**Bus Operator Accreditation Scheme**

**Audit Tool**

**To be completed by authorised auditors for accredited bus operators**

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# SECTION 1: Audit details

**Date of Audit Time of Audit Audit Type Audit Location**

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# SECTION 2: Auditor details

**Name of auditor Auditor’s Reference Number Phone number**

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**Email address**

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# SECTION 3: Operator details

**Name on accreditation certificate Accreditation number Phone number**

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**Email address Mobile number Fax number**

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**Office address Postcode**

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**Depot address (if different to above) Postcode**

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**Postal address (if different to above) Postcode**

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**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**

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

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**Name of nominated person** N/A [ ]

# 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**

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**4.1** Is the person:

1. The accredited operator Yes [ ]  No [ ]
2. The designated manager Yes [ ]  No [ ]
3. The designated director Yes [ ]  No [ ]
4. Nominated person? Yes [ ] \* No [ ]

\* 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 [ ]

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# 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 [ ]

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# 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 [ ]

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**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 [ ]

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**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

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**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 [ ]

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

Provide details Yes [ ]  No [ ]

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**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

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**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 [ ]

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

Provide details Yes [ ]  No [ ]

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# 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

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

Provide details

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**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 [ ]

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**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).

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**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 [ ]

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**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 [ ]

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**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 [ ]

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**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

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**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 [ ]

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**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 [ ]

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**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 [ ]

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# 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 [ ]  No [ ]

(b) Residential address Yes [ ]  No [ ]

(c) Driver licence number and expiry date Yes [ ]  No [ ]

(d) Driver authority number and expiry date Yes [ ]  No [ ]

Provide details

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**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.**

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**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 [ ]  No [ ]

(b) Date and time the passenger is due to board the bus Yes [ ]  No [ ]

(c) The seat number (if allocated) Yes [ ]  No [ ]

(d) The passenger’s contact details, such as phone number and address. Yes [ ]  No [ ]

Provide details

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***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 [ ]  No [ ]

(b) Date and time of the charter Yes [ ]  No [ ]

Provide details

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**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 [ ]

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***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 detailsYes [ ]  No [ ]

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**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 [ ]

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# 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.

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**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 [ ]

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

Provide details Yes [ ]  No [ ]

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**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**

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**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 [ ]  No [ ]

(b) Provide details regarding the severity of the hazards (if they occur) Yes [ ]  No [ ]

(c) Provide an indication relating to the likelihood of hazards occurring Yes [ ]  No [ ]

(d) Provide a risk rating (risk score) for each of the identified hazards and controls Yes [ ]  No [ ]

(e) Describe how the risks will be managed Yes [ ]  No [ ]

(f) Detail the employee/s responsible for the management of the identified risks Yes [ ]  No [ ]

If no to any of the above, provide details

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**10.3.2** Has the register been reviewed and updated as required? Yes [ ]  No [ ]

Provide details

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**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 [ ]

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**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 [ ]

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**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 [ ]

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**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 [ ]

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**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 [ ]

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**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? Yes [ ]  No [ ]

Provide details

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**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? Yes [ ]  No [ ]

Provide details

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**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.**

**10.5.5** 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 [ ]

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**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 [ ]

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**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 [ ]

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

Provide details Yes [ ]  No [ ]  N/A [ ]

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

Provide details Yes [ ]  No [ ]  N/A [ ]

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**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 [ ]

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**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 [ ]

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**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

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**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

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**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.**

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

Provide details

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**DA4** Is the policy accessible at the operator’s business? Yes [ ]  No [ ]

Provide details

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**DA5** Is the operator’s program based on their risk assessment?

Provide details Yes [ ]  No [ ]

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**DA6** Did the operator consult with employees throughout the program’s development and implementation?

Provide details of the consultation method Yes [ ]  No [ ]  N/A [ ]

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**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 [ ]  No [ ]

(b) Education and awareness of transport safety employees of the health and safety
effects, and the legal consequences of drug and alcohol misuse Yes [ ]  No [ ]

(c) The provision of assistance and support for transport safety employees who have
a drug and alcohol problem Yes [ ]  No [ ]

(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 [ ]  No [ ]

Provide details

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**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

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**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 [ ]

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

Provide details Yes [ ]  No [ ]  Operator/driver [ ]

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

Provide detailsYes [ ]  No [ ]  Operator/driver [ ]

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

Provide details

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**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

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**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

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**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.

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**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

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**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 [ ]

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**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 [ ]

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

Provide details Yes [ ]  No [ ]

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

Provide details Yes [ ]  No [ ]

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**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 [ ]

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**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

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**10.8.2** Has the operator identified who will conduct the SMS audit? Yes [ ]  No [ ]

Provide details

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

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**10.8.4** Did these audits identify deficiencies within the SMS? Yes [ ]  No [ ]

Provide details

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

Provide details

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**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

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**Seating/standing capacity signage**

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

Provide details

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**Runaway bus signage**

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

Provide details Yes [ ]  No [ ]

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**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 [ ]  No [ ]

(b) Brief details, including phone numbers, as to how complaints and enquiries
relating to the operator’s bus service can be made Yes [ ]  No [ ]

Provide details

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**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

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**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

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**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 [ ]

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**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 [ ]

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**Condition/cleanness 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 [ ]

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# 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 [ ]

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**End of Audit – Proceed to Section 13 – Audit findings**

# SECTION 13: Audit findings – Closing meeting

**Name of Accredited operator Accreditation number**

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| --- | --- | --- |
|  |  |       |

**Name of auditor Auditor reference number**

|  |  |  |
| --- | --- | --- |
|       |  |       |

**Audit date Audit location Audit start time Audit finish time**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
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**Section Description Identified deficiencies / comments**

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| --- | --- | --- | --- | --- |
| **3-6** |  | **Details** |  |       |
|  |  |  |  |  |
| **7** |  | **Management Information System** |  |       |
|  |  |  |  |  |
| **8** |  | **Vehicle maintenance and HVIS** |  |       |
|  |  |  |  |  |
| **9** |  | **Bus operator management and records** |  |       |
|  |  |  |  |  |
| **10** |  | **Safety Management System (SMS)** |  |       |
|  |  |  |  |  |
|  |  | **Element 1** |  |       |
|  |  |  |  |  |
|  |  | **Element 2** |  |       |
|  |  |  |  |  |
|  |  | **Element 3** |  |       |
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|  |  | **Element 4** |  |       |
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|  |  | **Element 5** |  |       |
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|  |  | **Drug and alcohol** |  |       |
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|  |  | **Element 6** |  |       |
|  |  |  |  |  |
|  |  | **Element 7** |  |       |
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|  |  | **Element 8** |  |       |
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| **11** |  | **Buses** |  |       |
|  |  |  |  |  |
| **12** |  | **Records management** |  |       |

**(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**

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**Name of operator Signature Date**

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| --- | --- | --- | --- | --- |
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**Notes and comments**

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**Signature Date**

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[Buses - Business & Industry - Roads and Waterways – Transport for NSW](https://roads-waterways.transport.nsw.gov.au/business-industry/buses/index.html)

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Customer feedback
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