



Point to Point
Transport Commissioner

SAFETY AUDIT TOOL

TO BE COMPLETED BY AUTHORISED OFFICERS OF
THE POINT TO POINT TRANSPORT COMMISSIONER



Audit Summary

Section	Description	Summary Result (Compliant or Non-compliant)
3-5	Details	
6	Management Information System	
7	Vehicle maintenance	
8	Vehicle inspection	
9	Service Provider management and records	
10	Safety Management System (SMS)	
	Element 1	
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	Element 8	

AUDITOR'S DECLARATION – I declare as an auditor I have not acted as a consultant to the above service provider either previously, during or after an audit.

Name of auditor	Signature	Date

Name of service provider	Signature	Date

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1. Audit details

Date of Audit

Time of Audit

Audit Location

2. Auditor details

Name of auditor

Company

Phone number

Email address

3. Service Provider details

Name on Authorisation

Authorisation number/s

Phone number

Trading Name

Email address

Mobile number

Fax number

Office address

Postcode

Depot address (if different to above)

Postcode

Postal address (if different to above)

Postcode

Records held address (if different to above)

Postcode

3.1 Are the above details correct?

Yes No

Provide details if no applies

Authorisation (tick applicable):

Taxi Service
Booking Service

Total number of drivers: _____

Total number of vehicles operating at time of audit: _____

Total number of vehicles sampled for audit: _____

If operating as both a taxi and booking service:

Total licenced taxis _____

Total other vehicles _____

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

Provide an overview of the service providers business including type of services and if there are other passenger services provided, that is not part of this audit.

4. Persons involved in audit

4.1 Name of person/s involved in the audit including their position title

Note: The person involved in the audit must be the authorised service provider, nominated director/manager or a person nominated by the authorised service provider and approved to take part in the audit.

5. General details

5.1 In the case of a Body Corporate, is the nominated director or manager involved in the day to day operation?
Yes No N/A

Provide details

5.2 Is the service provider aware of their authorised conditions?
Yes No

Provide details

6. Management Information System

Insurance – All service providers

6.1.1 Does the service provider ensure that all vehicles used have the required third party property damage cover of at least \$5 million? Yes No

6.1.2 Has the service provider conducted a risk assessment in determining how insurance policies are checked? Yes No N/A

6.1.3 Does the service provider have a system in place to ensure insurance policies are current when vehicles are being used to convey passengers? Yes No

6.1.4 Has the service provider determined that there were any gaps in previous years' policies? Yes No

If yes, please detail what measures the service provider has taken to reduce this risk for the future.

Provide details

Driver Vehicle Dashboard (DVD) – All service providers using the DVD

6.2.1 Does the service provider use the Point to Point Transport Commission's DVD to determine driver eligibility and vehicle registration? Yes No

(if yes, proceed with questions 6.2.2 to 6.2.10. If no, go to question 6.3.1)

6.2.2 Did the service provider request completed consent forms from the drivers/vehicle owners with respect obtaining DVD portal information? Yes No

6.2.3 Does the service provider perform their own audits or check that the drivers (and vehicles) are removed from the DVD when they no longer drive for the service provider? Yes No

6.2.4 Has the service provider ever had a result where the driver no longer met the requirements? Yes No

If so, what procedure did they employ in relation to this matter?

Provide details

Terms and Conditions (only applicable for those Service Provider's using the DVD)

6.2.5 Has the service provider maintained a record of all accesses to the DVD (to be verified against a report of the service providers DVD use from Salesforce) and to the industry portal?
Yes No

6.2.6 Can the service provider confirm that it has not created an alternative or parallel database?
Yes No

6.2.7 Can the service provider confirm that it has not passed on or shared information from the DVD?
Yes No

6.2.8 Was the service provider user login recorded against each check/report of the DVD by the service provider or the persons they authorise to use the DVD for security and audit purposes?
Yes No

6.2.9 Has the service provider provided training (provide dates/details/methods of training) to ensure the integrity of DVD password and login use by its authorised users as described in the terms and conditions?

- (i) keep passwords secure and separate from their user login;
- (ii) ensure each password and user login is not used or accessed by any person other than the authorised user to whom that login has been allocated;
- (iii) passwords and user logins must not be shared between authorised users; and
- (iv) authorised users must log out of the DVD when they vacate or are otherwise not using the DVD.

Yes No

6.2.10 Can the service provider confirm that it does maintain the security of the systems and network used to access the industry portal and the DVD? In particular can the service provider provide evidence that:

- (v) they are in secure locations;
- (vi) the systems and networks are under the control of the User;
- (vii) network devices such as firewalls, routers and Intrusion Detection Systems are configured to control connections to alert the User when suspicious events on the User's systems are identified;
- (viii) its systems and networks are protected from the public Internet by an appropriate firewall;
- (ix) its systems and networks are protected by appropriate anti-virus and anti-spyware software;
- (x) operating systems and other base software are kept up-to-date with the applicable vendor security patch releases; and
- (xi) the User undertakes all reasonable measures to ensure the security of the Industry Portal from access by unauthorised users.

Yes No

Provide details

All service providers not using the DVD (6.3.1- 6.4.3)

Driver matters

6.3.1 Has the service provider conducted a risk assessment on how they will manage driver matters relating to disqualifying offences, eligibility and medical fitness?

Yes No

6.3.2 How does the service provider ensure drivers have not been proven to be guilty of a **disqualifying offence**?

Yes No

6.3.3 Does the service provider maintain a system to ensure **drivers are eligible** under c.25, Point to Point Transport (Taxis and Hire Vehicles) Regulation 2017? (drivers who are driving have held an unrestricted drivers licence for a total of 12 months in the past 2 years)

Yes No

6.3.4 Does the service provider maintain a system to ensure a driver complies with the *Assessing Fitness to Drive* requirements? (*Refer to Guide for further detail*)

Yes No

Provide details

Vehicle registration

6.4.1 Does the service provider have a list of registration numbers for each vehicle used to provide a service? (This could be in the fleet register or individual registration papers).

Yes No

6.4.2 Does the service provider ensure that the vehicles are registered?

Yes No

6.4.3 Has the service provider determined any previous late payments of registration?

Yes No

If yes, detail what measures the service provider has taken to reduce this risk for the future.

Provide details

General – All service providers

- 6.5.1 Does the service provider maintain a feedback register to record compliments and complaints received and actions taken?

Yes No

Provide details

Taxi only

- 6.5.2 Does the service provider maintain a register of taxi licence expiry dates?

Yes No N/A

- 6.5.3 Is the taxi service provider aware of the conditions associated with each taxi licence?

Yes No N/A

Provide details

7. Vehicle maintenance

Driver reported faults

- 7.1 Does the service provider ensure there is a system in place for drivers to report faults with vehicles and that the faults are actioned?

Yes No

Note: Auditor should review samples and confirm faults are being rectified if applicable.

Maintenance Plan - Auditor should detail how the service provider is ensuring maintenance requirements are being complied with.

- 7.2 Does the service provider ensure that vehicles are being maintained in accordance with the manufacturer's recommended maintenance standards?

Yes No

- 7.3 Does the service provider ensure vehicle maintenance records are held in the form approved by the Commissioner?

Yes No

- 7.4 Has the service provider ensured maintenance is carried out by a licensed mechanic?

Yes No

Note: Auditor required to, check the risk register to determine how the service provider established procedures to ensure only licensed mechanics are carrying out safety related maintenance and provide relevant notes below regarding vehicle maintenance.

Vehicle pre-departure and end of shift procedures

- 7.5 Does the service provider ensure procedures have been developed and are being conducted in relation to pre-departure and end of shift safety checks on vehicles?

Yes No

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

8. Vehicle Inspection

- 8.1 Has the service provider ensured all vehicles used have been inspected as per the minimum requirement of one inspection per year? **(Auditor is required to check registration papers for vehicle inspection requirements)**

Yes No

- 8.2 Are the frequency of vehicle inspections based on the service providers risk assessment?

Yes No

- 8.3 Is there a system in place for service providers being advised if vehicles do not comply with inspections?

Yes No

- 8.3.1 If vehicle have failed inspection was it related to safety issues such as brakes, steering and suspension?

Yes No

- 8.4 Has the service provider been advised of any vehicle been subject to a defect notice?

Yes No

- 8.4.1 If so, was the vehicle used as a passenger service while subject to the defect notice?

Yes No

Provide details

Hire Vehicle signage

- 8.5 Do service providers of hire vehicles (other than a motor cycle) ensure drivers displaying a retroreflective sign making it apparent that the vehicle is a hire vehicle, is located on or near the rear of the driver's side of the vehicle and is clearly visible from the outside of the vehicle?

Yes No

Provide details

Taxi Service Provider Only

Stand-by Taxis

8.6 Does the taxi service provider ensure Stand-by Taxis comply with requirements?

Such as display number plate of both licenced taxi and stand-by taxi; conditions of the taxi license; display a sign identifying it as a stand-by taxi as well as standards for taxis.

Yes No N/A

Provide details

Displaying Information

8.7 Can the service provider demonstrate there is a procedure to ensure all required information is displayed in taxis (vehicle registration, fare and fee information, contact information of Authorised Taxi service provider)?

Yes No N/A

Provide details

Fare Calculation Device

8.8 Can the taxi service provider demonstrate there is a procedure in place to ensure all taxis are fitted with fare calculation devices?

Yes No N/A

8.8.1 Does the taxi service provider, ensure the fare calculation device clearly visible to all passengers and securely fixed within the taxi?

Yes No N/A

Provide details.

Tracking and Security Systems

- 8.9** Are there back to base duress alarm systems fitted to all taxis operating in the Sydney Metropolitan, Newcastle, Wollongong and the Central Coast regions?
Yes No N/A
- 8.9.1** **Duress Alarm System** - Is there evidence of maintenance testing, training in their use and procedures when activated?
Yes No N/A
- 8.9.2** Are vehicle tracking systems (GPS) fitted to all taxis operating in the Sydney Metropolitan, Newcastle, Wollongong and the Central Coast regions?
Yes No N/A
- 8.9.3** Is there an approved security camera system installed in all taxis?
Yes No N/A
- 8.9.4** Can the service provider provide evidence of maintenance logs for the installed security camera systems in all taxis?
Yes No N/A
- 8.9.5** Does the taxi service provider maintain a system to dispose of images of recordings made by security camera systems installed in taxis between 30 and 90 days?
Yes No N/A
- 8.9.6** Can the taxi service provider demonstrate that images captured by security camera systems are stored and protected against use for unauthorised purposes?
Yes No N/A
- 8.9.7** Are signs placed in and on the outside of a taxi that is fitted with security camera system, advising persons that they may be under video surveillance?
Yes No N/A

Provide details

Wheelchair accessible Taxis (WAT)

- 8.10** Does the service provider ensure all WATs providing services meet engineering specifications and standards?
Yes No N/A
- N/A will only apply if the service provider is not operating WAT vehicle**
- 8.10.1** Do Stand-by taxis used as a WAT comply with the clause 83 Point to Point Transport (Taxis and Hire Vehicle) Regulation 2017; construction of WAT and display "STAND-BY TAXI" clearly visible from the front of the taxi?
Yes No N/A

N/A will only apply if the service provider is not operating WAT vehicles (Refer to Guide for further detail)

Provide details

Motor cycle requirements

8.11 Do all motor cycles for hire comply with Australian Design Rules (specified in *Motor Vehicles Standards Act 1989 Cmth*)? Yes No N/A

8.11.1 Do all motor cycles for hire comply with standard operating requirements, such as, wheel guards, LD or LE vehicles for unsealed roads, LC must not be two-stroke and not have an engine capacity of less than 500cc? Yes No N/A

Provide details

9. Service Provider management and records

ALL HIRE VEHICLES

Information made available to hirer (Booking Service Provider)

9.1 Has the information regarding the taxi or hire vehicle and driver been provided to the passenger prior to commencement of the journey? Yes No N/A

Provide details

Booking Service Providers

9.2 Do records of passenger service transactions comply with requirements to keep booking information for 2 years (including: date of the booking and time it was made; full name of driver (plus ID number if taxi); vehicle (registration number); location, commencement and end of journey details; contact information (phone number or email or address) of at least one passenger from the booking)? Yes No N/A

9.3 Can a booking service provider demonstrate that their hire car fares have been published or provided to passengers? Yes No N/A

Provide details

WAT bookings

- 9.4** If a WAT service, has the passenger also been provided with the estimated time of arrival and collection point, prior to the commencement of the journey?
Yes No N/A
- 9.5** Are all WAT service bookings in the Metropolitan Transport District provided through the approved service provider (approved by the Commissioner via notice published in the gazette for the purposes of the Regulation)?
Yes No N/A

Provide details

Taxi Services

- 9.6** Do records of passenger service transactions comply with requirement to keep booking information for 2 years (including: date of the journey and the time it commenced and ended; full name of driver (plus ID number); vehicle (registration number); location, commencement and end of journey details; amount of the fare.)?
Yes No N/A
- 9.7** Taxi fare structure/determination is in line with fare order under the c.53, Point to Point Transport (Taxis and Hire Vehicles) Regulation 2017)?
Yes No N/A
- 9.8** Does the taxi service provider publish taxi fare structure on their websites and inside their taxis?
Yes No N/A
- 9.9** Has the charge for soiling a taxi been included in the fare structure and published in the taxi and on the service provider's website if applicable?
Yes No N/A

Provide details

ADDITIONAL DRIVER REQUIREMENTS

Driver identification (Taxi only)

- 9.10 Have all drivers' identification available (ID card or electronically) been provided? Yes No

Driver of a wheelchair accessible vehicle competency

- 9.11 Does the service provider maintain a system to ensure that the driver of a wheelchair accessible vehicle can demonstrate the appropriate level of competence in safely loading, restraining and un-loading passengers? (Refer to Guide for further detail) Yes No N/A

English language requirements (Taxi only)

- 9.12 Does the service provider maintain a system to ensure that all taxi drivers who ply for hire or stand on a road or related area in the defined Metropolitan area meet English language requirements? Yes No N/A

Provide details

Driver Related Offences

- 9.13 Does the service provider have policies and systems to ensure all, "driver related offences" are known by drivers and are reported to the service provider? (Refer to Guide for further detail) Yes No

- 9.14 Has the service provider developed and implemented an education program on driver related offences? Yes No

Provide details

NOTIFICATION TO COMMISSIONER

- 9.15 Have the requirements been met to notify the Commissioner within 7 days of prescribed changes (c.40, Point to Point Transport (Taxis and Hire Vehicles) Regulation 2017) in relation to:
- nominated Director or manager ceases to reside in the state or the day to day management of the service.
 - change of premises that service is being delivered.
 - change of premises where records are being held.
- (Refer to Guide for further detail) Yes No N/A

- 9.16 Have requirements been met to provide written notice to the Commissioner within 7 days if a nominated manager ceases to comply with the applicable authorisation standards? Yes No N/A

Provide details

10. Safety Management System (SMS)

Element 1 – SMS Policy, commitment and objectives

- 10.1.1 Does the service provider have an SMS Policy? Yes No
- 10.1.2 Has the policy been signed off by senior management? Yes No
- 10.1.3 Is the policy accessible and/or able to be viewed? Yes No
- 10.1.4 Is the policy incorporated into the employees/contractors/drivers handbooks (if applicable), induction and training materials? Yes No
- 10.1.5 Did the service provider consult with those who are responsible for safety duties, whilst developing the SMS? Yes No

Note: A safety standard is specified for a provider of a passenger service, affiliated provider, facilitator of an affiliated service, provider of a booking service, vehicle owner or driver and the holder of a taxi licence. Auditors are required to confirm and sight documented evidence that consultation occurred and to provide detail below.

Element 2 – Management accountabilities, responsibilities and communications

- 10.2.1 Has a management representative been nominated to maintain, oversee and implement the SMS? Yes No
- 10.2.2 Are SMS responsibilities and accountabilities documented and communicated for those holders of the responsibilities? Yes No
- 10.2.3 What systems are in place to communicate with people that have safety duties regarding any changes in the SMS or safety related activities? Yes No

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

Element 3 – Risk management

- 10.3.1** Does the service provider have a risk register which is suitable to their business? Yes No
- 10.3.2** Does the register identify hazards (potential and current)? Yes No
- 10.3.3** Does the register provide details regarding the severity of the hazards (if they occur)? Yes No
- 10.3.4** Does the register provide an indication relating to the likelihood of hazards occurring? Yes No
- 10.3.5** Does the register provide a risk rating (risk score) for each of the identified hazards and controls? Yes No
- 10.3.6** Does the register describe how the risks will be managed? Yes No
- 10.3.7** Does the register detail the employees/contractors/drivers responsible for the management of the identified risks? Yes No
- 10.3.8** Has the register been reviewed and updated as required? Yes No
- 10.3.9** Have risk controls identified in the risk register been implemented? (Auditor to review the controls of the two highest rated risks)? Yes No

Provide details

Specific Risk Management Strategies for High Risk Issues

Violence

- 10.3.10** Has a risk assessment been completed relating to violence in the workplace? Yes No
- 10.3.10.1** Does the risk assessment identify a need for **policies and procedures** for the prevention of violence in the workplace? (This may include 'dealing with difficult passengers' or 'conflict resolution' procedures.) Yes No
- 10.3.10.2** Have the policies and procedures been incorporated in the **on-boarding and training**? Yes No

Provide details

Psychological risks

10.3.11 Has a risk assessment been completed in relation to **psychological risks** within the workplace? Yes No

10.3.11.1 Does the risk assessment identify a need for **policies and procedures** for the prevention of psychological risk in the workplace? (This may be included in the code of conduct requirements and expected workplace behaviour; work place practices concerning psychological health and/or access to counselling or assistance programs.) Yes No

10.3.11.2 Have the policies and procedures been incorporated in the **on-boarding and training**? Yes No

Provide details

Driver distraction

10.3.12 Has a risk assessment been completed in relation to **driver distractions**? Yes No

10.3.12.1 Does the risk assessment identify a need for **policies and procedures** to minimise driver distractions and ensure the correct use of TSP and BSP technology? (This may include issues such as, 'taking of personal phone calls', and 'use of multiple devices' whilst driving) **Auditor should confirm that an inspection regime or spot checks of vehicles to ensure adherence to policies.** Yes No

10.3.12.2 Have the policies and procedures been incorporated in the **on-boarding and training**? Yes No

Provide details

Soliciting and Touting

10.3.13 Has a risk assessment been completed in relation to **Soliciting and Touting**?

Yes No

10.3.13.1 Does the risk assessment identify a need for **policies and procedures** addressing the requirements to not 'solicit and tout' for services? (This should include a system to report non-compliance, monitoring including spot checks of high risk locations e.g. airport or events and remedial action.)

Yes No

10.3.13.2 Have the policies and procedures been incorporated in the **on-boarding and training**?

Yes No

Provide details

Passenger Pick up and Set down

10.3.14 Has a risk assessment been completed in relation to **Passenger Pick up and Set down** ensuring consideration to the safety of passengers entering and alighting the vehicle and the surrounding environment?

Yes No

10.3.14.1 Does the risk assessment identify a need for **policies and procedures** to ensure drivers are aware of the importance picking up and setting down of passengers in safe areas?

Yes No

10.3.14.2 Have the policies and procedures been incorporated in the **on-boarding and training**?

Yes No

Provide details

Transporting Vulnerable Passengers (TVP) or passengers with care and support needs including the visually impaired.

10.3.15 Has a risk assessment been completed in relation to **Transporting Vulnerable Passengers (TVP) or passengers with care and support needs including the visually impaired?** (The assessment should take into consideration the need of the passenger entering and alighting from the vehicle safely with assistance and that in the case of a visually impaired passenger they are advised clearly of the location and surrounds.)

Yes No

10.3.15.1 Does the risk assessment identify a need for **policies and procedures** in place and accommodates assistance animals? (The service provider must demonstrate they will ensure driver compliance with clause 64 of the Regulations.)

Yes No

10.3.15.2 Have the policies and procedures been incorporated in the on-boarding and training?

Yes No

Provide details

Wheelchair Accessible Vehicles (WAV) only

Preference to a person that is confined or restricted to a wheelchair

10.3.16 Does the service provider have policies and systems to ensure all drivers are aware that preference is to be given to a person that is confined or restricted to a wheelchair when using a WAV (wheelchair assessable vehicle)?

Yes No N/A

10.3.16.1 Has the service provider demonstrated how they will comply with this requirement?

Yes No N/A

10.3.16.2 Have the policies and systems been incorporated in the **on-boarding and training** detailing the requirements relating to the WAV?

Yes No N/A

Provide details

Motor Cyclist Providers Only

10.3.17 Have specific risk control strategies been identified in the risk register and been implemented? Strategies include: Prescribed safety requirements met such as the provision of helmets, jackets and gloves; prescribed vehicle safety standards.

Yes No N/A

10.3.17.1 Have other specific risk control strategies been identified in the risk register and implemented? Strategies include: Condition assessment undertaken prior to scheduled journeys; Safety briefing for passengers undertaken prior to scheduled journeys; Customer feedback sought on safety aspect of tours.

Yes No N/A

Provide details

Element 4 – Procedures and documentation

10.4.1 Has the service provider developed SMS related procedures and made these procedures available to all employees/contractors/drivers?

Yes No

Provide details

Element 5 – Employee/contractor/driver monitoring

Employee medical / health conditions

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

Yes No

Provide details

Fatigue

- 10.5.2** Has a risk assessment been completed in relation to **Fatigue**? Yes No
- 10.5.2.1** Does the risk assessment identify a need for **policies and procedures** for Fatigue management? (This may include recordable logon/logoff, Worksheet or roster, break policy, customer feedback and reporting unusual fatigue events) Yes No
- 10.5.2.2** Does the Fatigue management program include the monitoring and recording of instances of secondary employment and a system of monitoring to ensure that there is no impact on the driver e.g. Secondary employment policy? Yes No
- 10.5.2.3** Have the policies and procedures been incorporated in the **on-boarding and training**? Yes No

Provide details

Drug and alcohol policy

- 10.5.3** Has the service provider conducted a risk assessment? Yes No
- Note: Providers are required to base any drug and alcohol program on a risk assessment (SMS Element 3).**
- 10.5.3.1** Does the service provider have a drug and alcohol policy and program in place? Yes No
- Note: Please provide a brief description of the program and policy.**
- 10.5.3.2** Is the policy signed off by the service provider or senior management? Yes No
- 10.5.3.3** Is the policy accessible at the service provider's business? Yes No
- 10.5.3.4** Is the service provider's program based on their risk assessment? Yes No
- 10.5.3.5** Did the service provider consult with employees throughout the program's development and implementation? Yes No N/A

Supporting measures - as required and determined by the risk assessment

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

- Procedure for the identification, assessment and referral for those who have alcohol or other drug related problems?
- Education and awareness of the health and safety effects, and the legal consequences of drug and alcohol misuse?
- The provision of assistance and support for employees/contractors/drivers who have a drug and alcohol problem?
- A policy requirement for drivers to advise loss of points from DUI?

Yes No

Provide details

Element 6 – On-boarding, training and education

10.6.1 Does the service provider have an employee/contractor/driver on-boarding program which includes SMS training?

Yes No

10.6.2 Has the service provider determined employee/contractor/driver on-boarding and training requirements and competency needs?

Yes No

10.6.3 Has the service provider provided on-boarding and training to all employee/contractor/driver in relevant safety procedures?

Yes No

10.6.4 Does the service provider maintain all on-boarding and training and qualification records for each employee/contractor/driver?

Yes No

Provide details

Element 7 – Incident/accident management and monitoring

10.7.1 Does the service provider have in place a system for recording fleet incidents/accidents? Yes No

10.7.2 Have any passenger services been involved in any occurrence under clause 30 of the Point to Point Transport (Taxis and Hire Vehicle) Regulation 2017 since the last audit? Yes No

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

10.7.3 Has a notifiable occurrence been reported via the Commission website as required including:

- An accident or incident that results in an injury that is treated by an ambulance officer or results in the injured person being treated at a hospital
- A collision involving a vehicle being used for a passenger service that results in damage to the vehicle that is sufficient to prevent the completion of the journey in that vehicle
- A mechanical or other fault in a vehicle being used for a passenger service that is sufficient to prevent the completion of the journey in that vehicle
- An incident involving a driver, passenger or intended passenger of a vehicle being used for a passenger service and that results in a complaint to the police containing allegations of sexual assault, indecent exposure, actual assault or physical threats or other intimidation.
- An incident involving the conduct of a driver while driving a vehicle being used for a passenger service that results in the driver being charged with a major offence within the meaning of the Road Transport Act 2013

Yes No

Request the operator demonstrate how to lodge a notifiable occurrence through the website, and discuss what kinds of matters he/she would notify.

10.7.4 Does the service provider have a procedure to manage incidents/accidents? Yes No

10.7.5 Does the service provider have a procedure to investigate and evaluate incidents/accidents? Yes No

10.7.6 Does the service provider have a process to implement recommendations arising from incidents/accidents? Yes No

10.7.7 Does the service provider have a procedure to manage how incidents/accidents data will be captured, recorded and reported on, so management can review the suitability of the existing risk controls within the organisation? Yes No

Provide details

Wheelchair Accessible Vehicle (WAV) only

10.7.8 Does the service provider have a procedure to manage incidents/accidents relating to WAVs which determines if the incident/accident resulted from driver competency or vehicle equipment?
Yes No N/A

10.7.9 Where there has been a recorded incident/accident involving a WAV passenger, can the service provider demonstrate they have reviewed the incident and put in place control measures to reduce the risk of the incident/accident from re-occurring ? (Measures should include a risk assessment and driver training)
Yes No N/A

Provide details

Element 8 – Review and evaluation

10.8.1 Has the service provider developed a plan to review their SMS at least annually?
Yes No

10.8.2 Has the service provider identified who will conduct the SMS review?
Yes No

10.8.3 If deficiencies were detected can the service provider demonstrate how they addressed and rectified the identified deficiencies?
Yes No

Provide details

End of Audit – Proceed to Section 11 – Audit findings

11 : Audit findings – Closing meeting

Name of Authorisation		Authorisation number	
<input type="text"/>		<input type="text"/>	
Name of auditor		Company	
<input type="text"/>		<input type="text"/>	
Audit date	Audit location	Audit start time	Audit finish time
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

DETAILED FINDINGS

Section	Description	Identified deficiencies / comments
3-5	Details	<input type="text"/>
6	Management Information System	<input type="text"/>
7	Vehicle maintenance	<input type="text"/>
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9	Service Provider management and records	<input type="text"/>
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UNCLASSIFIED



Point to Point
Transport Commissioner

Notes and comments

Signature

Date