

Pre-Audit Checklist

This checklist provides a simple guide when preparing for your upcoming Heavy Vehicle Accreditation audit.

Many of your *Accreditation System* documents will only require amendments & updating *only if there have been changes to the document's purpose*, for example your Vehicle Register will only require updating or renewal if there have been changes made to your accredited vehicle fleet, e.g. if vehicles were sold or acquired during the audit period.

Similarly, documented Policies and Procedural documents will only require amending & possibly replacing if changes have been made to your policies or procedures, otherwise pre-existing documents will be acceptable for the audit; these sorts of documents do not automatically require renewal every year.

Operational documents required for the audit will include:

1. Maintenance registers and Fault/Repair registers for all of your accredited vehicles; detailed histories are necessary for the entire audit period (since your last audit). These types of records will also be required for any equipment that was operated during the current audit period, but sold prior to the actual audit date.
2. All drivers' fatigue tripsheets, or tripsheet books for the period since your last audit, including records for drivers that may have left the operation during the current audit period.
3. Any vehicle defect-books or pre-start books used during the current audit period.

Systems records required for the audit will include:

1. Training records for the organisation's Responsible Person, the HVA Administrator and all drivers including copies of their WorkSafe fatigue certificates, any *Load Restraint* Training, in-house training and Induction records, and every individual's Training Registers etc. These records need to be available even if the person has already left the organisation during the audit period and is no longer currently employed by you.
2. Drivers' Medicals for any drivers who've driven RAV's for the current audit period.
3. Current Policies (Fatigue, Maintenance and Dimension & Loading Policies) and Accreditation Responsibility statement for the accredited operator; all drivers need to have signed an individual Employee Responsibility Statement also.
4. A current Preferred Suppliers Register
5. A current vehicle register, this needs to show dates when vehicles have been added or deleted from the system during the current audit period.
6. Roadworthiness Inspection Certificates for all vehicles on the accredited vehicle register, these certificates need to be signed, and dated less than six months old on the date of audit, RWC's dated older than 6 months at the audit meeting aren't recognised for the purposes of the audit.
7. Any Intercept Reports or work orders received from Main Roads, Police, WorkSafe or Local Government during the audit period.

8. Any Non-Conformances raised during the audit period with your non-conformance register updated accordingly.
9. Your most recent audit report, and any audit reports received during the current audit period for other types of (Random or Triggered?) audit you may have undergone since your last scheduled-annual audit.
10. Completed regular (monthly or quarterly) compliance matrixes for the entire audit period.
11. Completed Internal Review documents (signed & dated) for Internal Reviews performed during the audit period.
12. Any Incident Report forms used during the current audit period.

This list is generalised and your own type of transport operation may require some other, different types of documents and records to those listed here.

If you have any queries or doubts please don't hesitate to contact Clayton Cream on 0419 933 339 or Sjoukje Cream on Ph: 0409 220 700.