

DVRS Audit Guidelines continued

	Yes	No	N/A
Scope of Dealer's authority			
4(e) Has the participant registered vehicles, under DVRS, other than those listed in Item 5 of the Agreement Details? (<i>sight records maintained under 8.1 of the Agreement</i>)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Performance of Services			
5(a)(1) and 5(a)(4)			
<ul style="list-style-type: none"> Have all pages of the Transport for NSW Application forms been completed? (<i>sight samples of Registration forms ready to be submitted to controlling Service Centre. e.g. Transport for NSW Application for Registration form</i>) 	<input type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> Has the customer's POI been checked in accordance with of the Motor Dealers Guide to Vehicle Registration? 	<input type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> Do the details on the Transport for NSW Application form match the POI presented. (<i>sight samples of the Application for Registration forms ready to be submitted to controlling Service Centre</i>) 	<input type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> If required, has proof of eligibility for a concession been attached to the application form? (<i>e.g. Pension Card</i>) 	<input type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> Is a valid green slip attached to the application form (<i>a green slip is not required for trailers</i>)? 	<input type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> Has the customer signed the Transport for NSW Application form? (<i>e.g. see question 12 on the Application for Registration form</i>) 	<input type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> Has the organisation completed the Transport for NSW office use section on the Transport for NSW Application forms. (<i>e.g. sight samples of the Application for Registration forms ready to be submitted to controlling Service Centre</i>) 	<input type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> Has the date the plates were issued, been recorded on the Application for Registration form? (<i>see plate issue section on the Application for Registration form</i>) 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> Does this match the details recorded on the Plate Schedule? (<i>sight Plate Schedule form 1092</i>) 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5(a)(3) Has the organisation submitted applications to Transport for NSW in accordance with the requirements of Item 8 of the Agreement Details? (<i>sight Plate Schedule for date plates attached to vehicle and date on Transport for NSW invoice for compliance</i>)	<input type="checkbox"/>	<input type="checkbox"/>	
5(a)(5) Has the Participant performed the Services in accordance with the Business Rules, that is:			
<ul style="list-style-type: none"> Has the participant used the correct Road Vehicle Descriptor (RVD) sheet for the vehicle being registered? If there is no RVD sheet, has a weighbridge ticket and a blue slip from an AUVIS been provided? 	<input type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> If the vehicle is a heavy vehicle, have both a heavy vehicle pink slip and a brown slip been provided, are the heavy vehicle examiner's number and inspection report number recorded on the Application for Registration form? (<i>see inspection report details and AIS number on the Application for Registration form ready to be submitted to controlling Service Centre</i>) 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> Are the engine number, Vehicle Identification Number (VIN) and compliance plate date checked on the vehicle? (<i>sight certifying officer completing vehicle identification section of the Application for Registration form or pre-delivery checklist</i>) 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> Have the vehicle checks listed in the manufacturer's Pre-Delivery Checklist been 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> Have interstate number plates been fitted to any vehicle? 	<input type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> If yes, has evidence of the Transport for NSW approval been provided? (<i>sight evidence e.g. email, letter</i>) 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

DVRS Audit Guidelines continued

	Yes	No	N/A
5(b) Has any part of the Services been subcontracted?	<input type="checkbox"/>	<input type="checkbox"/>	
If yes, does the participant have written approval from Transport for NSW? (<i>Transport for NSW approval letter must be sighted</i>)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5(c) Does the participant regularly review the Transport for NSW website for updates?	<input type="checkbox"/>	<input type="checkbox"/>	
If yes, instruct an authorised user to download the latest copy of the DVRS Business Rules.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Notification of changes and breaches			
6(a) and 6(e)			
Have there been any changes to the ownership or control of the participant since the date of the Agreement?	<input type="checkbox"/>	<input type="checkbox"/>	
If yes, has the participant notified Transport for NSW? (<i>sight evidence e.g. email, letter</i>)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6(b) Has the participant notified Transport for NSW in writing of any changes or failures to comply with the conditions of the Agreement?	<input type="checkbox"/>	<input type="checkbox"/>	
If yes, sight evidence (<i>e.g. email, letter</i>)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6(c) Is the information in Schedule 1 still accurate?	<input type="checkbox"/>	<input type="checkbox"/>	
6(d) Is the Participant aware of any suspected, alleged or actual corrupt or fraudulent conduct by the Participant, or a Director, Partner, Employee or customer?	<input type="checkbox"/>	<input type="checkbox"/>	
If yes, has Transport for NSW been notified? (<i>sight evidence, e.g. email, letter</i>)	<input type="checkbox"/>	<input type="checkbox"/>	
6(f) Does the Participant still meet the eligibility criteria set out in the Business Rules?	<input type="checkbox"/>	<input type="checkbox"/>	
6(g) and 9.4(h)(2)			
Has the Participant promptly notified the names of all Authorised Users, Security Administrators and Users who no longer work for the participant?	<input type="checkbox"/>	<input type="checkbox"/>	
If yes, sight evidence (<i>e.g. Transport for NSW form, email, letter</i>)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Financial accounting			
7.1(b)(3) Does the Participant separately account for Fees received for Transport for NSW? (<i>sight financial records held by the Participant</i>)	<input type="checkbox"/>	<input type="checkbox"/>	
7.2 Does the Participant issue a stamped Tax Invoice in accordance with GST Law to any person from whom payment is accepted on behalf of Transport for NSW? (<i>sight tax invoice</i>)	<input type="checkbox"/>	<input type="checkbox"/>	
Control management			
8.1(a) Has the Participant created and maintained full and accurate records of the Services performed, including vehicle registration details; customer details; inspection details; number plates issued? (<i>sight vehicle registration records maintained by Participant</i>)	<input type="checkbox"/>	<input type="checkbox"/>	
8.4(d) Has the participant completed all forms and other documents with at least 95% accuracy rates at all times and 100% accuracy in terms of customer identification? (<i>sight correction forms for compliance</i>)	<input type="checkbox"/>	<input type="checkbox"/>	
Dealer Online Access (if applicable)			
9.5(b)(1) Do Users and Security Administrators keep their passwords secure and separate from user IDs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.5(b)(2) Are passwords used by any person other than the User to which it was assigned?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.5(b)(3) Does each user log out of the DOL system when vacating a terminal to ensure no other person can process a transaction under that user ID?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

DVRS Audit Guidelines continued

	Yes	No	N/A
Engagement and management of Authorised users			
10(a) and 10(e)			
Are all staff performing DVRS services appropriately qualified and experienced and authorised by Transport for NSW?	<input type="checkbox"/>	<input type="checkbox"/>	
10(e)(3)(A) and 9.4(j)(1)			
Do all Authorised users, Security Administrators and Users have a copy of the Statement of Business Ethics? (<i>sight evidence at their work station</i>)	<input type="checkbox"/>	<input type="checkbox"/>	
10(g)(2)			
Instruct the participant to provide a list of all Authorised users, showing the full name, address and signature of each individual?	<input type="checkbox"/>	<input type="checkbox"/>	

Conflict of interest

12	Is there any evidence that Authorised users perform Services for vehicles they own?	<input type="checkbox"/>	<input type="checkbox"/>	
-----------	---	--------------------------	--------------------------	--

Number plates, labels and Transport for NSW Materials

14(b)	Are number plates and registration labels stored in an area which is locked and accessible only by Authorised users? (<i>sight area and key access</i>)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14(e)	Has the participant lost any number plates or registration labels?	<input type="checkbox"/>	<input type="checkbox"/>	
	If yes, has Transport for NSW been notified? (<i>sight evidence, eg email, letter</i>)	<input type="checkbox"/>	<input type="checkbox"/>	

Insurance

16(a)	Does the Participant have all insurances as required in Schedule 2 of the DVRS Agreement? (<i>sight evidence of current insurance policies</i>)	<input type="checkbox"/>	<input type="checkbox"/>	
16(c)	Has the Participant cancelled any of the insurance policies required in schedule 2 or varied the sum insured or coverage of such insurance policies?	<input type="checkbox"/>	<input type="checkbox"/>	
	If yes, has Transport for NSW been notified? (<i>sight evidence, eg email, letter</i>)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Confidentiality requirements

19.1	Has the Participant at any time without the prior consent of Transport for NSW, advertised, published or released to the public any Confidential Information or made a statement or representation in connection with the Confidential Information or the Agreement?	<input type="checkbox"/>	<input type="checkbox"/>	
-------------	--	--------------------------	--------------------------	--

Privacy obligations

20(g)(1)	Is the Participant aware of a breach or possible breach of any of the obligations contained in or referred to in clause 21 of the Agreement?	<input type="checkbox"/>	<input type="checkbox"/>	
20(g)(2)	Has the Participant received a complaint relating to privacy?	<input type="checkbox"/>	<input type="checkbox"/>	
	If the answer is yes to 20(g) (1) or 20(g)(2) has Transport for NSW been notified? (<i>sight evidence, eg email, letter</i>)	<input type="checkbox"/>	<input type="checkbox"/>	

Auditor name: (<i>print</i>)	
Company name: (<i>print</i>)	
Signature:	Date: