



Transport
Roads & Maritime
Services

Bus Operator Accreditation Scheme

Auditor Handbook

Bribery is against the law

Most people involved with the audit of the Bus Operator Accreditation Scheme (BOAS) are honest.

You are reminded that you must not ask a bus operator for money, gifts or favours. A bus operator must not offer the auditor money, gifts or other favours in order to gain an audit report without fully demonstrating their ability to meet the criteria requirements of the BOAS.

These practices are illegal

Penalties are severe and include fines and imprisonment. All cases of corruption will be investigated and strong action will be taken against all those involved. If you know or believe that anyone has received or is about to receive a BOAS audit report by offering or responding to a request for a bribe, or if you suspect or know of any other corruption involving another bus operator or BOAS auditor, telephone:

- Roads and Maritime Services on 1800 043 642
- The Independent Commission Against Corruption (ICAC) on (02) 8281 5999.

Code of Conduct

The Code of Conduct for Auditors clarifies the standards of behaviour that are expected of BOAS auditors in the performance of their duties. A copy of the Code of Conduct for BOAS auditors can be found on the Roads and Maritime website <http://www.rms.nsw.gov.au/documents/business-industry/buses/boas-auditor-code-conduct.pdf>.

The Code of Conduct outlines the responsibilities and standards of behaviour expected of BOAS auditors. It applies to all Roads and Maritime approved BOAS auditors and persons employed or otherwise engaged by a BOAS auditor for undertaking audits.

Understanding of and adherence to the Code of Conduct is treated seriously by Roads and Maritime. An approved Roads and Maritime BOAS auditor will be required to read the Code, and to certify that they will abide by the conditions and obligations set out in the Code.

A breach of this code may be grounds for suspension or revocation of an auditor's approval to undertake BOAS audits. Some breaches may also be an offence and lead to legal proceedings.

Preface

The BOAS Auditor Handbook is a companion document for those who conduct BOAS audits and must be read with the Bus Operator Accreditation Package, Safety Management System (SMS) Handbook, Drug and Alcohol (D&A) Guidelines and Handbook. These publications are available on the Roads and Maritime website www.rms.nsw.gov.au/buses.

This handbook provides guidance to auditors to achieve consistency and clarity of the audit process.

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Definitions

Accreditation

The process by which Roads and Maritime determines if a person or partnership or an organisation can be accredited to provide a public passenger service. All operators of public passenger services in NSW must be accredited.

Annual Self Assessment Report

An Annual Self Assessment Report (ASAR) is an audit conducted by an operator of their own accreditation system using the Roads and Maritime ASAR form to determine compliance. Self assessments must be conducted annually.

Audit

An audit is a review of an accredited operator's compliance with the legislative requirements (pursuant to clause 90 of the Passenger Transport Regulation 2007) of the BOAS. Annual audits should be undertaken of the operator's Safety Management System (SMS).

Bus

A bus is classified as a motor vehicle which seats more than nine persons, including the driver, and includes a vehicle of any class prescribed by the Regulations. For the SMS, bus and coach have the same meaning. Stretch limousines which seat more than nine persons including the driver and comply with ADR 58 are classified as a bus.

Coach

For the SMS, the term coach has the same meaning as bus.

Contractor

Person working for the bus operator and carrying out transport safety work as defined in the *Passenger Transport Act 1990*.

Critical deficiency

For BOAS auditing, a critical deficiency is defined as any act or omission which has the potential to adversely impact on the safety of the bus operation or place the travelling public at risk. Critical deficiencies include, but are not limited to, instances where an operator:

- Is or has operated buses without a minimum \$5 million third party property insurance per bus
- Is not able to provide an insurance certificate of currency, or equivalent (covering all buses operated), which is not more than seven days old at the time of audit
- Is or has operated unregistered buses
- Has no vehicle maintenance plan in place or a system which does not meet the manufacturer's minimum recommended specifications/standards
- Is not able to provide evidence the buses operated have undergone mandatory Roads and Maritime biannual heavy vehicle inspections at a Heavy Vehicle Inspection Station (HVIS)
- Is or has allowed work to be performed to buses outside the scope of Clause 16 (4) of the PTR by persons other than those who are holders of an appropriate licence issued by NSW Fair Trading.
- Is requiring, or has allowed drivers to breach the maximum permissible driving hours
- Fails to maintain records in English
- Has no SMS or drug and alcohol program in place.

Auditors must contact Roads and Maritime at the completion of the audit if a critical deficiency is detected. A follow-up email outlining the deficiency must be provided AS SOON AS POSSIBLE after the phone advice.

Deficiency

An element of the audit is inadequate or missing from the requirements of the *Passenger Transport Act 1990* or the *Passenger Transport Regulation 2007*.

Exemplar Global

Exemplar Global is a certification body who design, develop, and deliver personnel and training certification services relevant to an industry. All BOAS auditors are required to be certified with Exemplar Global.

Incident

For the SMS, an incident is defined where an operator reports occurrences under the conditions of bus operator accreditation as follows:

- Injury incurred to any person or persons
- The event is serious enough to prevent the vehicle from continuing the journey
- The event is likely to arouse public concern.

Large business (large bus operator)

A large business refers to a bus operator with at least 20 employees (or full time equivalent workers).

Public passenger service

A public passenger service means the carriage of public passengers for a fare or other consideration by bus along a road or road related area.

There are different types of public passenger services including:

- Regular passenger services
- Long distance services
- Tourist services
- Charter services.

Public passenger bus services in NSW are regulated under the *Passenger Transport Act 1990* and *Passenger Transport Regulation 2007*.

Reporting system

A reporting system is a formal process of collecting, recording, acting on and providing feedback to staff about hazards and risks to your bus operation.

Safety Management System (SMS)

A SMS is an integrated set of work practices and procedures for monitoring and, where identified, improving the safety of your bus operation.

Safety policy

A safety policy sets out what an operator is trying to achieve through their SMS.

Small business (small bus operator)

A small business refers to a bus operator with less than 20 employees.

Test supervisor

A test supervisor is a person with the legal authority to require a transport safety worker to undergo drug and/or alcohol testing.

Top management

Includes, but not limited to, director(s), owner(s) and or senior manager(s) in positions where both business decisions are made and budget/finance is approved.

Transport safety employee

Means:

- (a) An employee or contractor of an accredited service operator who performs transport safety work
- (b) A person who, without remuneration or reward, voluntarily and without obligation performs transport safety work for an accredited service operator
- (c) An individual who is an accredited service operator and who performs transport safety work.

Transport safety work

Means:

- (a) Work relating to the driving or other operation of a bus, the loading or disembarking of passengers from a bus or the movement of buses
- (b) Work related to the repair, maintenance or upgrade of buses, bus terminals or bus maintenance facilities
- (c) Work involving the development, management or monitoring of safe working systems for public passenger services carried on by means of buses.

Any other work prescribed by the Regulations as bus safety work.

1. Introduction

Rationale:

The major objectives of the BOAS are:

- **To ensure bus operators comply with the requirements of the scheme and provide safe and reliable public passenger bus services**
- **To improve the effectiveness and efficiency of bus operations as a result of the accreditation process.**

Transport safety is a key priority for the NSW Government. The aim of the BOAS is to ensure safe and reliable bus services for the NSW travelling public.

The BOAS is the key measure through which Roads and Maritime fulfils its responsibilities for bus services under the *Passenger Transport Act 1990* (the Act).

Since 1 July 2005, a three year renewable accreditation process has applied for NSW bus operators. Performance under the BOAS is measured through an audit process which involves operators:

- Performing annual self-assessments
- Undergoing an independent audit in the first six to 12 month period of their operation and thereafter at least once during the three year period of accreditation
- Undergoing random and targeted audits by Roads and Maritime officers.

The objective of a BOAS audit is to confirm:

- Compliance with the BOAS pursuant to the Act
- Conditions of accreditation are being met
- Systems are tested and checked
- Bus operators understand their obligations under the BOAS.

1.1. Privacy

Auditors are reminded of the importance of maintaining confidentiality throughout the audit process. Information pertaining to any audit must not be communicated or shared with any party other than the operator and Roads and Maritime, unless required by law or permission is granted by the operator to do so.

Auditors are required to observe the Exemplar Global Code of Conduct.

2. Key relationships

2.1. Roads and Maritime Services

Responsible for:

- **Regulating the NSW bus industry pursuant to the *Passenger Transport Act 1990* and the *Passenger Transport Regulation 2007***
- **Administering the issue of driver authorities to drivers of public passenger vehicles.**

Under the *Act*, operators of public passenger bus services must be accredited. Roads and Maritime is the agency which sets the period of accreditation and requires operators to submit to BOAS audits.

Roads and Maritime requires accredited bus operators to submit to an independent audit of their BOAS at least once every three years during the period of accreditation. Roads and Maritime will advise operators when their independent audit is due and provide them with a list of qualified independent BOAS auditors. Operators are able to select the auditor of their choice from the approved list and engage them at their own expense to perform the audit.

The *Act* provides for a fine of up to \$110,000 for any person who operates a public passenger service without being accredited by Roads and Maritime.

Roads and Maritime has the authority to vary, suspend or cancel an operator's accreditation should it be deemed appropriate.

2.2. The auditor

Responsible for:

Conducting the audit in a systematic and planned manner to obtain objective evidence to ensure all requirements of the BOAS have been met and that an effective system of management is in place to ensure these requirements continue to be met.

The role of the auditor of a bus operation is to:

- Assess and evaluate
 - How well the bus operator is meeting the requirements of the BOAS
 - How the people, processes and documentation contribute to the effectiveness of the operation and its ability to continue to meet the BOAS requirements
- Ensure all identified deficiencies are included in the audit tool
- Email the completed audit tool and supporting documentation to Roads and Maritime. Alternately these can be posted if the electronic option is unavailable.

The auditor must provide all equipment necessary for the undertaking of the audit including photocopying equipment, consumables and digital camera.

The auditor has no authority to vary, suspend or cancel an operator's accreditation.

Accredited auditors are issued a reference number by Exemplar Global after successfully completing the BOAS Certification Program.

Only auditors who have attained the following competencies are eligible for consideration as an accredited bus auditor:

- Exemplar-Global – AU + TL
- Exemplar-Global – BA.

and at least one of the following or equivalent:

- Exemplar-Global – QM
- Exemplar-Global – OH
- Exemplar-Global – EM.

Persons who hold the above competencies are required to be practically assessed as being competent to carry out a BOAS audit by a Roads and Maritime Skill Examiner prior to performing BOAS audits.

2.3. The bus operator

Responsible for:

- **Managing the implementation, maintenance and improvement of the BOAS**
- **Providing resources to effectively establish the BOAS**
- **Arranging and submitting an independent audit of their BOAS within the first six to 12 months of their operation and thereafter at least once every three years during the period of accreditation**
- **Paying for the independent audit.**

The BOAS requires operators to implement a number of key safety and management systems including:

- Drug and alcohol program
- Safety management system (including employee monitoring)
- Vehicle maintenance program.

These systems (along with others), must be checked during audit.

The bus operator must comply with the requirements of their accreditation including providing records to verify their ongoing compliance with these requirements. The operator must provide the auditor with all records associated with their BOAS accreditation at the time of audit. Access to the operator's site must also be provided to the auditor.

2.4. Office of Transport Safety Investigations (OTSI)

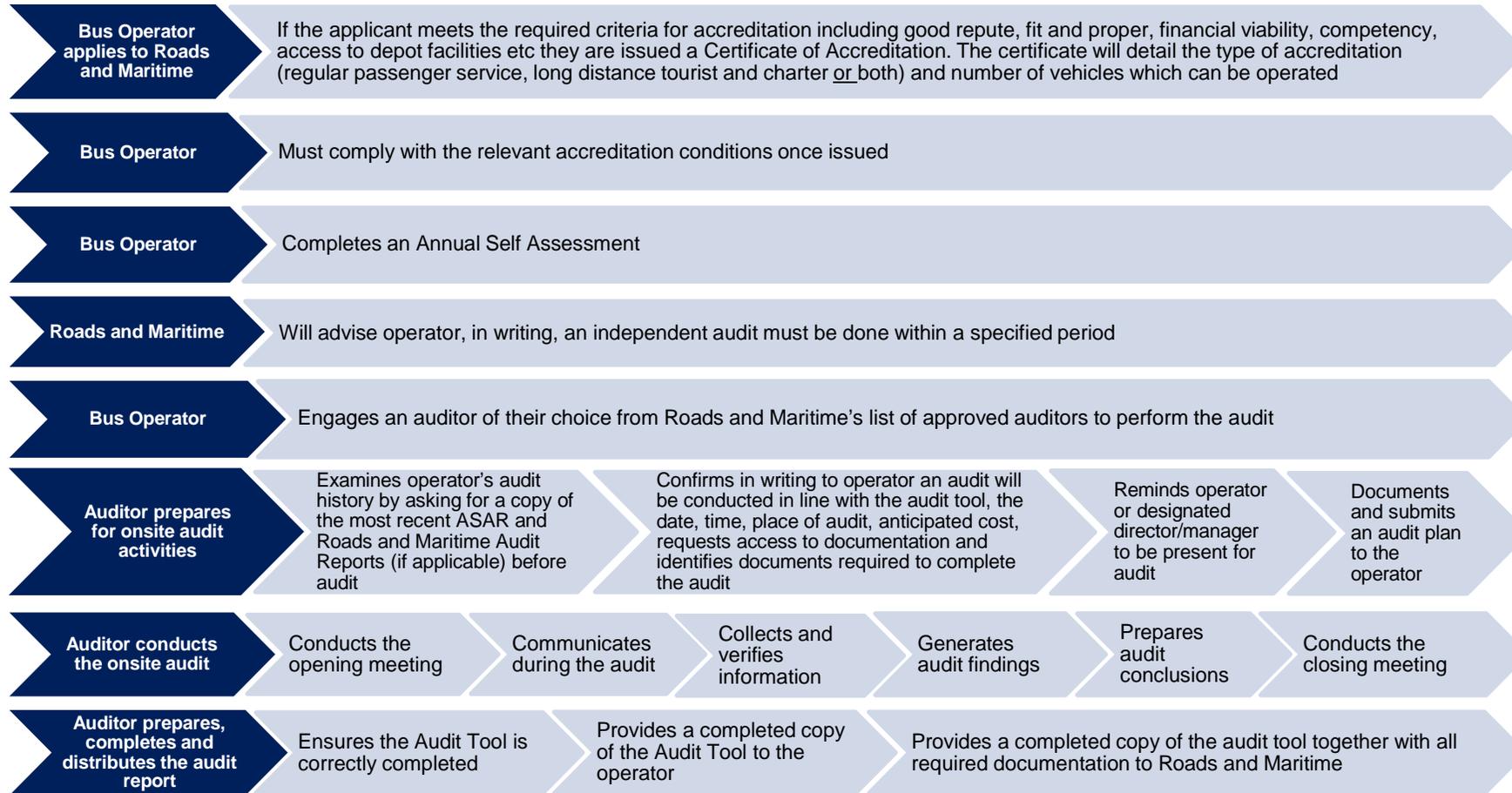
Responsible for:

- **Transport safety investigations into bus, rail and ferry incidents and accidents**
- **Releasing public reports relating to incidents and accidents on conclusion of investigations.**

The objective of OTSI is to enhance transport safety. It does not apportion blame or determine liability.

Bus operators are required under the operator accreditation system to report incidents and accidents to OTSI immediately after becoming aware of an incident or accident. Further information on the reporting of incidents/accidents to OTSI can be found on the [OTSI website](http://www.otsi.nsw.gov.au) www.otsi.nsw.gov.au.

3. The Bus Operator Accreditation Scheme Process



4. Determining the audit duration

The time taken to do an audit is directly related to a number of factors including: the scope and complexity of the operation, maturity of management systems, operator preparedness (including standard of record keeping), and the need for interpreter/s (if necessary) etc.

Auditors must provide operators in writing, a schedule of fees including all ancillary costs associated to the audit eg travel, accommodation, preparation of audit report etc.

5. Conducting a Bus Operator Accreditation Scheme audit

5.1. Opening meeting

The auditor/s should:

- Introduce themselves on arrival and advise a copy of the completed audit tool will be provided to Roads and Maritime
- Reconfirm the documents which are required to be produced during the audit process and the need for the accredited operator or designated director/manager to be present for the duration of the audit
- Advise the audit will be conducted using the published audit tool to determine if deficiencies exist in the operator's systems for which the operator will be required to take remedial action
- Advise the operator which insurance policies, Roads and Maritime heavy vehicle inspection reports and certificates of registration will need to be photocopied and provided to Roads and Maritime for audit purposes
- Advise the operator the record of audit will be noted in cases where records are not available on request
- Advise they are obliged to inform Roads and Maritime immediately where a critical deficiency is detected. Contact details can be found on page 16 of this handbook.

5.2. Completing the audit tool

The audit tool is structured to ensure the audit is conducted in a systematic manner. Information on how to complete the audit tool is available in the accompanying BOAS Audit Tool Guide.

It is not expected that an auditor will experience any difficulty in completing the audit tool, however, should any questions arise it is recommended the matter be discussed with Third Party Inspection Officers.

5.3. Agenda and closing meeting

As a matter of courtesy and professionalism, always present a summary of the findings of the audit to the representatives of the organisation:

- Restate the purpose, scope and criteria of the audit (as outlined in the opening meeting)
- Remind them of the "sampling" nature of audit, and the audit report is simply a statement of what the auditor(s) have found during the audit
- Inform the operator of the audit findings
- Talk through the contents of the report, explaining particularly the circumstances and justification for each of the audit findings classified as a deficiency

- Advise the operator they will receive a copy of the audit report which will also be sent to Roads and Maritime.

Conclude the meeting with an acknowledgment of the cooperation and courtesy extended to the auditor(s) throughout the visit.

Auditors must contact Roads and Maritime at the completion of the audit, if a critical deficiency is detected. A follow-up email outlining the deficiency should be provided AS SOON AS POSSIBLE after the phone advice.

Auditors are reminded that they have no authority to vary, suspend or cancel an operator's accreditation.

6. Returning the completed audit tool to Roads and Maritime Services

The completed audit tool and collected evidence must be returned to Roads and Maritime via email to boas@rms.nsw.gov.au, alternatively these can be posted to Roads and Maritime if the electronic option becomes unavailable.

The Roads and Maritime postal address can be found on page 16 of this document.

7. Integrity of the audit

7.1. Exemplar Global Code of Conduct

Auditors are reminded of their obligation to maintain the integrity of the auditing process. Roads and Maritime endorses the Exemplar Global Code of Conduct which requires auditors to:

- Act professionally, accurately and in an unbiased manner
- Strive to increase the competency and prestige of their profession
- Assist those in their employ or under their supervision in developing their professional competency
- Not undertake any assignments they are not competent to perform
- Not represent conflicting or competing interests and will disclose to any client or employer any relationships which may influence their judgment
- Not discuss or disclose any information relating to any assignment unless required by law or authorised in writing by the client and/or their employing organisation
- Not accept any inducement, commission, gift or any other benefit from client organisations, their employees or any interested party or knowingly allow colleagues to do so
- Not intentionally communicate false or misleading information which may compromise the integrity of any assignment or the personnel certification process
- Comply with Exemplar Global Certification Requirements, procedures and advisories which are relevant to their profession and certification
- Comply with industry specific standards, including international standards which are relevant to their profession or certification
- Not act in any way which would prejudice the reputation of Exemplar Global or the personnel certification process and will cooperate fully with an enquiry of any alleged breach of this code.
- Submit themselves to Exemplar Global's Code of Conduct and complaints, appeals and disciplinary procedures
- Understand that any breach of the Code of Conduct may lead to warnings, suspension, or withdrawal of certification in accordance with Exemplar Global's disciplinary procedures.

In addition to the Exemplar Global Code of Conduct auditors will be required to sign the Roads and Maritime Auditor Code of Conduct prior to being certified to carry out BOAS audits.

7.2. Conflict of interest

Auditors must ensure they are not compromised in any manner when conducting an audit. This includes having, or potentially having a conflict of interest. In particular, auditors are not permitted to audit their own work. For instance, if an auditor provides consultancy advice to an operator they are not permitted to audit that operator in the future. Similarly if a bus operator is a qualified BOAS auditor, they cannot audit their own business.

7.3. Complaints handling procedure

Complaints against the actions or conduct of a certified auditor may be reviewed and investigated by Exemplar Global using documented procedures. A valid substantiated complaint may result in cancellation of certification or the matter being referred to the Roads and Maritime Accreditation Branch for consideration.

Complaints can also be made directly to Roads and Maritime, in cases involving misconduct or impropriety.

8. Roads and Maritime Services contacts

For questions relating to BOAS auditing please call the Roads and Maritime Scheme Review Unit Third Party Inspection Officers as below:

Third Party Inspection Officer

T 02 6732 9101

M PO Box 3035

Parramatta NSW 2124

E boas@rms.nsw.gov.au

Reference documents

(Available online - www.rms.nsw.gov.au/buses)

[Bus Operator Accreditation Scheme Audit Tool](#)

[Bus Operator Accreditation Package](#)

[Annual Self Assessment Report \(ASAR\)](#)

[SMS Guidelines](#)

[SMS Handbook](#)

[Drug and Alcohol Guidelines](#)

[Available from the OTSI website \(\[www.otsi.nsw.gov.au\]\(http://www.otsi.nsw.gov.au\)\)](#)

[OTSI 72 Hour Bus Incident Investigation Report](#)

Annexure A: Sample letter of confirmation

Phone: XXXXXX

Email: XXXXXXXXXXXXX

From: (Auditor's name)

To: (Bus operator)

Subject: Audit Confirmation

I refer to our recent conversation and confirm that I will be able to perform an independent accreditation audit of your bus operation on xxxday xx xx xxxx at your xxxx depot.

I propose to commence the audit at xxxx am/pm. It is a requirement of the audit that either the operator, or in the case of a corporation, the designated director/manager be in attendance.

The cost of the audit will be as per the attached quotation.

Further to our discussions, you are required to have the following documentation available for review at the time of the audit:

- Copy of insurance policy (third party property damage) with a certificate of currency issued not more than seven (7) days prior to the audit date
- Your most recent Annual Self Assessment Report (ASAR)
- Records of drivers including dates and time during which they drove
- Vehicle maintenance schedules
- Vehicle maintenance records and compliance inspection reports for all vehicles (including Roads and Maritime HVIS reports)
- Vehicle fleet register, including registration details of all vehicles
- Complaints register
- Safety Management System (SMS)
- Drug and alcohol program.

Additional documentation may need to be produced during the conduct of the audit and some documentation may also need to be photocopied as part of the audit process.

A copy of the audit to be undertaken on your operation can be obtained on the Roads and Maritime website at www.rms.nsw.gov.au/buses.

I look forward to meeting with you on xx xx xxxx and don't hesitate to contact me on XXXXXXXX should you have any inquiries concerning the proposed audit.

Yours sincerely,

XXXXXX

Auditor

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Bus Operator Accreditation Scheme

Audit Tool Guide

To assist authorised auditors complete the Bus Operator
Accreditation Scheme Audit Tool

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SECTION 1: Audit details

Date of Audit

Time of Audit

Audit Type

Audit Location

SECTION 2: Auditor details

Name of auditor

Auditor's Reference Number

Phone number

Email address

SECTION 3: Operator details

Name on accreditation certificate

Accreditation number

Phone number

Email address

Mobile number

Fax number

Office address

Postcode

Depot address (if different to above)

Postcode

Postal address (if different to above)

Postcode

Services operated

Certificate of accreditation sighted?

Yes No

Operator accredited to operate (tick applicable):

Regular Passenger Service

Yes No

Long Distance, Tourist and/or Charter Service

Yes No

Maximum number of vehicles approved to operate: _____

Total number of vehicles operating at time of audit: _____

Total number of vehicles sampled for audit: _____

Provide the registration details of vehicles sampled at this audit (attach a separate sheet if required).

Approved bus operator training course certificate sighted?

Yes No

Does the operator hold any other accreditation?

Yes No

Other accreditation number/s

In the case of a corporation, who is the nominated person who has completed an approved bus operator training course?

Name of nominated person

N/A

SECTION 1: Audit details

This section of the Audit Tool requires the auditor to enter the requested information in the boxes provided. For independent audits, the 'Audit Type' should be entered as 'Independent'. The location is the suburb/town where the audit is being conducted.

SECTION 2: Auditor details

This section of the Audit Tool is for **the auditor's** name and contact details. This information is necessary to enable follow-up action if required.

The Auditor's Reference Number is a unique identifying number that is issued by Exemplar Global (previously RABQSA) after the auditor successfully completes the Bus Operator Accreditation Scheme (BOAS) Auditor Training Program.

SECTION 3: Operator details

This section is to be completed by the auditor at time of audit. The majority of the required information can be found on the operator's Certificate of Accreditation which is available from the operator upon request.

It is important to confirm the operator's contact details including telephone number, email address, office address, depot address and postal address as these can sometimes change. It is also important to ascertain whether the operator holds any other accreditation to enable Roads and Maritime Services to cross reference records.

Operators are accredited to operate a public passenger service by the means of a bus and may operate a Regular Passenger Bus Service or Long Distance, Tourist and Charter Service, **or both**. Only persons who hold a service contract with Transport for NSW can operate a Regular Passenger Service.

The operator's Certificate of Accreditation will contain the details of the type of service of which they can operate and the number of buses the operator is approved to operate. Auditors are to tick both boxes in the case of operators who operate both Regular Passenger and Long Distance, Tourist and Charter Services.

Auditors are also required to indicate how many buses an operator is approved to operate and how many are operating at the time of audit.

Auditors must also indicate the total number and registration details of vehicles that they are sampling for the audit. The sample size should be as follows:

Two vehicles is a minimum, however, if more than two vehicles in the fleet the sample size should be the square root of the total number of vehicles. For fleets larger than approximately 100 vehicles, advice must be sought from Roads and Maritime.

Approved training course certificates include the Certificate of Coach Management (CCM), the Certificate of Transport Management (CTM) prior to 2010 or the Bus Operator Accreditation Course, since Feb 2007. Some operators, particularly school bus operators may not have completed an approved training course, as some exemptions were granted. In this regard, auditors are to make appropriate notes on the audit tool.

SECTION 4: Persons involved in audit

Note: The person involved in the audit must be the accredited operator, a designated manager, a designated director or a person nominated by the accredited operator and approved by Roads and Maritime to take part in the audit.

Name of person involved in the audit

Position title

4.1 Is the person:

- | | | |
|----------------------------|--------------------------------|-----------------------------|
| a) The accredited operator | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| b) The designated manager | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| c) The designated director | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| d) Nominated person? | Yes <input type="checkbox"/> * | No <input type="checkbox"/> |

* Obtain a copy of the Roads and Maritime letter confirming details of the nominated person

SECTION 5: Current details

5.1 Are the operator's contact details the same as on their Annual Self Assessment Report (ASAR)?

Yes No

5.2 Is the designated manager/director the same as noted on last assessment?

Yes No

5.3 Is the address of premises where buses are kept still the same?

Yes No

5.4 If answered No to any of the above – has Roads and Maritime been informed of the change?

Note: If no to the above, please ask the operator to provide details and record below.

Yes No N/A

SECTION 6: General details

6.1 Are the day-to-day operations of the bus service managed by a designated manager, designated director or an accredited operator?

Provide details

Yes No

SECTION 7: Management Information System

7.1 Can the operator provide evidence that all vehicles that operate under the accreditation have had third party property damage cover of at least \$5 million for the last three years? Obtain copies of insurance records as required.

Provide details

Yes No

SECTION 4: Persons involved in audit

The person involved in the audit must be either the accredited operator or in the case of a corporation, a designated manager or designated director. An audit is not to commence without the accredited operator, designated manager or designated director being present.

If any of the above persons are not able to be present at the audit, prior approval from Roads and Maritime must be granted for a nominated person to take their place at the audit. Auditors must obtain a copy of the Roads and Maritime letter confirming details of the nominated person.

SECTION 5: Current details

This section is used to confirm the operator's current details including whether there has been any change in the designated manager or designated director since the last assessment, and any changes in office address, postal address and depot address.

Under Clause 18 of the Passenger Transport Regulation 2007 (the Regulation), an operator is required to advise Roads and Maritime within seven days when there is a change of:

- Address of premises from which the bus service is carried on
- Address of premises at which the buses are kept.

TIP: Check the operator's current details against those contained on the most recent Annual Self Assessment Report. If there is a discrepancy, the auditor may contact Roads and Maritime to clarify.

SECTION 6: General details

This section requires the auditor to obtain general information concerning the bus operation including confirming that the person identified as operating the service, ie the accredited operator, designated manager or designated director, is actually managing the day to day bus operation.

Under Clause 25 of the Regulation, an operator must not allow a person who is not a designated manager or designated director in the case of a corporation or another accredited operator, to operate, supervise, manage or administer the relevant service.

SECTION 7: Management Information System

7.1 - Under Clause 22 (1) of the Regulation, operators are required to have third party property damage insurance coverage of at least \$5 million per vehicle. Auditors must examine the operator's insurance records and confirm that all vehicles operated under the accreditation have had the required insurance.

Evidence can include:

- A certificate of currency dated not more than seven days prior to the audit that clearly shows Third Party Property Damage coverage of at least \$5 million for each vehicle
- Current and previous year's insurance records that clearly show Third Party Property Damage coverage of at least \$5 million for each vehicle.

Auditors must check to ensure that all vehicles listed on the fleet register are listed on the insurance schedule. This includes operators that have a 'blanket' cover that covers all vehicles owned or registered in the operator's name.

For those operating less than three years, evidence must be provided to show required insurance coverage since the beginning of operation.

TIP: In most cases, auditors should look for Third Party Property Damage coverage under a comprehensive motor vehicle policy. Auditors should note that some operators have 'blanket' cover which covers all vehicles owned or registered in the operator's name.

7.2 Can the operator provide evidence that the insurance policies are current? Obtain copies of certificate of currency or confirmation of insurance issued not more than seven days prior to the date of the audit.

Provide details

Yes No

7.3 Are there any gaps in previous years' policies?

Yes No

If yes, check records and indicate if buses were operated whilst uninsured. If so, provide evidence vehicles were operated uninsured.

Provide details

7.4 Does the operator have a fleet register, which includes Vehicle Identification Number (VIN), fleet number (if appropriate) and registration details of each vehicle, including expiry date? Obtain sample copies of registration papers. **Note: registration papers are sufficient if auditable.**

Provide details

Yes No

7.5 Are the vehicles registered according to Roads and Maritime requirements ie CBUS or RBUS usage etc?

Provide details

Yes No

7.6 Are there any late payments of registration?

Yes No

If yes, check vehicle usage records and indicate if buses were operated unregistered? If so, provide evidence vehicles were operated unregistered.

Provide details

7.7 Is the operator operating buses in excess of the approved accredited number of buses as noted on the accreditation certificate? If yes, provide details.

Provide details

Yes No

7.8 Does the operator maintain a complaints register to record complaints received and actions taken?

Provide details

Yes No

7.2 - Under Clause 22 (4) of the Regulation, operators are required to provide evidence that third party property damage insurance policies are current. Auditors must obtain a Certificate of Currency or Confirmation of Insurance issued not more than seven days prior to the date of the audit to confirm policy is current.

7.3 - Auditors must check the start and end dates of insurance policies to ensure third party property damage coverage is continuous.

If gaps between dates are detected, vehicle usage records should be checked to ensure vehicles were not operated uninsured. Findings must be recorded in the tool.

Only when a vehicle has been operated uninsured is this considered a deficiency.

Note: Irregularities in insurance are deemed to be critical deficiencies.

7.4 - Under Clause 80 (1) (a) of the Regulation, operators are required to maintain a fleet register that includes the vehicle identification number and registration details of each vehicle in the fleet including expiry details. If the operator has registration papers for all vehicles in the fleet, this is deemed as a fleet register.

Auditors must obtain copies of registration papers for the sample vehicles as per Roads and Maritime sampling requirements.

7.5 - Under Clause 15 (a) of the Regulation, operators are to ensure that vehicles used to provide services at all times meet the requirements of registration.

Auditors must check sampled registration papers and confirm that the registration details are correct. This includes, but is not limited to, checking registered usage. Regular Passenger Services should be registered as 'RBUS', Long Distance, Tourist and Charter Services should be registered as 'CBUS'. Auditors should also check seating capacity on the registration papers. Buses should have nine or more seats etc.

Any detected issues must be recorded on the tool.

7.6 - Under Clause 15 (a) of the Regulation, operators are to ensure that vehicles used to provide services at all times meet the requirements of law regarding registration.

Auditors must check registration payment dates to detect any late payments. If late payments are detected, auditors must examine vehicle usage records to determine if the vehicle was operated unregistered. Findings must be recorded on the tool.

Only when a vehicle has been operated unregistered is this considered a deficiency.

7.7 - Auditors are to determine whether the operator is operating buses in excess of the number contained on the Certificate of Accreditation. If yes, ascertain why and list the vehicle registration details.

7.8 - Under Clause 80 (1) (h) of the Regulation, operators must maintain a complaints register detailing all complaints received and the action taken in respect of each complaint.

Auditors are to confirm the operator maintains a complaint register that records complaints and actions taken.

SECTION 8: Vehicle maintenance and Heavy Vehicle Inspection Scheme (HVIS)

Driver reported faults – (Non HVIS defects)

8.1 What is the operator's system for recording and actioning driver reported faults?

Provide details on the system

8.2 Review samples and confirm that driver reported faults have been rectified?

Provide details

Heavy Vehicle Inspection Scheme (HVIS) records

8.3 Has each vehicle sampled been subject to a six monthly HVIS inspection? Copies of records are to be taken as required for two years.

Provide details including an explanation if response is 'no'

Yes No

8.4 Has the operator received any major and/or major grounded defect notices for the sampled vehicles operated under its accreditation in the last two years?

Yes No

If yes, check for clearance and vehicle usage records to determine any usage while defected after clearance due date. (If so, provide evidence).

8.5 Has the operator received any major and/or major grounded defect notices for any of its fleet in the last three years? Copies must be taken of these defect notices.

Provide details

Yes No

SECTION 8: Vehicle Maintenance and Heavy Vehicle Inspection Scheme

8.1 and 8.2 - Under Clause 16 (1) (d) and Clause 81 of the Regulation, operators are required to have in place a system for drivers to report faults and for the repair and rectification of such faults. This includes making available in each bus in the fleet a blank vehicle defect form each day the bus is used. Electronic forms may be used by the operator.

When a fault is detected the driver must record the fault on a blank vehicle defect form at the end of the shift and return the form to the bus operator. Drivers should advise the operator immediately if they suspect that the defect is serious and could affect the safety of the driver, passengers or general public.

Auditors are to:

1. Confirm a system that meets requirements is in place. If there is no system or the requirements are not met, this should be identified as a deficiency.
2. Review a sample of completed vehicle defect forms and find evidence that the reported faults have been rectified, ie the system has been implemented and is working. Auditors should also check the timeframes for rectification. Are buses driven with safety critical defects after being reported.

Note: Auditors must provide a clear description of the system and whether or not it meets requirements.

8.3 - Operators are required to present public passenger vehicles (buses) for two Heavy Vehicle Inspection Scheme (HVIS) inspections per year. Under Clause 80 (1) (d) of the Regulation, operators must maintain HVIS records in relation to each vehicle in the fleet.

Auditors are required to take and keep copies of HVIS records, including defect notices and clearances for the sampled vehicles over a two year period. If four HVIS records for each sampled vehicle are not available during the audit the auditor must make appropriate comments in the report, ie records missing, newly purchased vehicle, new accreditation, etc.

Note: Failure to submit a bus to biannual Roads and Maritime HVIS inspections is deemed to be a critical deficiency.

8.4 - Auditors are to determine whether the operator has received any major and/or major grounded defect notices for the sampled vehicles in the last two years. Defect notices may indicate poor or inadequate maintenance.

When a defect notice has been issued at an HVIS inspection, auditors must check to ensure the defect has been cleared within the prescribed timeframe. If not, auditors are to check vehicle records to determine whether the vehicle was operated while defected.

Only when a vehicle has been operated while defected after the clearance timeframe is this to be considered a deficiency under Clause 15 (a) of the Regulation.

8.5 - Auditors are to determine whether the operator has received any major and/or major grounded defect notices for **any** vehicles in the last three years.

If so, auditors must check to ensure the defect has been cleared within the prescribed timeframe. If not, auditors are to check vehicle records to determine whether the vehicle has operated while defected.

Only when a vehicle has been operated while defected after the clearance timeframe is this considered to be a deficiency under Clause 15 (a) of the Regulation.

Vehicle Maintenance Plan

8.6 Does the operator have a maintenance schedule for the sampled vehicles that is consistent with, or better than, the manufacturer's recommended maintenance standards?

Note: Please obtain copies of the maintenance schedules and provide when submitting the report

Yes No

8.7 From a sample of maintenance records, is the maintenance carried out in accordance with the operator's maintenance schedule? Obtain copies of maintenance records sampled.

Provide details of any non-conformance

Yes No

8.8 Provide details of the person/s carrying out maintenance work on buses and/or their relevant Motor Vehicle Repairers Licence (MVRL) details or Motor Vehicle Tradespersons Certificate (MVTC) numbers?

Provide licence details

8.9 Has the audit identified that someone other than an MVRL/MVTC qualified person, has carried out any safety critical (ie brakes, steering, suspension) maintenance or repairs on any buses?

Provide details of any such work

Yes No

Bus pre-departure and end of shift procedures

8.10 Has the operator developed and implemented documented pre-departure safety checks?

Provide details of the procedure, or explanation if not developed or implemented

Yes No

8.11 Has the operator developed and implemented a documented end of shift procedure?

Provide details of the procedure, or explanation if not developed or implemented

Yes No

8.6 – Under Clause 16 (1) of the Regulation accredited bus operators must have in place and adhere to a vehicle maintenance plan that is consistent with the bus manufacturer's maintenance standards/specifications, and is capable of being audited. The schedule must detail the vehicle, and the nature and frequency of the maintenance to be undertaken.

Auditors are to obtain from the operator details of the manufacturer maintenance standards and operators maintenance schedule and confirm that the operator's maintenance schedule is consistent with, or better, than the manufacturer's standard.

Note: Failure to implement and adhere to a Vehicle Maintenance Plan which meets or exceeds the manufacturer's standards/specifications is deemed to be a critical deficiency.

8.7 - This question asks auditors to confirm through maintenance records that the operator's maintenance plan is being adhered to. Records should include the following details:

- Registration number of the bus
- Date of service
- The name of the person, organisation or licensed repairer who conducted the maintenance
- Odometer reading at the time maintenance was done
- A detailed description of the work that was carried out.

Note: Receipts for parts such as batteries, oil filters, tyres etc. do not constitute maintenance records.

Auditors are required to sample three consecutive maintenance records for the sample vehicles to ensure compliance with the maintenance plan. This should include checking that the odometer readings and dates between services are consistent with the maintenance plan.

Auditors may take more samples in the case of non-compliance being detected.

Note: Failure to implement and adhere to a Vehicle Maintenance Plan which meets or exceeds the manufacturer's standards/specifications is deemed to be a critical deficiency.

8.8 – 8.9 - Under Clause 16 (2) of the Regulation, accredited bus operators must not carry out maintenance on, or repairs to, a vehicle used to provide the service, and must not permit any other person to do so, unless the person carrying out the maintenance or repairs has a Motor Vehicle Repairers Licence (MVRL) or Motor Vehicles Tradespersons Certificate (MVTC) to carry out the work concerned.

The auditor must determine if anyone, other than an MRVL/MVTC qualified person has, carried out maintenance on, or repairs to any safety critical components (brakes, steering, suspension).

Note: Whilst it is required that the carrying out of repairs to, and maintenance on, buses is only carried out by licensed repairers, Roads and Maritime has no objection to an unlicensed owner/operator of a bus undertaking basic maintenance tasks including: changing light bulbs, changing engine oil, greasing a bus, replacing seats, changing wheels/tyres and topping up fluid levels.

Note: Repairs to safety critical components by non MVRL/MVTC qualified persons is deemed to be a Critical Deficiency.

8.10 - Operators are required to conduct a **pre-departure check** on all vehicles. This inspection must be conducted and documented for each vehicle prior to a public passenger service being conducted. Please note that the Information Alert issued to all operators in November 2009 required them to include checking of insecure wheels.

Auditors are to confirm pre-departure safety check procedures have been developed and review a sample of completed checks to verify they are being completed prior to departure.

8.11 - Operators are required to develop and implement documented **end of shift procedures**. The Information Alerts issued in March 2008, November 2009 and August 2014 require the checking of insecure wheels be included in the procedures.

Auditors are to confirm end of shift procedures have been developed and review a sample of completed checks to verify they are being completed at the end of each shift.

SECTION 9: Bus operator management and records

Record of drivers

9.1 Does the operator keep a written or electronic record of the following particulars for each person who drives a bus in connection with the service? Does it record the driver's:

- | | | |
|---|------------------------------|-----------------------------|
| (a) Full name | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (b) Residential address | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (c) Driver licence number and expiry date | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (d) Driver authority number and expiry date | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

Provide details

9.2 Does the operator maintain a record of the dates and times during which buses are driven by drivers?

Yes No

Provide details as to how these records are kept – sample driving records for two drivers on three random dates to ensure compliance.

Note: Operators are required to maintain records even if they are the only driver and/or they operate a regular passenger service.

Passenger manifest

LONG DISTANCE AND TOURIST SERVICES ONLY

N/A

Note: If a Long Distance, Tourist and Charter operator is using a bus within 40km from its usual depot, the operator is exempt from the requirements in clause 84 of the Passenger Transport Regulation 2007.

9.3 For long distance and tourist service journeys, does the operator have passenger manifest records which contain the following information:

- | | | |
|--|------------------------------|-----------------------------|
| (a) The name of the passenger | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (b) Date and time the passenger is due to board the bus | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (c) The seat number (if allocated) | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (d) The passenger's contact details, such as phone number and address. | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

Provide details

CHARTER SERVICES ONLY

N/A

Note: If a charter bus operator maintains the records listed below for each charter journey then the charter operator is exempt from the requirements in clause 84 of the Passenger Transport Regulation 2007.

9.4 Does the operator maintain records for charter services which contain the following information:

- | | | |
|---|------------------------------|-----------------------------|
| (a) The name, address and phone number of the hirer | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (b) Date and time of the charter | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

Provide details

SECTION 9: Bus Operator Management and Records

9.1 - Under Clause 21 (a) (c) and (d) of the Regulation accredited operators are required to keep a written or electronic record of each person who drives a bus in connection with the service that includes the person's full name, residential address, driver licence number and expiry date, and driver authority number and expiry date.

Auditors are to sight and confirm that the operator keeps such records. This requirement is applicable to sole operators and for all drivers, both current and for the past five years.

9.2 - Under Clause 21 (b) of the Regulation, operators are required to keep records of the dates and times during which buses were driven and by whom.

Auditors must sample records for at least two drivers over a period of time to ensure compliance and provide details of how these records are kept.

9.3 - Under Clause 84 (2) of the Regulation, operators of Long Distance and Tourist services are required to maintain a passenger manifest record that includes:

- The passenger's name
- The date and time that the passenger is due to board the bus
- The seat number (if any) allocated to the passenger
- Contact details such as address and telephone number for the passenger.

Auditors are to confirm that the operator's passenger manifest records contain this information.

Note: If a Long Distance, Tourist and Charter operator is using a bus within 40km from its usual depot, the operator is exempt from the requirements in Clause 84 of the Regulation.

9.4 - Under Clause 84 (5) (b) of the Regulation, operators of charter services are required to maintain charter records that include the name, address and telephone number of the person that chartered the bus (hirer), and the date and time of the charter.

Auditors are to confirm that the operator's charter records contain this information.

Note: If a charter operator is using a bus within 40km from its usual depot, the operator is exempt from the requirements in Clause 84 of the Regulation. Furthermore, if a charter bus operator maintains the above records for each charter journey (and retains the record for 60 days) then the charter operator is exempt from the requirements of Clause 84 (1) to (4).

Passenger records

9.5 Are the passenger records and/or charter journey records referred to in 9.3 and 9.4 kept for 60 days?

Provide details

Yes No

SCHOOL BUS SERVICES

N/A

School student behaviour on buses (Transport for NSW contracted school bus services only)

9.6 Does the operator have a documented procedure for managing school student behaviour that is compliant with the published guidelines?

Provide details

Yes No

Standees on buses (Transport for NSW contracted school bus services only)

The operator of a bus service must ensure that buses being used solely or principally for the conveyance of students to and/or from school are limited to travelling a maximum of **80 kilometres** per hour whenever a student passenger is required to stand.

9.7 Does the operator have in place a system to ensure that their drivers comply with the standee requirements as above?

Note: Please ask the operator to demonstrate how drivers are made aware of this requirement.

Yes No N/A

SECTION 10: Safety Management System (SMS)

Element 1 – SMS Policy, commitment and objectives

10.1.1 Does the operator have an SMS Policy Yes No

10.1.2 Has the policy been signed off by senior management Yes No

10.1.3 Is the policy accessible and/or able to be viewed by staff and members of the public Yes No

10.1.4 Is the policy incorporated into the employee handbooks (if applicable), induction and training materials Yes No

If no to any of the above, please provide further details.

9.5 - Under Clause 84 (4) of the Regulation for long distance and tourist service passenger manifest records **and** Clause 84 (5) (b) of the Regulation for charter journey records, operators are required to retain passenger manifest or charter journey records for 60 days after the completion of the relevant journey.

Auditors are to sight records and verify they are kept for the required period of time.

9.6 – Auditors are to confirm the operator has a documented procedure in place for managing school student behaviour, see Clause 99 (2) of the Regulation.

Refer to Transport for NSW Guidelines for Managing School Student Behaviour on Buses.

9.7 - An additional condition under Section 9B (1) (b) of the *Passenger Transport Act 1990* (the Act), auditors should sight evidence, eg training, written instruction that drivers have been informed not to exceed **80 kilometres per hour** whenever a student passenger is required to stand in a vehicle that is used solely or principally to carry students to and from school.

SECTION 10: Safety Management System (SMS)

It is a condition of accreditation that operators have and implement a safety management system that complies with Section 9D of the Act. Auditors should refer to the **SMS Guidelines** and the **SMS Handbook** for more information.

10.1.1 – 10.1.4 – Under Element 1 of the SMS Guidelines and SMS Handbook (p. 10), all operators are required to have an SMS policy which summarises their approach to safety. The policy should describe what an operator is aiming to achieve from an SMS, how the operator will achieve this objective and the responsibilities of people in the organisation, particularly management, in relation to safety.

Auditors are to confirm that the:

1. Operator has developed and implemented an SMS Policy that serves the purposes described above
2. SMS Policy has been signed off by senior management
3. SMS Policy is accessible and/or able to be viewed by staff and members of the public
4. SMS Policy has been incorporated into employee handbooks (if applicable), training or other material.

Auditors are to provide details if any of the above are not in place.

Element 2 – Management accountabilities, responsibilities and communications

10.2.1 Has a management representative been nominated to maintain, oversee and implement the SMS?

Provide details

Yes No

10.2.2 Are current position descriptions available for all positions involved in transport safety work?

Provide details

Yes No

10.2.3 What systems are in place to communicate to staff any changes in the SMS or safety related activities?

Note: Please ask the operator to provide evidence of these systems and summarise below

Element 3 – Risk management

10.3.1 Does the operator have a risk register which is suitable to their business?

Yes No

Does the register:

- | | | |
|--|------------------------------|-----------------------------|
| (a) Identify hazards (potential and current) | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (b) Provide details regarding the severity of the hazards (if they occur) | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (c) Provide an indication relating to the likelihood of hazards occurring | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (d) Provide a risk rating (risk score) for each of the identified hazards and controls | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (e) Describe how the risks will be managed | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (f) Detail the employee/s responsible for the management of the identified risks | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

If no to any of the above, provide details

10.3.2 Has the register been reviewed and updated as required?

Yes No

Provide details

10.3.3 Have risk controls identified in the risk register been implemented? (Auditor to review the controls of the two highest rated risks).

Provide details

Yes No

10.2.1 - Under Element 2 of the SMS Guidelines and SMS Handbook (p. 13) operators are required to nominate a senior manager with sufficient authority to have overall responsibility for the implementation and management of the SMS.

Auditors are to verify that an appropriate person has been nominated and provide details of that person's position. The person may be identified in the SMS policy itself or in job descriptions.

10.2.2 - Under Element 2 of the SMS Guidelines and SMS Handbook (p. 13) operators are required to develop job descriptions for all persons involved in "transport safety work." This includes managers, drivers and workshop mechanics.

Auditors are to confirm that position descriptions for transport safety workers are documented and understood, and detail specific safety responsibilities. Auditors should look for copies of position descriptions ie drivers etc.

10.2.3 - Under Element 2 of the SMS Guidelines and SMS Handbook (p. 13) operators are required to develop a system to ensure there is staff/management feedback and instruction on safety related issues.

Auditors are to confirm that management has a system in place to ensure that all staff are made aware of changes in safety related activities. Effective communication should be demonstrated by evidence of communication on safety issues eg Safety Committee minutes, team briefings, information on notice boards, etc.

Note: SMS documentation should be displayed at appropriate locations throughout the business eg driver's break areas etc.

10.3.1 - Under Element 3 of the SMS Guidelines and SMS Handbook (p. 19) operators are required to establish a documented procedure for describing the risk management process. The procedure should describe:

- Methods for identifying hazards eg a hazard reporting system
- Risk assessment and how severity and likelihood is determined.

Operators are required to develop a risk register based on the outcomes of a risk assessment.

Auditors are to confirm that the operator has a risk register that includes the particulars detailed in 10.3.1 (a) to (f). Auditors are also to confirm that the register has been adapted to suit the operator's business ie not a copy of pro forma 3.1 from the Handbook.

Control measures must be shown to effectively control the hazard, through review and periodic updates.

10.3.2 - The operator must demonstrate to the auditor that the risk register is reviewed and updated as required and/or at the time of the annual SMS Audit (SMS Element 8). Eg a review may be required when there are changes in the environment, the introduction of new risks, or as the result of an accident or incident occurring, etc.

10.3.3 - Auditors are to identify the two highest rated risks on the operators risk register and confirm that the recommended controls have been implemented to manage the risk.

Element 4 – Procedures and documentation

10.4.1 Has the operator developed SMS related procedures and made these procedures available to all staff?

Provide Details

Yes No

10.4.2 If the operator has identified bus security as a risk on the risk register **OR** services a major transport interchange, has the operator put in place procedures for bus security management?

Provide details

Yes No N/A

10.4.3 Does the operator have runaway bus procedures in place?

Provide details of how the operator trains staff in relation to the procedure

Yes No

Element 5 – Employee monitoring

10.5.1 Can the operator demonstrate via documented evidence that they ensure that all drivers who drive a bus in connection with the service have an appropriate and current driver licence and driver authority?

Provide details of how this is documented

Yes No

10.5.2 Does the operator have in place procedures for the management of employee medical/health conditions which may impact on their fitness for duty?

Provide details

Yes No

10.5.3 Does the operator have in place a method to notify Roads and Maritime where an employee has been medically retired or has retired due to ill health?

Provide details

Yes No

10.5.4 What type of fatigue management program has been implemented by the operator? Please tick relevant programs.

- Advanced fatigue management program
- Basic fatigue management program
- Heavy vehicle fatigue standard
- Bus and coach fatigue standard

Note: If it has been identified that an advanced or basic fatigue management program is required, then proceed directly to 10.5.6.

10.4.1 - Under Element 4 of the SMS Guidelines and SMS Handbook (p. 24) operators are required to have procedures that provide guidance to managers and staff on how to perform core activities safely ie procedures for bus maintenance, driver health management, incident management, etc.

Auditors are to confirm that procedures have been developed and are available to all staff.

10.4.2 - If the operator has identified bus security as a risk and/or the operator services a major transport interchange, the operator must put in place procedures for bus security management (pro forma 4.1 in the SMS Handbook).

10.4.3 - An additional condition under Section 9B (1) (b) of the Act, operators are required to have a written procedure regarding the "Runaway Bus Procedures".

Auditors are to sight and confirm the operator's runaway bus procedure is in place and used eg are the drivers trained regarding the use of the procedure?

10.5.1 - Under Clause 15 (b) of the Regulation, operators must ensure that each person who drives a bus holds an appropriate driver licence and appropriate driver authority. See also Element 5 of the SMS Handbook (p. 29).

An operator sighting the licence and/or authority is insufficient. The operator must take additional steps to ensure currency ie Roads and Maritime 'MyRecords' checks.

Auditors are required to confirm that the operator can demonstrate via documented evidence that they regularly ensure all drivers who drive the bus in connection with the service have an appropriate and current driver licence and driver authority. For example, auditors can sight previous 'MyRecords' printout or records of checks.

10.5.2 and 10.5.3 - Under Element 5 of the SMS Guidelines and SMS Handbook (p. 29) operators are required to develop procedures for the management of employee illnesses which may impact on their fitness for duty (pro formas 5.1 and 5.2).

Auditors must confirm that bus operators have developed and put in place procedures for the management of employee conditions that may impact on their fitness for duty. Auditors must also confirm that the operator has a system in place to ensure Roads and Maritime is notified when a driver has been medically retired or retired due to ill health.

10.5.4 - Under Element 5 of the SMS Guidelines and SMS Handbook (p. 29) operators are required to develop a fatigue management program that complies with legal requirements (pro forma 5.3).

Auditors are to identify and record the Fatigue Management Program the operator has in place. If an Advanced or Basic Fatigue Management Program was identified, go to question 10.5.6 as question 10.5.5 can only be completed by an auditor that is certified in this area.

10.5.5 Does the operator have in place a fatigue management program which includes the monitoring and recording of work and rest times, to ensure that no drivers have exceeded the maximum permissible driving hours?

Provide details

Yes No

10.5.6 Does the operator have in place a fatigue management program which includes the monitoring and recording of instances of secondary employment and a system of monitoring to ensure that there is no impact on the driver?

Provide details

Yes No

Vehicle Monitoring Devices (VMD) and work diaries (Long Distance, Tourist and Charter Operators only)

10.5.7 Does the operator maintain VMD records for all journeys irrespective of length?

Provide details

Yes No N/A

10.5.8 Are the records stored in continuous date order for the last three years?

Provide details

Yes No N/A

10.5.9 Based on a sample of VMD records, were any breaches identified? If yes, provide details.

Provide details

Yes No N/A

10.5.10 Work Diary – Does the operator maintain work diary records for all journeys that are performed in excess of a 100 kilometre radius of the operator's depot? **(Long Distance, Tourist and Charter Operators only)**

Provide details

Yes No N/A

10.5.11 If a breach in working hours has been detected, what steps or actions has the operator taken to remedy this breach and to prevent further breaches? **(Long Distance, Tourist and Charter Operators only)**

Provide details

N/A

10.5.5 - Under Element 5 of the SMS Handbook (p. 29) operators are required to develop a fatigue management program that complies with legal requirements (pro forma 5.3).

Auditors must confirm that bus operators have a fatigue management program that includes a system to monitor driving hours to ensure no drivers have exceeded the maximum permissible driving hours. This can be assessed by examining the operator's records.

10.5.6 - Under Element 5 of the SMS Handbook (p. 29) operators are required to develop a fatigue management program that complies with legal requirements (pro forma 5.3).

Auditors must confirm that bus operators have a system to record and monitor instances of secondary employment and ensure that there is no impact on driver fatigue. This can be assessed by examining the operator's secondary employment records.

10.5.7 – 10.5.9 - A Vehicle Monitoring Device (VMD) is a device which monitors the length of time the vehicle is moving and stationary during a journey, speeds at which the vehicle is driven, distance the vehicle travels between stops, the time, date and place of starting and finishing a journey, driver's details and vehicle identification.

Auditors are to ensure that operators of Long Distance, Tourist and Charter services maintain VMD records for **all** journeys undertaken irrespective of distance travelled. Where a regular passenger service also undertakes charter work, VMDs are only required for charter journeys greater than 100km from the depot.

Auditors are also to confirm that VMD records are stored in continuous date order for at least three years.

From a sample of VMD records ascertain if there were any breaches in driving hours. Refer to the SMS Handbook (p. 35-36) for the work and rest timetables.

Note: Breaches of maximum permissible driving hours are deemed to be a critical deficiency.

10.5.10 and 10.5.11 - Auditors are to ensure that work diary records for operators of Long Distance, Tourist and Charter services are maintained for all journeys greater than 100km from the usual bus depot.

It is important for the safety of the travelling public that drivers do not exceed maximum driving hours. The auditor is required to perform a sample audit of driver records ie rosters, work diaries and VMD records for at least two employees over a 28 day consecutive period to determine compliance.

Refer to the SMS Handbook (p. 35—36) for the work and rest timetables.

Timetables (Long Distance Services only)

N/A

10.5.12 How does the operator ensure that timetables can be reasonably met without the need for buses to break relevant speed limits?

Provide details of how the operator ensures this

Drug and alcohol program

Note: Operators are required to base their drug and alcohol program on a risk assessment (SMS Element 3). Notwithstanding the outcome of the risk assessment, all operators are required to establish a drug and alcohol program.

DA1 Has the operator conducted a risk assessment? Yes No

Provide details

DA2 Does the operator have a drug and alcohol program and policy in place? Yes No

Note: Please provide a brief description of the program and policy.

DA3 Is the policy signed off by the operator or senior management? Yes No

Provide details

DA4 Is the policy accessible at the operator's business? Yes No

Provide details

DA5 Is the operator's program based on their risk assessment? Yes No

Provide details

DA6 Did the operator consult with employees throughout the program's development and implementation? Yes No N/A

Provide details of the consultation method

10.5.12 - Under Clause 83 of the Regulation, the operator of a long distance bus service must ensure that the timetable for the service can reasonably be met without any need for buses to break any relevant speed limits.

Auditors are to provide details of how the operator ensures timetables can be met by drivers without them have to exceed the maximum permissible driving hours or the speed limit. Auditors are to confirm compliance with this requirement by analysing VMD and driving hour records.

DA1 - Section 9C (1) (a) of the Act requires the operator to prepare and implement a drug and alcohol program. The program must be based on a risk assessment (SMS Element 3).

Auditors must confirm a drug and alcohol risk assessment has been conducted.

Note: Notwithstanding the outcome of the risk assessment, all operators are required to establish a drug and alcohol policy and program (DA1-DA8). Additionally, if the operator has demonstrated through the risk assessment that testing arrangements are required, questions DA9-DA15 must be completed.

DA2 - Element 5 of the SMS Handbook (p. 38) describes a drug and alcohol program as an integrated set of work practices and procedures designed to manage the risk of drug and alcohol under the accreditation. Additional information can be found in the handbook. As a minimum, D&A Programs must include a D&A Policy, risk assessment, evidence of consultation with staff on D&A issues and supporting measures.

Auditors must confirm that the operator has in place a drug and alcohol program and policy and provide a brief description of the contents.

Note: The absence of or failure to implement a drug and alcohol program is deemed to be a critical deficiency.

DA3 - Auditors are to confirm that the drug and alcohol policy has been signed off and provide details of the signer including position title.

DA4 - Auditors are to confirm that the policy is accessible to staff and provide details of how this is done.

DA5 - Auditors should refer to the operator's risk assessment and confirm the drug and alcohol program is based on the identified level of risk.

DA6 - Consultation in the development of the drug and alcohol program and policy is essential. Auditors need to provide details of how the operator consulted with employees (e.g. WHS Committee, tool box talks, etc). An answer of N/A is only for operators who have no other employees. Appropriate comments should be made if the response is N/A.

Supporting measures

DA7 Does the operator have the following supporting measures in place as part of the drug and alcohol program:

- | | | |
|--|------------------------------|-----------------------------|
| (a) Procedure for the identification, assessment and referral for those who have alcohol or other drug related problems | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (b) Education and awareness of transport safety employees of the health and safety effects, and the legal consequences of drug and alcohol misuse | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (c) The provision of assistance and support for transport safety employees who have a drug and alcohol problem | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (d) The action to be taken to deal with a contravention or a failure to comply with the requirements of the Act, Regulations, and the drug and alcohol program | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

Provide details

Drug and alcohol program – testing

DA8 Has the operator identified testing as a requirement of their drug and alcohol program following completion of their risk assessment? Yes No

If testing is not identified in the operator's risk assessment, go to Element 6

DA9 Has the operator appointed a test supervisor for the purpose of drug and alcohol testing? Yes No

DA10 Does the test supervisor hold a certificate of appointment? Yes No

DA11 Are testing arrangements in place? Yes No

DA12 Does the operator employ an external testing contractor? Yes No

DA13 Has the operator conducted any drug and alcohol testing on any transport safety employees since the last audit? Yes No

DA14 Have any confirmed positive tests been identified through the operator's testing regime? Yes No

A confirmed positive test means:

(1) In the case of alcohol, a breath analysis conducted by NSW Police which indicates over 0.02 pca.

(2) In the case of urine, a confirmatory sample tested by an approved laboratory; and

(3) In the case of a blood test, any analysis confirming the presence of drugs or alcohol.

DA15 Did the operator notify Roads and Maritime in writing within 48 hours of becoming aware of a confirmed positive test? Yes No N/A

Provide details

DA7 - Auditors must sight evidence that the operator has information and procedures in place that includes the supporting measures detailed in DA7 (a) to (d).

DA8 - Auditors are to check the operator's risk register to determine whether testing has been identified as a requirement. **If yes, questions DA9 – DA15 must be completed. If no, go to Element 6.**

Note: DA9 – DA15 are only completed if the operator's risk assessment identifies testing as a requirement. Auditors can refer to the Passenger Transport (Drug and Alcohol Testing) Regulation 2010 for more information.

DA9 and DA10 - As per the Drug and Alcohol Handbook for Bus Operators (September 2014), any testing by bus operators needs to be authorised by a test supervisor. Operators are obliged to appoint test supervisors for the purpose of requiring employees to submit to a drug and alcohol test. Test supervisors may be employees or persons contracted for the purposes of testing. Test supervisors are to be both competent and issued with a Certificate of Appointment from the operator prior to exercising the function.

Each test supervisor must hold a certificate/instrument of appointment. Auditors must sight the certificate of appointment.

DA11 – DA15 - If the operator has identified testing as a requirement of their Drug and Alcohol Program, the auditor must be satisfied that an operator has adequate arrangements in place for the testing of the transport safety employees under its control. The operator's testing regime is to be based on a risk assessment and may involve the targeted (eg suspicion based) or random testing of transport safety employees.

The operator is obliged to notify Roads and Maritime in writing of any confirmed positive tests identified within 48 hours of becoming aware.

A confirmed positive test means:

1. In the case of alcohol, a breath analysis conducted by NSW Police which indicates over 0.02 PCA
2. In the case of urine, a confirmatory sample tested by an approved laboratory
3. In the case of a blood test, any analysis confirming the presence of drugs or alcohol.

Auditors should provide details of the testing arrangements and a summary of test results.

Element 6 – Training and education

10.6.1 Does the operator have a staff induction program which includes SMS training? Yes No

Provide details

Operator/driver

10.6.2 Has the operator determined staff training requirements and competency needs?

Provide details

Yes No Operator/driver

10.6.3 Has the operator provided training to all staff and contractors in relevant safety procedures?

Provide details

Yes No Operator/driver

10.6.4 Does the operator maintain all training and qualification records for each employee? Yes No

Provide details

10.6.5 If the operator operates services within Kosciuszko National Park during winter, have drivers completed a snow driver training course? Yes No N/A

Provide details

Element 7 – Incident management and monitoring

10.7.1 Does the operator have in place a system for recording fleet accidents? Yes No

Provide details

10.7.2 Have any buses operated in connection with the service been involved in any notifiable accidents or incidents under clause 88 of the Passenger Transport Regulation 2007 since the last audit? Yes No

If yes, provide details of the accident or incident including vehicle details, date and time of the accident or incident.

10.6.1 – 10.6.4 - Under Element 6 of the SMS Guidelines and SMS Handbook (p. 40) operators are required to have systems to ensure managers and employees are appropriately trained. This includes both induction training for new staff and ongoing training for current staff.

Auditors are required to confirm:

- A staff induction program is in place that includes SMS training (pro forma 6.1). **(10.6.1)**
- The operator has conducted a skills analysis for each employee to determine training and competency needs (pro forma 6.2). **(10.6.2)**
- The operator has provided training and instruction on all safety related activities and policies to all staff including contractors. **(10.6.3)**
- The operator maintains records of training and qualifications for all employees (pro forma 6.3). **(10.6.4)**

Note: The 'Operator/Driver' box is only an option when the audit is of a sole operator who is the only driver.

10.6.5 – Under Clause 43 (1) (c) of the Regulation drivers must satisfactorily complete training courses concerning driving public passenger vehicles in specified places and/or circumstances. This includes driving public passenger services in Kosciuszko National Park during winter.

For operators who operate in Kosciuszko National Park during winter, auditors should sight relevant training records for drivers.

10.7.1 - Under Clause 80 (1) (f) and (g) of the Regulation operators must maintain a register of reports of accidents involving vehicles in the fleet. The accident register system should include the capacity to record the type of incident, its severity and other pertinent details.

10.7.2 – 10.7.3 Auditors are to request operators log into the Bus Incident Management database (BIMS) which can be accessed at <https://appln.transport.nsw.gov.au/portal/home>.

Note: Auditors must make a note on the tool if the operator does not have access or a login to BIMS.

Auditors need to confirm that all notifiable incidents/accidents on the accident register (see 10.7.1) have been correctly reported to Roads and Maritime via BIMS. Under Clause 88 (1) of the Regulation, Roads and Maritime requires notification of accidents or incidents that:

- Resulted in a person being injured, or
- Prevented the bus from continuing its journey, or
- In the reasonable opinion of the operator of the services, otherwise likely to arouse serious public concern.

10.7.3 Have notifiable accidents or incidents been reported via the Bus Incident Management Database (BIMS) as required?

Yes No N/A

Request the operator log into the BIMS and confirm notifiable accidents/incidents in last three years have been reported. Provide details if the operator does not have access or a login to BIMS.

Provide details

10.7.4 Have any buses operated in connection with the service been involved in any accidents or incidents which were required to be reported to the Office of Transport Safety Investigations (OTSI) within the past three years?

Provide details

Yes No

Note: If an operator has been required to report any incidents to OTSI, auditors are to verify that notification has taken place.

10.7.5 Does the operator have a procedure to manage incidents both in and out of normal business hours (eg Standard Operating Procedures (SOPs) contact lists and emergency numbers etc)?

Provide details

Yes No

10.7.6 Does the operator have a procedure to investigate and evaluate accidents/incidents?

Provide details

Yes No

10.7.7 Does the operator have a process to implement recommendations arising from accidents/incidents?

Provide details

Yes No

10.7.8 Does the operator have a procedure to manage how incident data will be captured, recorded and reported on, so management can review the suitability of the existing risk controls within the organisation?

Provide details

Yes No

10.7.4 - Auditors need to confirm that all notifiable incidents/accidents on the accident register (see 10.7.1) have been correctly reported to the Office of Transport Safety Investigations (OTSI).

Under Clause 88 (3) of the Regulation, a key requirement of incident management involves the operator immediately advising OTSI on **1800 677 766** where a bus has been involved in any accident or incident which involves or resulted in any one or more of the following:

- A person being injured
- The driver of the bus being incapacitated
- A mechanical or electrical fire or an explosion on the bus
- A failure of the brakes or steering of the bus
- A bus being in motion while not under effective control of a driver
- A bus being unable to continue its journey
- A person being caught in the doors of the bus and being dragged by the bus
- Is, in the reasonable opinion of the operator of the service, otherwise likely to arouse serious public concern.

Auditors should sight a record of notification such as a 72 hours OTSI report to confirm reports to OTSI were completed.

10.7.5 – 10.7.8 - Under Element 7 of the SMS Guidelines and SMS Handbook (p. 45-46) operators are also required to:

- Notify all relevant staff within the operation that have a particular role, eg operations manager or owner, in the event of an incident and/or emergency situation
- Manage incidents out of normal business hours, eg contact lists, emergency numbers, etc.
- Conduct safety investigations as required by Roads and Maritime and OTSI
- Ensure recommendations from incident investigations will be approved, implemented and monitored
- Record and report on incident data, so management can conduct **monthly reviews** on the suitability of the existing risk controls within the operation.

Auditor should examine the operator's incident management procedures, reports and records to determine that these are in place (eg pro formas 7.1, 7.2 and 7.3).

Element 8 – Audit and evaluation

10.8.1 Has the operator developed a plan to audit their SMS at least annually?

Yes

No

Provide details

10.8.2 Has the operator identified who will conduct the SMS audit?

Yes

No

Provide details

10.8.3 Provide the dates of SMS audits conducted during the last three years.

10.8.4 Did these audits identify deficiencies within the SMS?

Yes

No

Provide details

If yes, can the operator demonstrate how they addressed and rectified the identified deficiencies?

Provide details

Note: The Annual Self Assessment Report (ASAR) does not constitute an audit or evaluation of the SMS.

SECTION 11: Buses

Accreditation details (signage) on buses

11.1 Do all buses have accreditation details displayed appropriately?

Yes

No

Provide details

10.8.1 – 10.8.4 - Under Element 8 of the SMS Guidelines and SMS Handbook (p. 56), operators are required to review and update the SMS to ensure it remains relevant to their current operations.

Auditors must confirm that the operator has:

- Developed an annual internal SMS audit plan **(10.8.1)**
- Nominated a person to conduct the SMS **(10.8.2)**
- Performed an internal SMS audit at least annually by sighting evidence and providing dates of previous audits **(10.8.3)**
- Identified any deficiencies through the audit and has evidence of how the deficiencies were addressed and rectified **(10.8.4)** (Eg pro forma 8.2).
- Proactively identified any areas of bus operations that could benefit from improvement prior to a potential incident occurring. Eg conduct regular risk register reviews, placement of speed restriction signs within depots to deter speeding, etc.

Note: Operators who have an SMS that was developed less than 12 months prior to the audit are not required to demonstrate that an audit has been conducted. However, a plan should have been developed and a person nominated to conduct the audit at the appropriate time.

Note: The ASAR does not constitute an audit or evaluation of the SMS.

SECTION 11: Buses

This section specifically relates to the buses used to provide the service. Auditors will need to physically inspect a sample number of buses available in the depot in order to complete this section and determine compliance. **Buses that do not comply are to be photographed.** Registration details of non-compliant buses should be provided when required.

11.1 - Under Clause 78 of the Regulation, operators must ensure that each bus used in the service displays the accreditation name, the accreditation number and depot location (suburb/town). The details are to be displayed on the front left side or right side panel in block letters at least 50mm high, as far forward as possible and be clearly readable from a distance of five metres.

Seating/standing capacity signage

11.2 Do buses display maximum seating/standing capacity signs on the rear of the vehicle? Yes No

Provide details

Runaway bus signage

11.3 Do all buses have appropriate notification labels affixed correctly as per the runaway bus procedures?

Provide details Yes No

Information in buses (all operators)

11.4 Is the following information displayed in all buses:

- | | | |
|---|------------------------------|-----------------------------|
| (a) A summary of the rights and obligations of passengers | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (b) Brief details, including phone numbers, as to how complaints and enquiries relating to the operator's bus service can be made | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

Provide details

Equipment on buses

11.5 Are all buses fitted with a device suitable for holding the Roads and Maritime Driver Authority (DA) card in such a manner as to enable to display the card and allow passengers to see it? Yes No

Provide details

Seat belts on buses

11.6 Has the operator taken reasonable steps to ensure that passengers on buses fitted with seat belts are aware of their obligation to wear the seat belts? Yes No N/A

Provide details

11.2 - Buses are restricted as to the number of passengers which can be carried. Under Clause 95 of the Regulation, operators must ensure that the number of passengers authorised to be carried on the bus, seated and standing respectively, is displayed on outside rear of the bus in letters at least 25mm high.

11.3 - The procedure requires that buses have appropriate warning transfers affixed to warn drivers of the danger as per the Runaway Bus Procedure outlined in the Bus Operator Accreditation Manual. The sticker must be affixed on the lower half of the driver's side window on all buses.

11.4 - Under Clause 85 of the Regulation, operators must ensure that a summary of rights and obligations of passengers and brief details, including a telephone number, as to how to make a complaint are displayed, in an easily read position, inside each bus.

11.5 - Under Clause 79 of the Regulation, operators must ensure that each bus is fitted with a device suitable for holding the driver authority card.

11.6 - Under Clause 89 of the Regulation, operators must take reasonable steps to ensure that every passenger on a bus is made aware that the passenger is required to wear a seatbelt, if fitted. This can be done by the installation of signs or other effective verbal or visual communication to passengers.

Destination signage on Regular Passenger Service bus services

N/A

11.7 Do the buses operated on regular passenger services have in place and display, on the front of the bus a destination sign, which is capable of being illuminated, which indicates for each separate destination, the route number and destination?

Provide details

Yes

No

Security camera and duress alarm systems on Regular Passenger Service bus services

N/A

11.8 Does the operator, if carrying on a regular passenger service/s partly or wholly within the Metropolitan, Newcastle or Wollongong transport districts or within the City of Gosford or the Wyong local government area, have fitted to all buses used for those purposes, a functional security camera and duress alarm system?

Provide details

Yes

No

Condition/cleanliness of buses

11.9 Are the interior, exterior and fittings of the buses kept clean and undamaged and, in the case of fittings, duly fitted, securely in place, in good condition and fully operational?

Provide details

Yes

No

SECTION 12: Records management

12.1 Have records been maintained in English and held for at least five years? Please note if operator has been accredited for less than five years. If **any** records were missing throughout the audit, the answer to this question is "no".

Provide details

Yes

No

End of Audit – Proceed to Section 13 – Audit findings

11.7 - Under Clause 87 of the Regulation, operators of a regular passenger service are required to display on the front of the bus a destination sign. This sign must show the route number and destination of the bus, and be capable of being illuminated.

This is not applicable for Long Distance, Tourist and Charter operated buses or buses principally used to provide transport to school students under a Transport for NSW contract.

11.8 - Under Clause 82 of the Regulation, operators who carry on regular passenger services partly or wholly within the Metropolitan, Newcastle or Wollongong transport districts or within the City of Gosford or the Wyong local government area must ensure that all buses are fitted with a functional security camera system and functional duress alarm system.

Auditors are to check that:

- The cameras and any recording devices are present
- Appropriate signage is present to advise passengers that they may be recorded.

11.9 - Under Clause 86 of the Regulation, operators must not allow a bus to be used to provide the service unless the bus is clean and tidy. Under Clause 17 of the Regulation, operators must ensure that the interior, exterior and fittings of the vehicles are clean and undamaged and, in the case of fittings, duly fitted, securely in place, in good condition and fully operational.

Auditors are to visually inspect the condition and cleanliness of the sample vehicles. This may include (but is not limited to) the vehicle body and door panels, the wheels and bumper bars, the trim, the seats, seat covers and floor covers, the interior lights, and any other device that or equipment that is fitted to the vehicle.

Any detected issues should be photographed and submitted to Roads and Maritime with the completed audit report.

SECTION 12: Records Management

12.1 - The operator must maintain records in English for at least five years.

Records can be kept in another language other than English if the record is also kept in English. Records are required to be retained for five years.

Note: Failure to maintain a copy of the operator's records in English is deemed to be a critical deficiency.

SECTION 13: Audit Findings

Auditors are required to conduct a closing meeting with the operator and complete the following:

- Details of operator, auditor, date and location
- The audit start and finish times ie length of face to face audit
- A list of identified deficiencies in the respective section. Auditors should put the relevant question numbers in the boxes provided
- The notes and comments section should be used to provide additional information explaining the identified deficiencies.

Both the auditor and operator are required to sign and date the declaration.

Audits must be submitted to Roads and Maritime at boas@rms.nsw.gov.au within 5 days of completing the audit.

SECTION 13: Audit findings – Closing meeting

Name of Accredited operator

Accreditation number

Name of auditor

Auditor reference number

Audit date

Audit location

Audit start time

Audit finish time

Section	Description	Identified deficiencies / comments
3-6	Details	<input type="text"/>
7	Management Information System	<input type="text"/>
8	Vehicle maintenance and HVIS	<input type="text"/>
9	Bus operator management and records	<input type="text"/>
10	Safety Management System (SMS)	<input type="text"/>
	Element 1	<input type="text"/>
	Element 2	<input type="text"/>
	Element 3	<input type="text"/>
	Element 4	<input type="text"/>
	Element 5	<input type="text"/>
	Drug and alcohol	<input type="text"/>
	Element 6	<input type="text"/>
	Element 7	<input type="text"/>
	Element 8	<input type="text"/>
11	Buses	<input type="text"/>
12	Records management	<input type="text"/>

(Additional notes can be taken on page 21)

AUDITOR'S DECLARATION – I declare as an auditor I have not acted as a consultant to the above bus operator either previously, during or after an audit as stated at 4.2 of the Code of Conduct for Bus Operator Accreditation Scheme Auditors.

Name of auditor

Signature

Date

Name of operator

Signature

Date

Notes and comments

Signature

Date

rms.nsw.gov.au/buses

boas@rms.nsw.gov.au

Customer feedback
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RMS 17.097

