and design documentation.

While the majority of PBS vehicles will be relatively young in age, they are generally high productivity vehicles that endure a significant workload to justify their investment. As such, a PBS vehicle fleet should be audited at least once every three years. This will require a suitably qualified Main Roads staff member (or contractor) to attend the transport operator's depot (or other suitable location) and perform audits on randomly selected vehicles that will need to be made available for physical inspection.

### 2.2 On-Roads Compliance Audit

While the PBS vehicle fleets will be formally audited at least once every three years, it is important to ensure the vehicles are being appropriately maintained and are not being altered while in operation. Critical components such as tyres, tow couplings and braking systems must be maintained and only replaced with components of the same classification.

As such, it is essential to inspect these vehicles on a regular basis while they are in operation. On-road compliance staff will be provided with an audit sheet for a particular PBS vehicle design and requested to target the particular vehicles when rostered on patrol in the relevant location.

### 2.3 Triggered Audit

Where there is reason to believe a PBS vehicle is not being maintained appropriately, whether this is via an *On-Road Compliance Audit* or via a *Public Information Report*, a suitably qualified Main Roads staff member (or contractor) will attend the transport operator's depot (or other suitable location) to perform an audit, including a physical inspection of selected vehicles.

## 3 PROCESS

### 3.1 Scheduled Audit

The scheduled audits will be based on PBS vehicle designs. The register of all PBS vehicle designs is maintained by Heavy Vehicle Network Access Section (HVNAS). The scheduled audits will occur at least every three years, which will commence from the date the first vehicle of a particular PBS vehicle design was built and issued a Main Roads permit.

On (or around) the three year anniversary of the particular PBS vehicle design, HVNAS will randomly select a relative portion of PBS vehicles, from an individual transport operator's fleet, that have been issued permits under the particular PBS vehicle design. While the number of vehicles will not be prescribed, the number will be relative to the transport operator's fleet size and enough to satisfy Main Roads that the fleet is being appropriately maintained.

HVNAS will contact the transport operator and provide at least 48 hours notice prior to conducting the audit. A suitably qualified Main Roads staff member (or contractor) will attend the agreed location to inspect the selected vehicles.

The selected vehicles will be inspected and compared against the current Certification Certificate that applies to the particular PBS vehicle design.

### **3.2 On-Roads Compliance Audit**

On-road compliance staff will be provided with an audit sheet that will identify specific vehicle features that require inspection to ensure the vehicle is consistent with the particular PBS vehicle design. This audit sheet will reflect the current PBS Part B Form and Certifier's Certificate that applies to the particular PBS vehicle design.

The on-road compliance staff will be provided with a list of registration numbers of PBS vehicles that require inspection and will be advised of the approved routes the PBS vehicles are approved to use.

Once the PBS vehicles are located in operation, the on-road compliance staff will intercept and inspect each vehicle to compare them against the specifications provided on the audit sheet.

### **3.3 Triggered Audit**

Where information is received that suggests a PBS vehicle has been modified or is not being appropriately maintained, HVNAS will contact the transport operator and provide at least 48 hours notice of the intention to conduct an audit. A suitably qualified Main Roads staff member (or contractor) will attend the agreed location to inspect the specific PBS vehicle or fleet of PBS vehicles in question.

The selected PBS vehicles will be inspected and compared against the current PBS Part B Form and Certifier's Certificate that applies to the particular PBS vehicle design.

## **4 NON-CONFORMANCE**

### **4.1 On-Road Compliance**

Where on-road compliance staff identify a PBS vehicle has been altered or has not been appropriately maintained, they may take the following action:

- a) If the non-conformance is a clear breach of a mass or dimension requirement, or a vehicle defect, they may direct the driver to return to the transport operator's depot to rectify the issue.
- b) If the vehicle does not meet the requirements outlined in the audit sheet and the compliance officer is unsure how the non-conformance will impact the vehicle safety performance, they must contact HVNAS for advice.

Prior to taking any other punitive action against the transport operator, the compliance officer must discuss the proposed action with HVNAS to ensure it aligns with other potential action that may be taken, such as permit suspension or the issue of a Show Cause Notice.

## **4.2 Show Cause Notice**

Where it is identified during a scheduled audit that the PBS vehicles are not being maintained appropriately or have been altered from the approved specifications, the transport operator may be issued a Show Cause Notice. The transport operator will be required to provide a written response outlining why the non-conformance has occurred and what corrective actions have been taken to prevent a further non-conformance of similar nature.

## **4.3 Permit Suspension or Cancellation**

- 4.3.1 Where a non-conformance is identified through any of the audit processes and is deemed to have an adverse effect on the PBS vehicle's safety performance, the permit for the particular PBS vehicle and any other PBS vehicle of the same design and under control of that same transport operator, may be suspended until such time as the transport operator demonstrates the non-conformance has been rectified.
- 4.3.2 If a Show Cause Notice is issued, the transport operator will be provided 28 days to respond. If the transport operator has not provided a sufficient response within the 28 days, all related PBS permits will be suspended. The transport operator will then be given a further 28 days to provide a sufficient response.
- 4.3.3 Where the transport operator has not provided a sufficient response following the further 28 days, the related PBS permits will be cancelled.
- 4.3.4 The transport operator may be granted an extension to provide a response. However, the permit suspension will remain in effect until a sufficient response is received.

## **4.4 Follow-up Audit**

Following the close-out of any non-conformance or “show cause” process, it is necessary to conduct an audit within the following 12 month period to ensure the corrective actions implemented by the transport operator are still in place.

# **5 ENFORCEMENT**

## **5.1 Heavy Vehicle Network Access Section**

When a transport operator’s permits are suspended or cancelled, HVNAS will issue written notification to the transport operator advising the permits have been suspended or cancelled.

## **5.2 Intelligence Section**

Where a transport operator’s permits have been suspended or cancelled, HVNAS will notify the Intelligence Section who will prepare an Intelligence Tasking for the on-road compliance staff to ensure the transport operator is not continuing to operate the PBS vehicles.