SAFETY AUDIT TOOL

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

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Authorisation (tick applicable):

- Taxi Service
- Booking Service

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):

___  ___  ___  ___  ___  ___  ___  ___
4. Persons involved in audit

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.

<table>
<thead>
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<th>Name of person involved in the audit</th>
<th>Position title</th>
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4.1 Is the person:
   a) The authorised service provider?  
      Yes ☐  No ☐
   b) The designated manager?  
      Yes ☐  No ☐
   c) The designated director?  
      Yes ☐  No ☐
   d) Nominated person?  
      Yes ☐  No ☐

Note: Auditors are required to match the person involved in the audit with the Audit Notification and validate by sighting identification.

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?

Provide details  
Yes ☐  No ☐  N/A ☐

5.2 Is the service provider aware of their authorised conditions?

Provide details  
Yes ☐  No ☐

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, in particular that authorised users observe the following:

(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:

(i) they are in secure locations;
(ii) the systems and networks are under the control of the User;
(iii) 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;
(iv) its systems and networks are protected from the public Internet by an appropriate firewall;
(v) its systems and networks are protected by appropriate anti-virus and anti-spyware software;
(vi) operating systems and other base software are kept up-to-date with the applicable vendor security patch releases; and
(vii) the User undertakes all reasonable measures to ensure the security of the Industry Portal from access by unauthorised users.

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Provide details

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### 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

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#### 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 ☐

Provide details

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.

Provide details relating to 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?

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

Yes ☐ No ☐

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 Vehicles 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?

N/A will only apply if the service provider only has taxis or motor cycles

Yes ☐ No ☐ N/A ☐

Provide detail on how this is conducted?
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.

N/A will only apply if the service provider is not operating Taxis vehicles.

Provide details

Yes ☐ No ☐ N/A ☐

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)?

N/A will only apply if the service provider is not operating Taxi vehicles.

Provide details

Yes ☐ No ☐ N/A ☐

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 within 30 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

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### 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 vehicles

**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

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

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

WATs 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, owner or driver of the holder of a taxi licence. Auditors are required to confirm and sight documented evidence that consultation occurred.

Provide Details

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

Provide Details
Element 3 – Risk management

10.3.1 Does the service provider have a risk register which is suitable to their business? Yes ☐ No ☐

Does the register:

(a) Identify hazards (potential and current)? Yes ☐ No ☐
(b) Provide details regarding the severity of the hazards (if they occur)? Yes ☐ No ☐
(c) Provide an indication relating to the likelihood of hazards occurring? Yes ☐ No ☐
(d) Provide a risk rating (risk score) for each of the identified hazards and controls? Yes ☐ No ☐
(e) Describe how the risks will be managed? Yes ☐ No ☐
(f) Detail the employees/contractors/drivers responsible for the management of the identified risks? Yes ☐ No ☐

10.3.2 Has the register been reviewed and updated as required? Yes ☐ No ☐

10.3.3 Have risk controls identified in the risk register been implemented? (Auditor to review the controls of the two highest rated risks).

Provide details Yes ☐ No ☐

Specific Risk Management Strategies for High Risk Issues

10.3.4 Violence (V) - Have specific risk control strategies been identified in the risk register and implemented? (Strategies detailed below). Yes ☐ No ☐

V 1 Policies and Procedures - Prevention of violence in the workplace policy; regular risk assessments of the potential for violence undertaken. Yes ☐ No ☐

V 2 On-boarding and Training – On-boarding and Training provided on ‘dealing with difficult people’ and ‘conflict resolution’

Provide details Yes ☐ No ☐

10.3.5 Psychological risks (PR) - Have specific risk control strategies been identified in the risk register and implemented? (Strategies detailed below) Yes ☐ No ☐

PR 1: Policies and Programs - Prevention of psychological risk in the workplace policy; counselling or assistance programs. Yes ☐ No ☐

PR 2 On-boarding and Training - Driver on-boarding and training including code of conduct requirements and expected workplace behavior; ongoing training provided for work practices concerning psychological health, resilience, access to counselling or assistance programs. Yes ☐ No ☐

PR 3 Reporting and Record Keeping - Escalation and reporting mechanisms; systems to record, manage, report and analyse incidents Yes ☐ No ☐

Provide details
10.3.6 **Driver distraction (DD) risks** - Have specific risk control strategies been identified in the risk register and implemented? (Strategies detailed below)

DD 1 – **Policies and Procedures** - Specific policies that address the taking of personal phone calls and use of multiple devices whilst driving; inspection regime or spot checks of vehicles to ensure adherence to policies.

Yes □ No □

DD2 – **On-boarding and Training** – On-boarding and Training around the minimisation of driver distraction and associated expectations and correct use of TSP and BSP technology.

Provide details Yes □ No □

10.3.7 **Soliciting and Touting (ST)** - Have specific risk control strategies been identified in the risk register and implemented? (Strategies detailed below)

ST 1 - **Policies and Education** - Specific policies that address requirements to not ‘solicit and tout’ for services; Education and training on expectations and required behavior undertaken.

Yes □ No □

ST 2 - **Systems** implemented to report non-compliance, monitoring of records to identify behaviour and remedial action undertaken. Risk assessment undertaken and appropriate controls implemented such as regular spot checks of high risk locations for such behavior e.g. airports, events.

Provide details Yes □ No □

10.3.8 **Passenger Pick up and Set down (PPS)** - Have specific risk control strategies been identified in the risk register and implemented? (Strategies detailed below)

PPS 1 – **Policies and Procedures** - Specific policies that address the picking up and setting down of passengers that ensure the safety of the passenger entering and alighting the vehicle with consideration to the surrounding environment.

Yes □ No □

PPS 2 – **On-boarding and Training** – On-boarding and training around the PPS 1 policy and procedure.

Provide details Yes □ No □
10.3.9 **Transporting Vulnerable Passengers (TVP) or passengers with care and support needs including the visually impaired.** - Does the service provider have policies and procedure to ensure all drivers are aware of TVPs requirements? (The policy and procedure 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 ☐

**TVP1** – Has the service provider demonstrated how they will comply with this requirement? Yes ☐ No ☐

**TVP2** – Does the service provider have policies or procedures in place to accommodate assistance animals? (The service provider must demonstrate they will ensure driver compliance with clause 64 of the Regulations.) Yes ☐ No ☐

**TVP3** – **On-boarding and Training** – On-boarding and training around the TVP policy and procedure. Yes ☐ No ☐

Provide details

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**Wheelchair Accessible Vehicles (WAV) only**

10.3.10 **Preference to a person that is confined or restricted to a wheelchair (PP)** — 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 accessible vehicle)? Yes ☐ No ☐ N/A ☐

**PP1** – Has the service provider demonstrated how they will comply with this requirement? Yes ☐ No ☐ N/A ☐

**PP2** – **On-boarding and Training** – On-boarding and training around the PW policy and procedure. Yes ☐ No ☐ N/A ☐

Provide details

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**Motor Cyclist Providers Only**

10.3.11 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 ☐

10.3.12 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?

| Provide details | Yes ☐ No ☐ |

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?

| Provide details | Yes ☐ No ☐ |

**Fatigue (F)**

**10.5.2** Have specific risk control strategies been identified in the risk register and implemented? (Strategies detailed below)

| Provide details | Yes ☐ No ☐ |

**F1 – Does the service provider have** Fatigue management policies and program (recordable logon/logoff, Worksheet or roster; break policy) which has been based on a risk assessment?

| | Yes ☐ No ☐ |

**F2** Fatigue management program which includes the monitoring and recording of instances of secondary employment and a system of monitoring to ensure that there is no impact on the driver e.g. Secondary employment policy?

| | Yes ☐ No ☐ |

**F3** Other strategies – Does the service provider have any other strategies to manage fatigue of its drivers, such as training and education and related fact sheets, customer feedback on driver performance, requirement to report unusual fatigue events?

| | Yes ☐ No ☐ |

**Drug and alcohol (DA) policy**

**10.5.3** - Note: Providers are required to base any drug and alcohol program on a risk assessment (SMS Element 3).

Has the service provider conducted a risk assessment?  
Yes ☐ No ☐

**DA1** 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.

**DA2** Is the policy signed off by the service provider or senior management?  
Yes ☐ No ☐

**DA3** Is the policy accessible at the service provider’s business?  
Yes ☐ No ☐

**DA4** Is the service provider’s program based on their risk assessment?  
Yes ☐ No ☐

**DA5** 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

**DA6** Does the operator have the following supporting measures in place as part of the drug and alcohol program:

(a) Procedure for the identification, assessment and referral for those who have alcohol or other drug related problems?  Yes ☐ No ☐

(b) Education and awareness of the health and safety effects, and the legal consequences of drug and alcohol misuse?  Yes ☐ No ☐

(c) The provision of assistance and support for employees/contractors/drivers who have a drug and alcohol problem?  Yes ☐ No ☐

(d) 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
### Audit findings – Closing meeting

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#### Detailed findings

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