



**National Heavy Vehicle
Accreditation Scheme**
Audit Framework and Auditor
Code of Conduct

FEBRUARY 2021





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Foreword

The National Heavy Vehicle Accreditation Scheme (NHVAS) allows heavy vehicle operators to use management systems operating within their business to demonstrate that vehicles and/or drivers comply with regulatory standards.

To achieve NHVAS accreditation, heavy vehicle operators arrange for an NHVAS-approved auditor registered with the National Heavy Vehicle Regulator (NHVR) to audit their management systems. Where the auditor confirms that the operator has systems in place that meet the relevant module's standards, the operator may apply to the NHVR to establish accreditation. When accredited, the operator continuously maintains and improves their management systems, as verified by internal reviews and other processes. The operator then arranges for these systems to be periodically audited by an NHVAS-approved auditor as a condition of maintaining accreditation.

It is vital for the credibility and viability of the Scheme that operator compliance with the business rules and standards is objectively and independently assessed. Equally, it is important that NHVAS-approved auditors, registered by the NHVR, apply the highest standards of integrity, consistency and professionalism.

This Audit Framework helps to achieve these goals. It applies a common set of principles, processes and audit methodologies for the conduct, documentation and reporting of NHVAS audits. It also provides guidance relating to the conduct of an approved auditor registered with the NHVR.

The document is divided into four sections.

Section 1: A brief overview of the Scheme

Section 2: The principles that apply to independent auditing

Section 3: The audit process and the use of audit documentation in that process

Section 4: A code of conduct for NHVAS-approved auditors, including a review/appeal process

1 Introduction

1.1 Overview

The National Heavy Vehicle Accreditation Scheme (the Scheme) is an audit-based compliance scheme established under section 458 of the Heavy Vehicle National Law (HVNL) and administered by the National Heavy Vehicle Regulator (NHVR).

The Scheme allows heavy vehicle operators to demonstrate, through the audit of their management systems, that the operation of vehicles and/or drivers complies with NHVAS Business Rules and Standards (the business rules and standards). In return, accredited operators are permitted access to alternative compliance methods or concessions, such as increases in mass or more flexible work hours under the HVNL.

The NHVAS is an important component of an integrated, risk-based safety assurance system for heavy vehicles in Australia. The long-term objectives of the Scheme are to:

- improve road safety
- increase the productivity of the transport industry through operators adopting good risk management practice
- improve operational efficiency for these operators.

1.2 Purpose

This *NHVAS Audit Framework* document (the Audit Framework) provides NHVAS-approved auditors with guidance on the principles, processes and audit methodology that comprise the NHVAS audit system. The purpose of the Audit Framework is to provide NHVAS-approved auditors with a basis for consistent decision making in the tasks requiring judgement during the NHVAS audit process.

In particular, the Audit Framework provides:

- a common set of principles relating to the conduct of an audit and the conduct of auditors
- a common approach to auditing across all accreditation modules
- a reference source for audit terminology and practices that will help foster a common understanding by participants in the Scheme – both auditors and operators.

Consistency across these areas will enhance the overall quality of audits and provide operators with certainty in managing their business.

1.3 Scope

The Audit Framework applies to all three (3) accreditation modules as described in Table 1.

Each of these modules includes standards that provide the scope and basis for audits. The standards establish the responsibilities, policies, procedures and records that, if adopted by operators, will demonstrate compliance with key elements of heavy vehicle legislation relating to vehicle maintenance, vehicle mass and driver fatigue.

The standards reflect a systematic approach to managing safety risks through a set of organised actions involving:

- identifying, assessing and controlling heavy vehicle risks
- monitoring management systems to maintain safety performance
- continuing improving the overall performance of the operator's management system.

Under the Scheme, operators are required to have their management systems periodically audited by NHVAS-approved auditors. Between these audits, operators are expected to monitor, review and improve on their management systems. The internal review and improvement process forms part of the scope of the audits.

Table 1: NHVAS accreditation requirement

NHVAS module	Accreditation requirement
Maintenance Management	A management system demonstrating that vehicles are appropriately inspected, serviced, repaired and maintained.
Mass Management	A management system demonstrating that the legal mass of vehicles is appropriately controlled for both axle mass and gross mass.
Fatigue Management (2 options available)	Basic Fatigue Management (BFM) A management system demonstrating that driver fatigue is appropriately controlled via schedules, driver rostering, fitness for duty, management monitoring and controls using the prescribed legislated work and rest hours. Advanced Fatigue Management (AFM) A management system demonstrating that driver fatigue is appropriately controlled via schedules, driver rostering, fitness for duty, management monitoring and controls using an individually approved set of work and rest hours.

1.4 Related documents

The Audit Framework is one of several documents pertaining to the Scheme and should be read in conjunction with:

- NHVAS Business Rules
- Accreditation Standards for each of the management modules
- The Audit Matrix for each of the accreditation modules
- The Audit Summary Report template common to all modules.

1.5 How the Audit Framework may be amended

The Audit Framework will be periodically revised to reflect changes in the Scheme, legislation, new requirements and continuous improvement as a result of consultation with key stakeholders. Any amendments will be issued with a release number and date reflected in the footer of the document and on the NHVR website.

Principles relating to audits

2.1 Objectives

Under the Scheme, operators undergo an audit at regular intervals by an NHVAS-approved auditor who is approved and registered with the National Heavy Vehicle Regulator (NHVR).

The purpose of the audit is to:

- verify objective evidence related to an operator's management systems
- assess how successfully these systems have been implemented
- determine the effectiveness of the operator's systems in meeting NHVAS Standards
- provide evidence concerning the mitigation of problem areas
- identify opportunities for improvements in the operator's management systems.

An audit is an effective way to ensure the operator's management system meets the required standards and is continuously improved over the life of the business. It aims to ensure that only operators, who demonstrate an appropriate level of compliance with the business rules and standards achieve and maintain accreditation under the Scheme.

2.2 Scope of audits

The scope of the audit is determined by the business rules and standards for the specific NHVAS module that the operator is seeking to establish or maintain.

2.3 Types of audit

Two main types of audits must be performed on an operator's management system (as per the Scheme: Entry audit and compliance audit).

2.3.1 Entry audits

An entry audit is the first audit of the operator's management system. This audit verifies that the operator's policies, procedures and record-keeping systems will comply with the relevant accreditation standards (i.e. Maintenance, Mass, Fatigue).

A successful entry audit is one pre-requisite for the applicant to become NHVR-approved as an accredited operator under the Scheme.

2.3.2 Compliance audits

A compliance audit is conducted periodically when the operator is accredited. The purpose of a compliance audit is to confirm that the operator's management system complies with the relevant standards and that management and staff are aware of, and comply with, the relevant policies and procedures (i.e. the management system for which accreditation was granted is functioning effectively within the operator's business).

A conforming compliance audit is necessary for the operator to maintain accreditation.

2.3.3 Other audits

In certain circumstances the NHVR may initiate other types of audits such as random audits, triggered audits and spot checks when a complaint has been made or when there is evidence or reasonable suspicion of a failure in an operator's management system. In these circumstances, the NHVR will provide guidance to the assigned auditor, in relation to aspects of the audit to be carried out.

2.4 Timing of audits

An entry audit may be arranged at any time if the operator is confident their management system meets the relevant accreditation standards for the module.

In contrast, there are strict timeframes associated with compliance audits. In the operator's first accreditation period, two compliance audits must take place:

1. **The initial compliance audit** is conducted during the sixth month after accreditation is granted.
2. **Subsequent compliance audits** are conducted in the **nine months** prior to accreditation expiry.

For subsequent accreditation periods, only one compliance audit is required for each accreditation period.

Within these timing rules, the audit scheduling is to be negotiated in consultation between the operator and the NHVAS-approved auditor. Auditors and operators should ensure that management and staff relevant to the management system are available on the dates arranged for the audit.

If possible, the audit should take place when it is convenient for all parties. For example, the audit could take place at a less busy period for the operator's company to avoid hindering business operations.

For all audits, the audit report is only valid for nine months from the date the audit is conducted.

2.5 Location of audit

The location of the NHVAS audits will depend on whether the audit is an entry audit or a compliance audit.

2.5.1 Entry audits

The purpose of an entry audit is to verify that the operator has policies, procedures and record-keeping processes in place (in other words, a management system) that complies with the relevant accreditation standards. The Entry Audit can take place at any location but will generally take place where the operator's records are held.

2.5.2 Compliance audits

The purpose of a compliance audit is to verify that the operator's management system adheres to the relevant accreditation standards and is fully implemented within the company's operations. As a result, this audit needs to take place at the site of principle operation. The reason it needs to occur on location is to allow relevant staff to be interviewed and verify procedures and processes have been integrated in the company's operations.

The primary place for a compliance audit is agreed by the NHVR at the time of the operator's entry in the Scheme. Generally, this will be the 'Primary Physical Operating Address' nominated by the operator on the NHVAS Accreditation Application.

2.5.3 Approvals for variation

In certain circumstances, the NHVR may consent to an audit being performed at a location other than the operator's primary physical operating address, if the number of audits conducted away from the operator's nominated premises is limited to two consecutive audits.

In all cases, the location of the compliance audit must be included on the **Compliance Audit Application** and the NHVAS Audit Summary Report.

The purpose and content for each of these documents is described in Chapter 3.

2.5.4 Multi-site locations

When an operator has several geographically distinct operating sites (and when a single NHVAS accreditation applies to those sites) auditors must ensure that compliance audits are conducted on a representative sample of these sites. The representative sample should be based on the number of operational sites that are included in the operator's accreditation.

The number of sites selected for sampling is determined in line with the following table.

Table 2: Sample size for multi-site operators

Total number of operator's sites	Sample size for compliance audits
1-2	All
3-8	3
9-15	5
16-25	8
26-50	13
51-90	20
91-150	32
151-280	50
281-500	80
501-1200	125

In determining which sites to select, auditors should consider:

- the size of the respective sites (generally, larger sites should be considered over smaller sites)
- the nature of activities at sites, (e.g. sites where freight is loaded or secured on vehicles) may be a more appropriate target for mass management auditing. Sites where vehicle servicing/repairs are conducted may be a more appropriate target for maintenance management auditing.

2.5.5 Change of sites between audits

When an operator adds sites or closes sites during accreditation periods, it must be factored into the audit process. In these circumstances, the number of sites to be audited should be calculated from the new total in line with the above table. The new sites should also be included in the sample at the next audit.

The operator must advise the NHVR of any changes to their accreditation within 14 days. In such circumstances an auditor may recalculate the number of sites audited, based on the table above.

2.6 Audit documentation

2.6.1 Uniform report styles and formats

Auditors are required to adhere to the business rules and the HVNL, and ensure consistency in audit reporting. The NHVR helps achieve this consistency by requiring that audit results are recorded on the NHVAS audit matrices and NHVAS Audit Summary Report template. It is a condition of registration that auditors use this documentation when conducting audits under the Scheme.

A description of the purpose and content of these audit documents is outlined below.



2.6.2 Audit Matrix

The Audit Matrix is the primary on-site audit. It provides a template for the auditor to systematically record evidence about the operator's compliance with the accreditation standards.

There is a separate Audit Matrix for each of the three NHVAS accreditation modules (Maintenance Management, Mass Management and Fatigue Management which has two options: BFM and AFM).

Auditors must use the relevant NHVR-approved and published Audit Matrix and complete all the fields in the Matrix when undertaking an NHVAS audit.

When completed, auditors must retain a copy of the Audit Matrix for a period of three years from the audit date.

Detailed instructions on completing the Audit Matrix are provided under section 3.2.1 of the Audit Framework.

2.6.3 Audit Summary Report

Auditors must record the findings of all NHVAS audits on the current NHVAS Audit Summary Report template that is approved and published by the NHVR.

The NHVAS Audit Summary Report is the critical document that verifies whether the operator is compliant or non-compliant with the standards of the particular accreditation module. It records the outcome of the audit findings based on evidence gathered and recorded in the relevant Audit Matrix.

When the operator does not meet a standard, a non-compliance is recorded on the NHVAS Audit Summary Report and a Corrective Action Request (CAR) is prepared. The CAR outlines the actions required to be taken by the operator to meet the standard and an agreed timeframe for it to be completed.

Audits are system audits and therefore need to focus on the management system used by the operator to ensure compliance with the relevant module standards. When CARs are identified, they should focus on the failure in the system that led to the non-compliance.

For example, one of the standards in the fatigue module requires that drivers are periodically assessed by a medical practitioner and certified as fit to drive. Where an auditor discovers that the date for the driver's last medical examination has expired, the CAR generated should focus on the failure, in the operator's system, that has allowed this to occur rather than on the need for the individual driver to obtain a medical assessment.

The operator is responsible for taking the corrective action identified in the CAR. The auditor provides the final NHVAS Audit Summary Report to the operator only when satisfied that the operator has addressed all corrective action. When satisfied, the auditor may provide the operator with the audit report, signed by both parties, and acknowledging that all CARs are closed. The operator will then submit it to the NHVR.

When an action has been agreed but may take some time to be completed, it is the operator's responsibility to advise the auditor when it is complete. It is the auditor's responsibility to

follow-up any actions when an operator fails to advise that an action has been completed by the due date, and advise the NHVR accordingly.

Detailed instruction on completing the NHVAS Audit Summary Report is outlined in section 3.2.6 of this Audit Framework.

The operator should retain a copy of the completed NHVAS Audit Summary Report for a period of three years from the date the document is provided by the auditor.

Auditors may ask operators for a copy of the most recent NHVAS Audit Summary Report during subsequent NHVAS audits.

2.7 Selection of auditor

2.7.1 Auditor competence

Only NHVAS-approved auditors registered with the NHVR may conduct NHVAS entry and compliance audits. To be approved, an auditor must meet the criteria outlined in Section 22 of version 3.0 February 2021 business rules.

These criteria establish the professional qualifications, certification, experience, skills and insurance that is required of auditors.

Those who audit Maintenance Management and Mass Management accreditation systems also need to have at least one of the following.

- Relevant technical competencies
- Training recognised by the NHVR
- Proof that they have a formal arrangement with a suitably competent person, to provide technical input into the audit.

2.7.2 Auditor scope

Under the Scheme, there are three accreditation modules – Maintenance, Mass and Fatigue with two options, Basic and Advanced Fatigue Management. Only an auditor with scope to conduct audits in a specific accreditation module can conduct the audit. For example, an auditor with scope to conduct Mass or Maintenance audits may not conduct fatigue audits unless they have Exemplar Global HVA scope for auditing the fatigue module.

Normally an operator would select the auditor from the current list of registered NHVAS-approved auditors on the NHVR website. The operator must inform the NHVR of their selection by submitting a Compliance Audit Application (CAA) using the NHVR Portal. This process is outlined in more detail in Chapter 3.

It is the auditor's responsibility to ensure that they hold scope for the module for which the operator is seeking accreditation. It is an offence under section 478 of the HVNL for an auditor to falsely represent that they are an auditor of a particular approved class.



2.7.3 Auditor nomination by NHVR

The operator can choose an alternative auditor from a NHVR-provided list. The NHVR may, at its discretion, reject the nomination of an auditor and either appoint an alternative or request the operator selects another auditor. This will also occur when there is a perceived conflict of interest or other risk to the integrity of the audit that has been brought to the NHVR's attention. In these circumstances, on receiving the CAA from an operator, the NHVR would notify the operator that their choice of auditor has been refused by rejecting the CAA. The NHVR would then ask the operator to choose an alternative auditor.

2.7.4 Conflict of interest

An individual auditor cannot develop a management system on behalf of an operator and then subsequently audit the same system (i.e. an auditor cannot provide an operator with a consultancy service for the design of their management system when applying for accreditation, then conduct the entry or subsequent compliance audits on that system).

This rule does not apply when the management system developed by the auditor as a consultant is different from the system being audited by that auditor. For example, an auditor who assists an operator to establish a vehicle maintenance system is still permitted to audit the operator's Mass Management or Fatigue Management systems (if they hold the required registration) but is not permitted to audit the maintenance system.

2.7.5 'Two-audit' rule

Auditors are permitted to conduct only two consecutive audits per accreditation module. This includes both entry and compliance audits (i.e. the Entry Audit and Initial Compliance Audit or two consecutive compliance audits).

After two consecutive audits with the same auditor, the operator must choose a different auditor. The NHVR reviews the operator's Compliance Audit Application (CAA) to ensure that this rule is maintained (refer 3.1.1).

The exception to this rule is in relation to the fatigue module in which an auditor is, for example, permitted to undertake two BFM audits followed by an AFM audit.

Regardless of this provision, and as detailed in section 2.7.3, the NHVR has absolute discretion to nominate an alternative auditor in order to maintain the integrity of the Scheme.

3 Conducting the NHVAS audit

3.1 Audit process

3.1.1 Initiating the audit

Compliance audits are initiated by the operator. When the auditor and audit date have been selected, the operator must provide the NHVR with a Compliance Audit Application (CAA) at least 28 days prior to the scheduled audit date. The application specifies the audit date and location, the name of the auditor and any other relevant details.

The NHVR reviews the CAA to ensure that all the requirements, as outlined previously, have been met. The CAA also includes a section allowing the operator to request relevant NHVAS information, including the current vehicle list (mass and maintenance), interception reports and previous audit results from the NHVR.

The operator must provide this information to the auditor when requested.

In circumstances when the NHVR has requested a different auditor, a new CAA application must be submitted.

3.1.2 Preparing for the audit

When selected by an operator, it is important that the auditor acquires an understanding of the likely audit process prior to physically undertaking the site visit. The auditor will assess the circumstances of the operator, draft an audit plan, schedule an opening meeting and liaise with the operator to determine (for example):

- the time that the audit will start. (The NHVR recommends starting at least an hour after the operator's opening hours to ensure that relevant management and staff are available and prepared for the auditor's arrival).
- the name of the person who will meet the auditor on arrival and take overall responsibility for facilitating the audit process. Normally this would be the person who will sign the 'Operator Declaration and Consent' on the audit report at the end of the audit (refer 3.2.6).
- any security and workplace health and safety (WHS) requirements such as site inductions and Personal Protective Equipment (e.g. safety vests, safety boots) that the auditor will need to enter the work site.
- a request for a person to escort the auditor around the site.
- documents that the auditor will want to access (refer 3.1.5).
- managers and staff that the auditor will want to interview (refer 3.1.7).
- any administrative arrangements (e.g. office space, photocopier and other facilities) needed for the visit.



The auditor should confirm these arrangements with the operator at least seven days prior to the agreed audit date.

The purpose of this process is to provide structure to the audit and to allow the operator and the auditor to make the necessary arrangements to ensure that the audit proceeds smoothly.

3.1.3 Opening meeting

The opening meeting should include all relevant staff who may be involved in the audit, including senior management and relevant administrative staff. During this meeting, the scope, timeframe, information needs and other matters relevant to the audit should be confirmed.

The opening meeting gives the auditor the opportunity to detail the purpose, scope and program for the audit, to explain the audit process and to confirm the availability of interviewees. The meeting should cover the following.

- **Introductions:** The auditor will record the names and positions of the present staff (including the person/s who will guide the auditor from one location to another) and complete an attendance list. This list forms part of the audit record and is included in the NHVAS Audit Summary Report (refer 3.2.6).
- **Purpose:** The auditor will explain the purpose and scope of the audit and, if necessary, confirm the auditor's authority to conduct the audit.
- **Review of the audit program:** The auditor will ask the operator to confirm relevant records and other information, including whether personnel understand the management system processes.
- **Documentation:** The auditor will confirm the status of various documents (e.g. policies, procedures and protocols) that the auditor will need to complete the audit.
- **Communication:** The auditor will need to confirm who to communicate with in the event of a serious problem during the audit (e.g. a failure by personnel to co-operate with the auditor).
- **Logistics:** The auditor will confirm arrangements such as a workspace for the auditor, access to photocopier and facilities, operational constraints on the audit process, transport around the site/s, and time and place for the closing meeting.

3.1.4 Generating audit findings

Compliance audits are **system** audits and need to focus on the management system used by the operator to ensure compliance with the relevant standards. The audit must address thresholds, tests and criteria set by the Audit Matrix for each standard in the relevant module.

The findings generated by the audit (and recorded in the Audit Matrix) must be based on information and other evidence gathered from the operator and/or persons or organisations performing functions in the operator's management system. This will generally require the auditor to:

- review the operator's policies, procedures and other records
- understand the operator's business processes
- test various parts of the management system for compliance with the applicable accreditation standards, laws and regulations
- discuss the system with the operator, managers and staff to ensure their commitment and understanding
- observe work practices and operations.

The reason for undertaking these activities is to confirm compliance or non-compliance for each standard in the relevant module. The auditor is responsible for taking all reasonable steps to determine that there is sufficient evidence to support a finding for each standard in the relevant module.

It is the operator's responsibility to provide appropriate and sufficient evidence to support the audit. When evidence is insufficient, they should make further enquires; however, if no further evidence is available, the auditor should record a non-conformance for that standard.

3.1.5 Collecting and verifying evidence

The auditor will collect evidence that focuses on the required management system for the particular accreditation module/s (as outlined in the Audit Matrix), and whether elements of that system demonstrate compliance with the relevant standards. Some types of evidence are common to all accreditation modules; others are specific to each module. Examples of the documents are outlined in Table 3. For a full list of evidence types, auditors should refer to the Audit Matrix for each module.

Table 3: Audit documentary evidence

Accreditation Module	Document	Description
All	Policies and procedures	All NHVAS modules require the operator to develop, implement and maintain policies and procedures that cover their work practices. Auditors must review these documents to ensure that they meet the criterion specific to each management standard (e.g. in relation to the Maintenance Management module, there is a procedure for drivers to check vehicles on a daily basis and record/sign that the check has been completed).
All	Training records, position descriptions and personnel records	All Modules require the people involved in the particular activity (e.g. vehicle maintenance, mass or fatigue management) to understand their responsibilities and remain competent to carry them out. Position descriptions, training records and personnel records may provide evidence of compliance with such standards.
All	Previous audit reports	Operators are obliged to retain copies of previous Audit Reports for a period of three years. They are a valuable resource, particularly when a different NHVAS-approved auditor performed the operator's previous audit. Auditors should request a copy of the most recent Audit Report from the operator and ensure that all corrective actions, as outlined in the CARs, have been implemented by the operator.
All	Internal audit documentation (annual review)	All accreditation modules require the operator to review their management system on an annual basis. The auditor must request documentation from the operator to demonstrate that the annual review was completed.
All	Quarterly compliance statements	As part of the internal review standard for each module, an operator is required to complete quarterly compliance statements. These statements include a record of compliance with the key outcomes required for each module. For maintenance management the key outcomes include: <ul style="list-style-type: none"> • the number of vehicles in the accredited fleet • the number of daily checks on vehicles and the number of times that checks were not performed • the number of services and number of incidences when services were not conducted • the number of fault repairs and the number of incidences when faults were not rectified • the number of defect and infringement notices received. For Mass Management the key outcomes include: <ul style="list-style-type: none"> • the number of vehicles in the accredited fleet • the number of daily trips by vehicles • the number of trips that were not compliant with the vehicle's mass limits • the amount of mass excess for each non-compliant trip • the number of defect and infringement notices received. • For Fatigue Management the key outcomes include: <ul style="list-style-type: none"> • the number of drivers operating under the accreditation • the number of new drivers inducted for the quarter • the number of work and rest records checked • the number of compliant and non-compliant records for the quarter • the number of driver medicals completed for the quarter • the number of driver medicals missed for the quarter • the number of fatigue related incidents for the quarter • the number of infringement notices received.
Mass and Maintenance	Vehicle list	It is a condition of accreditation that operators maintain a current list (including registration numbers and other details) of all vehicles operated under the mass or maintenance accreditation modules. This list is important for sampling purposes (refer 3.1.6).
Maintenance	Vehicle defect books, vehicle logs, repair and rest records	This module requires operators to have systems in place to enable drivers to report defects/faults for individual vehicles. Auditors need to ensure that documentary evidence exists to enable drivers to identify vehicle faults and that these vehicle faults have been promptly remedied and tested by workshop staff.
Mass and Maintenance	Interception reports	Operators accredited for Mass and Maintenance must keep an Interception Report Book in each vehicle. These reports indicate that the vehicle has been intercepted and if a defect or breach has been issued by the Enforcement Officer, it should be recorded. Such records may indicate a non-conforming element of the operator's system and therefore a sample of these reports need to be reviewed.
Mass and Maintenance	Vehicle inspection records/checklists	These modules require individual vehicles to be checked (for faults and for mass) prior to departure. Auditors should request a copy of the operator's current vehicle list, and review vehicle inspection/mass records from a sample of vehicles selected from the list.
Mass and Maintenance	Service schedules and weight/load records	Both modules require records of vehicle maintenance schedules or weight/loads. For maintenance, these records include inspection/service records incorporating tolerances and wear limits for major components. For mass, records include vehicle suspension records.
Fatigue (BFM and AFM)	Driver list	It is a condition of accreditation that operators maintain a current list (including names and other details) of staff included in the Fatigue Management system. This list is important for sampling purposes (refer 3.1.6).
Fatigue (BFM and AFM)	Driver medical records	Both fatigue modules require that driver's health is periodically assessed by a medical practitioner, in line with Austroads requirements. Auditors need to access these records to ensure that the appropriate medical checks have taken place.
Fatigue (BFM and AFM)	Driver rosters and schedules	NHVAS Fatigue Standards require that the work/rest rosters of drivers incorporate fatigue management strategies. Auditors should request a copy of the operator's current driver list and review individual rosters from a sample of drivers selected from the operator's list.

3.1.6 Sampling documentation

It is impractical for auditors to review the records of every vehicle or driver within the operator's business. The audit process therefore requires that auditors review a sample of records, dependent on the size and scope of the operation. The purpose of sampling is to provide the auditor with a reasonable basis from which to draw conclusions regarding the integrity of the system covered by the operator's accreditation.

As a minimum, the sample of vehicles/drivers should be determined in line with Table 4. An auditor may sample more than is recommended.

Table 4: Sample size for accredited vehicles/ drivers

Total number of vehicles/ drivers	Sample size for compliance audits
1-10	5
10-15	7
16-25	8
26-50	13
51-90	20
91-150	32
151-280	50
281-500	80
501-1200	125

The sample records should be drawn from the Vehicle List / Driver List that operators are required to keep as a condition of accreditation. To ensure the sample is representative of vehicles/drivers as a whole, auditors could for example, choose every fifth vehicle/driver on the operator's list until the representative sample size was achieved.

When the sampled records indicate deficiencies within the operator's management system, auditors should increase the sample size to gain a more detailed understanding of the nature and extent of the systemic issues.

3.1.7 Interviewing staff

Auditors should not solely rely on documentation to confirm that a management system is operational. The veracity of documentation needs to be tested during compliance audits. Interviews with relevant staff and auditor observation of operational activities on site (whenever possible) will also inform the audit.

For example, when a procedure indicates that a person has responsibility for a specific activity, the person should be interviewed to determine whether they understand the process and their responsibilities within it. Similarly, where drivers are required to undertake a daily check of their vehicle, a sample of drivers should be interviewed to determine if and how they undertake this check.

Auditors should adhere to the following principles when interviewing staff during an NHVAS audit.

- Interviews should be targeted at the people performing the tasks under audit. For example, for the Maintenance Management module, the staff responsible for checking the vehicle and those responsible for servicing/rectifying faults on the vehicle would be interviewed.
- The auditor should tell the interviewee the reason for the interview and assure them that the interview is about the Scheme rather than the individual's work performance.
- The auditor should avoid asking leading questions; they should ask the person to describe what they do and how they do it.
- When possible, staff should be interviewed during their work activities so the auditor can observe how staff perform their tasks.

The extent to which a finding exists should be tested across other parts of the organisation during subsequent interviews. This testing will provide auditors with a sense of whether the finding is isolated to a specific area or individual or if it is systemic in the organisation and its management system. These details will inform the decision about what is needed to rectify the issue and the latest date it should be rectified.

3.2 Audit findings

3.2.1 Audit Matrix

The auditor must use the relevant Audit Matrix to record audit findings and on-site activities. The Audit Matrix contains a summary of the auditable standards for each accreditation module. It provides space for the auditor to include details about supporting evidence during the audit and note whether the relevant criterion for each Standard have been met.

The Audit Matrix is divided into the following sections:

a) Standard

The Matrix is divided into standards for each module.

b) Criteria

Each Standard is further broken down into auditable criteria. The operator's management system must comply with each criterion for the auditor to record a conformance to that Standard.

c) Assessment step

This step identifies what the auditor must do as a minimum in order to assess the criteria. An auditor is not limited to only reviewing the suggested step outlined in the Matrix; however, as a minimum, the auditor must take this step.

d) How does the operator's system address the requirement?

On reviewing the operator's systems, the auditor must be satisfied that it addresses the requirement for each criterion. This must be recorded on the Matrix. A failure in one of the criterion will result in non-conformance with that Standard.

e) Indicate evidence of implementation sighted

The auditor must record details of the sighted evidence that indicates that the operator's system was functioning and that management processes were correctly followed. The information recorded by the auditor must be sufficiently detailed to describe the activities, the evidence and the reasoning for the outcomes. Evidence should include dates and version numbers of sample documentation,

registration numbers of sample vehicles and the names of all interviewed staff.

f) Compliance audit only

While the same Audit Matrix is used for both entry and compliance audits, separate criteria in the Matrix will apply to each type of audit. As a result, there are certain criterion in each Standard that apply only to compliance audits and not to entry audits.

g) Compliance code

The compliance code indicates the auditor’s assessment of whether the operator’s management system complies with the audit criteria (refer Table 5).

The NHVR may request and review audit matrices either on a random basis or when an audit outcome is of concern or requires clarification.

3.2.2 Preparing audit conclusions

The audit conclusions arrived at by the auditor should be based on the evidence they have recorded in the Audit Matrix and whether this evidence indicates that the operator’s management system meets relevant standards in the accreditation module.

Each accreditation module contains several standards that, in turn, contain multiple criteria. A compliance code must be recorded against each criterion in each Standard in the Audit Matrix. There are five possible Compliance Codes as shown in Table 5.

Table 5: Explanation of compliance codes

Compliance code		Explanation
V	Conformance Verified	Conformance Verified
NC	Non-Conformance	Operator does not comply with the criterion
SFI	Suggestion For Improvement	Recorded as an additional Code to a Non-Conformance
NAP	Not Applicable	For example, the audit is an entry audit and the criterion relates to a compliance code
NA	Not Assessed at this audit	Relevant for spot, triggered and random audits

The operator’s management system must comply with all criteria related to a specific standard in order to record a conformance for that standard.

For example, to comply with the standard ‘Internal Review’ within the Maintenance Management module, the operator must be able to demonstrate evidence covering the five entry audit or eight compliance audit criterion within that standard. Where the operator meets only some of the criteria, a non-conformance would be recorded for that standard and a CAR issued.

3.2.3 Corrective Action Requests (CARs)

As outlined earlier, CARs should focus on the system failures that led to non-compliance in a specific standard (refer 2.6.3).

Whenever a non-conformance to the business rules and standards is identified, the auditor must issue a CAR.

The non-conformance identified should be explained to the operator so suitable corrective actions can be formulated.

In some circumstances, the corrective action taken in response to the CAR may be quite simple and the non-conformance may be rectified by the operator at the time of the audit to provide the necessary evidence for the auditor to close the CAR at the time of the audit. For non-conformances that will take more work for the operator to address, an agreed completion date for the CAR is recorded on the CAR (refer to section 3.2.5).

3.2.4 Conducting the closing Interview

When the audit is complete, the auditor should interview the operator’s nominated representative. This representative should be the same person involved in the entry interview. They should also have the authority to sign the operator declaration on the NHVAS Audit Summary Report (refer 3.2.6).

The purpose of the closing interview is to:

- summarise the audit findings
- outline any non-conformances identified
- provide the operator with the opportunity to query the auditor’s findings, particularly non-conformances, and to clarify any misunderstandings
- discuss the corrective actions needed to remedy non-conformances and provide the operator with copies of CARs
- explain the process from that point forward, particularly dates by which the CARs need to be completed.

3.2.5 Closing out CARs

As outlined at 3.2.3, a CAR should be prepared for all non-conformances identified during the audit.

A CAR issued for a non-conformance that is remedied at the time of audit or by the agreed date is closed ‘Unconditionally’ (i.e. there are no further conditions that must be met for the CAR to be considered finalised).

Alternatively, when an operator may need some additional time to implement the corrective actions, if the auditor is of the opinion the action that will be taken is suitable to remedy the non-conformance, the CAR can be closed ‘Conditionally’ (i.e. on the condition that the proposed actions are completed by the agreed date). The CAR is closed out on the condition that the operator fulfils the proposed corrective actions by the agreed date.

In this instance, the auditor ‘signing off’ the CAR does not mean that the non-conformance has been rectified. It signifies that the operator has agreed to rectify it by a certain date, and the auditor is satisfied that the action planned is suitable to remedy the non-conformance.

The auditor will set a deadline for any corrective action that is not immediately implemented. The operator should notify the auditor when completed. At their discretion, the auditor

may request evidence that the corrective action has been completed on time.

It is the operator's responsibility to ensure that all action identified in CARs is completed by the dates agreed with the auditor.

In some instances, the corrective action the auditor accepted on the CAR may take some time to implement and complete. In such circumstances, the operator must notify the auditor that the corrective actions have been completed by the agreed date. The auditor may, at their discretion, request evidence from the operator to confirm the corrective action has been completed on time.

The auditor is not required to revisit the place of audit to confirm corrective action was completed.

When the operator fails to provide notification or evidence by the required date, the auditor must advise the NHVR that follow up action is required.

When all CARs have been closed either 'Unconditionally' or 'Conditionally' the auditor will sign the audit report and provide it to the operator.

3.2.6 The Audit Report

The auditor must complete and issue the NHVAS Audit Summary Report to the operator when:

- a) the audit reveals no non-conformances, or
- b) the audit reveals non-conformances and they are subsequently closed out by the operator.

It is the auditor's obligation to ensure that the NHVAS Audit Summary Report is complete with:

- CARs for all non-conformances
- Agreed dates for rectifying each issue
- Signatures to sign off.

The Audit Report is divided into several sections:

- **Contact information** – for the auditor, operator and attendees at the audit.
- **Audit summary sheet** – summary of the more detailed audit documents that follow.
- **Summary of audit findings** – outlining the auditable criteria for the relevant accreditation standards and providing space for the auditor to include details (documentation and other evidence) of how the operator demonstrated compliance with each criterion.

The Summary of Audit Findings should summarise the more detailed information included in the Audit Matrix.

- **List of vehicle registration numbers (mass and maintenance modules only)** – outlines details of all vehicle records examined as part of the NHVAS audit.
- **List of driver records examined (BFM and AFM only)** – outlines details of all driver records examined as part of the NHVAS audit.
- **Corrective Action Requests (CARs)** – list each non-conformance found in the audit and include a space for the corrective action and deadline for completion.

The auditor provides the completed NHVAS Audit Summary Report to the operator when all CARs are closed out.

- **The auditor's declaration** – completed and signed by the auditor when they are satisfied that the operator's management system (including the corrective action implemented by the operator) complies with the relevant standards for each module.
- **The operator's declaration** – the operator's acknowledgement of the veracity of the information contained in the Audit Report. It provides the NHVR with the operator's consent to share accreditation information with other agencies.

When the auditor is satisfied that the operator's management system complies with the relevant standards and that any CARs have been closed out, the auditor provides the report to the operator.

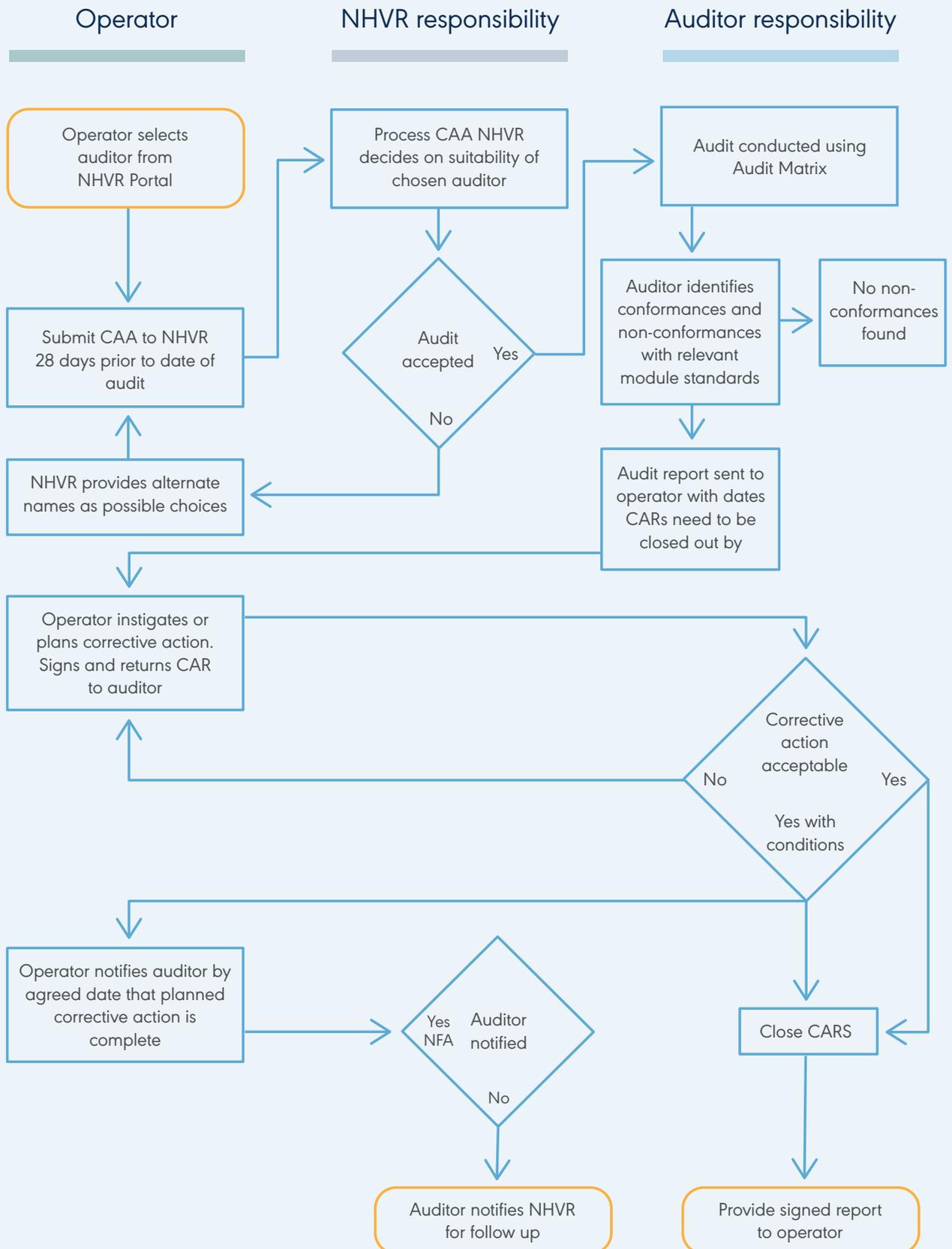
A compliant management system is a system identified at the time of the audit as conforming with all the business rules and standards, or a system with suitable corrective actions and an agreed date for implementation. When implemented, the system will be deemed as compliant with all the business rules and standards.

It is the operator's responsibility to submit the Audit Summary Report to the NHVR. If an NHVAS Audit Summary Report is submitted to the NHVR with an open or incomplete CAR, it will be returned to the operator for follow up.

The NHVR will periodically review NHVAS Audit Summary Reports for the purposes of validation, or to ensure audit consistency and to identify when changes may be made to the audit system.

The NHVAS Audit Process is outlined in Table 6.

Table 6: The NHVAS audit process



4 Principles applying to auditor conduct

4.1 Applying to register with the NHVR

Only an individual may apply to register with the NHVR as an NHVAS-approved auditor.

The person applying must meet the registration criteria established in the NHVAS Business Rules and Standards.

The applicant must not have previously had their registration as an NHVAS-approved auditor cancelled by the NHVR. The NHVR may refuse to appoint an applicant due to the person's criminal record or other relevant misconduct including fraud.

A current register of NHVAS-approved auditors is maintained by the NHVR and published on the NHVR website.

4.2 Auditor Code of Conduct

When registered by the NHVR, NHVAS-approved auditors act on behalf of the NHVR in regard to auditing under the Scheme. All auditors are subject to the terms in the NHVR's Auditor Code of Conduct.

The Code of Conduct outlines the principles and the standards of behavior expected of NHVAS-approved auditors. Auditors must ensure that these principles are upheld at all times when undertaking functions under the Scheme.

This code of conduct provides a framework to support consistent, independent and fair decision making by NHVAS-approved auditors. This code of conduct is made under section 22 of the National Heavy Vehicle Accreditation Scheme (NHVAS) Business Rules and Standards January 2021.

Regulatory frameworks involving third-party certification are widely used to provide assurance that regulated activities are completed or are being conducted according to Scheme requirements.

The code of conduct provides that NHVAS-approved auditors, and anyone seconded by them to assist with completing the audit, competently perform functions under the business rules.

The code of conduct will also be available to Scheme participants and the public so they know what behaviours to expect from NHVR-registered auditors. When conducting audits, an NHVAS-approved auditor must comply with the following principles:

- Exercise due care, diligence and professional judgement in performing the audit functions for which the auditor is approved.
- Provide accurate, timely and detailed information.
- Conduct all professional activities associated with performing audit functions. These activities include and are not limited to giving advice or information to suitably qualified persons (seconded/contracted audit assistance),

their clients or other parties with an interest in the outcome of the performance of an audit function, in a manner that is honest, objective and free from misrepresentation or bias.

- Refuse instructions to adopt or reject an opinion from any person in relation to a matter relevant to the performance of an auditor function. Provide only opinions that are honestly and reasonably held, and that have regard for the requirements of the business rules.
- Give information or advice in a way that does not conceal or omit information in circumstances when the concealment or omission of that information might serve to mislead or deceive or otherwise alter the conclusions that could be drawn from the relevant information or advice.
- Do not rely on information that the auditor knows, or should reasonably believe, contains incorrect and/or misleading information, including but not limited to relying on such information in support of the person's application for registration as an NHVAS-approved auditor.
- Take all necessary steps to correct any inaccurate, false or misleading information or advice provided by an auditor to any person or entity the auditor knows, or reasonably suspects might rely on that inaccurate, false or misleading information or advice.
- Perform an audit function only when the auditor has no direct or indirect financial interest or other interest that may, or may reasonably be perceived to, cause the auditor to perform the function with bias or with a conflict of interest. This requirement does not apply to an auditor receiving reasonable and agreed payment for undertaking the audit.
- Perform an audit function that is within the auditor's area of expertise only. This requirement does not apply if an auditor is relying on a support expert's report or certification to perform a particular auditor function, and the support expert's report or certification meets the requirements of the auditor's conditions of approval.
- Endorse information supplied by another person (i.e. support expert, suitably qualified person or other entity relevant to the performance of the audit function) only when reasonable steps have been taken by the auditor to determine the validity and accuracy of the information.
- Maintain a level of professional indemnity and public liability insurance that is reasonably commensurate with the potential liabilities the auditor might be exposed to in performing their approved audit functions for the period of their registration.
- Maintain and develop the knowledge, skills and expertise relevant to the audit functions they are registered to perform and comply with all continuing professional development requirements under their registration.
- Comply with any lawful and reasonable direction given by the NHVR.
- Behave in a way that upholds the values, integrity and reputation of the NHVR.
- Maintain appropriate confidentiality and professionalism about dealings that the auditor has with any staff of the NHVR.

- Maintain appropriate confidentiality and professionalism about any information gained through audit activities.
- Refuse inducement or favour that may reasonably be perceived to be an attempt to influence an audit outcome, and/or a response to a non-conformance finding.
- Remember providing false or misleading information to the NHVR, if proven, is a contravention of section 478 of the HVNL.

4.2.1 Conflict of interest

A conflict of interest may be actual or apparent and may benefit the auditor, the operator, or be of mutual benefit to the auditor and heavy vehicle operator.

Actual conflict of interest is when the NHVR would conclude that an auditor's ability to conduct an audit with honesty and integrity has been compromised by their private or business interests in the client's business.

Apparent conflict of interest means the NHVR could reasonably consider the personal or business interests of an auditor may interfere, unduly benefit or disadvantage their ability to conduct a fair and transparent audit of a client's business.

In the event of an auditor learning that an actual or apparent conflict of interest may exist, the auditor will immediately inform the relevant officer within the NHVR.

When an audit has already started, the NHVR is to be notified and the audit must be immediately suspended until a determination has been made by the relevant officer within the NHVR.

The NHVR officer will investigate, make a determination and:

- advise the auditor whether they may continue to audit the operator, or
- provide the operator with other auditor names for them to select an alternative auditor.

As part of the investigation, the auditor may be required to provide information in writing to the NHVR.

Examples of situations that are considered to constitute an actual or apparent conflict of interest include:

- conducting an entry or initial (six month) compliance audit where the auditor or an associate has designed and/or implemented the operators management system
- conducting an audit for an operator when the auditor has a direct family relationship or financial interest or derived benefit involving the operator (the remuneration provided to conduct an audit does not constitute a conflict of interest)
- preferential treatment of an operator as a result of an auditor's previous association with that operator.

Failure to declare a conflict of interest may the NHVR suspending or cancelling auditor registration.

If an auditor has any doubt about whether they may have a conflict of interest, they should seek advice from the NHVR prior to accepting or commencing an audit.

Situations which are **not** considered to be a conflict of interest include:

- providing general advice to the operator on how to manage a risk associated with its accreditation management systems when such information is limited to general information freely available in the public domain.
- discussing non-conformances raised during an audit.

If an NHVAS-approved auditor does not comply with the relevant provisions of the business rules and auditor codes of conduct, the NHVR may suspend or deregister them.

4.2.2 Independence

NHVAS audits are to be conducted by an NHVAS-approved auditor independent of, and external to, the heavy vehicle operator. An NHVAS-approved auditor must not have (or have had) a personal or business relationship with the operator. Auditors who have acted as consultants to the operator or who have assisted the operator to develop their management system/s are not permitted to act as an NHVAS-approved auditor for that operator until two audits have been conducted on that operator by a different auditor.

Auditors are required to immediately report any potential conflict of interest to the NHVR. Examples of situations when conflicts of interest can arise include when:

- the auditor has previously provided consultancy services to the operator, under the Scheme
- the auditor has, or has had, a financial relationship with the operator (other than the fees provided for NHVAS auditing)
- the auditor's decision would or may affect a family member or friend
- the auditor is employed by the operator (or by a related entity)
- the auditor has some other direct interest in the client's business.

In the instance that a real or perceived conflict of interest may impact their independence, auditors must not act as an NHVAS-approved auditor for that operator.

4.2.3 Financial benefit

The auditor must not benefit inappropriately from the audit work for the operator. Auditor payments under the Scheme should be limited to entry or compliance audits.

4.2.4 Confidentiality

Under the Scheme, auditors have access to a range of information. Auditors must ensure that the information remains confidential.

Auditors must not divulge audit-related information to any third party.

This obligation does not, however, extend to any NHVR requests for information related to the operator's performance or activities under the Scheme.

4.2.5 Professionalism

While acting on behalf of the NHVR, NHVAS-approved auditors must always act professionally and ethically. This obligation extends to the way auditors communicate with the operator (both verbally and in writing) and to their conduct on site.

Auditors must treat heavy vehicle operators, members of the public, jurisdictional officers and NHVR officers with courtesy and respect. NHVAS-approved auditors must exercise a duty of care and strive for the highest standards of professional performance. They must also maintain accurate records and keep up to date with any changes to the Scheme and HVNL.

4.2.6 Identification

Auditors must carry their NHVR auditor identification card when entering an operator's work site. They must produce this identity on request.

When NHVAS-registration has been suspended or cancelled, auditors must immediately return their NHVAS Identity Card to the NHVR. It is an offence under the NHVR, subject to penalties of up to \$10,000, for a person to falsely represent that they are an approved auditor.

4.2.7 Accountability

NHVAS-approved auditors must be willing and prepared to account for their actions and performance. They are accountable to the NHVR and the respective heavy vehicle operators.

It is a condition of registration that auditors agree to be reviewed and/or investigated by the NHVR as required.

Auditors are required to provide the NHVR with full access to NHVAS audit documentation and any documentation relative to their role as an NHVAS-approved auditor, as requested.

4.2.8 Duty to disclose

Auditors have an obligation to immediately report any suspected breach of the Code of Conduct to the NHVR. Auditors must also report any operator practice that, in their opinion, may pose an imminent risk to safety.

These reports will remain confidential pending NHVR-led investigations.

4.3 Auditor performance review

The Scheme plays a vital role in maintaining safe and reliable heavy vehicles for the benefit of the public and other road users. The competence and integrity of auditors is essential to the success of the Scheme.

To ensure that auditors abide by the conditions of the business rules, Audit Framework and Code of Conduct the NHVR may review the performance of NHVAS-approved auditors.

This review may involve a review of the NHVAS Audit Summary Report, Audit Matrices and background documentation used during an audit and may also include a review of an auditor's competence onsite during the performance of an NHVAS compliance audit.

NHVR will investigate any written complaint made against an auditor in relation to fraudulent, dishonest or negligent conduct under the Scheme. The NHVR reserves the right to refer complaints and allegations to the police, state road authority or other enforcement authority for further investigation.

4.3.1 Triggers for performance review

A review of an auditor's performance as an NHVAS-approved auditor may be triggered by several events:

- **Audit reports:** Poor performance by an auditor may be identified through the NHVR's review of audit reports, for example when:
 - an auditor is using identical findings/wording in audits reports across a range of different operators
 - any other material in an audit report leads to NHVR concerns or suspicions of a conflict of interest.
- **Heavy vehicle incident:** A performance review of an auditor may be triggered by a formal investigation of a vehicle incident or a serious safety breach by an NHVAS accredited operator.
- **Complaint:** An operator may complain (verbal or written) to the NHVR, state agency, another auditor or a member of the public. The NHVR will investigate any complaint provided to the NHVR in writing, but will use its discretion in deciding whether to investigate a verbal complaint, especially when the complaint is made by an anonymous caller.

An auditor must reply, within the stated timeframe, to NHVR requests for clarification or further information in relation to an audit or audits.

In addition, if the NHVR suspects fraudulent, dishonest or negligent behaviour on the part of an auditor, the NHVR may ask a heavy vehicle operator for feedback on the performance of a particular auditor or investigate suspicions.



4.3.2 Remedial actions

Several options are available to the NHVR to manage performance and/or take remedial action against auditors. These options are outlined in the NHVAS Business Rules and include the following actions:

- providing the auditor with feedback, advice and/or counselling
- recommending that the auditor undertakes remedial training
- providing written warning advice
- withdrawing approval and removing the person's name from the NHVAS register of auditors, permanently
- cancelling all or part of the audit and requiring a new audit (while maintaining regard to the potential impact on the operator).

Remedial actions imposed on an auditor under the Scheme do not preclude penalties under the HVNL or other legislation.

4.3.3 Review and appeals

NHVR decisions are subject to internal review and appeals, as prescribed under Chapter 11 and Schedule 3 of the HVNL.

An auditor choosing to contest a decision to suspend or cancel their registration must lodge a request for an internal review within 28 days of the posting date of the notification. Appeals should be forwarded to:

The National Heavy Vehicle Regulator
PO Box 492
Fortitude Valley
Queensland 4006

An independent NHVR officer will undertake the internal review.

The NHVR will consider all information provided by the auditor and may affirm the decision or set it aside and replace it with another decision. The auditor will be advised in writing of the NHVR's decision and when appropriate, of the appropriate mechanism for appeal of the decision.

If the original decision is upheld in the internal review, the auditor may appeal under section 647 of the HVNL to an external appeal body, including the Administrative Appeals Tribunal.



5 Glossary

Accreditation	In the context of the NHVAS, accreditation means acceptance into the Scheme following confirmation that the operator's management system meets the required standards set by the NHVR.
Accreditation module	A set of standards pertaining to a type of NHVAS accreditation. There are four modules under the Scheme: <ul style="list-style-type: none"> • Maintenance Management • Mass Management • Basic and Advanced Fatigue Management.
AFM	An Advanced Fatigue Management System, as described under the HVNL.
Appeal	An appeal against an internal review decision as provided for in Chapter 11 and Schedule 3 of the HVNL.
Audit	A systematic, planned and documented activity performed by independent auditors to verify that an operator's management system has been developed, documented and implemented according to the relevant NHVAS standards.
Audit Matrix	The document approved by NHVR as the primary on-site auditing tool to be used by auditors when undertaking NHVAS audits. There are separate audit matrices for each of the four accreditation modules.
Auditor	A person registered with the NHVR to conduct NHVAS audits.
Audit Report	The NHVR approved document used by auditors to record the results of an NHVAS audit. The report details whether the operator has met the standards of a specific accreditation module.
Authorised Officer	State and territory police, and officers appointed under the HVNL to enforce laws and regulations pertaining to heavy vehicles.
BFM	A Basic Fatigue Management System as described under the HVNL.
Compliance Audit Application (CAA)	An application submitted by the operator to confirm that a compliance audit has been arranged with an auditor. This application must be submitted to the NHVR at least 28 days prior to the date of the audit.
Compliance audit	Scheduled audit undertaken on accredited operators participating in the Scheme. These audits examine whether the operator's management system is in place, operational and fully adheres to the accreditation standard. Compliance audits occur twice during the operator's first accreditation period and once for every subsequent accreditation period.
Conformance	The operator's management system fulfills the requirements of a specific NHVAS standard or criteria.
Corrective Action	Action nominated by an operator and confirmed by an auditor to remedy a non-conformance in order to prevent reoccurrence.
Corrective Action Report (CAR)	The documented remedial action where an operator's management system fails to meet an Accreditation Standard. CARs are included by the auditor in the Audit Report and must have an agreed proposed corrective action before accreditation can commence or continue.
Entry audit	The audit undertaken on the system of an operator applying for NHVAS accreditation. This audit confirms that the operator has a management system that conforms to the relevant NHVR Standard.
Enforcement Officer	Refer to Authorised Officer.
Interception Report Book	Document used to record the details and condition of an operator's vehicle (including any defects issued) during an on-road interception by an Authorised Officer.
Management System	The organisational structure, responsibilities, procedures, activities, capabilities, resources and records established by an operator with the aim of ensuring compliance with an NHVAS accreditation module.
Non conformance	Deficiencies which render the operator's management system as not fulfilling one or more criteria within an NHVAS Standard.
NHVAS	The National Heavy Vehicle Accreditation Scheme.
HVNL	The Heavy Vehicle National Law as it applies in the particular jurisdiction.
NHVR	The National Heavy Vehicle Regulator.
Objective evidence	Information that can be proved true, based on facts obtained through observation, inquiry, measurement, testing or other means.
Procedure	A specified and documented method of performing an activity.
Quarterly Compliance Statement	An operator's internal record of compliance with the key outcomes of the accreditation module. Quarterly Compliance Statements need to be kept on site and produced at auditor request or NHVR request.
Record	A document, physical or otherwise, that furnishes objective evidence during an audit of activities related to NHVAS accreditation.
Regulatory Standard	The requirements relating to the operation of heavy vehicles specified in road transport law.
Road Authority	A government authority in a state or territory responsible for the administration and enforcement of road transport law.
Road Transport Law	The HVNL and roads and traffic legislation operating within each Australian state and territory.
Sanction	A remedial measure taken by the NHVR to improve standards of performance by NHVAS-approved auditors.
Suggestion For Improvement (SFI)	A remedial action that is offered as a suggestion by the auditor that would improve the standard of compliance to NHVAS Business Rules & Standards. The implementation of the suggestion is at the discretion of the Scheme participant.
System audit	An independent audit examining the underlying management controls, including documented procedures and records, within an operator's management system.



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