



**WA Heavy Vehicle
Accreditation**

WESTERN AUSTRALIAN HEAVY VEHICLE ACCREDITATION PROCESS

FATIGUE MANAGEMENT AUDIT MATRIX

October 2006



Fatigue Management Standards Audit Matrix

Objective: To ensure the driver is not required to drive unreasonable distances in insufficient time and without sufficient notice and adequate rest.

STANDARD S1 AND S2 – TRIP SCHEDULING AND DRIVER ROSTERING					
Criteria	Assessment Step	How does the system address the requirement	Indicate evidence sighted	Compliance Audit and Re-entry Audits Only	Compliance Code
1. In general, schedules and rosters are planned to be achievable within the WorkSafe requirements under the OSH regulations.	Review the documented policy/procedure for planning schedules and rosters.				
2. Drivers, where practicable, do not operate outside the approved “commercial vehicle operating standard” requirements.	Review the documented policy/procedure for planning schedules and rosters. Verify schedules and rosters.				
3. Control measures are defined where it is not practicable for drivers to comply with the requirements.	Review the documented policy/procedure for planning schedules and rosters to ensure control measures are defined.				
4. Schedules and/or rosters are planned with sufficient notice to drivers.	Review the documented policies/procedures for planning schedules and roster. Check schedules and rosters for compliance.				
5. Where there are regular schedules and rosters, these are documented.	Verify record of regular schedules and rosters. Ensure all recorded schedules and rosters have been planned within the WorkSafe requirements under the OSH regulations.				

STANDARD S1 AND S2 – TRIP SCHEDULING AND DRIVER ROSTERING

Criteria	Assessment Step	How does the system address the requirement	Indicate evidence sighted	Compliance Audit and Re-entry Audits Only	Compliance Code
6. Schedules and rosters are monitored and regularly reviewed.	Review the documented policies/procedures for monitoring and reviewing schedules and rosters.				
7. Flexible schedules and rosters permitting “breaks from driving” and “non-work time” when and where most appropriate are provided.	Review schedules, rosters and trip sheets.				
8. The increased fatigue risk for a driver returning from leave is considered in scheduling/rostering, as well as minimising irregular or unfamiliar work rosters.	Review documented policies/procedures for drivers returning from leave and minimising unfamiliar work rosters.				
9. The same scheduling practices apply to all drivers, including casual, relief and subcontracted drivers.	Review documented policies/procedures. Verify trip sheets.				
10. Records detailing the actual schedules worked by drivers (eg trip sheets) are maintained and available for audit.	Review the documented policies/procedures for maintaining records. Verify records, including trip sheets, schedules and rosters.				

Fatigue Management Standards Audit Matrix

Objective: To ensure that drivers present themselves daily in a fit state to safely perform driving and non-driving duties.

STANDARD S3 – FITNESS FOR WORK					
Criteria	Assessment Step	How does the system address the requirement	Indicate evidence sighted	Compliance Audit and Re-entry Audits Only	Compliance Code
1. The operator has a written policy relating to driver fitness for work which contains a statement that drivers must present themselves for duty unimpaired by fatigue, alcohol or drugs.	Review policies/procedures for driver fitness for work.				
2. The policy should also contain a statement that fitness for work will be diligently supervised as far as practicable.	Review policies/procedures for assessment of driver's fitness for work.				
3. Detail and manage control measures for the recovery and treatment of fatigue.	Review policies/procedures to determine identification of control measures.				
4. Driver health is assessed regularly by a medical practitioner in accordance with the requirements of the Occupational Safety and Health Regulations on driving commercial vehicles.	Review policies/procedures for driver health under "Fitness for Work". Review list of all drivers and include random check of medical assessment certificates.				
5. Establish a monitoring system for renewal dates for medical assessments.	Review policy procedure to ensure a monitoring system is in operation. Verify through viewing compliance with the system.				

Fatigue Management Standards Audit Matrix

Objective: To ensure that all persons associated with the management of fatigue have the knowledge and skills to practice effective fatigue management.

STANDARD S4 – TRAINING AND EDUCATION					
Criteria	Assessment Step	How does the system address the requirement	Indicate evidence sighted	Compliance Audit and Re-entry Audits Only	Compliance Code
1. Document what training in relation to fatigue management is required for anyone associated with the management, supervision or driving of commercial vehicles, including anyone associated with rostering and scheduling.	<p>Review policies/procedures for training of all staff in fatigue management.</p> <p>Ensure policies/procedures include a regular review of training requirements.</p> <p>Ensure training is suitable to the task.</p>				
2. Document what training has been undertaken in relation to fatigue management by anyone associated with the management, supervision or driving of commercial vehicles, including anyone associated with rostering and scheduling.	<p>Verify what training has occurred and that competencies have reasonably been demonstrated through some form of assessment.</p> <p>Training may be provided by:</p> <ul style="list-style-type: none"> • Outside training provider • In house trainer • Internet lecture or questionnaire • Through the induction process 				
3. Document what training in the fatigue management system's policies and practices is given to all new drivers, contractors or employees as part of their induction process.	<p>Review policies/procedures to ensure all employees, through the induction process (where practicable) are aware of the policies/procedures, and that when the management system (and/or Fatigue Management Plan) is updated that information is provided and made available to all staff.</p>				

STANDARD S4 – TRAINING AND EDUCATION

Criteria	Assessment Step	How does the system address the requirement	Indicate evidence sighted	Compliance Audit and Re-entry Audits Only	Compliance Code
4. A regular review of training is required.	Review policies/procedures to ensure that the process is detailed, identifying responsible staff, and frequency. Ensure that an effective recording/monitoring system exists.				

Fatigue Management Standards Audit Matrix

Objective: To report and record all accidents and incidents so that the information gathered can be used to target and modify unsafe practices and prevent injuries and damage.

STANDARD S5 – MANAGEMENT OF ACCIDENTS AND INCIDENTS					
Criteria	Assessment Step	How does the system address the requirement	Indicate evidence sighted	Compliance Audit and Re-entry Audits Only	Compliance Code
<p>1. Have a written policy and procedures for the comprehensive reporting and recording of accidents and incidents.</p> <p>For example:</p> <ul style="list-style-type: none"> • Crashes • Near misses • Mechanical hazards 	<p>Review policies/procedures.</p> <p>Verify that documentation is available to all relevant staff and at all locations where operations related to fatigue management are undertaken.</p> <p>Verify statements of responsibility.</p>				
<p>2. Have documentation that demonstrates what follow-up and remedial action was taken for all accidents or incidents reported.</p>	<p>Verify records detailing any reportable accidents or incidents, including follow-up or remedial action.</p>				

Fatigue Management Standards Audit Matrix

Objective: To ensure that safe and suitable workplace conditions are provided which contribute to reducing the effects of fatigue

STANDARD S6 – WORKPLACE CONDITIONS					
Criteria	Assessment Step	How does the system address the requirement	Indicate evidence sighted	Compliance Audit and Re-entry Audits Only	Compliance Code
1. Policies and procedures exist to ensure the working environment assists in the prevention of fatigue.	Review policies/procedures. These need to include, where appropriate, specific provisions relating to driver seating, driver sleeping facilities, depot facilities and air conditioning of driver cabs.				

Fatigue Management Standards Audit Matrix

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

STANDARD S7 – DOCUMENTATION AND RECORDS					
Criteria	Assessment Step	How does the system address the requirement	Indicate evidence sighted	Compliance Audit and Re-entry Audits Only	Compliance Code
<p>1. Have written documentation recording all policies and procedures that are required under the Standards.</p> <p>Please Note: Documentation and records must be kept for a minimum of three years, including superseded procedures.</p>	<p>Ensure that all required records are legible and identifiable to the vehicle, driver and trip.</p> <p>Verify that documentation is available to all relevant staff and at all locations where operations related to fatigue management are undertaken.</p> <p>Verify statement of responsibility, which should identify the responsible person for maintaining and updating the relevant documentation.</p> <p>As a minimum the appropriate documentation must include:</p> <ul style="list-style-type: none"> • Documentation that records all trips • Start and finish times (trip sheets with details of any alterations) • Scheduling of trips • Rosters (including name of driver and expected start and finish times) • Control measures that are applied if commercial vehicle driver operating standards are exceeded • Confidential personnel records (including evidence of driver medical assessment and training) • Documents detailing any reportable accidents or incidents 				

Fatigue Management Standards Audit Matrix

Objective: To ensure that all drivers, schedulers and management understand their responsibility in relation to the hazards and risks associated with fatigue and how these hazards and risks may be managed and controlled.

STANDARD S8 – RESPONSIBILITIES					
Criteria	Assessment Step	How does the system address the requirement	Indicate evidence sighted	Compliance Audit and Re-entry Audits Only	Compliance Code
<p>1. Authorities, responsibilities and duties of all positions involved in the management, operation, administration, participation and verification of the Fatigue Management System are current, clearly defined and documented.</p>	<p>Verify that the tasks have been identified in the Fatigue 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.</p> <p>Review Statements of Responsibility – these can be either standalone documents or documented with job descriptions.</p> <p>Verify that the policies/procedures ensure that the people assigned to each listed task are appropriate for that task.</p> <p>Verify that the policies/procedures ensure that all of the relevant staff know how to access the written record of their responsibilities.</p>				

Fatigue Management Standards Audit Matrix

Objective: Fatigue Management Standards Audit Matrix

Objective: To monitor and verify that all results and activities comply with the Fatigue Management System's policies, procedures and instructions.

STANDARD S8 – INTERNAL REVIEW					
Criteria	Assessment Step	How does the system address the requirement	Indicate evidence sighted	Compliance Audit and Re-entry Audits Only	Compliance Code
1. Have a written policy and procedure for carrying out an annual internal review of the management system.	<p>Review polices/procedures, which should include:</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 checklist of documents to be used for the review. <p>Review internal audit schedule.</p> <p>Verify previous internal review report.</p>				
2. Require the internal review be carried out by a person who is not involved in the operation of the procedures being reviewed, where practical.	<p>Review policies/procedures.</p> <p>Review Statement of Responsibilities.</p> <p>Verify criteria for internal auditor.</p>				
3. Have written procedures for ensuring all non-conformances are corrected.	<p>Review procedures, including:</p> <ul style="list-style-type: none"> • How non-conformances can be detected • Who is responsible for detecting them • Who needs to be told about them • Corrective action to be taken • Timeframes for reporting identified non-conformances • How the responsible person is to document the process so the non-conformance does not recur 				

STANDARD S8 – INTERNAL REVIEW					
Criteria	Assessment Step	How does the system address the requirement	Indicate evidence sighted	Compliance Audit and Re-entry Audits Only	Compliance Code
	Verify previous internal and external audit reports.			X	
4. Have a method of recording non-conformances and the action taken to correct them.	Verify the non-conformance register.				
5. Have written procedures for allocating the responsibility to specific staff for ensuring that all non-conformances are addressed and not repeated.	Review procedures. Verify the non-conformance register.				
6. Require the production of regular compliance statements.	Verify compliance statements.				

Please note: The Occupational Safety and Health Regulations and other fatigue related documentation can be found at: www.safetyline.wa.gov.au.