

# WA HVA Pre-Audit Checklist

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

Many of your *Accreditation System* documents will only require amendments & updating *only if* there have been changes to the existing document's purpose.

All vehicles running under the accreditation (Prime Movers, trucks, trailers & dollies) are required to be listed with Roadworthiness Inspection details on Main Roads new *Vehicle Register*.

In 2023 Main Roads drafted new ***Policy and Responsibility*** documentation which include ***Statements of Responsibilities (SOR's)*** for all individuals involved with an Operator's accreditation, these new documents require signing by all parties, including all Drivers, Administrators and the Accreditation's Owner, prior to the audit meeting please.

Operational documents required for the audit will include:

1. Maintenance registers and Fault/Repair registers for each accredited vehicle; detailed R & M histories are necessary for the entire audit period (since your last audit); these types of records are also required for any vehicles which were operated during the current audit period and includes those which may have been sold or removed from the accreditation during the current audit period and prior to your next audit meeting date.
2. All drivers' fatigue tripsheets, or tripsheet books for the period since your last audit, including tripsheet records for any drivers who may have left your 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. All 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*, and all in-house training (VOC's) and Induction records, and every individual's Training Registers etc. These records need to be available even if the person left your organisation during the audit period and is no longer currently employed by you.
2. Drivers' Medicals for **ALL** drivers who've driven RAV's during the current audit period, even if they have since left your operation.
3. A Rollover Mitigation Statement signed by each driver.
4. **(SOR) Statement of Responsibility** documentation for Fatigue, Maintenance, Common Standards, Dimension & Loading and AMMS (if applicable) for the accredited operator; all drivers need to have signed an individual Employee Responsibility Statement also. These documents do not require re-signing every year.

5. A current Preferred Suppliers Register **IS NO LONGER REQUIRED**
6. A current vehicle register, this needs to show dates when vehicles have been added or deleted from the system, the register is used to record **current RWC dates** – please ensure that you use the ***new Main Roads formatted Vehicle Register***.
7. RWCs (Roadworthiness Inspection Certificates) are required for each vehicle listed on the accredited vehicle register; these certificates need to be signed and dated and **cannot be dated older than 12 months old on the date of audit**; any RWC's dated older than 12 months at the audit meeting aren't recognised by Main Roads for the purposes of the audit. **RWC inspection dates are now summarised and recorded on the new Vehicle Register**
8. Any Intercept Reports or work orders received from Main Roads, Police, WorkSafe or Local Government during the audit period.
9. Any Non-Conformances raised during the audit period with your (NCR) Non-Conformance Register updated accordingly.
10. Your most recent audit report, and any audit reports received during the current audit period for other types of audits (Spot check, Random Audit or Triggered Audit) your accreditation may have undergone since your last scheduled-annual audit.
11. Regular (monthly or quarterly) compliance matrixes are **NO LONGER REQUIRED** period.
12. Two completed Internal Review documents (signed & dated) for Internal Reviews performed during the audit period, two Internal Reviews are now required per year and should be conducted at six monthly intervals.
13. Any Incident Report forms used during the current audit period, copies of any documentation relating to accidents or incidents reported to Main Roads HVS during the current audit period.

## For audits including the AMMS Module:

Please note this checklist does not include detailed audit requirements for the AMMS (Accredited Mass Management Module) as these requirements can vary between Operators as different transport operations and vehicle types have different AMMS compliance requirements.

However, **at a minimum** the following records are required for an AMMS Audit:

1. Copies of all AMMS Permits
2. Updated/current AMMS Vehicle Register information must be included on the current vehicle register (Main Roads version) and include Prime Mover Manufacturer's GCM Ratings and trailers' and dollies' Manufacturer's ATM Ratings information.
3. A signed & dated AMMS Policy
4. Current AMMS procedures and instructions for Drivers, Schedulers and Administrators
5. Trip records for **every load/trip** conducted whilst operating vehicles at AMMS Mass limits, these records must include the following information (at a minimum):
  - The current AMMS Permit Number
  - Place of loading and delivery destination
  - Goods or commodity being transported and the loaded mass (payload)
  - Identify which AMMS system is relied upon (onboard scales, a Supplier Listed
  - Weighbridge, alternate weighbridge, the volumetric method, or any other approved mass management method)
  - **Documented AMMS Loading Plans** with documented evidence of load-plan verification weighs performed & recorded every 90-days

This list is generalised only.

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 regarding the contents of this checklist, please don't hesitate to contact Clayton Cream on 0419 933 339.