



# WESTERN AUSTRALIAN HEAVY VEHICLE ACCREDITATION PROCESS

## GUIDELINES FOR AUDIT PROVIDERS



WA Heavy Vehicle  
Accreditation

**November 2010**

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## **1. INTRODUCTION**

- 1.1. In Western Australia, operators of Restricted Access Vehicles (RAV) must become accredited to gain a permit from Main Roads.
- 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 two modules - Fatigue Management Module Standards and Maintenance Management Module Standards, 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 that 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 that the record keeping and procedures kept by the company comply with the Maintenance Management and Fatigue Management standards. On successful completion of an entry audit, an Accreditation Certificate is issued to the operator for a period of 36 months.

#### **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 that 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 (2<sup>nd</sup> 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 (2<sup>nd</sup> 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 that the minimum requirements are being met as prescribed by:

- Maintenance Management Module Guide and Standards;
- Fatigue Management Module Guide and Standards; and
- 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 RABQSA under the Heavy Vehicle Auditor scope.

4.2. Details on the requirements for RABQSA can be found on their web site at [www.rabqsa.com](http://www.rabqsa.com) 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 - 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 - Records for 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 three types of audits that will be conducted, i.e. entry and re-entry audits, annual compliance audits and triggered audits. In each case the process will be the same.

7.2. The auditor will be required to conduct a systems audit 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. The roadworthiness certificate must be no more than six months old at the time of audit.
- 7.3.3. The auditor must ensure that 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 National 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;
  - 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 – 2<sup>ND</sup> PARTY AUDITS**

- 8.1. 2<sup>nd</sup> 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 2<sup>nd</sup> Party audit is required Main Roads may choose any certified RABQSA 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 Main Roads.

## 9. THE AUDIT REPORT

9.1. Audit Reports are to be submitted using the National Standard Audit Report format.

9.2. The audit report is available on the National Transport Commission (NTC) website at [www.ntc.gov.au](http://www.ntc.gov.au) . Select Safety and Compliance, click on National Heavy Vehicle Accreditation Scheme, and then click on NHVAS Audit Report.

9.3. It is the auditor's responsibility to ensure that 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.

- *Please Note: A current vehicle register must accompany all Entry 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 Entry and Re-Entry audits.*

9.7.3. The National 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 National 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 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 and Re-entry Audit

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

- Audit Report Submission Checklist including Accreditation Fee as appropriate;
- Application to Register as a RAV Operator and/or WA Accreditation;
- All relevant pages of National Heavy Vehicle Audit Report Format:
  - Front Sheets;
  - Audit Summary Sheets – Maintenance and Fatigue Management;
  - Assessment/Audit Reports – Observations and Comments for Maintenance and Fatigue Management;
  - Auditor Declaration and Operator Declaration and Consent;
  - Corrective Action Requests with any major NCRs closed out;
  - Vehicles Registration Numbers of Records Examined Register;
  - Employee/Driver Names of Records Examined Register.
- Vehicle Register

### 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;
- Change of Operator Details Form (used to advise when operator details such as contact and address details change to enable Main Roads records to be maintained) for Annual Compliance Audits (as required);
- National Heavy Vehicle Accreditation Standard Audit Report Front Sheets (Pages 1 & 2);
- Auditor Declaration and Operation Declaration and Consent (Page 26);
- 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 10.3.1, the operator is responsible for submitting to Main Roads the following documents:

- Audit Summary Sheet for Maintenance Management (Pages 3 & 4);
- Audit Summary Sheet for Fatigue Management (WA HVA only) (Page 9);
- 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 (Page 27) (**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](http://www.mainroads.wa.gov.au) . As a minimum, auditors will be required to demonstrate that 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 that 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 that the system was operating and that the processes were being adhered to, including dates of sample documentation sighted (fault reports, repairs, trip sheets, 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 that would not be used for entry 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 that 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 GRIEVANCE AND APPEALS**

12.1 Main Roads has established a Grievance and Appeals process for all issues associated with the issue of heavy vehicle accreditation. This process is available to anyone who wishes to appeal against decisions or make a complaint.

12.2 Complaints may be made in writing, including e-mail, or verbally and can be made by:

- any person participating in the accreditation process including recognised auditors;
- transport operators;
- Any member of the public who believes an operator is not complying with the Standards; and
- Any person/organisation that has been refused a permit or accreditation by Main Roads can appeal the decision.

12.3 Main Roads reserves the right not to act on, or reply to, vexatious or anonymous complaints.

## **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;
- 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

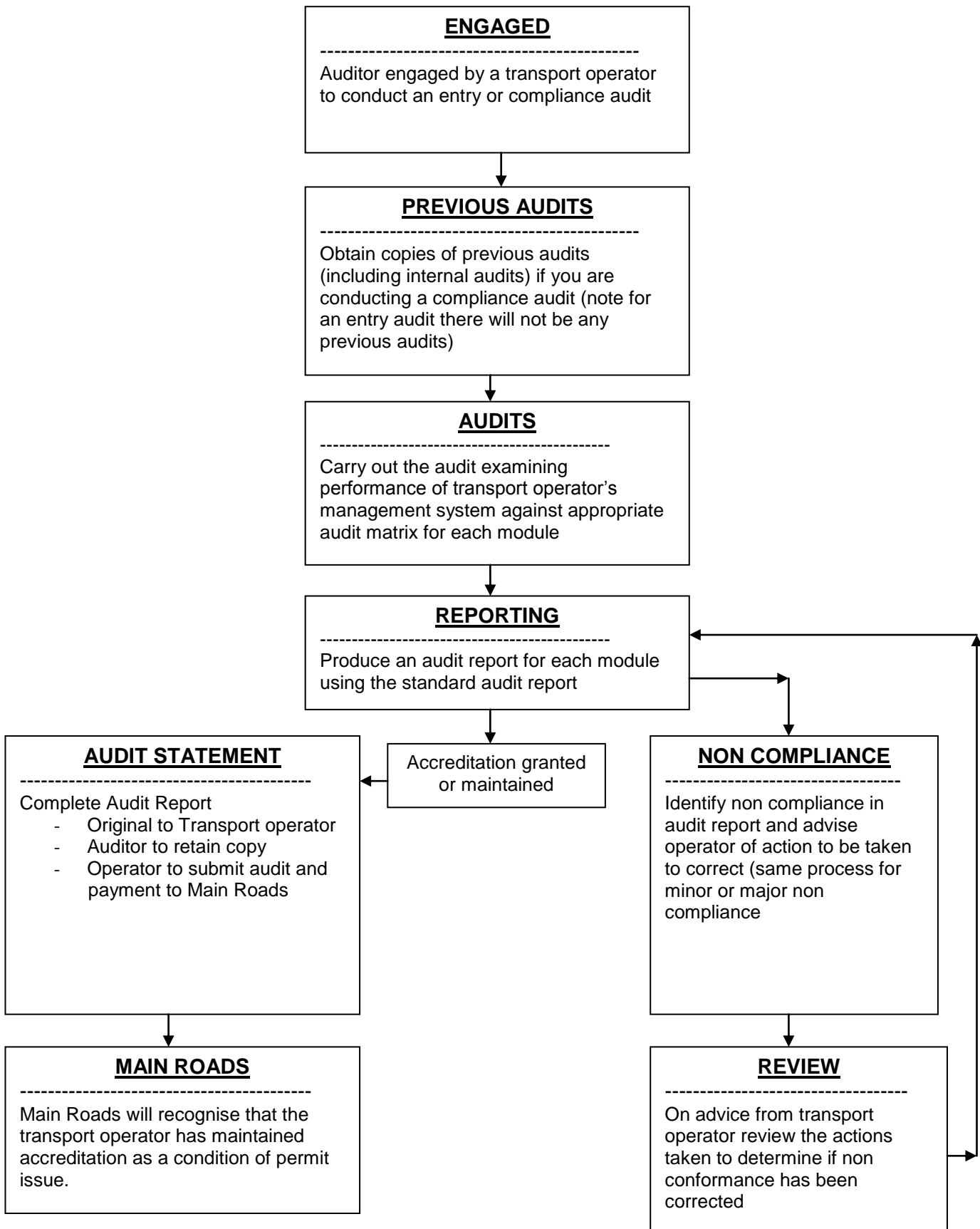
14.1 If you have any questions about accreditation contact:

Main Roads Western Australia  
Heavy Vehicles Operations  
70 Pilbara Street  
WELSHPOOL WA 6106

Phone: (08) 9311 8450  
Fax: (08) 9311 8497

Web address: [www.mainroads.wa.gov.au](http://www.mainroads.wa.gov.au)  
E-mail: [accreditation@mainroads.wa.gov.au](mailto:accreditation@mainroads.wa.gov.au)

**ATTACHMENT 1 – FLOW CHART FOR AUDIT OF TRANSPORT OPERATOR**



## Attachment 2 – STANDARD FORMS

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- Main Roads WA Audit Report Submission Checklist including Accreditation Fee as appropriate
- Application to Register as a RAV Operator and/or WA Accreditation (Entry/Re-Entry) – Document is available from Main Roads website
- Change of Operator Details
- National Heavy Vehicle Audit 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 any 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 that you have completed and submitted the following documentation:

- **Application** to Register as a RAV Operator and/or WA Accreditation (completed, signed and dated) to accompany any **Entry** and **Re-Entry** Audit Reports
- **Change of Operator Details** to accompany **Annual** Compliance Audit Reports **only** if there is a change to details previously supplied to Main Roads
- **Auditor Declaration** and **Operator Declaration and Consent** (signed and dated)
- **Complete** Audit Report (Audit Summary, Observations and Comments, CARs and Registrations) for **Entry** Audit Reports
- **Compliant** Audit Report for **Re-Entry/Compliance** Audits
- **Compliant** Audit Report (NCRs Identified- Closed Out CARs for major NCRs) for **Re-Entry/Compliance** Audits
- Fleet/Vehicle Register required for Entry Audits and only for Re-Entry and Compliance Audits if changes have since last Audit
- Accreditation Payment (if not already paid in full)

**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 (Office Use Only)	<input type="text"/>	TYPE	<input type="text"/>
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## ACCREDITATION FEE

**PAYMENT TYPE:**

CASH       CHEQUE       CREDIT CARD

## CREDIT CARD DEBIT AUTHORITY

NAME (ON CARD)

ADDRESS	<input type="text"/>	Post Code	<input type="text"/>
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BANKCARD <input type="checkbox"/>	MASTERCARD <input type="checkbox"/>	VISA <input type="checkbox"/>	EXPIRY DATE	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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I authorise Main Roads to debit my credit card for the amount indicated:

\$75.00       \$150.00       \$225.00

CARD NUMBER

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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SIGNATURE: \_\_\_\_\_

Payment may be made by cheque or personally attending the Heavy Vehicle Operations, Main Roads WA, 70 Pilbara Street, Welshpool WA 6106 (Mon-Fri 8.30am – 4.30 pm)



## NATIONAL HEAVY VEHICLE ACCREDITATION AUDIT REPORT

TICK AS APPROPRIATE				TICK AS APPROPRIATE	
NHVAS	Maintenance		Mass		ENTRY AUDIT
NHVAS	BFM		AFM		COMPLIANCE AUDIT
WA HVA	Maintenance		Fatigue		RE-ENTRY AUDIT (WA HVA ONLY)
TRUCKSAFE	All Modules				TRIGGERED AUDIT
					RANDOM AUDIT
CONTACT INFORMATION					
Company/Individual name					
Registered Business Name (RBN)					
Australian Company Number (ACN)					
Operator business address and contact details					
Operator Postal address					
Phone No.		Fax No.			
Mobile		Email address			
Location of audit					
Date of Audit		___/___/___			
Auditor name					
Auditor certification id			Certification expiry Date:	___/___/___	
ATTENDANCE LIST (NAMES AND POSITION TITLES):					
NATURE OF OPERATOR BUSINESS (SUMMARY):					



<b>ACCREDITATION VEHICLE SUMMARY (Attach copy of fleet register)</b>			
<b>Number of powered vehicles</b>		<b>Number of trailing vehicles</b>	
<b>ACCREDITATION DRIVER SUMMARY (Attach copy of driver list)</b>			
<b>Number of drivers in BFM</b>		<b>Number of drivers in AFM</b>	
<b>Pages in Standard Report that are not included (i.e. for other schemes or modules)</b>			

## AUDIT SUMMARY SHEET

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

MAINTENANCE MANAGEMENT				
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				
Std 9. Fuel Quality (fuel tax credit only)				

**FATIGUE MANAGEMENT (WA HVA ONLY)**

<b>REQUIREMENT OF STANDARD</b>	<b>COMPLIANCE CODE</b>	<b>CORRECTIVE ACTION REPORT (CAR)</b>	<b>AGREED CLOSEOUT DATE</b>	<b>ACTUAL CLOSEOUT DATE</b>
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				

# 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.**

MAINTENANCE MANAGEMENT	DETAILS
<b>Std 1. Daily Check</b> (Review procedures/policy and evidence of completion, including documented fault reporting)	
<b>Std 2. Fault Recording and Reporting</b> (Review procedures/policy, evidence of completion for both trailing and hauling equipment, and reporting mechanism)	
<b>Std 3. Fault Repair</b> (Review procedures/policy, evidence of assessment and prioritising, identification of responsible person, evidence of repairs conducted and maintenance of records)	
<b>Std 4. Maintenance Schedules and Methods</b> (Review procedures/policy, evidence of roadworthiness certification, when applicable, maintenance schedules, tables of tolerance, identification of responsible person, evidence that maintenance is conducted with scheduled timeframe)	

MAINTENANCE MANAGEMENT	DETAILS
<p><b>Std 5. Records and Documentation</b>            (Review availability of the documented maintenance system, and ensure the following is maintained:</p> <ul style="list-style-type: none"> <li>• Fleet register</li> <li>• Daily checks</li> <li>• Fault recording and reporting</li> <li>• Fault repairs</li> <li>• Scheduled maintenance</li> <li>• Authorities and responsibilities</li> <li>• Internal review)</li> </ul>	
<p><b>Std 6. Responsibilities</b>            (Review responsibilities for the maintenance management system, including defined responsibilities for the above dot points, and identification of external service providers)</p>	
<p><b>Std 7. Internal Review</b>            (Review procedures/policy, evidence of completion of Compliance Statements and Internal Reviews, including records of any Interception Reports, NCRs raised and CARs to eliminate recurrence)</p>	
<p><b>Std 8. Training and Education</b>            (Review procedures/policy, appropriateness of training, evidence of training records and identification of responsible person)</p>	
<p><b>Std 9. Fuel Quality (fuel tax credit only)</b>            (Review fuel storage arrangements and that supply is from a reputable supplier)</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.**

FATIGUE MANAGEMENT (WA HVA ONLY)	DETAILS
<b>Std 1. Scheduling</b> (Review procedures/policy, identification of responsible person, where applicable, and evidence of compliance)	
<b>Std 2. Rostering</b> (Review procedures/policy, identification of responsible person, where applicable, and evidence of compliance, including trip sheets)	
<b>Std 3. Fitness for Work</b> (Review procedures/policy, including identification of responsible persons, and policy statement relating to fatigue, alcohol and drugs. Review procedures/policy in relation to medical assessments, including monitoring process, and evidence of assessment)	
<b>Std 4. Training and Education</b> (Review procedures/policy for all employees, including regular review of training requirements and identification of responsible person. Review training records and induction process, including evidence of training assessment)	
<b>Std 5. Management of Accidents and Incidents</b> (Review procedures/policy for reporting and recording of unsafe incidents, documented evidence, including documentation that demonstrates follow-up and remedial action)	

<b>FATIGUE MANAGEMENT (WA HVA ONLY)</b>	<b>DETAILS</b>
<p><b>Std 6. Workplace Conditions</b>            (Review procedures/policy in relation to sleeper berths, depot facilities, and ventilation)</p>	
<p><b>Std 7. Documentation and Records</b>            (Review availability of the documented fatigue system (Fatigue Management Plan), and ensure the following is maintained, where applicable:</p> <ul style="list-style-type: none"> <li>▪ Schedules</li> <li>▪ Rosters</li> <li>▪ Training and medical records</li> <li>▪ Trip sheets</li> <li>▪ Incident report forms</li> <li>▪ Authorities and responsibilities</li> <li>▪ Internal review)</li> </ul>	
<p><b>Std 8. Responsibilities</b>            (Review responsibilities for the fatigue management system, including defined responsibilities for managers, those involved in scheduling/rostering, training and drivers)</p>	
<p><b>Std 9. Internal Review</b>            (Review procedures/policy, evidence of completion of Compliance Statements and Internal Reviews, including records of any Interception Reports, NCRs raised and CARs to eliminate recurrence. Ensure a system is in place to check the accuracy of all information – i.e. trip records)</p>	

## AUDITOR DECLARATION

<i>PRINT NAME</i>	<b>ABN NUMBER</b>

as an Accredited Auditor currently registered with RABQSA to conduct audits for NHVAS, WA HVA and TruckSafe, hereby certify that

(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

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

I further certify that in the conduct of this audit, I have not breached the RABQSA Code of Practice.

**AUDITOR SIGNATURE** \_\_\_\_\_ **DATE** \_\_\_\_\_

The operator listed in this application must comply with all the requirements of the Business Rules and standards for the modules requested in this application according to the applicable Scheme.

### OPERATOR DECLARATION and CONSENT

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

I hereby consent to information relating to my Accreditation membership to be shared with other participating National Heavy Vehicle Accreditation Scheme jurisdictions, WA Heavy Vehicle Accreditation and TruckSafe in order to facilitate collaboration with other Scheme owners for the effective management of accreditation nationally.

**OPERATOR SIGNATURE** \_\_\_\_\_ **DATE** \_\_\_\_\_

**NAME** \_\_\_\_\_ **POSITION** \_\_\_\_\_



## CORRECTIVE ACTION REQUEST

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





## VEHICLE REGISTER

\_\_\_\_\_  
OPERATOR NAME (Business Name)

\_\_\_\_\_  
OPERATOR SIGNATURE

\_\_\_/\_\_\_/\_\_\_

VEHICLE TYPE	VEHICLE MAKE	VEHICLE OWNER	REGISTRATION No.	VIN / CHASSIS No.	MANUFACTURED
Prime mover					
Trailer					
Dolly					