



Important notice to public passenger service operators, drivers and the NSW community.

On 1 September 2017 the Passenger Transport (General) Regulation 2017 will replace the Passenger Transport Regulation 2007, which will be automatically repealed.

This new Regulation reproduces all of the provisions currently in place, so there will be no changes for operators, drivers or the community.

Bus Operator Accreditation Scheme

Self assessment and reporting requirements guide

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1 Purpose

The purpose of this document is to:

- Provide an overview of bus operators' self assessment requirement including tools and reporting
- Outline each criterion in the Annual Self Assessment Reporting (ASAR) document and explain its purpose.

Note: Please read this guideline in conjunction with all documentation including the Bus Operator Accreditation Package, Safety Management System handbook, Drug and Alcohol handbook and any other relevant documents.

2 Self assessment requirement

2.1 What is self assessment?

Section 9 of the [Bus Operator Accreditation Package](#) requires that operators submit an ASAR in the form approved by Roads and Maritime Services.

The self assessment process is one component of the audit approach used by Roads and Maritime Services to ensure that third party providers are compliant under their respective schemes. It requires providers to assure Roads and Maritime Services that they are meeting its obligations through a series of questions.

In addition to reassuring Roads and Maritime Services, the ASAR can be used by bus operators as a self checking system. Use of the ASAR in this way allows the operator to check various aspects of their operation, identify where weaknesses and deficiencies may exist and work towards eliminating these before they become issues.

2.2 How to self assess

While not compulsory, it is recommended that you begin the ASAR process at least two months before it is due. This allows each operator to conduct a review of practices and procedures, with a view to fixing them prior to submitting the ASAR. Remember that the primary goal of the ASAR is to support and educate; it is not the aim of this tool to act as a compliance or sanctioning tool, except in the more extreme of cases.

The ASAR is one component of the three-part audit approach in use to monitor the bus industry. It is intended that this component, in conjunction with Third Party Audits and Roads and Maritime Services' conducted audits, will allow Roads and Maritime Services, the bus industry as a whole and individual operators, to monitor emerging issues within the industry.

2.3 What do I need to do?

- Be aware of your obligations as a bus operator, including your requirements under the scheme, and requirements to comply with legislation (for instance, the Work Health Safety Act 2011)
- Be aware of what you will need to report on annually (see Section 4).
- Establish procedures to support your obligations and annual reporting requirements
- Complete and submit the ASAR to Roads and Maritime Services on the nominated date each year.

3 Changes to the ASAR document

3.1 Requirement

As part of the self assessment process, Roads and Maritime Services has conducted a review of the ASAR document, in consultation with industry bodies. A review of the existing tool has highlighted the need for:

- Greater clarity in the Drug and Alcohol Section
- More outcome-focused questions to allow Roads and Maritime Services to help operators continuously improve systems within their organisation(s).

4 Self assessment components

Bus operators are required to report on the following on an annual basis using the Roads and Maritime Services' approved BOAS ASAR Tool, as found on the Roads and Maritime Services website. Corresponding sections of the form are provided in brackets below.

Part A – Accreditation details

Operators must provide Roads and Maritime with their details including:

- Business details
- Accreditation type
- Registration numbers of all buses in operation
- Additional accreditations held by the operator.

Part B – Incorporated association or corporation details

Operators which are either an Incorporated Association or a Corporation must report on their business during the past 12 months. This includes questions designed to investigate the Fitness and Propriety of Directors and other Designated Managers within the company, and to provide indications as to the financial stability of the operator.

This section has been reviewed in order to streamline the process by removing repeated questions relating to criminal histories and bankruptcy.

Part C – Individual details

Operators whose accreditation is held by one or more individuals must report on their business during the past 12 months. This includes questions designed to investigate the Fitness and Propriety of these individuals, and to provide indications as to the financial stability of the operator.

This section has been reviewed in order to streamline the process by removing repeated questions relating to criminal histories and bankruptcy.

Part D – ASAR operator requirements check

This section has been rewritten to include more questions which require an operator to describe certain aspects of their business. This is intended to check that operators are not only compliant with their obligations, but also understand the processes that these obligations entail. These aspects include:

1. Operating requirements

This section requires operators to report on their business procedures and practices including an examination of the Management Information System, Insurance, Driver Records, Bus Safety Procedures, Safety Management System and Vehicle Maintenance Plan. This section is intended to check each operator's compliance with the Passenger Transport Regulation 2007.

This section requires operators to both confirm that they have these systems in place, and to summarise how they work. This allows Roads and Maritime Services to gain a snap shot of how the industry as a whole manages each of these requirements.

2. Drug and alcohol testing

Drug and Alcohol testing is not a compulsory operating requirement for bus operators. It is, however, a requirement that all bus operators undertake a risk assessment to determine whether drug and alcohol testing is a necessary part of their compulsory drug and alcohol policy.

This section has been substantially rewritten to include:

- The distinction between drug testing and alcohol testing
- The distinction between random, targeted (also known as testing for cause) and post-incident testing. The difference between these are as defined under Step 6 of the Drug and Alcohol Handbook for Bus Operators as:
 - Random testing involves testing random employees at a set time (i.e. at the start of a shift)
 - Targeted testing is conducted where the bus operator suspects that an individual or individuals may be under the influence of drugs or alcohol
 - Post-incident testing occurs following any notifiable incident and is a legal requirement for all operators.
- The ASAR form has also been written to look at the difference between:
 - Total numbers of tests conducted (sections (c)(i) and (d)(i) respectively)
 - Total numbers of drivers tested (sections (c)(i)(5) and (d)(i)(5) respectively)
 - Total number of drivers not tested (sections (c)(i)(6) and (d)(i)(6) respectively).

This allows Roads and Maritime Services to gain an effective snap-shot of how widely Drug and Alcohol testing is conducted across the state.

3. Vehicle Monitoring Devices

This now requires operators, in addition to confirming that they use Vehicle Monitoring Devices, to outline the process they use to ensure that these devices are compliant with the legislation. Where the operator does not use such devices, they are required to explain (in Section 6 of the [Bus Operator Accreditation Package](#)) why they believe that they are exempt.

4. Speed Limiter Devices

This section requires operators, in addition to confirming that they use Speed Limiter Devices, to outline the process they use to ensure that these devices are compliant with the legislation. Where the operator does not use such devices, they are required to explain (in Section 6 of the [Bus Operator Accreditation Package](#)) why they believe that they are exempt.

5. Incident Reporting

This has been changed to require operators to describe the process changes in the last 12 months which are intended to improve road safety, in keeping with Clause 88 of the Passenger Transport Regulation 2007. Operators have also been instructed to describe how the process has been reviewed.

6. Additional Information

This section also provides an area in which operators may provide an explanation for any non-compliance recorded in the sections above. It should be noted that Roads and Maritime Services officers will check this section in any instance where a non-compliance is registered. Where an extenuating circumstance or mitigating factor can be found, Roads and Maritime Services will work collaboratively with operators to identify ways to minimize or remove the non-compliance.

Part E – Defect Notices

Operators must report on all Major Defect and Major Grounded Defect notices that have been issued by Roads and Maritime Services or the NSW Police Service within the last 12 months. This is intended to prompt operators to conduct a review of the effectiveness of their maintenance system.

Part F – Privacy Statement

This section outlines the Rights and Responsibilities held by all parties (Roads and Maritime Services and Bus Operators) with regards to both the submitted ASAR document and the data contained within.

This section outlines the other Government Agencies to whom your information may be disclosed, and from which other agencies Roads and Maritime Services may request additional information from with regards to your accreditation.

Finally, the Privacy Statement outlines your right to request a copy of any previously submitted information and outlines the processes for doing so.

Part G – Declaration

The declaration should be the last item you complete while filling out your ASAR. This declaration outlines that the submitted answers are, to the best of your knowledge, true and accurate. The declaration states that you consent to Roads and Maritime Services retaining records of your submitted answers. It also acknowledges that this information may be disclosed to any Australian Police Service for the purposes of law assessment.

Part H – Contact Details

Operators are now required to submit all ASARs by email, fax or mail. Submission details are listed on the ASAR tool. Similarly, all ASARs must be sent to the Scheme Review Unit located in Glen Innes.

This part also provides the contact details for Roads and Maritimes Services' Information and Privacy Unit, which handles all requests for information.

5 Terms and abbreviations

5.1 Terms and abbreviations

Term/Acronym	Definition
ASAR	Annual Self Assessment Reporting – the reporting document each operator is required to submit annually as part of their accreditation maintenance.
BOAS	Bus Operator Accreditation Scheme – the scheme by which Bus Companies are accredited to operate on NSW roads.
Operation	An individual accredited to operate a bus company on NSW roads. Should not be confused with a Bus Driver.

5.2 Further information

Further information on BOAS can be found in:

- [Bus Operator Accreditation Package](#) (and all subsequent appendices)
- [BOAS Audit Tool](#)
- [Bus Operator Safety Management System Handbook](#)
- [Bus Operator Drug and Alcohol Handbook](#).

rms.nsw.gov.au

contactus@rms.nsw.gov.au

Customer feedback
Roads and Maritime
Locked Bag 928,
North Sydney NSW 2059

RMS 15.520

