

DVRS Audit Guidelines continued

	Yes	No	N/A
Scope of participant's authority			
4(e) Has the participant registered vehicles, under DVRS, other than those listed in Item 5 of the Agreement details? (sight records maintained under 8.1 of the Agreement)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Performance of services			
5(a)(1) and 5(a)(5)			
• Have all pages of the Transport for NSW application forms been completed? (sight samples of registration forms ready to be submitted to controlling service centre. e.g. Application for Registration form)	<input type="checkbox"/>	<input type="checkbox"/>	
• Has the customer's POI been checked in accordance with the Motor Dealers Guide to Vehicle Registration?	<input type="checkbox"/>	<input type="checkbox"/>	
• Do the details on the Transport for NSW application form match the POI presented? (sight samples of the Application for Registration forms ready to be submitted to controlling service centre)	<input type="checkbox"/>	<input type="checkbox"/>	
• If required, has proof of eligibility for a concession been attached to the application form? (e.g. Pension card)	<input type="checkbox"/>	<input type="checkbox"/>	
• Is a valid green slip attached to the application form? (a green slip is not required for trailers)	<input type="checkbox"/>	<input type="checkbox"/>	
• Has the customer signed the Application for Registration form?	<input type="checkbox"/>	<input type="checkbox"/>	
• Has the participant completed the Transport for NSW office use section on the application forms? (e.g. sight samples of the Application for Registration forms ready to be submitted to controlling service centre)	<input type="checkbox"/>	<input type="checkbox"/>	
• Has the date the plates were issued, been recorded on the Application for Registration form? (see plate issue section on the Application for Registration form)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Does this match the details recorded on the Plate Schedule? (sight Plate Schedule form 1092)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5(a)(3) Has the organisation submitted applications to Transport for NSW in accordance with the requirements of Item 8 of the Agreement details? (sight Plate Schedule for date plates attached to vehicle and date on Transport for NSW invoice for compliance)	<input type="checkbox"/>	<input type="checkbox"/>	
5(a)(5) Has the participant performed the services in accordance with the Business Rules, that is:			
• Has the participant used the correct Road Vehicle Descriptor (RVD) sheet for the vehicle being registered? If there is no RVD sheet, has a weighbridge ticket and a blue slip from an AUVIS been provided?	<input type="checkbox"/>	<input type="checkbox"/>	
• If the vehicle is a heavy vehicle, have both a heavy vehicle pink slip and a brown slip been provided, are the heavy vehicle examiner's number and inspection report number recorded on the Application for Registration form? (see inspection report details and AIS number on the Application for Registration form ready to be submitted to controlling service centre)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Are the engine number, Vehicle Identification Number (VIN) and compliance plate date checked on the vehicle? (sight certifying officer completing vehicle identification section of the Application for Registration form or pre-delivery checklist)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Have the vehicle checks listed in the manufacturer's Pre-delivery Checklist been completed? (sight Light Vehicle Pre-delivery Checklist, Motorcycle Pre-delivery Checklist, and Light Trailer and Caravan Pre-delivery Checklist)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Have interstate number plates been fitted to any vehicle?	<input type="checkbox"/>	<input type="checkbox"/>	
If yes, has evidence of the Transport for NSW approval been provided? (sight evidence e.g. email, letter)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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5(b) Does the participant regularly review the Transport for NSW website for updates? Instruct the participant to download the latest copy of the DVRS Business Rules.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Notification of changes and breaches			
6(a) and 6(e)			
Have there been any changes to the ownership or control of the participant since the date of the Agreement?	<input type="checkbox"/>	<input type="checkbox"/>	
If yes, has the participant notified Transport for NSW? (sight evidence e.g. email, letter)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6(b) Has the participant notified Transport for NSW in writing of any changes or failures to comply with the conditions of the Agreement? If yes, sight evidence (e.g. email, letter)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6(c) Is the information in Schedule 1 and Schedule 2 still accurate?	<input type="checkbox"/>	<input type="checkbox"/>	
6(d) Is the participant aware of any suspected, alleged or actual corrupt or fraudulent conduct by the participant, a director, partner, employee or customer? If yes, has Transport for NSW been notified? (sight evidence, e.g. email, letter)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6(f) Does the participant still meet the eligibility criteria set out in the DVRS Business Rules?	<input type="checkbox"/>	<input type="checkbox"/>	
6(g) and 9.4(i)(1)			
Has the participant promptly notified the names of all authorised services officers and security administrators who no longer work for the participant? If yes, sight evidence (e.g. Transport for NSW form, email, letter)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Financial accounting			
7.1(b)(3) Does the participant separately account for fees received for Transport for NSW? (sight financial records held by the participant)	<input type="checkbox"/>	<input type="checkbox"/>	
7.3 Does the participant issue a stamped tax invoice in accordance with GST law to any person from whom payment is accepted on behalf of Transport for NSW? (sight tax invoice)	<input type="checkbox"/>	<input type="checkbox"/>	
Control management			
8.1(a) Has the participant created and maintained full and accurate records of the services performed including vehicle registration details, customer details, inspection details and number plates issued? (sight vehicle registration records maintained by participant)	<input type="checkbox"/>	<input type="checkbox"/>	
8.4(d) Has the participant completed all forms and other documents with at least 95% accuracy rates at all times and 100% accuracy in terms of customer identification? (sight correction forms for compliance)	<input type="checkbox"/>	<input type="checkbox"/>	
Dealer Online access (if applicable)			
9.6(b)(1) Do authorised services officers security administrators keep their passwords secure and separate from user IDs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.6(b)(2) Are passwords used by any person other than the authorised services officers to which it was assigned?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.6(b)(3) Does each authorised services officer log out of the DOL system when vacating a terminal to ensure no other person can process a transaction under that user ID?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Engagement and management of authorised services officers			
10(a) and 10(g)(1)			
Are all staff performing DVRS services appropriately qualified, experienced and authorised by Transport for NSW?	<input type="checkbox"/>	<input type="checkbox"/>	
10(g)(3)(A) and 9.4(j)(1)			
Do all authorised services officers and security administrators have a copy of the Statement of Business Ethics? (sight evidence at their work station)	<input type="checkbox"/>	<input type="checkbox"/>	
10(i)(2)			
Instruct the participant to provide a list of all authorised services officers showing the full name, address and signature of each individual.	<input type="checkbox"/>	<input type="checkbox"/>	
Conflict of interest			
12			
Is there any evidence that authorised services officers perform services for vehicles they own?	<input type="checkbox"/>	<input type="checkbox"/>	
Number plates and Transport for NSW materials			
14(d)			
Are number plates stored in an area which is locked and accessible only by authorised services officers? (sight area and key access)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14(h)			
Has the participant lost any number plates?	<input type="checkbox"/>	<input type="checkbox"/>	
If yes, has Transport for NSW been notified? (sight evidence, e.g. email, letter)	<input type="checkbox"/>	<input type="checkbox"/>	
Insurance			
16(a)			
Does the participant have all insurances as required in Schedule 3 of the DVRS Agreement? (sight evidence of current insurance policies)	<input type="checkbox"/>	<input type="checkbox"/>	
16(d)(1)			
Has the participant cancelled any of the insurance policies required in schedule 3 or varied the sum insured or coverage of such insurance policies?	<input type="checkbox"/>	<input type="checkbox"/>	
If yes, has Transport for NSW been notified? (sight evidence, e.g. email, letter)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Confidentiality requirements			
19.1			
Has the participant at any time without the prior consent of Transport for NSW, advertised, published or released to the public any confidential information or made a statement or representation in connection with the confidential information or the Agreement?	<input type="checkbox"/>	<input type="checkbox"/>	
Privacy obligations			
20(g)(1)			
Is the participant aware of a breach or possible breach of any of the obligations contained in or referred to in clause 20 of the Agreement?	<input type="checkbox"/>	<input type="checkbox"/>	
20(g)(2)			
Has the participant received a complaint relating to privacy?	<input type="checkbox"/>	<input type="checkbox"/>	
If the answer is yes to 20(g)(1) or 20(g)(2), has Transport for NSW been notified? (sight evidence, e.g. email, letter)	<input type="checkbox"/>	<input type="checkbox"/>	

Auditor details

Auditor name: (print)	
Company name: (print)	
Auditor signature:	Date: