

BOAS

Auditor's

Handbook

GUIDANCE FOR
ACCREDITED BUS
AUDITORS



MINISTRY OF TRANSPORT

Preface

The BOAS Auditor's Handbook is intended as a companion document for those who conduct Bus Operator Accreditation Scheme (BOAS) audits and is to be read in conjunction with the Ministry of Transport's BOAS Manual, Safety Management System (SMS) Handbook, and Drug and Alcohol Guidelines.

The abovementioned publications can be found on the Ministry of Transport's website www.transport.nsw.gov.au.

The purpose of the Handbook is to provide guidance to auditors in order to achieve consistency and clarity of the audit process.

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Definitions – The following definitions are used throughout this manual.

Term	Definition
Accreditation	Is the process by which the Ministry of Transport determines whether a person or persons can be accredited to provide a public passenger service. All operators of a <u>Public Passenger Service</u> in NSW must be accredited.
Annual Self Assessment	An Annual Self Assessment is an audit, conducted by the operator; of their own accreditation system using the Ministry's Audit Tool and Annual Self Assessment Form to determine compliance. Self assessments are to be conducted on an annual basis.
Audit	An audit is a review of an accredited operator's compliance with the legislative requirements of the Ministry of Transport's Bus Operator Accreditation System (BOAS). Annual audits should be undertaken of the operator's Safety Management System.
Authorised Officer	An Authorised Officer is a person with the legal authority to require a Transport Safety Worker to undergo drug and/or alcohol testing. Authorised Officers can only be appointed by the office of the Independent Transport Safety and Reliability Regulator (ITSRR).
Bus	A motor vehicle which seats more than 8 adult persons, and includes a vehicle of any class prescribed by the regulations for the purpose of this definition. For the purpose of the SMS bus and coach have the same meaning. Stretch Limousines which seat more than 9 adult persons and comply with ADR 58 are classified as a bus.
Coach	For the purposes of the SMS, the term Coach has the same meaning as a bus.
Contractor	Someone working for the bus operator and carrying out Transport Safety Work as defined in the Act.
Critical Deficiency	<p>For the purpose of 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 restricted to instances where an operator:</p> <ul style="list-style-type: none"> • is, or has been operating buses without a minimum \$5 million 3rd Party Property Insurance per bus; or • is not able to provide an Insurance Certificate of Currency, or equivalent (which covers all buses operated), that is not more than 7 days old at the time of audit; • is, or has been operating unregistered buses; • has no Vehicle Maintenance Management System in place or a system which does not meet the manufacturers minimum recommended specifications; • is not able to provide evidence that the buses operated have undergone mandatory RTA biannual Heavy Vehicle Inspections (HVIS); • is, or has allowed work to be performed on safety critical components (see definition below) by other than holders of a licence issued by the Motor Vehicle Repair Industry Authority (MVRIA); • is requiring, or has allowed drivers to breach the RTA prescribed driving hours; • fails to maintain records in English; • has no SMS or Drug and Alcohol Program in place

	<ul style="list-style-type: none"> • Note: Auditors are to contact the MoT at the completion of the audit, in the event of a Critical Deficiency being detected. A follow-up facsimile outlining the deficiency is to be provided ASAP after the telephone advice.
Deficiency	An element of the audit is inadequate or missing from the requirements of the Passenger Transport Act 1990 or the Passenger Transport (Bus Services) Regulation 2000, which is not a critical deficiency.
Incident	<p>For the purposes of the SMS an incident is defined where an operator is required to report such occurrences under the conditions of the bus operator accreditation as follows:</p> <ul style="list-style-type: none"> • Injury incurred to any person or persons; • The event is serious enough to prevent the vehicle from continuing the journey; and • The event is likely to arouse public concern
Large Business (Large Bus Operator)	For this purpose a large business refers to a bus operator with at least 20 employees (or full time equivalent workers).
Public Passenger Service	<p>A <u>public passenger service</u> means the carriage of public passengers for a fare or other consideration by bus along a road or road related area</p> <p>There are different types of <u>Public Passenger Services</u> including:</p> <ul style="list-style-type: none"> • Regular Passenger Services; • Long Distance Services; • Tourist Services; and • Charter Services. <p><u>Public passenger bus services</u> in NSW are regulated under the <i>Act</i> and Regulations.</p>
RABQSA	The Registrar Accreditation Board and the Quality Society of Australasia International (RABQSA), are 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 RABQSA.
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 operation.
Safety Critical Components	<p>For the purposes of the BOAS Safety Critical Components refers to any work performed on:</p> <ul style="list-style-type: none"> • Brakes; • Steering; or • Suspension.
Safety Management System (SMS)	A Safety Management System 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 Safety Management System.
Small Business (Small Bus Operator)	For this purpose a small business refers to a bus operator with less than 20 employees .
Top Management	Includes but not limited to directors, owner/s and or senior manager/s in positions where both business decisions are made and budget/finance is approved.

<p>Transport Safety Employee</p>	<p>Means:</p> <ul style="list-style-type: none"> (a) an employee or a contractor of an accredited service operator who performs transport safety work, or (b) a person who, without remuneration or reward, voluntarily and without obligation performs transport safety work for an accredited service operator, or (c) an individual who is an accredited service operator and who performs transport safety work.
<p>Transport Safety Work</p>	<p>Means:</p> <ul style="list-style-type: none"> (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 relating to the repair, maintenance or upgrading 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, (d) any other work that is prescribed by the regulations as bus safety work.

Audit Tool Section	Requirement
<p>Section 5: Current Details</p>	<p>Provides for confirmation of Operator's current details including whether there have been any change in the Designated Manager/Director since the last assessment.</p> <p>Note: In accordance with Clause 18 of the PTR the operator is to advise the Ministry of Transport within seven (7) days where there is a change of:</p> <ul style="list-style-type: none"> • Address of premises from which the bus service is carried on; • Address of premises at which the buses are kept. <p><i>Tip: Check the operator's current details against those contained on the most recent Annual Self Assessment Report.</i></p>
<p>Section 6: General Details</p>	<p>This requires the auditor to obtain general information concerning the bus operation including confirming that the person identified as operating the service (accredited operator, Designated Manager or Director) is <u>actually</u> managing the day to day bus operation. In accordance with Clause 25 of the PTR, an operator must not allow a person who is not a Designated Manager/Director (in the case of a corporation) or another accredited operator, to operate supervise, manage or administer the relevant service.</p>
<p>Section 7: Management Information System</p>	<p>This section refers to the administrative systems and processes that an operator must have in place to manage their fleet including the need to maintain records and registers. Auditors are to confirm that operators have a documented Management Information System (MIS) in place to manage the business which include the following:</p> <ul style="list-style-type: none"> • Q1 to 4 – A Third Party Property Damage Insurance Policy providing cover of at least \$5 million for each bus used in the service. (Clause 22 and 80 (1) (b) of PTR) The operator is required to provide evidence that all insurance is current. Operators must provide an Insurance Certificate of Currency or confirmation of insurance issued not more than seven (7) days prior to the date of audit to confirm the policy details. Photocopies of insurance policies are to be obtained. Policies which confirm coverage of <u>at least</u> \$5 million 3rd Party Property Damage Insurance cover for any one incident (or event) caused by any vehicle noted on the insurance policy schedule are generally considered acceptable. <p><i>Tip: Check to ensure:</i></p> <ol style="list-style-type: none"> 1. that all vehicles listed on the fleet register are listed on the insurance schedule; 2. there are no gaps in the insurance currency which would suggest that buses have been, or are being operated whilst uninsured; and 3. that the insurance policy includes the vehicle's registration details to which the policy refers, or adequate details to confirm that all vehicles are insured. For example some operators have 'blanket' cover which covers all vehicles owned or registered in the operator's name. <p>Note: Irregularities in insurance are deemed to be a Critical Deficiency.</p> <ul style="list-style-type: none"> • Q5 – a Fleet Register which details each vehicle's Vehicle Identification Number (VIN), registration details (including expiry details) and Fleet Number (if appropriate) (Clause 80 (1) (a) of PTR) – <i>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 <u>at least</u> 2 vehicles over a 5 year period. (2 vehicles is a minimum, however, further sampling may be required, depending upon the size of the operators fleet).</i> <p>Auditors are to determine whether:</p> <ul style="list-style-type: none"> • Q6 – the operator is operating any buses not included on the fleet register; and • Q7 – 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; and • Q8 – the operator maintains a Complaints Register to record complaints and actions taken (Clause 80 (1) (h) of PTR).

