



Safety Management System (SMS) Handbook

A Guide for Bus and Coach Operators

May 2017

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

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Transport (General) Regulation 2017 will replace the Passenger Transport Regulation 2007, which will be automatically repealed.

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

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Definitions

Term	Definition
Audit	An audit is a review of compliance to the legislative requirements.
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 under the Passenger Transport Act.
Contractor	Someone working for the bus operation and carrying out Transport Safety Work as defined in the Act.
Incident	An instance of something happening; an event or occurrence.
OTSI	Office of Transport Safety Investigations
PAL	<p>The Police Assistance Line (PAL) is a 24 hour call centre available to police and the community for the reporting of non-urgent crime and incidents. PAL operates statewide throughout NSW all day, every day, all year.</p> <p>PAL can be contacted on 131444 for the cost of a local call from anywhere in NSW.</p>
Public Passenger Service	<p>A <i>public passenger service</i> 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 ▪ Charter Services <p><u>Public passenger bus services</u> in NSW are regulated under the <i>Passenger Transport Act 1990</i> and <i>Passenger Transport Regulation 2007</i>.</p>
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.
Roads and Maritime Services	Roads and Maritime
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 bus operations.
Safety Policy	A Safety Policy sets out what an organisation aims to achieve through a Safety Management System.

Senior 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. This includes “Designated Managers” nominated by bus operators which are corporations.
TfNSW	Transport for NSW
Transport Safety Employee	<p>Means:</p> <ul style="list-style-type: none"> a) an employee or a contractor of an accredited service operator, or of an operator of a public passenger service carried on by means of a ferry, 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, or an operator of a public passenger service carried on by means of a ferry c) an individual who is an accredited service operator, or an operator of a public passenger service carried on by means of a ferry, and who performs transport safety work.
Transport Safety Work	<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.

Introduction

Purpose of this Guide

All bus and coach operators in NSW need to have in place a Safety Management System (SMS) as a condition of their accreditation. This Guide is designed to assist accredited bus and coach operators, particularly smaller operators, to develop and implement a SMS that meets these accreditation conditions.

Bus operators, as employers and providers of public passenger services, also have safety obligations under the NSW Work Health and Safety Act, 2011. These obligations are complementary to the requirements of an SMS, and therefore this guide has sought to build upon this critical relationship.

What is a Safety Management System?

A Safety Management System (SMS) is an integrated set of work practices and procedures for monitoring and improving the safety of your bus operation. It is designed to assist operators to identify risks and to develop procedures to manage those risks. It also encourages operators to take responsibility for the safety of their operation and to ensure that all staff are aware of their safety responsibilities.

What is a Safety Culture?

It is important to note that an organisation's SMS cannot only consist of a set of policies and procedures on a bookshelf. A good safety culture incorporates the way in which safety is effectively managed in the workplace, and often reflects the attitudes, beliefs, perceptions and values that employees share in relation to safety. Every organisation has a safety culture, whether good, bad or indifferent. To ensure an SMS is effective, an operator has to undertake a safety culture journey towards ensuring that all employees actively implement safety as part of their everyday work.

The safety culture of an organisation acts as a guide for how employees will behave in the workplace. Employee behavior will be influenced or determined by safety guidelines contained in the SMS and the organisation's safety culture is ultimately reflected in the way in which safety is managed in the workplace.

Every bus organisation has a safety culture which can be reviewed and improved upon to reduce incidents and accidents in the workplace. The operator should focus on initiating change through analysis, consultation with staff and implementation. Improving a safety culture is essential for bus organisations and the detection of positive aspects of the current culture within the organisation will serve to enhance the prospects of safety improvement.

What does an SMS look like?

Roads and Maritime Services has issued guidelines on the scope of the SMS expected from bus and coach operators. The guidelines cover the following eight key elements:

1. Policy and Commitment
2. Safety Responsibilities
3. Risk Management
4. Procedures and documentation
5. Employee Monitoring (including fatigue and drug and alcohol)
6. Training
7. Incident Management and Monitoring
8. Audit and evaluation.

The level of detail in an SMS will generally depend upon the size of the operation. An SMS could be a list of procedures (grouped under each of the above headings) in a folder or on a computer. Where an organisation is a larger operator, it could be a computer generated system similar to a Quality Assurance Manual.

How to use this Manual

This Manual explains what is expected of operators from a Safety Management System. In particular, it:

- Describes Roads and Maritime's requirements for each SMS element
- Provides guidance on how the operator can implement these requirements in their business
- Provides samples or pro-formas for the element that the operator may choose to adapt for their own use.

This Manual provides sample documentation to assist operators to understand SMS Guidelines. Operators should be aware that these documents are samples only and, if used, need to be amended to suit the operator's particular circumstances and operations.

Compliance Checklist

Table 1 provides a summary of SMS requirements and the samples included in this manual to assist in meeting these requirements.

SMS Element	Requirement	Sample documentation
Element 1: Policy, Commitment and Objectives	Safety Policy	Pro-forma 1.1
Element 2: Management Responsibilities and Communication	Job Description – Manager Job Description – Driver Job Description – Workshop Mechanic Communication Record	Pro-forma 2.1 Pro-forma 2.2 Pro-forma 2.3 Pro-forma 2.4
Element 3: Risk Management	Risk Register Risk Matrix	Pro-forma 3.1 Pro-forma 3.2
Element 4: Procedures and Documentation	Procedure – Security Management	Pro-forma 4.1
Element 5: Employee Monitoring	Health Monitoring Program Triggered Health Assessment Procedure Fatigue Management Program Drug and Alcohol Program	Guidelines 5.1 Pro-forma 5.2 Pro-forma 5.3 Guidelines 5.4
Element 6: Training and Education	Staff Induction Checklist Training Skills Analysis Training Register	Pro-forma 6.1 Pro-forma 6.2 Pro-forma 6.3
Element 7: Incident Management and Monitoring	Critical Incident Management Procedure Incident Reporting and Investigation Procedure Critical Incident Report Form	Pro-forma 7.1 Pro-forma 7.2 Pro-forma 7.3
Element 8: Audit and Evaluation	Audit Report Improvement Plan	Pro-forma 8.1 Pro-forma 8.2

Table 1: SMS Compliance Checklist

Element 1: Policy, Commitment and Objectives

What is required?

All bus and coach operators are required to have an SMS policy which summarises their approach to safety. This policy should describe:

- What an organisation is aiming to achieve from an SMS
- How the organisation will achieve this objective and
- The responsibilities of people in an organisation, particularly management, in relation to safety.

The Safety Policy does not need to be overly detailed (one page is usually sufficient). Rather, it is a simple statement of commitment by the operator to the safety of its employees and members of the public who use its service.

How to implement this requirement

1. A policy needs to be developed (you may use *Pro-forma 1.1* as a sample). Ideally discuss the content of the policy with management and staff (perhaps at a staff meeting) to ensure the Policy is written in language that everyone can understand.
2. Once developed, the Policy needs to be signed off by senior management (preferably the Proprietor/Managing Director) and placed in a prominent area of the workplace so that staff and members of the public can view it.
3. Organisations also need to incorporate the Policy into employee handbooks, induction and training materials so that management and staff are aware of and understand the Policy.

Tools

- Sample Safety Policy (*Pro-forma 1.1*).

Pro-forma 1.1 Sample Safety Policy

Commitment

The organisation views safety as a top priority. The health and well-being of staff and members of the public are paramount.

Safety Objectives

The organisation aims to achieve this goal via:

- Active involvement and commitment by managers
- Consultation and communication with employees on safety issues
- Ongoing identification and control of hazards including terrorism and security threats
- Development and implementation of procedures for all activities that pose a risk
- Ongoing assessment of transport safety employees' fitness for duty
- Provision of all necessary information, training and supervision
- Investigation and reporting of all accidents and dangerous incidents
- Provision of emergency procedures.

The organisation's Safety Management System (SMS) is the primary mechanism for implementing and monitoring these activities.

Responsibilities

Depot Manager

As the senior operational officer in charge of the depot, the Depot Manager has overall responsibility for implementation and monitoring of the organisation's SMS.

Managers/Supervisors

Managers are responsible for ensuring safety policies and procedures are developed and effectively implemented in their areas of control, and to manage staff and hold them accountable for their specific responsibilities.

Employees

Employees including drivers and mechanics are responsible for operating and maintaining buses in a manner that ensures the safety of staff, passengers and pedestrians, which abides with the legislative requirements of WorkCover NSW, Roads and Maritime, TfNSW; and the organisation's SMS requirements.

Review

The organisation's SMS will be evaluated regularly via audits and other mechanisms to ensure it remains relevant and effective. As part of this process this SMS Policy will be reviewed when required if there are changes in legislation, regulations or operations, and at least annually.

Signed: _____

Proprietor/Managing Director

Date: _____

Element 2: Management Accountabilities, Responsibilities and Communication

What is required?

Beyond a Safety Policy, Roads and Maritime requires evidence that transport safety employees understand their safety responsibilities. This requires:

- The nomination of a senior manager with overall responsibility for implementation and management of the SMS
- The development of Job Descriptions that include safety responsibilities for all persons involved in “transport safety work”. This includes anyone who operates a bus or otherwise loads, disembarks or is involved in the movement of buses. It also includes anyone who repairs, maintains or upgrades buses, bus terminals or bus maintenance facilities, or who develops, manages or monitors safe working systems for public passenger services.
- A system to provide managers and staff with safety information including any changes in safety related activities.

How to implement this requirement

1. Job Descriptions are needed for all positions involved in "transport safety work". This includes managers, drivers and workshop mechanics. The Job Descriptions need to include the specific safety responsibilities for each role. This may mean developing Job Descriptions if they don't exist or including safety responsibilities into existing Job Descriptions. (*Pro-formas 2.1, 2.2 and 2.3 may be used* as samples. However, they will need to be amended to reflect the operations and management structure).
2. The Job Description of a senior person should include overall responsibility for the SMS. This has been allocated to the Depot Manager in the attached Pro-forma but, in the case of a small business, it could be the accredited operator. *Pro-forma 2.1* is an example of what this might look like.
3. Systems need to be developed to ensure there is staff/management feedback and instruction on safety related issues. These systems could include:
 - A forum for regular discussion between management and staff. In larger organisations this may include a Work Health and Safety Committee. In smaller organisations this could include regular meetings and/or tool box talks. Minutes of these meetings should be kept (see *Pro-forma 2.4*)
 - Regular programs of training and instruction for staff and supervisors (see Element 6 below)
 - Noticeboards, memos, payslip notices or other mechanisms for advising staff of particular safety issues.
4. In the case of larger organisations, an organisational chart may be needed showing the relationships and reporting requirements between various positions.

Tools

- Sample Job Description for Depot Manager (*Pro-forma 2.1*)
- Sample Job Description for Driver (*Pro-forma 2.2*)
- Sample Job Description for Mechanic (*Pro-forma 2.3*;
- Sample Record of Staff Meeting (*Pro-forma 2.4*).

Pro-forma 2.1 Sample Job Description: Depot Manager

Reporting Lines:

The Depot Manager reports directly to the Proprietor/Managing Director

Job Purpose:

The Depot Manager has overall responsibility for ensuring the service runs efficiently safely and to budget. The Depot Manager has responsibility for ensuring requirements are met, including overall responsibility for the implementation and monitoring of the organisation's safety management system.

Responsibilities:

- Provide leadership on safety and service issues.
- Manage operations and staff to ensure that services are provided in an efficient, safe and cost-effective manner.
- Ensure budget requirements are achieved.
- Integrate safety and other requirements into the position descriptions, performance agreements and work plans of staff.
- Ensure effective communication processes across all functional areas.
- Ensure regular consultative meetings (eg WHS Committee) between staff and management.
- Involve staff in the development of safe work practices.
- Encourage staff to be aware of unsafe activities and to participate in identifying unsafe areas including ideas on improvements and training.
- Ensure that information on safety issues is regularly communicated to staff.
- Ensure risk management systems (including the Risk Register) are in place and regularly reviewed and updated.
- Ensure staff receives the training and resources needed to carry out their responsibilities safely.
- Monitor the performance of drivers and other staff to ensure duties are performed in a safe and professional manner.
- Ensure reporting requirements are met following an incident (including reporting to OTSI, Roads and Maritime and TfNSW).
- Investigate and ensure corrective actions when an incident occurs.
- Evaluate and audit operational and safety systems on a regular basis.

I..... have read and received instruction on the above Job Description and agree to abide by the responsibilities outlined.

Signature.....

Date.....

Pro-forma 2.2 Sample Job Description: Driver

Reporting Lines:

The driver reports to the Manager.

Job Purpose:

Drivers are responsible for operating the bus in a way that ensures the safety of themselves, their passengers and the public. Drivers are required to do this in a manner that abides with Roads and Maritime, TfNSW and the organisation's operational and safety requirements.

Responsibilities:

- Drive allocated buses along specified routes according to shift-board or as directed.
- Ensure the care, safety and comfort of customers.
- Drive any vehicle economically and carefully in accordance with relevant road laws and policies.
- Provide information to the office by two way radio (or any other medium), of any issues such as late running or overloading, which may affect the timetabled service.
- Report all incidents and injuries. This includes completing school student misbehaviour reports, accident report forms and incident reports, as required.
- Accurately complete all necessary recording procedures ie daily journals, time records, customer loading data, fuel and charter records.
- Complete vehicle pre-departure checks.
- Report any damage, defect or repairs needed to the bus in the defect book.
- Maintain the vehicle in a clean condition.
- Be responsible for any or all of the following: cash and tickets, fares, checking passes, operating ticket machines, and giving correct change.
- Not perform or attempt to perform Transport Safety Employee work under the influence of Drugs or Alcohol. **Note:** A maximum Blood Alcohol Limit of **0.02** applies to drivers.
- Report to management any person you believe is under the influence of a drug and/or alcohol.
- Report any matters relevant to the currency of your driver's licence or driver authority to your manager (including traffic offences and criminal charges).
- Report to your manager any health or other issue that may affect your fitness to drive.
- Follow policies, procedures and safety instructions.
- Wear all safety gear issued including fluorescent vests, hats and boots.
- Participate in training and staff meetings as required.

I..... have read and received instruction on the above Job Description and agree to abide by the responsibilities outlined.

Signature _____

Date _____.

Pro-forma 2.3 Sample Job Description: Workshop Mechanic

Reporting Lines:

The workshop mechanic reports to the Depot Manager

Job Purpose:

Workshop mechanics are responsible for carrying out maintenance and repair services to ensure that vehicles operate safely, reliably and efficiently. Mechanics are required to do this in a manner that abides by Roads and Maritime and the organisation's operational and safety requirements.

Responsibilities:

- Undertake day to day vehicle repair and maintenance activities to ensure delivery of services.
- Fulfil vehicle preventative maintenance schedules and requirements.
- Maintain vehicle monitoring and reporting systems as required by Roads and Maritime.
- Respond to, investigate and repair vehicles as notified by drivers in vehicle defect books.
- Maintain a safe and tidy workshop area.
- Work in accordance with safe working procedures and instructions and meet the obligations and ideals of the organisation's safety management system.
- Organise spare parts procurement in line with company policy.
- Maintain professional relationships with administration and driving staff.
- Be available for breakdown and service callouts and on-road incidents as required from time to time
- Not perform or attempt to perform Transport Safety Employee work under the influence of Drugs and Alcohol. **Note:** A maximum Blood Alcohol Limit of **0.02** applies to all Transport Safety Employees (including mechanics).
- Report to management any person you believe is under the influence of a drug and/or alcohol.
- Report all health issues or other issues that may affect your fitness to work.
- Follow policies, procedures and safety instructions.
- Wear all safety equipment issued including fluorescent vests, safety goggles, hearing protection and boots.
- Participate in training and staff meetings when required.

I..... have read and received instruction on the above Job Description and agree to abide by the responsibilities outlined.

Signature.....

Date.....

Pro-forma 2.4 Sample Staff Meeting/Communication Record

Meeting Date: _____ Attendees: _____

Item		Issues Identified	Action Required	Person Responsible	Date for Completion
1. Matters Arising					
2. Incidents and Accidents	No of incidents for period:				
3. Risk Register					
4. Injury register	No of injuries for period:				
5. Vehicles/ routes/roster issues					
6. Workplace inspection reports					
7. Training issues					
8. Security issues					
9. Audit issues					
10. Other issues					

Signature of Manager: _____

Date: _____

Element 3: Risk Management

What is required?

The centrepiece of an operator's SMS is risk management. Risk management is also an obligation under Work Health and Safety legislation.

Risk management means taking active steps to identify and control those things ("hazards") that could cause harm to employees, passengers or the public. Hazards can arise from a variety of sources; for example:

- Employees (eg a driver turning up for a shift unfit for duty)
- Passengers and the public (eg violent passengers, school children failing to wear seat belts)
- Vehicles (eg the need for more frequent maintenance of an older bus)
- Operational conditions (eg fatigue from long-haul coach driving or secondary employment)
- Environmental conditions (eg servicing an area subject to ice and snow).

Examples of some common hazards faced by operators are listed at Table 2.

Hazards can vary between operators. However, whatever the circumstances, a documented process to identify and manage the hazards faced by the organisation is needed. A *Risk Register* is one mechanism for recording this information in a simple and coherent way.

How to implement this requirement

1. Develop a Risk Register document. Pro-forma 3.1 illustrates what this may look like.
2. Think about all areas of the organisation and the services it provides to identify potential hazards. This involves looking at past experience and thinking creatively about the future to identify what has or could go wrong. This will involve working closely with personnel. Some operators may set up teams of managers and staff to undertake this task.

A number of the systems outlined in this Manual will also feed into the hazard identification process. For example:

- formal consultation/communication processes (Element 2)
- inspections of vehicles (Element 4), workshop and depot
- employee monitoring activities (Element 5)
- incident reports and investigations (Element 7)
- audits (Element 8).

From time to time, Roads and Maritime and OTSI may issue Information Alerts on particular safety issues. These issues should also be fed into your hazard identification process.

A list of some common hazards faced by bus operators is included at *Table 2*. Note that this list is not exhaustive and the organisation should undertake its own risk assessment to identify the hazards that could impact on its business.

3. Once hazards faced by the service have been identified, they need to be included on the Risk Register.
4. As each hazard is noted on the Risk Register, the risk that the hazard poses in terms of safety needs to be assessed. Risk is measured in terms of both:
 - Severity (eg has the hazard the potential to kill, cause a serious injury or only a minor injury?)
 - Likelihood (eg how likely will this hazard arise: almost never, reasonably often, all the time?).

A hazard which is likely to occur and will result in death or serious injury is obviously a greater risk than one which is unlikely to occur and will only result in a bump or scratch. Assessing the risk will enable prioritisation, allowing resolution of the most serious safety issues first. The *Risk Matrix at 3.2* has been provided to aid you in this assessment/prioritising process.

5. When assessment of the risk that the issue poses is complete, document this on the Risk Register along with ways to resolve the problem, and a person or persons responsible for implementing this action. These issues are best determined in consultation with staff eg via a regular meeting or other mechanism. A realistic timeframe should be set for resolving the issue and also noted on the Risk Register. However, when a hazard poses a critical risk threat to life, it should be dealt with immediately.
6. Nominate one person in your organisation who has overall responsibility for reviewing and updating the Register (see Element 2).

Note: It is critical that operators (as part of their risk management approach) regularly monitor the driving performance of their employees. Dangerous or hazardous driving performance has the potential to place the travelling public at risk. Bus operators should advise Roads and Maritime in the event that they have taken disciplinary action against a driver for dangerous or hazardous driving. Where an operator knows that a driver has lost his/her driver licence, or has been charged by the Police for a driving related offence, he/she must inform Roads and Maritime accordingly.

Tools

- Sample Risk Register (*Pro-forma 3.1*)
- Risk Assessment Matrix (*Pro-forma 3.2*).

Further Help

All Aboard: Managing Hazards in the NSW bus and coach industry (DVD), Bus and Coach Association of NSW, 2005

Common Bus Industry Hazards

Type of Hazard	Potential Hazard (Yes/No)
<p>Employee-related</p> <ul style="list-style-type: none"> • Drug and alcohol consumption • Fatigue (including that resulting from secondary employment) • Fitness/medical complaints • Loss of Licence/Driver Authority • Dangerous or hazardous driving <p>Passengers and public:</p> <ul style="list-style-type: none"> • Terrorism/security threats • Violent/aggressive passengers • Schoolchildren misbehaviour (including refusal to wear seat belts) • Elderly/disabled passengers (eg slips and falls) • Passengers (including school children) getting on/off bus • Road rage <p>Vehicles</p> <ul style="list-style-type: none"> • Lack of appropriate maintenance • Poor ergonomic seating • Poor vehicle visibility • Doors that have the potential to trap passengers • Risk of on-board fires (eg gas buses, loose wiring) <p>Operational conditions</p> <ul style="list-style-type: none"> • Long-haul driving • Trucks and other heavy vehicles on bus route • Hazardous substance exposure • Noise (workshop mechanics) • Pits and grease (slips and falls) • Collisions in depot <p>Environmental conditions</p> <ul style="list-style-type: none"> • Ice, snow, fog • Steep or windy roads • Unpaved or narrow roads • Roads with high speed limits • Wet weather conditions • Kangaroos and other animals 	

Table 2: Examples of hazards faced by bus operators

Pro-forma 3.1 Sample Risk Register

- This Risk Register is to be used to record all hazards or safety issues identified by staff and management.
- The Risk Rating is to be determined by using the Risk Matrix at the 3.2

Hazard	Likelihood	Severity	Risk Rating	Recommended Controls	Responsible Officer
<i>Drug and Alcohol Consumption</i>	<i>Likely</i>	<i>Death or permanent disability</i>	<i>1</i>	<i>Implementation of Drug and Alcohol Program including: Information and Training Testing Procedures Remedial Procedures Drug and Alcohol Policy</i>	<i>Managing Director Training Officer Testing Officers Supervisors Managing Director</i>
<i>Security Threats</i>	<i>Unlikely</i>	<i>Death or permanent disability</i>	<i>2</i>	<i>Liaison with Police, State Rail and other operators who service Transport Interchanges Emergency/bomb threat procedures Pre-departure, in-service bus inspection</i>	<i>Managing Director WHS Committee Driver supervisor to instruct drivers</i>
<i>Black Ice</i>	<i>Unlikely (depending on location eg Blue Mountains)</i>	<i>Death or permanent disability</i>	<i>2</i>	<i>Drivers made aware of the need for care when travelling in areas of black ice. In particular, drivers to take note of advisory signage</i>	<i>Driver supervisor to brief drivers</i>
<i>Animal strikes</i>	<i>Very likely (in some regional areas)</i>	<i>Death or permanent disability</i>	<i>1</i>	<i>Drivers to reduce speed when driving in early mornings, late afternoons and at night to avoid animal strikes Buses to be fitted with Bull Bars and driving lights</i>	<i>Driver supervisor to brief drivers Workshop foreman</i>
<i>Fog</i>	<i>Unlikely</i>	<i>Death or permanent disability</i>	<i>2</i>	<i>Drivers to reduce speed when driving in foggy conditions Buses to be fitted with fog lights</i>	<i>Depot Manager to brief drivers Workshop foreman</i>
<i>Driver Fatigue</i>	<i>Likely</i>	<i>Death or permanent disability</i>	<i>1</i>	<i>Timetables are constructed to ensure drivers are not required to exceed driving hours. Secondary employment is recorded and monitored to ensure that it does not impact on safety.</i>	<i>Depot Manager</i>

<i>School children misbehaviour (including not wearing seat belts)</i>	<i>Likely</i>	<i>First aid</i>	<i>4</i>	<i>School/parent liaison and formal warning issued Reporting misbehaviour via TfNSW Database Training of drivers in School Student Code of Conduct De-brief for any affected drivers</i>	<i>Driver Supervisor “ “</i>
<i>Faulty safety critical equipment</i>	<i>Unlikely</i>	<i>Death or permanent disability</i>	<i>2</i>	<i>Drivers undertake pre-departure checks to ensure the serviceability of vehicle lights, indicators, brakes, steering etc and report anomalies</i>	<i>Driver Supervisor to brief drivers/Drivers to undertake pre-departure checks.</i>
<i>On-board Fire</i>	<i>Likely</i>	<i>Death or permanent disability</i>	<i>1</i>	<i>Training of staff (including fire extinguisher training) Evacuation Procedures Incorporation of fire risk into pre-departure/end of shift inspections for drivers Incorporation of fire risk minimisation into bus maintenance procedures</i>	<i>Driver Supervisor Workshop foreman</i>
<i>Heavy Vehicle Traffic along bus route</i>	<i>Likely</i>	<i>Death or permanent disability</i>	<i>1</i>	<i>Liaison with Truck company to see if HV route or timetable can be varied (eg outside school bus times) Liaison with local Council/Roads and Maritime to develop solution Communication with HV driver (eg via CB radio if available)</i>	<i>Depot Manager Depot Manager Bus Driver</i>
<i>Sudden movement of children at Bus Interchanges</i>	<i>Likely</i>	<i>Death or permanent disability</i>	<i>1</i>	<i>Liaison with other bus operators to synchronise bus arrivals/departures Training of bus drivers in safe pick-up/drop-off procedures Liaison with schools/P&CA to highlight problem</i>	<i>Depot Manager Driver Supervisor Depot Manager</i>
<i>Location of rural school bus stops</i>	<i>Unlikely</i>	<i>Death or permanent disability</i>	<i>2</i>	<i>Liaison with parent prior to commencement of school term regarding children pick up/drop off stops. Consider the “Advice for choosing locations of informal School bus stops” released by Centre for Road Safety Driver to report to manager any stops with poor traffic visibility or other hazard Liaison with Local Council/RMS regarding suitable traffic/road controls</i>	<i>Depot Manager Driver Depot Manager</i>

Pro-forma 3.2 Risk Assessment Matrix

When hazards are identified the risk of each hazard needs to be assessed. Risk is measured in terms of both:

- Severity (eg has the hazard the potential to kill, cause permanent disability or only a minor injury)
- Likelihood (eg how likely will this hazard arise: very likely, likely or very unlikely).

The Risk Matrix below can be used to assess the risk of identified hazards. The Risk Matrix also assigns a numerical priority (from 1 to 6) for each hazard eg a hazard that is very likely and could potentially kill gets a “1” priority; a hazard which is very unlikely and would result only in first aid gets a “6” priority. This priority or risk rating should be recorded on the Risk Register.

	Likelihood: How likely is it to be that bad?			
Severity: How severely could it hurt someone or how ill could it make someone?	Very Likely Could happen anytime.	Likely Could happen at some time.	Unlikely Could happen but very rarely.	Very Unlikely Could happen but probably never will.
Kill or cause permanent disability or ill health.	1	1	2	3
Long term illness or serious injury.	1	2	3	4
Medical attention and several days off work.	2	3	4	5
First Aid Needed.	3	4	5	6

Risk Rating:
1-2: High Risk (Action now)
3-4: Moderate Risk (Action soon)
5-6: Low Risk (Action when practicable)

Element 4: Procedures and Documentation

What is required?

To ensure safety it is vital that operators have documentation that provides guidance to managers and staff on how to perform core activities safely.

Bus Maintenance

Under current accreditation conditions operators need a bus maintenance system which ensures vehicles are serviced on a regular basis in accordance with the manufacturer's specifications and are safe at all times. This includes documentation to ensure:

- Inspection of buses as part of driver departure and sign on procedures
- Reporting of damage or defects to buses
- Scheduled and regular maintenance of buses in accordance with manufacturer's specifications.

Further information and sample documentation relating to vehicle maintenance can be found at

<http://www.rms.nsw.gov.au/buses>

Other Activities

In addition to documentation relating to bus maintenance, operators need procedures for work activities that pose a significant risk. As a minimum, operators must have procedures for:

- Driver health management (*Pro-forma 5.1*)
- Incident management (*Pro-forma 7.1*).

Where your organisation services a major transport interchange you will also require procedures for security management (eg bomb threat). Sample procedures on security management are provided *at Pro-forma 4.1*.

How to implement this requirement

1. Use Pro-formas in the Operator Accreditation Manual as examples on how to develop documentation relating to bus maintenance.
2. Use Pro-formas in this SMS Manual as examples for how to develop work procedures for other activities where documentation is mandatory (eg driver health and incident management). Discuss the procedures with staff who are involved in these activities to ensure that all hazards are covered.
3. Use the Pro-formas as examples to develop written procedures for any other activities which pose a safety risk to your business.
4. When procedures are finalised they should be signed off by the owner or senior management.
5. All staff involved in these activities need to be instructed and trained in these procedures, including the need for drivers to complete pre-departure checks and to complete and submit the necessary documentation. Instruction can take place via:

- Regular meetings/tool box talks with staff (see Element 2)
 - Formal training and instruction (see Element 6).
6. Written procedures should be provided to staff undertaking each activity eg included in an Employee Handbook if one is available. It is also helpful to post a copy of the procedures near the work activity eg fix a laminated copy of the bus maintenance procedure next to where that activity takes place.
 7. Managers and supervisors should regularly supervise the work of employees (where possible) to ensure that procedures are being followed.

Further Help

- <http://www.rms.nsw.gov.au/business-industry/buses/operators/index.html>
- *Bus Security: A Tool Kit for Operators*, Ministry of Transport, 2006

Pro-forma 4.1 Sample Security Management Procedures

Purpose

The organisation recognises that terrorism is a real threat. The organisation's security procedure aims to mitigate this threat by reporting suspicious behaviour, undertaking regular bus inspections and emergency planning and practice.

Reporting

The first line of defence in combating terrorism is vigilance. Bus drivers therefore need to report any suspicious behaviour that they may observe. Drivers should be particularly vigilant around transport interchanges such as rail stations and during major sporting and entertainment events. Suspicious behaviour could include persons:

- Loitering at interchanges with no apparent intention of using transport services
- Taking photographs or making sketches of transport facilities
- Attempting to evade notice when detected.

Drivers are to report any suspicious behaviour to the depot via two way radio (or any other medium). The depot will notify the Police.

Inspections

Drivers will undertake a thorough internal and external inspection of their vehicle:

- Prior to the commencement of each shift as part of the sign-on procedure
- At the end of each shift as part of the sign-off procedure.

If any unattended items are discovered during this process drivers are not to touch or handle these packages. Rather they are to adhere to the procedure outlined below.

Suspicious packages

Drivers and other staff who discover unattended items are to undertake a visual assessment utilizing the HOT principle:

H Is the item **Hidden**?

O Is the item **Obviously** suspicious?

T Is the item **Typical** of items usually found in that area?

If the HOT principle leads you to believe that the item is suspicious **do not touch or move the item**. Rather:

1. Evacuate the bus and the immediate area to a minimum of 150 metres
2. Do not use a two way radio or a mobile phone within 150 metres of the bus
3. Contact the depot. Provide the bus location and a description of the item including the type of package, location in bus, etc
4. The depot will contact the Police on the Emergency Line (000)

5. Where a driver is unable to contact the depot they will contact the Police direct (000) and contact the depot at the first available opportunity
6. Follow the instructions given by the Police or other authorities
7. Let passengers know what is happening and ask them to remain clear of the bus as there is a possible threat. Until the Police arrive the public will look to the driver as a potential authority figure so remain calm and do not panic the crowd.

Bomb Threat

Where a driver or other staff member receives a bomb threat they are to:

1. Stay calm
2. Not interrupt the caller and attempt to obtain as much information from the caller as possible. Remember: Who, What, When, Where, Why and How. Make notes if possible
3. After the call do not replace the phone handset. This may assist the authorities in tracing the call.
4. Contact the Police (000). Use another phone to alert authorities and other staff members. (Mobile phones or two way radios are not to be used within 150 metres of the alleged bomb site)
5. Contact the depot and advise them of the threat. The depot will contact all buses in service by two-way (mobile phones not to be used to inform drivers)
6. Inform drivers and passengers not to use mobile phones or two way radios to transmit messages within 150 metres of the alleged bomb site
7. Carry out a preliminary search of bus for any suspicious/unidentified objects
8. Where any unidentified objects are found the driver will follow the Suspicious Package Procedure (above)
9. Upon arrival of Police, advise of the areas searched and follow their instructions.

Signature: _____
Proprietor/Managing Director

Date: _____

Element 5: Employee Monitoring

What is required?

Bus/coach owners and operators have an obligation under the NSW Work Health and Safety Act 2011 to ensure the safety of their employees and passengers.

Risks can arise from:

- An illness or injury which may affect the ability of the employee to perform their work
- The consumption of drugs or alcohol
- Fatigue (including that arising from the impacts of secondary employment).

Driver fatigue is the single most significant cause of road crashes involving commercial vehicles. Fatigue is typically caused by lack of regular sleep, insufficient periods off duty and continuous night work without breaks.

The undertaking of secondary employment by drivers has the potential to contribute to fatigue and impact on the provision of safe and reliable bus services.

It should be noted the rostering and monitoring of driver hours will not automatically guarantee fatigue-free drivers.

In order to minimise these risks, owners and operators need to proactively monitor and manage their employees' health and fitness on a regular basis.

How to implement this requirement

1. Operators/managers need to develop:
 - A program for monitoring licence and driver authorisation (and therefore health assessment) of drivers (*Pro-forma 5.1*)
 - Procedures for the management of employee illnesses which may impact on their fitness for duty. This may include a procedure for triggered health assessments where there is an industrial or administrative agreement between employer and employees (*Pro-forma 5.2*)
 - A fatigue management program that complies with legal requirements (*Pro-forma 5.3*)
 - A drug and alcohol program that complies with legal requirements (see *Roads and Maritime Services Drug and Alcohol Program Handbook*)
 - A working environment which provides support for employees and encourages the self-reporting of ill health without fear of discrimination.
2. Operators/Managers may use Guidelines/Pro-formas 5.1 to 5.4 as examples for these documents. However, health monitoring and drug and alcohol testing of employees are sensitive issues and therefore **these programs need to be discussed with employees (and employee representatives) to encourage**

employee compliance with the program and sign-off on any documentation developed.

Further Help

- Drug and Alcohol Program Handbook, Roads and Maritime Services, 2014
- <http://www.rms.nsw.gov.au/documents/business-industry/buses/boas-drug-alcohol-handbook.pdf>

Guidelines 5.1 Health Monitoring Program

Operators must monitor and, where appropriate, manage the health of their employees on a regular basis to ensure that they are fit for duty.

Driver Authority

Under the NSW *Passenger Transport Act, 1990*, a driver of a Public Passenger Vehicle must hold a Drivers Authority, which has been issued by Roads and Maritime. A Drivers Authority means that a person has been assessed by Roads and Maritime as being fit and proper to drive a public passenger vehicle, which includes an assessment of their medical fitness.

For medical purposes, applicants for a Drivers Authority are assessed by a medical professional against the national Guidelines for Assessing Fitness to Drive (AUSTROADS), the results of which are submitted to the Roads and Maritime for assessment.

The holder of a Driver Authority must submit a medical assessment to Roads and Maritime as follows:

- Under the age of 60 – every three years
- From age 60 years and over – every year
- Drivers with a medical condition – annually or as otherwise specified by Roads and Maritime.

Drivers also have an ongoing obligation, as a condition of their Authority, to notify Roads and Maritime of any changes in their medical condition that may impact upon their fitness to continue to hold that Authority. Failure to do so may result in the revocation of the Authority by Roads and Maritime.

Operator Responsibility

Under the *Passenger Transport Regulation 2007* a bus operator must not permit a person to drive a public passenger vehicle unless they hold an appropriate Drivers Authority. Operators therefore must monitor whether a driver holds a valid Authority on a regular basis. This includes upon initial recruitment and periodically thereafter.

For the purposes of monitoring driver health, this organisation will determine through Roads and Maritime, the following:

- The date the Driver Authority was issued or renewed
- The date when the next medical assessment is due.

Initial Recruitment

Prior to a new driver operating a vehicle for the first time the owner/manager will check to ensure that the driver's licence and authority are valid and current. This can be achieved by:

- Checking the driver's licence status on line via www.rms.nsw.gov.au and following the links to *My RMS*
- Checking the driver's status on line via www.transport.nsw.gov.au and following the links to the *Driver Authority Information System and/or MyRecords*.

When satisfied that the licence/authority is current and to provide evidence of this fact the operator will record the driver's licence number, Authority and personal details on the *Driver Register (Pro-forma 8a, Appendix 3, Bus Operator Accreditation Manual)*.

Periodic Assessments

The organisation will ensure that driver's licences and authorities are regularly validated to ensure that only those drivers who are appropriately licensed and authorised are able to drive. This will be achieved via Roads and Maritime *Driver Authority Information System or MyRecords System*. A risk management based approach will be adopted to determine the frequency of validation.

Details of the driver's licence and authority and the date each was checked will be recorded on the *Driver Licence and Authority Check Register*

Ongoing Monitoring

Operators have an obligation under the NSW Work Health and Safety Act, 2011 to ensure the safety of their employees and passengers. Where the organisation has reasonable grounds to suspect that an employee is no longer medically fit to perform their duties, then they will take appropriate action to ensure that this situation is remedied as soon as possible. This may include the following:

- Employee Assistance Schemes that provide a support framework to address health related issues
- Employee Rehabilitation and Return to Work Schemes
- Self Referral Schemes that allow employees to report any condition that will affect them performing their duties
- Triggered health assessments (where there is either an industrial or administrative agreement between the employer and employees)
- Referring driver health matters to Roads and Maritime if it cannot be resolved at the operator level. Such referrals must be based on genuine concern and not routine or irrelevant matters.

Driver Reporting

The organisation maintains a self referral scheme that requires employees to report any condition that will affect them performing their duties. This scheme facilitates open communication between staff and management without fear of recrimination.

In line with this scheme employees must notify management of any condition that may affect them from performing their duties.

A driver must also furnish Roads and Maritime, within 48 hours after any change in the physical or mental condition of the driver of which the driver is aware that may affect the driver's ability to drive public passenger vehicles safely, with written details of the change.

Operator Reporting

Operators should contact Roads and Maritime in the event that they have ongoing concerns over a driver's fitness to drive.

Additionally, operators must advise Roads and Maritime in cases where a driver has been medically retired, or has retired of their own volition due to ill health within 48 hours after becoming aware of it.

Pro-forma 5.2 Sample Triggered Health Assessment Procedure

1. The Procedure has been developed in full consultation with staff and will be implemented in accordance with the organisation's industrial agreement.
2. A health assessment is triggered by an event that indicates a possible problem with a driver's fitness to drive. Such events may include:
 - Significant illness or injury
 - Recurrent sickness absence
 - Prolonged sickness absence
 - Repeated incidents eg driving accidents etc
 - Reports from peers/supervisors/passengers with regard to driver performance
 - Repeated injuries at work
 - Employee's own request.
3. Where one of the above events occurs the manager may request the employee to be medically assessed for fitness to drive the vehicle types for which they are employed.
4. As per the organisation's industrial agreement, the health assessment will be undertaken by X Medical Centre, and will be conducted in accordance with the national driver medical standards *Assessing Fitness to Drive 2003* (www.austroads.com.au).
5. Action taken as a result of a triggered health assessment shall be in accordance with this organisation's industrial agreement.
6. If there are doubts regarding a driver's fitness to drive, the matter is to be referred to Roads and Maritime for further assessment.

Signature: _____
Proprietor/Managing Director

Date: _____

Note: Roads and Maritime must be notified if a driver is medically retired, or has retired of their own volition due to ill health.

Pro-forma 5.3 Sample Fatigue Management Program

Purpose

The Fatigue Management Program is designed to address the factors behind fatigue as far as practicable.

Fatigue Management Work and Rest Hours

Drivers of fatigue-regulated vehicles must comply with certain maximum work and minimum rest limits under the Heavy Vehicle National Law (HVNL).

Bus drivers working for this organisation must comply with one of the following two work and rest hours options under the HVNL, including the night rests. Management will inform the driver of which option they are working under at the commencement of their employment and will notify the driver of any change if and when required.

Standard hours – work and rest hours requirements

Option 1: The table below applies to solo drivers.

In any Period...	A driver must not work for more than a maximum of...	And must have the rest of that period off work with at least a minimum rest break off...
5 ½ hours	5 ¼ hours work time*	15 continuous minutes rest time
8 hours	7 ½ hours work time	30 minutes rest time in blocks of 15 continuous minutes
11 hours	10 hours work time	60 minutes rest time in blocks of 15 continuous minutes
24 hours	12 hours work time	7 continuous hours stationary rest time
7 days	72 hours work time	24 continuous hours stationary rest time
14 days	144 hours work time	2 x night rest breaks [#] and 2 x night rest breaks taken on consecutive days

Option 2: The below table applies to solo drivers in the bus and coach sector.

In any Period...	A driver must not work for more than a maximum of...	And must have the rest of that period off work with at least a minimum rest break off...
5 ½ hours	5 ¼ hours work time*	15 continuous minutes rest time
8 hours	7 ½ hours work time	30 minutes rest time in blocks of 15 continuous minutes
11 hours	10 hours work time	60 minutes rest time in blocks of 15 continuous minutes
24 hours	12 hours work time	7 continuous hours stationary rest time
7 days		6 x night rest breaks [#]

28 days	288 hours work time	4 x 24 hours continuous hours stationary rest time
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**Stationary rest time is the time a driver spends out of a heavy vehicle or in an approved sleeper berth of a stationary heavy vehicle. #Night rest breaks are 7 continuous hours stationary rest time taken between the hours of 10pm on a day and 8am on the next day (using the time zone of the base of the driver) or a 24 continuous hours stationary rest break.*

**Work Time includes driving and any other task related to the operation of the bus or coach e.g. refuelling, pre-departure checks, attending to passengers, etc.*

Apart from the Standard Hours options, operators may implement either the Basic Fatigue Management (BFM) or Advanced Fatigue Management (AFM) regimes. While these regimes offer operators more flexible hours, they require additional record keeping, training requirements and accreditation under the National Heavy Vehicle Accreditation Scheme (NHVAS).

Work Diary

Drivers must complete a work diary to provide evidence that their work and rest hours are compliant with the Heavy Vehicle National Law and that their fatigue is being managed. A new “National Work Diary” was introduced on 10 August 2014 stipulating driver requirements. A work diary is required to be carried and completed, as it is an important part of monitoring driver fatigue. Refer Section [222A](#) and [291](#) of the Heavy Vehicle National Law for additional information.

The following Work Diary exemptions apply in NSW:

- Drivers undertaking TfNSW Contracted Work (School and Regular Route) do NOT need a Work Diary whatever the distance.
- Drivers doing other types of work (e.g. Charter, Coach) only need Work Diary when travelling more than 100km radial distance from their base.
- If operator does TfNSW contract work AND charter work, a Work Diary would be required if the charter extends beyond 100km distance from the depot. In that case, a Work Diary would need to be completed for ALL work on that day.

Secondary Employment

Drivers MUST advise their supervisor whenever they engage in secondary employment, including details of work and rest hours. The performance of drivers with secondary employment will be monitored to ensure that such employment does not cause fatigue.

Training and Instruction

Drivers will be advised of:

- The nature of fatigue and the effect of lifestyle on fatigue levels;

- The need to manage their lifestyle to minimise fatigue including the need to get adequate sleep, manage any medications they may take and to curb recreational activities prior to duty that may lead to fatigue;

Management is responsible to ensure training and regular communication with staff regarding fatigue management occurs.

Driver Reporting

Drivers are to advise their supervisor of any issue (including work outside the organisation and the use of medications) that may impact on fatigue levels. Failure to report such issues may result in disciplinary action. Drivers are also required to report if they feel particularly fatigued prior to a shift. Reports are to be made to the duty supervisor.

Driver Support

This organisation will provide assistance to drivers to help manage their fatigue levels. Such assistance includes varying rosters where possible, Employee Assistance Programs and similar measures. For assistance, staff are to discuss their issues with their supervisor.

Signature: _____
Proprietor/Managing Director

Date: _____

Guidelines 5.4 Drug and Alcohol Program Guideline

The *Passenger Transport Act 1990 (the Act)* requires bus operators in NSW to ensure that their bus safety employees are not under the influence of drugs or alcohol while on duty for bus safety work. In achieving this outcome, the *Act* also requires operators to prepare and implement a drug and alcohol program for their bus safety employees that comply with the guidelines published by Roads and Maritime Services.

The requirements for drug and alcohol programs are set out in the Guidelines relating to Drug and Alcohol Programs for Bus Operators (“the Guidelines”), which can be downloaded from the website at www.rms.nsw.gov.au/buses.

The Drug and Alcohol Handbook for Bus Operators is designed to assist accredited bus operators to prepare and implement a drug and alcohol program that meets these requirements.

What are the Legal Limits for Drug and Alcohol Use?

It is illegal to carry out, or be on duty for, bus safety work while:

- Under the influence of drugs or alcohol
- Having a Blood Alcohol Content (BAC) of 0.02 or over.

Both operators and employees have an obligation to ensure these legal requirements are met.

What is a drug and alcohol program?

A drug and alcohol program is an integrated set of work practices and procedures designed to manage the risk of drug and alcohol use in your organisation. It ensures that operators take responsibility for the safety of their operation, and that employees are aware of their safety responsibilities in relation to drug and alcohol use.

Bus Safety Employees

Only “bus safety employees” are covered by the requirements of the *Act*. A bus safety employee includes anyone who is a paid employee, a contractor, volunteer or the accredited operator when involved in:

- Driving or operating buses, loading/disembarking passengers, or the movement of buses
- Repairing, maintaining or upgrading buses, bus terminals or bus maintenance facilities
- Developing, managing or monitoring safe working systems for bus services.

Not every employee will be a “bus safety employee”. While operators may choose to implement a drug and alcohol program that covers all employees (for example, typists and cleaners) only bus safety employees will be subject to the penalties and obligations under the *Act*.

What does a drug and alcohol program look like?

The requirements for drug and alcohol programs are set out in the *Act* and in the Guideline. These require operators to:

- Assess the safety risks posed by drug and alcohol use
- Consult with employees on the content of the drug and alcohol program
- Develop and disseminate a drug and alcohol policy
- Educate and inform staff
- Authorise test supervisors to oversee drug and alcohol testing
- Develop and implement adequate testing arrangements
- Implement remedial action when a drug or alcohol problem is encountered
- Notify Roads and Maritime Services of problems and positive results, and ensure records are kept. Notifications are to be forwarded to Roads and Maritime via email - danotify@rms.nsw.gov.au
- Review and evaluate the program.

The level of detail in your drug and alcohol program will largely depend on the size of your operation, how well you know the activities of your staff and the risks that drug and alcohol use pose to your organisation.

Drug and Alcohol Program Handbook

Roads and Maritime has developed a Drug and Alcohol Handbook to provide specific assistance to bus operators on drug and alcohol issues. The Handbook provides a step-by-step guide to preparing a drug and alcohol program. In particular, it:

- Summarises the requirements of the legislation and Roads and Maritime's Guidelines
- Describes how operators can implement these requirements in their drug and alcohol program
- Provides samples and pro-formas that operators can adapt for their own use.

An electronic copy of the Handbook (including pro-formas) can be obtained from the website www.rms.nsw.gov.au/buses to enable operators to download the necessary forms for inclusion in their Drug and Alcohol Program.

Element 6: Training and Education

What is required?

Bus and coach operators require systems to ensure managers and employees are appropriately trained. This includes both induction training for new staff and ongoing training for current staff.

How to implement this requirement

1. All new staff must receive induction training in the organisation's policies and procedures (including safety). The *Staff Induction Checklist (Pro-forma 6.1)* may be used to ensure relevant issues have been covered and to provide evidence that the training has been undertaken.
2. Operators need to determine the skills required by existing staff to do their work. Sample competencies for bus drivers are included in the *Training Skills Analysis (Pro-forma 6.2)*. Operators should adapt this Pro-forma to suit the particular circumstances.
3. Measure the competency of staff against the required skills (eg by using the Training Skills Analysis). Operators may choose to do this as part of the annual performance review of staff.
4. Develop training programs for staff to fill any gaps in employees' competency. A *Training Register (Pro-forma 6.3)* can be used to provide a record of the training received by all staff within your organisation.
5. Include records of training, along with records of qualifications, in the personnel records of each staff member.

Tools

- Sample Staff Induction Checklist (*Pro-forma 6.1*)
- Sample Training Skills Analysis (*Pro-forma 6.2*)
- Sample Training Register (*Pro-forma 6.3*)

Pro-forma 6.1 Sample Staff Induction Checklist

Name of Inductee:	Commencement Date:
Workplace:	
Position:	Signature:

Topic	Signature of Trainer	Signature of Inductee*
1. Safety Policy and SMS overview		
2. Job Description, Responsibilities and Reporting Arrangements		
3. Communication/Consultation – Meetings, Safety Representative, Noticeboard, Employee Handbook		
4. Safe Work Procedures, PPE for the work they will be undertaking.		
5. Pre-departure checks and Sign on		
6. Pedestrian, Traffic Management Plan, Entry/Exit, Parking		
7. Driver health requirements Driver understands the need to: <ul style="list-style-type: none"> • Report any loss/change to their licence/ authorisation • Report any injury or illness (including mental illness) that may affect their fitness to drive (including Roads and Maritime). • Renew their licence/authorisation periodically to ensure currency. 		
8. Fatigue Management Driver understands the need to: <ul style="list-style-type: none"> • Abide by driver hour limits. • Manage their own lifestyle activities including sleep patterns, medication and recreational activities to minimise fatigue. • Advise the operator of any issue including secondary employment activities that may impact on fatigue levels. 		

* Employee should ask trainer to repeat instruction if anything is unclear about an issue.

<p>9. Drug and Alcohol</p> <p>Employee understands:</p> <ul style="list-style-type: none"> • Zero tolerance policy: penalty for drug/alcohol consumption. • Procedure for testing. • Roles and responsibilities of management/staff regarding drugs and alcohol. 		
<p>10. Hazard and Injury Reporting.</p>		
<p>11. Critical Incident Reporting and procedure.</p>		
<p>12. Workers compensation and Return to Work policy.</p>		
<p>13. Introduction to Fire Wardens, First Aiders.</p>		
<p>14. Location of Emergency exits, fire fighting equipment and first aid kit.</p>		
<p>15. Emergency and Security Procedures.</p>		
<p>Comments:</p>		
<p>Person Conducting Induction:</p>		<p>Date:</p>
<p>Position:</p>	<p>Signature:</p>	

*** Employee should ask trainer to repeat instruction if anything is unclear about an issue.**

Pro-forma 6.2 Sample Training Skills Analysis

Name Position **Bus Driver**

Mandatory Requirements:

Appropriate Licence

Document sighted and filed

Driver Authority

Document sighted and filed

Competency	Current Knowledge	Skills and	Training Required
Two-way Radio			
Ticketing and Fare Management			
Customer Service			
Timetable/Route knowledge			
Sign-on and pre-departure procedures			
Driving (including defensive driving) performance			
Drug and Alcohol/smoking requirements			
Fatigue Management (including lifestyle issues and secondary employment considerations)			
Health management requirements and reporting			
Vehicle defect procedure			
Managing school children behaviour			
Managing aggressive/unruly behaviour			
Safety equipment requirements including fire extinguisher training			
Incident management and reporting			
Emergency and Evacuation Procedures			
Other			

Name of Assessor: _____ **Date:** _____

Pro-forma 6.3 Sample Training Register

Employee Name	Position	Driver Authority	Date Employed	Induction Training	Supervisory Skills	WHS Committee Training	First Aid Officer Training	Customer Service	Defensive Driving	Emergency/Security Management	Incident/Injury Reporting	
Bob Brown	Driver	9002	23/7/01	23/7/01				23/3/04	14/6/05	24/7/05	9/1/06	
Phil Jones	Driver	9393	29/1/03	29/1/03				23/3/04	14/6/05	24/7/05	9/1/06	
Brian Partridge	Driver	3245	7/4/02	7/4/02		9/4/02		23/3/04	14/6/05	24/7/05	9/1/06	
Nick Tabley	Driver	344	3/5/05	3/5/05		9/4/02			14/6/05	24/7/05	9/1/06	
Brian Willis	Mechanic		23/7/93	23/7/63			4/6/03			24/7/05	9/1/06	
Hamish Walsh	Driver	4367	4/3/99	4/3/99				23/3/04	14/6/05	24/7/05	9/1/06	
George Black	Driver	2099	3/6/00	3/6/00		9/4/02		23/3/04	14/6/05	24/7/05	9/1/06	
Matt Smith	Driver	811	24/7/02	24/7/02				23/3/04	14/6/05	24/7/05	9/1/06	
Greg Murphy	Driver	445	2/9/99	2/9/99				23/3/04	14/6/05	24/7/05	9/1/06	
Linda Rampling	Office		3/7/04	3/7/04		9/4/02	4/6/03	23/3/04		24/7/05	9/1/06	
Charles Malone	Manager		4/6/96	4/6/96	31/7/00	9/4/02	4/6/03	23/3/04		24/7/05	9/1/06	

Element 7: Incident Management and Monitoring

What is required?

Incidents such as serious accidents or injuries to drivers passengers and the public can threaten the viability of your business. Appropriate systems to monitor and manage incidents are therefore a vital part of an operator's risk management system.

Bus operators are under a legal obligation and a community expectation to professionally manage the immediate impact and aftermath of any accident. In the event of an emergency it is vital that the organisation's response is prompt and well organised.

Procedures are required to:

- Manage the immediate impact of a critical incident (*Pro-forma 7.1*)
- Comply with government reporting and investigation requirements (*Pro-forma 7.2*).

How to implement this requirement

1. Develop procedures which outline how critical incidents or emergencies will be managed in the organisation. These procedures should outline:
 - Who will be responsible for managing various aspects of the emergency (eg overall coordination, onsite management, media management and psychological support)
 - Emergency communication arrangements
 - The sequence of events (particularly for drivers) in the event of an emergency.

Pro-forma 7.1 provides an example of what your critical incident management procedure might look like.

2. Beyond managing the immediate impact of the incident various reporting requirements are mandated by government agencies, including OTSI and Roads and Maritime. *Table 3* outlines these requirements. Each organisation needs a procedure to ensure these reporting requirements are met. The *Sample Incident Reporting and Investigation Procedure (Pro-forma 7.2)* can be used as the basis for this procedure.
3. Ensure all staff and management are trained so they understand these procedures (see Element 6).
4. Where the incident is critical a formal investigation will be required. If so utilise the *Sample Critical Incident Report Form (Pro-forma 7.3)*. Where the problem can't be immediately resolved it may also need to be included in the *Risk Register* (see Element 3).
5. Ensure all incidents are included on the Bus Incident Management Database. This can be accessed from <https://appln.transport.nsw.gov.au/portal/home>

6. Perform monthly reviews of your incident data (your records can be accessed from the Bus Incident Management Database). You may use this data as part of a regular meeting of staff, in which case your *Safety Meeting Record (Pro-forma 2.4)* can be used for this purpose.

Tools

- Sample Critical Incident Management Procedure (*Pro-forma 7.1*)
- Sample Incident Reporting and Investigation Procedure (*Pro-forma 7.2*)
- Sample Critical Incident Report Form (*Pro-forma 7.3*)

Further Help

- *Bus and Coach Operators Incident Management Guidelines*, Bus Industry Confederation, 2004 (downloadable via www.bic.asn.au)
- OTSI Reporting Procedure (Appendix 7a, *Bus Operator's Accreditation Manual*)
- Guidelines for Managing School Student Behaviour on Buses (downloadable via www.transport.nsw.gov.au)

Pro-forma 7.1 Sample Critical Incident Management Procedure

Purpose

The organisation is committed to maintaining effective emergency procedures to protect the safety of employees and members of the public.

Emergencies

Emergencies are abnormal or dangerous situations that require immediate attention. They may include:

- Serious injury to staff or public
- Serious vehicle accident
- Armed hold-up or other violent or life threatening incident.

Responsibilities

The following table outlines the responsibilities of various persons in the event of an emergency:

Driver: Immediate Response	Proprietor/Managing Director: Overall management and Media	Bus Depot Manager: On-site Management and Follow-up
Responsible for: Alerting depot and emergency services. Evacuating passengers and rendering area safe. Responding to requests for assistance from Emergency Service personnel as required. Completing a Critical Incident Management Report on return to base.	Responsible for: Coordination of the organisation's emergency response ie provision of replacement services etc. The Proprietor/Managing Director will nominate a back-up person in case they are not available on the day. All media enquiries, interviews and press releases.	Responsible for: Management at the emergency scene. Reporting to government agencies (eg OTSI and Roads and Maritime) and formally investigating incident. Coordinating psychological counselling for affected staff as required.

Emergency Communications

The driver is to contact the base via the depot's Emergency Hotline Number. Where this number is engaged or the emergency occurs after business hours, the driver should contact:

- The proprietor
- Bus Depot Manager.

Emergency Procedure

1. The driver will contact the depot and emergency services (phone 000) and provide details of:
 - Nature of the emergency (eg vehicle accident, violent incident, etc)
 - Location of vehicle
 - Nature of the injuries (if any)
 - Whether emergency services have been contacted
 - Any other relevant information.
2. The driver is to evacuate the bus where appropriate and direct the passengers to a safe area. Where persons are injured the driver will provide all possible assistance until help arrives.
3. The Depot Manager and appointed staff are to visit the scene of the emergency to lend any necessary assistance to the driver and other parties until emergency services arrive.
4. All media enquiries are to be directed to the nominated media spokesperson.
5. The driver (or Manager if the driver is incapacitated) will complete a Critical Incident Report (*Pro-forma 7.3*) on return to the office.
6. The operator must notify OTSI and Roads and Maritime when required and an internal investigation of the incident is to be conducted. Refer to Incident Reporting and Investigation Procedure (*Pro-forma 7.2*).
7. The issue will be raised at the next staff meeting and listed on the Risk Register (see 3.1) to develop options to prevent recurrence.
8. The driver and affected employees are to be provided with welfare counselling where appropriate.

Signature: _____
Proprietor/Managing

Date: _____

Director

Pro-forma 7.2 Sample Incident Reporting and Investigation

Procedure

Purpose

The organisation's risk management policy, drivers and other staff, will report all incidents involving drivers, passengers and pedestrians. In addition, all critical incidents are to be investigated. This procedure outlines how drivers and operators will meet this requirement.

Procedure

1. All incidents will be reported to the depot manager including:
 - Injuries to staff
 - Injuries to passengers or pedestrians
 - Accidents involving vehicles
 - Incidents of violence, aggression or school children misbehaviour.
2. Where an incident occurs the driver is to advise the operator ASAP. Notification will take place via two way radio and verbally in person when the driver returns to base.
3. On receipt of the notification the depot manager is to ensure all formal notifications take place. This includes reporting to the NSW Office of Transport Safety Investigations (OTSI) and Roads and Maritime. For more information on what type of incidents are to be notified go to www.otsi.nsw.gov.au or www.rms.nsw.gov.au/buses.
4. Where the incident involves a *vehicle accident* the driver will complete the organisation's Accident Register on return to the depot.
5. In the case of a *critical incident* the driver or other staff is to provide a written report of the incident by completing Page 1 of the organisations *Critical Incident Report Form*. Critical incidents include (but may not be limited to):
 - Any injury to passengers, pedestrians or members of the public
 - Any injury to an employee requiring time off work
 - Any accident where the vehicle is unable to continue the journey and/or
 - Any violence, aggression or other life threatening incident (including by schoolchildren).
6. The driver is to provide the Critical Incident Report Form to the operator as soon as practicable after the incident.
7. On receipt of this report the depot manager is to investigate the incident. This will involve completing Page 2 of the *Critical Incident Report Form*.
8. In investigating the incident the depot manager is required to:
 - Consult with relevant staff including the employee representative or safety manager where appropriate

- Consult with relevant authorities including Police, Roads and Maritime, Emergency Services and OTSI as appropriate
 - Examine the work area where the incident took place
 - Examine the bus and other relevant evidence
 - Examine the operational activities or steps leading up the incident.
9. The investigation is to focus on both the immediate reason for the incident (eg coach driver hurt back lifting bags) and underlying causes of the incident (eg driver fatigued, no training on manual handling, etc).
10. The investigation is to be a collaborative approach to devise strategies to prevent a similar incident from occurring in the future.
11. The results of the investigation (including remedial action) are to be recorded on Page 2 of the *Critical Incident Report Form*. The depot manager will:
- Discuss the incident at staff meetings (including WHS Committee where appropriate)
 - Assess and include the issue on the organisation's Risk Register.

OTSI may request that their investigation form is to be completed. If so, this is to be completed.

12. The investigation report is to be reviewed within 2 months to identify whether all remedial action has been completed. The form is then to be filed in the critical incident folder.

Signature: _____
Proprietor/Managing Director

Date: _____

Note: Some incidents may require that a report be furnished to the NSW Police. A flowchart depicting the reporting process is detailed on the following page. Such incidents may involve (but not restricted to) malicious damage to vehicles (through object throwing, graffiti) or incidents which involve personal injury.

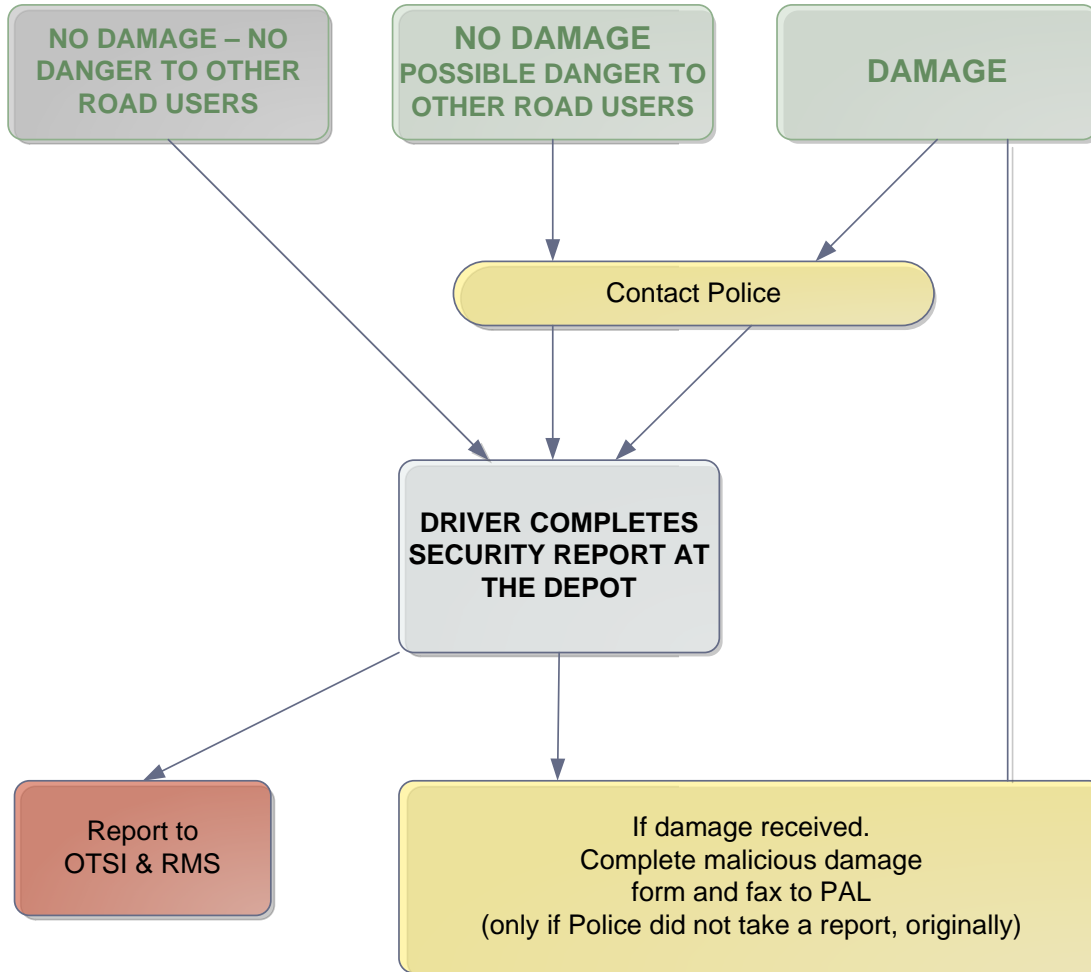
Incident Type	Roads and Maritime	Police (000)	Police Assistance Line	Office of Transport Safety Investigations
Bus Doors	All incidents required	Not Required	Not Required	All incidents required
Collisions	Serious collisions required	<p>Major- Required</p> <ul style="list-style-type: none"> ➤ where vehicles are towed ➤ persons are injured/killed ➤ Any driver is under the influence of drugs or alcohol ➤ driver particulars are not exchanged at the scene 	<p>Minor - Required</p> <ul style="list-style-type: none"> ➤ where no vehicles are towed ➤ no persons are injured/killed ➤ no driver is under the influence of drugs or alcohol ➤ no driver particulars are exchanged at the scene 	All serious collisions required
Fire on Bus (incident that does not result in a collision)	All incidents required	<ul style="list-style-type: none"> ➤ possibly deliberately lit ➤ causes traffic disruption 	Not required	<p>All incidents required</p> <ul style="list-style-type: none"> ➤ One exception, when the fire is deliberately lit and was easily extinguished)
Medical Incident (incident that does not result in a collision)	All incidents required	Not required	Not required	All incidents required
Offensive Behaviour	All incidents required	All incidents required	Not required	Not required
Projectiles	All incidents required	<p>Required</p> <p>If injured or offenders are</p>	No injury – Required	Not required

Incident Type	Roads and Maritime	Police (000)	Police Assistance Line	Office of Transport Safety Investigations
		still at the scene		
Runaway Bus	All incidents required	Report to local Police	Not required	All incidents required
Security Threat	All incidents required	All incidents required	Not required	Not required
Slips, Trips and Falls	All incidents required	Not required	Not required	Required if: ➤ Injury
Threatening/ Intimidating Behaviour	All incidents required	All incidents required	Not required	Not required
Vandalism	All incidents required	Required if: ➤ injured offenders are still at the scene (ie police can apprehend offenders)	Required if: ➤ No injuries ➤ Graffiti ➤ Damage to fixtures and fittings ➤ an Other	Not required

Table 3: Incident Reporting Requirement

Note: These requirements do not abrogate an operator's responsibility to report matters to other agencies including WorkCover and insurers.

Flow Chart – Object Throwing Incident



Remember, if there has been damage, injury or possible danger to others, the offence should be reported to Police. Obtain an Event Number for your records.

Note: Operators should contact their workers compensation insurer within 48 hours In the event that an accident results in employee injury

Table 4: Object Throwing Reporting Flowchart

Pro-forma 7.3 Sample Critical Incident Report Form

STAFF REPORTING CRITICAL INCIDENT TO COMPLETE PAGE 1 OF FORM AND PROVIDE TO THE DEPOT MANAGER IMMEDIATELY.

MANAGER CONDUCTING INVESTIGATION TO COMPLETE PAGE 2 OF FORM.

MANAGER MAY NEED TO REPORT INCIDENT TO ROADS AND MARITIME, Police, OTSI, and/or WORKCOVER NSW (refer to Incident Reporting and Investigation Procedure, Pro-forma 7.2 for Further Details),

INCIDENT DETAILS

- PASSENGER/PUBLIC INJURY EMPLOYEE LOST TIME INJURY
 SIGNIFICANT VEHICLE ACCIDENT VIOLENCE/LIFE THREATENING*

* Includes object throwing or aggression/violence by passengers, public or other staff

Date of Incident _____ Estimated Time _____

Street address/area where incident occurred

Name of person reporting incident: _____

Were any persons injured in incident? Names and injuries:

If employee injured, estimated time lost from incident: _____

Witnesses to incident: _____

How did the incident happen?

Were any instructions/training available for this activity? Please specify

Suggestions how future incident of this type could be prevented:

INVESTIGATION

What was the immediate reason for the incident?

Were workplace conditions a factor in the incident? Please specify:

What were the underlying causes of the incident? List as many as appropriate:

Recommended remedial actions (to prevent accident from recurring):

Nominated officer/s for implementing corrective action

Date for completion of remedial action _____

Manager's signature _____ date _____

Form to be forwarded to Proprietor/Managing Director

Proprietor/Managing Director agrees with nominated remedial action _____

Other action recommended by Proprietor/Managing Director

**Proprietor/Managing Director to refer Report for staff meeting/training where issue not Personal or Confidential*

TWO MONTH REVIEW

CORRECTIVE ACTION COMPLETED _____

MANAGER'S SIGNATURE: _____ DATE _____

Element 8: Audit and Evaluation

What is required?

A Safety Management System is a “live document” that is reviewed and updated to ensure that it remains relevant to your current operations. As part of this process, operators are required to conduct an internal review of the system. This internal review is distinct and additional to the Annual Self Assessment Report (ASAR) which operators send to Roads and Maritime each year.

In addition, an independent (third party) audit is required every three years.

An audit is a methodical, planned review of your SMS to ensure that it is working effectively and to identify areas requiring improvement. The audit ensures there are written procedures in place, and that staff and management are aware of these procedures and apply them in practice.

Audits usually involve:

- A review of documentation
- Interviews with staff and management
- An inspection of work activities.

How to implement the requirement

1. Plan the audit. An audit plan should identify who, when, and what the audit will cover. The *Sample Annual Audit Report (Pro-forma 8.1)* can assist this process.
2. Identify *who* will conduct the audit. Audits can be conducted by a “team” (eg a group of staff or managers) or particular elements of the system can be conducted by different managers or staff. Include the names of the auditors on your audit report. To assist the integrity of the audit it helps to have a manager/employee from outside the section to audit a particular area. Larger operators may consider engaging an external safety consultant to conduct the audit.
3. Identify *when* the audit will take place. An internal audit must take place at least annually. Ideally, a self-audit should take place immediately before completing the ASAR. See Diagram below.
4. Identify the *scope* of the audit. The audit may cover all of the SMS elements or focus on one or more elements in detail. This is imperative when something in the business operations changes.
5. Conduct the audit and document findings. The findings of the audit should be based on evidence rather than assumption. On the basis of this evidence determine whether SMS elements have been met. Note this evidence along with findings in the *Audit Report (Pro-forma 8.1)*. Where non-compliance is identified actions to correct non-conformance should be included.
6. When the audit is completed, summarise the corrective actions, along with persons responsible for those actions and expected completion dates in an *Improvement Plan (Pro-forma 8.2)*. This Improvement Plan can act as a summary of audit findings.

7. Where appropriate include these actions in your *Risk Register (Pro-forma 3.1)* and *Staff Meeting Records (Pro-forma 2.1)* to ensure they are implemented in accordance with the schedule. The Improvement Plan should also be reviewed prior to the next audit to ensure that previous non-compliance is a focus of the next audit.
8. The audit must be documented.

Protocols

- Auditor Protocol when operator unavailable for BOAS Audit
- Operator Protocol when operator unavailable for BOAS Audit

Operator unavailable for BOAS audit: Auditor Protocol

Introduction:

Section 4 of the *Bus Operator Accreditation Scheme Audit Tool* requires the BOAS auditor to acknowledge in their audit report that the person involved in the bus operator's audit was either:

- The accredited bus operator
- A designated Manager/Director (in the case of a corporation)
- A person nominated by the accredited operator and approved by Roads and Maritime to take part in the audit.

There have been instances of audits being conducted without such a person being present. The following protocol provides advice to auditors on what auditors will do when it appears that an operator or designated manager will not be available at the audit.

Procedure:

1. The process to be followed in preparing for an audit of the bus operator's system is outlined in The BOAS Auditor's Handbook. As outlined at section 3.0 of the Handbook, when contacted by a bus operator to undertake an audit, the auditor needs to arrange the date, time and location of the audit.
2. As part of these discussions, the auditor should remind the operator or designated manager, that they are required to be present on-site when the audit is undertaken.
3. As part of the documentation provided to the operator ahead of the audit date, the auditor should also include advice that the operator is required to immediately notify the auditor if the operator/designated manager will be unavailable on the date agreed for the audit.
4. Where the auditor receives notification that the operator/designated manager will not be available, the auditor is to cancel the audit and arrange an alternative date when the operator or designated manager will be available.
5. If at short notice the operator/designated manager is not able to attend the audit, then the responsibility of the operator/designated manager can be conferred to another person, the auditor is to advise Roads and Maritime:
 - a) The person nominated should have sufficient competence and knowledge of BOAS requirements to be able to assist the auditor (eg by locating documentation and answering the auditor's questions). The nominated person is not required to have successfully completed the BOAS course but should possess sufficient knowledge of the day to day operations of the business. The person would be nominated as a last resort resulting from unforeseeable circumstances.
 - b) The nominated person **MUST BE APPROVED IN WRITING** by Roads and Maritime to attend the audit on the operator's behalf. This can occur at short notice by contacting Roads and Maritime on telephone 02 8849 2640 or on telephone 02 8849 2649 for metropolitan or outer metropolitan audits. Arrangements must be made during business hours between 8.30am – 4.30pm.
6. Prior to proceeding with an audit where the operator or designated manager is not present, the auditor **MUST** sight and make a copy of the Roads and Maritime approval.

7. If the auditor arrives at the depot/premises and the operator or designated manager is unavailable (and the operator is unable to provide evidence of Roads and Maritime/TfNSW approval for the person available), the audit should be terminated and re-arranged for another date. **The audit is not to proceed without the accredited operator or Designated Manager/Director present.**
8. The auditor should advise Roads and Maritime/TfNSW in the event that the auditor is unable to arrange an alternative date when the operator/designated manager will be available.
9. Auditors should ensure that their contractual arrangement with the operator makes allowance for an instance where the auditor arrives at the depot/premises and the operator, designated manager or nominated person is unavailable. An example of this would be by enabling compensation to be paid by the operator to the auditor for time and travel costs.

Operator unavailable for BOAS audit: Operator Protocol

Introduction:

Section 4 of the Bus Operator Accreditation Scheme (BOAS) Audit Tool requires the “person involved in the audit” to be either:

- The accredited bus operator or
- A designated Manager/Director (in the case of a corporation) or
- A person nominated by the accredited operator and approved by Roads and Maritime to take part in the audit.

Recently, there have been instances of audits being conducted without such a person being present. The following advice provides information for operators on the procedure to be followed when it appears that the operator or designated manager may be unavailable at the time of the audit.

Procedure:

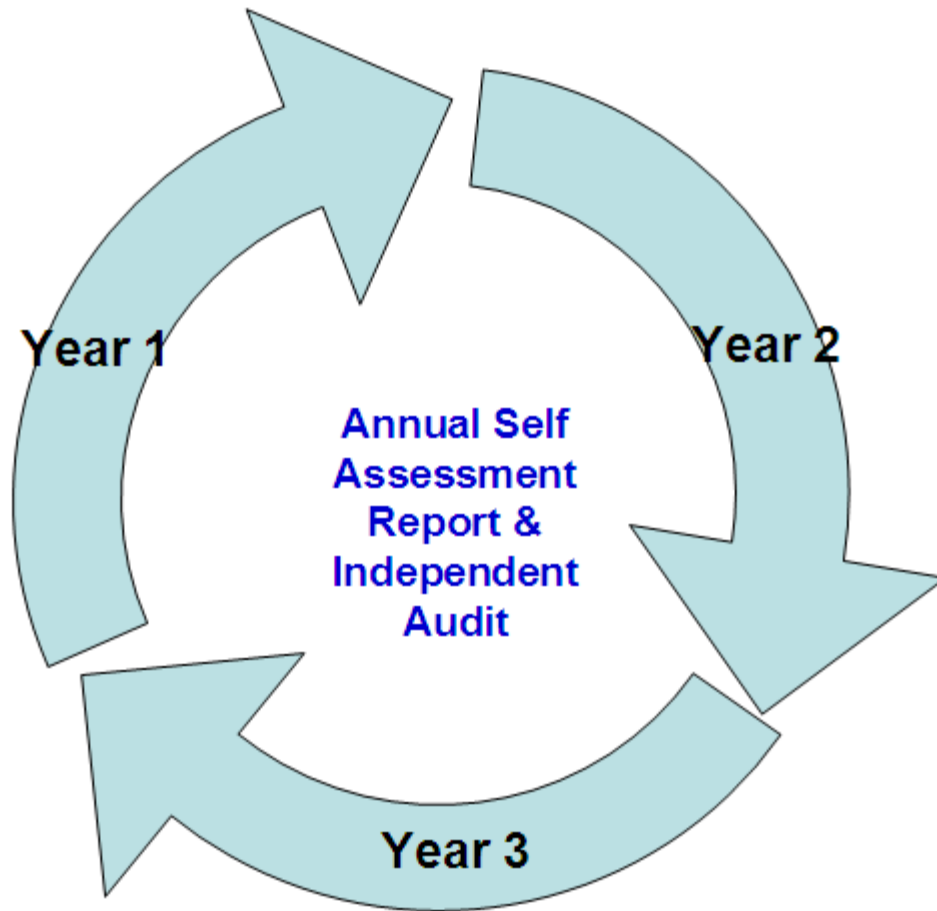
1. As a condition of accreditation, bus operators are required to undergo an audit by an accredited BOAS auditor at least once during their three year accreditation period.
2. The operator is responsible for contacting an auditor of their choice from Roads and Maritime’s list of accredited auditors (available on the Roads and Maritime website).
3. In arranging the audit date with the auditor, the operator must ensure that they (or in the case of a corporation, their Designated Manager) will be available on the day chosen for the audit.
4. If circumstances change (for example, as a result of sickness or family issues) and the operator or designated manager will be unavailable at the arranged audit date, the operator **MUST CONTACT THE AUDITOR IMMEDIATELY** and arrange an alternative date (when the operator or designated manager will be available).
5. Where the operator wishes a person other than the operator/designated manager to attend in their stead, the operator **MUST** ensure that:
 - a) The person nominated should have sufficient competence and knowledge of BOAS requirements to be able to assist the auditor (eg by locating documentation and answering the auditor’s questions). The nominated person is not required to have successfully completed the BOAS course but should possess sufficient knowledge of the day to day operations of the business. The person would be nominated as a last resort resulting from unforeseeable circumstances.
 - b) The nominated person **MUST BE APPROVED IN WRITING** by Roads and Maritime to attend the audit on the operator’s behalf. This can occur at short notice by contacting Roads and Maritime on telephone (02) 8849 2640 or telephone (02) 8849 2649 for metropolitan or outer metropolitan audits. Arrangements must be made during business hours between 8.30am – 4.30pm.
6. The operator must provide a copy of this Roads and Maritime/TfNSW approval to the auditor prior to the audit proceeding.

Under no other circumstances is an audit to proceed without the accredited operator Designated Manager/Director present.

Tools

- Sample Audit Report (*Pro-forma 8.1*)
- Sample Improvement Plan (*Pro-forma 8.2*)

The process for evaluating and auditing your SMS is illustrated in the flow-chart below:



EVERY YEAR

Operator completes and returns Annual Self-Assessment Report (ASAR) to RMS

EVERY THREE YEARS

Operator engages RMS accredited auditor to undertake BOAS Audit

Pro-forma 8.1 Sample Audit Report

Audit Team: _____

Audit Date/s: _____

Audit Scope (System Elements to be audited): _____

SMS ELEMENT	COMPLIANCE Y/N	EVIDENCE/COMMENTS	CORRECTIVE ACTION
<p>1. SMS Policy</p> <p>Has a policy been developed?</p> <p>Does it include safety objectives?</p> <p>Is it signed by top management?</p> <p>Is the policy displayed in a prominent location in the workplace?</p> <p>Are employees familiar with the content of the policy?</p>			
<p>2. Management, Accountabilities, Responsibilities and Communication</p> <p>A senior management position is nominated for overall responsibility for SMS?</p> <p>Have position descriptions been developed and maintained for all Transport Safety Employees?</p> <p>Does a system exist to ensure safety</p>			

SMS ELEMENT	COMPLIANCE Y/N	EVIDENCE/COMMENTS	CORRECTIVE ACTION
<p>information (including changes to safety related issues) is communicated to appropriate staff?</p> <p>Is there a system for development, review, approval and distribution of SMS documentation within the organisation?</p>			
<p>3. Risk Management</p> <p>Has a Risk Register been prepared?</p> <p>Has a position been nominated for the maintenance of the Risk Register?</p> <p>Has the Risk Register been reviewed recently?</p> <p>Operators servicing major transport interchanges:</p> <p>Does the risk management system include security issues?</p>			
<p>4: Procedures & Documentation</p> <p>Has the organisation identified high risk activities and developed documented procedures?</p> <p>Are there procedures for elements of the SMS including:</p> <ul style="list-style-type: none"> • bus maintenance? • driver health monitoring? • pre-departure and sign on? • Incident management? 			

SMS ELEMENT	COMPLIANCE Y/N	EVIDENCE/COMMENTS	CORRECTIVE ACTION
<p>Have the procedures been approved by proprietor and/or senior management?</p> <p>Are procedures/documents accessible by all staff?</p> <p>Have staff and contractors been trained in these procedures? Are these training records available?</p> <p>Is there a document control system?</p>			
<p>5. Employee Monitoring</p> <p>Has the organisation established appropriate policies and procedures relating to fitness for duty?</p> <p>Has the organisation established a personnel records system to facilitate monitoring of authorisation status?</p> <p>Has the organisation established procedures for managing health/issues that arise for drivers and other transport safety workers?</p> <p>Has the organisation established a fatigue management program, including monitoring of driver hours?</p> <p>Has the organisation established a drugs and alcohol program?</p> <p>Has the organisation included employee obligations in relation to health, drugs and alcohol and fatigue in their training program, including induction?</p>			

SMS ELEMENT	COMPLIANCE Y/N	EVIDENCE/COMMENTS	CORRECTIVE ACTION
<p>6. Training and Education</p> <p>Has the organisation determined the skills staff require?</p> <p>Does the organisation undertake staff appraisals or other assessments to establish the current skills and qualifications of staff?</p> <p>Has the operator established a personnel records system?</p> <p>Has the organisation updated the personnel records system to reflect updated staff skills and qualifications?</p> <p>Has the organisation ensured that staff are aware of all responsibilities (including specific safety responsibilities) contained within position descriptions, procedures, the employee handbook and other safety documentation?</p>			

<p>7. Incident Management and Monitoring</p> <p>Does the organisation have procedures in place to:</p> <p>Notify incidents to the Office of Transport Safety Investigation (OTSI) and other relevant authorities eg Police, WorkCover, Roads and Maritime etc?</p> <p>Manage incidents both in and out of normal business hours eg contact lists, emergency numbers etc?</p> <p>Notify necessary staff in the event of an incident and / or emergency situation?</p> <p>Conduct safety investigations as required by the Roads and Maritime or OTSI?</p> <p>Capture, record and report on incident data, to enable management to review suitability of existing risk controls?</p> <p>Perform regular reviews of safety performance using incident and other data?</p>			
<p>8. Audit and Evaluation</p> <p>Has management reviewed the effectiveness of the safety management system at least annually?</p> <p>Is there evidence that the SMS and its elements are used within business as usual?</p> <p>Is there evidence that improvements</p>			

<p>are made to the SMS when needed improvements are identified?</p> <p>Is there any evidence that the SMS has improved safety?</p> <p>Has the organisation developed an annual audit plan?</p> <p>Does the organisation ensure that staff performing audits have the necessary skills to conduct audits and are independent from the section they are auditing?</p> <p>Does the report highlight any items raised as a result of auditing as formal Corrective Actions?</p> <p>Can the organisation demonstrate how it will close out and verify any identified Corrective Actions as a result of the auditing process?</p> <p>Does the organisation prepare formal internal audit reports for review by management?</p>			
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Signature/s of Audit Team: _____

Reviewed by Management Name of Manager: _____

Position: _____

Date: _____

Pro-forma 8.2 Sample Improvement Plan:

Period _____

Element	Corrective Actions (as identified in Audit Report)	Responsible Officer	Date Completed
1. Policy, Commitment and Objectives			
2. Management Accountabilities and Communication			
3. Risk Management			
4. Procedures and Documentation			
5. Employee Monitoring			
6. Training and Education			
7. Incident Management and monitoring			
8. Audit and Evaluation			

Signature: _____
Proprietor/Managing Director

Date: _____