

## Independent Auditor Checklist

(for the submission of Bus Operator Accreditation Scheme independent audit)

Audit information			
Audit date: Accreditation number:			
Name of operator:			
Requirement Com			
1.	<ul> <li>Opening meeting - Explain:</li> <li>Purpose of the audit and the process</li> <li>Your role in the audit process</li> <li>That you will give the operator a copy of the competed audit report</li> <li>That you will be sampling records and photocopying records in accordance with Roads and Maritime Services' requirement.</li> </ul>		
2.	Contact Roads and Maritime immediately in cases where safety critical deficiencies are detected or 6732 9101 and make notes in the report that Roads and Maritime have been informed. Confirm photocall with an email sent to boas@rms.nsw.gov.au at first available opportunity.		
3.	Sampling – Have records been sampled in accordance with Roads and Maritime requirements?		
	• <b>Driver records</b> – At least two drivers over a 14 day or 28 day consecutive period (depending on the f management program) to ensure that the operator is recording dates and times during which buses a driven, and to ensure driving hours are not breached.	re	
	<ul> <li>Maintenance schedules – Operator's maintenance schedule must be compared against manufactur requirements to determine compliance.</li> </ul>	er's	
	• <b>Maintenance Records</b> – Sample the previous three years of maintenance records.		
	<ul> <li>Buses – At least two vehicles must be inspected to determine compliance. (Two vehicles is a minin however, if more than two vehicles are in the fleet then the square foot of the number of vehicl for larger fleet advice must be sort from roads and Maritime). If the company only has one veh then only one vehicle is to be sampled.</li> </ul>	les;	
	Have all sampled records been initialled and dated? NB: As the size of the operator increases, so does the number of items sampled.		
4.	Retained Evidence - The following are the minimum evidence which is required to be retained and is not limit	ted to:	
	<ul> <li>Third Party Property Damage (TPPD) and full insurance records:</li> <li>The certificate of currency, no older than seven days,</li> <li>TPPD and records for the previous three policies or three years, whichever is the greater.</li> </ul>		
	<ul> <li>Certificates of registration (registration papers) – for a minimum of two vehicles for the previous three periods of registration (or three previous consecutive years whichever is the greater) including complete payment details of all payments of registration in the sampled period for all sampled vehicles. (Two veh is a minimum, however if more than two vehicles are in the fleet then the square root of the num vehicles).</li> </ul>	icles	
	• HVIS – for all sampled vehicles for three previous years. (Two vehicles is a minimum, however if mo than two vehicles are in the fleet then the square root of the number of vehicles; for larger fleets advice must be sort from Roads and Maritime).		
	• <b>Maintenance records</b> – consecutive copies of all maintenance records for the previous three years for sampled vehicles.	the	
	Any other records where any non-compliance is detected.		
	NB: Complete copies of all evidence must be taken as above, however records must be sighted for years, and notes taken accordingly.	five	
	Copies of all records must be clearly legible and the complete document. Can be a photo, photocop print out or a scan of the document however NO ORIGINALS.	ру,	
	As the size of the operator increases, so does the number of items sampled.		
	Registration papers, HVIS reports and Maintenance records must be collected for the same vehicle	'S.	

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Req	uirement (continued)	Complete	
5.	<ul> <li>Closing Meeting –</li> <li>Discuss the audit report with the operator</li> <li>Review all deficiencies with the operator</li> <li>Remind operator that Roads and Maritime will advise them of any required corrective action which may or may not of been detected during the audit,</li> <li>Provide the operator with a copy of the report.</li> </ul>		
6.	Send audit report and all documentation to Roads and Maritime within five calendar days of audit being conducted.		
Com	Comments		
	Roads and Maritime Services reserve the right to request additional information further to what is listed on this chec auditor at any time to confirm the content in the audit report is true and correct. Non-compliance with RMS request, i		

failure to rectify the audit report may result in an auditor no longer being permitted to conduct audits on Roads and Maritime's behalf.