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# **Western Australian Heavy Vehicle Accreditation Auditor Certification Policy and Process**

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# Document Control

<b>Owner</b>	Manager Heavy Vehicle Transport Compliance
<b>Custodian</b>	Road Transport Compliance Performance Coordinator
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# Amendments

Revision Number	Revision Date	Description of Key Changes	Section / Page No.
1	10 <sup>th</sup> May 2022	Formatting throughout document	
2	23 <sup>rd</sup> May 2023	Review of entire document	
3	14 <sup>th</sup> June 2023	Amended refresher course wording	3.9, 3.10, 3.11
4	28 <sup>th</sup> June 2023	Amended competency check wording	3.9, 3.10, 3.11
5	31 <sup>st</sup> July 2023	Amended competency check requirement	3.10

## 1. PURPOSE

Main Roads Western Australia (MRWA) through Heavy Vehicle Services (HVS) administer the Western Australian Heavy Vehicle Accreditation Scheme (WAHVAS). To maintain the integrity of the scheme, external independent auditors conduct audits on the accredited operators' systems. These auditors have been certified by an external agency (Exemplar Global) for a number of years.

This document is to ensure a transparent and clear process is in place and followed.

## 2. APPROVAL AUTHORITY

Manager Heavy Vehicle Transport Compliance (MHVTC) is the approving authority for all auditor certification under the WAHVAS.

## 3. AUDITOR CERTIFICATION PROCESS

3.1 The applicant must submit a Registration Form together with evidence of the following qualifications:

(i) Mandatory Qualifications:

1. Management Systems Auditing Certification;
2. Quality Management Systems Certification;
3. Commercial Vehicle Driver Fatigue Management Training (available at [safetyline.wa.gov.au](http://safetyline.wa.gov.au)); and
4. Administer the Implementation of Fatigue Management Strategies for Administrators (available at [safetyline.wa.gov.au](http://safetyline.wa.gov.au))

(ii) Optional Qualifications:

1. Leading Management Systems Auditing Teams Certification; and

(iii) photographic identification

to HVS at [HVAModules@mainroads.wa.gov.au](mailto:HVAModules@mainroads.wa.gov.au)

3.2 If the above qualification requirements are met, a website link will be sent to the applicant to set up a 'MRWA My Account'.

3.3 Once the applicant's 'MRWA My Account' is set up, the applicant will be sent another website link to the online E-Learning training modules on MRWA web page.

3.4 The applicant must then log onto E-Learning website and successfully complete all of the following training modules:

(i) Introduction to WAHVA;

- (ii) Business rules Module;
- (iii) Maintenance Management Module Standards;
- (iv) Fatigue Management Module Standards;
- (v) Loading and Dimension Module Standards;
- (vi) Mass Management Module Standards; and
- (vii) Common Standards

- 3.5 It is the Applicant's obligation to ensure that they prepare and are familiar with the accreditation process in undertaking the training modules.
- 3.6 Applicants have three attempts to pass each training module. If after the third attempt, the applicant cannot pass the training modules, the applicant cannot attempt to redo the module for 60 days. Please note that the applicant will only be required to successfully complete the modules that they have failed.
- 3.7 On the successful completion of the training modules, a certificate will be issued to the applicant.
- 3.8 The Auditor Certification is valid for four years, at which time the auditor will need to recertify through the same process as applying for the auditor certification.
- 3.9 Every two years, from the date of certification, the auditor is required to undertake a competency check online.
- 3.10 At least 60 days prior to the competency check being due, the Auditor will be notified that the competency check is available to be accessed.
- 3.11 In the event that the auditor fails to undertake and complete the competency check by the due date, the auditor's certification will be suspended and the auditor will not be able to conduct any audits until such time the certification is reinstated.
- 3.12 There is no cost to the candidate for taking the course or for the certification.

#### 4. Auditor Breach Process

In the event that MRWA identifies an issue with an auditor's report, or identifies any issue with the auditor's actions or investigations, MRWA may take any of the following actions:

- a) provide the auditor with feedback, advice and/or counselling;
- b) recommend the auditor undertake remedial training;
- c) provide written warning advice;
- d) cause a Triggered audit or inspection to be conducted on the Operator;
- e) temporarily suspend the auditor from conducting WAHVA audits;
- f) Cancel an auditor's auditor certification and remove their name from the register of auditors if one or more of the following criteria are met:

- i. the auditor was certified on the basis of incorrect or misleading information;
  - ii. MRWA is no longer satisfied the auditor has complied with any of the conditions of the Auditor Code of Conduct in Section 13 of these Business Rules;
  - iii. MRWA has reason to suspect there are grounds to refuse to certify the auditor;
  - iv. Action required to be taken has not been taken; or
  - v. A safety related incident occurs or caused by the auditor.
- g) Cause the relevant audit/s to be cancelled in part or in full and cause a new audit to be conducted.

## 5. APPEALS PROCESS

5.1 MRWA will send a letter providing the Auditor with details of the outcome of a decision to suspend or cancel the auditor's certification. The letter will provide the auditor with 28 days to respond to a decision to suspend or cancel the auditor's certification.

5.2 In the event that the auditors is aggrieved by the decision to suspend or cancel the auditor's certification, they may appeal the decision, in writing, withing the 28 day time period.

5.3 The appeal must include detailed reasons supporting the auditor's opinion to withdraw the suspension or cancellation of the auditor's certification.

5.4 MRWA will review the reasons provided by the auditor and will make a decision on whether or not to uphold its original decision to cancel or suspend the auditor's certification.

5.5 MRWA will notify the auditor, in writing, of its decision

5.6 during any period of suspension or cancellation the auditor is not permitted to audit operators and MRWA will not accept any audits conducted by the auditor during this period.

5.7 In the event an auditor's certification is cancelled, a minimum period of 6 month must elapse before the auditor can apply to be certified to conduct WAHVA audits.

## 6. Auditor Code of Conduct

A WAHVA Auditor must, at all times, comply with the following:

- 6.1 act professionally, accurately and in an unbiased manner;
- 6.2 not undertake any WAHVA audits that they are not competent to perform;

- 6.3 not represent conflicting or competing interests and will disclose any relationships to any heavy vehicle Operator or employer that may influence their judgment;
- 6.4 not discuss or disclose any information relating to any audit unless required by law or authorised in writing by the Operator and/or by Main Roads;
- 6.5 not accept any inducement, commission, gift, other benefit from client organisations, their employees, any interested party or knowingly allow colleagues to do so;
- 6.6 not intentionally communicate false or misleading information that may compromise the integrity of any audit or the personnel certification process;
- 6.7 comply with any Main Roads Certification Requirements, procedures and advisories which are relevant to the Auditor role or certification;
- 6.8 comply with industry-specific standards including international standards, which are relevant to the Auditor role or certification;
- 6.9 not act in any way that would prejudice the reputation of Main Roads or the personal certification process and will cooperate fully with an enquiry in the event of any alleged breach of this code;
- 6.10 agree to this Code of Conduct and Main Roads complaints, appeals and disciplinary procedures;
- 6.11 not act as an advisor, consultant and/or systems provider to any heavy vehicle Operator the Auditor also provides an audit service; and
- 6.12 conduct themselves in accordance with this document

Any breach of this Code of Conduct may lead to action being taken in accordance with the Auditor Breach Process.