



Department of  
Transport

# Audit checklist

## On-demand Booking Services

From July 2019



# Audit checklist

## Important

- The published Audit Checklist is provided as a resource for authorised on-demand booking services.
- This checklist is subject to change. The current version will be used by Department of Transport Officers when conducting audits of authorised on-demand booking services against their regulated responsibilities.
- Prior to an audit a booking service will be provided with a copy of the most current audit checklist that will be used by the Officer/s.

# Contents

Terminology	5
Note to Auditor	5
Note to Booking Service Providers	5
Version Control	5
<b>AUDIT DETAILS</b>	<b>6</b>
Time and Location	6
Auditor details	6
On-demand Booking Service Provider details	6
Booking Service representatives involved in audit	7
General details	7
Related Audit Regimes	8
Notification to CEO (r26A)	9
Audit Sampling	9
<b>BODY OF AUDIT</b>	<b>11</b>
Authorisation	11
Safety Management System (SMS) (r9)	12
<b>OTHER VEHICLE RELATED SAFETY STANDARDS</b>	<b>23</b>
Vehicle authorisation and registration	23
Vehicle maintenance r10A and r10B	24
Wheelchair Accessible Vehicles (WAV) standards r10C	24
Wheelchair Accessible Vehicle (WAV) driver competency standards r10D	25
Signs, lights and markings r10G – r10K	26
Meters (fare calculation device) r35ZY and r35ZZ	27
Camera surveillance units r35Z – r35ZG	27
Motorcycles – Subdivision 3	28
Vehicle sampling results	29
<b>OTHER DRIVER RELATED SAFETY STANDARDS</b>	<b>30</b>
Driver licence and authorisation (r28)	30
Driver sampling results	31
Complaints Management (r32 & r33)	32
Advertising (r31(1))	32
Fares (r35ZI, 35ZJ and 35ZK)	33
Record keeping	33
Levy compliance	35

<b>AUDIT COMPLETION</b>	<b>36</b>
<b>APPENDIX 1: VEHICLE SAMPLING CHECKLIST</b>	<b>37</b>
<b>APPENDIX 2: DRIVER SAMPLING CHECKLIST</b>	<b>41</b>
<b>APPENDIX 3: RECORD SAMPLING CHECKLIST</b>	<b>44</b>
<b>AUDIT OUTCOME SUMMARY</b>	<b>47</b>

## Terminology

Term	Definition
The Act	The <i>Transport (Road Passenger Services) Act 2018</i> .
Charter vehicle	A vehicle used to provide an 'on-demand charter passenger transport service' as defined in the Act.
ODBS	On-demand booking service as defined in the Act.
Taxi	A vehicle used to provide an 'on-demand rank or hail passenger transport service' as defined in the Act.
The Regulations	The <i>Transport (Road Passenger Services) Regulations 2019</i> .
WAV	A "wheelchair accessible vehicle" as defined in the Act.

## Note to Auditor

- This audit checklist is to be completed in full.
- The auditor is required to follow the instructions contained in the Audit Guide for Auditors when completing this audit.

## Note to Booking Service Providers

- This audit checklist is subject to change. For the most current version please refer to the Department of Transport website.
- The requirements specified the Act and associated regulations form the basis for the audit criteria. Service providers should familiarise themselves with the Act and regulations.
- For assistance in understanding your obligations as a service provider please contact the Department of Transport at:
  - Email: [ondemandtransport@transport.wa.gov.au](mailto:ondemandtransport@transport.wa.gov.au)
  - Phone: 1300 660 147

## Version Control

Version	Date published	Details
1	14 February 2019	Draft Audit Tool published as a reference for On-demand Booking Services
2	8 July 2019	Audit tool updated to reflect Stage 2 regulations.
3	23 July 2019	Audit tool reformatted.

# Audit details

## Time and Location

Date of audit	Time of audit	Audit location
<input type="text"/>	<input type="text"/>	<input type="text"/>

## Auditor details

Name of auditor	Business unit	Phone number
<input type="text"/>	<input type="text"/>	<input type="text"/>

Email address

## On-demand Booking Service Provider details

Name on authorisation	Authorisation number	Phone number
<input type="text"/>	<input type="text"/>	<input type="text"/>

Business name

Trading names

Email address

Mobile number

Fax number

<input type="text"/>	<input type="text"/>	<input type="text"/>
----------------------	----------------------	----------------------

Office address

Suburb

Postcode

<input type="text"/>	<input type="text"/>
----------------------	----------------------

Depot address (if different to above)

Suburb

Postcode

<input type="text"/>	<input type="text"/>
----------------------	----------------------

Postal address (if different to above)

Suburb	Postcode
<input type="text"/>	<input type="text"/>

Records held address (if applicable and if different to above)

Suburb	Postcode
<input type="text"/>	<input type="text"/>

## Booking Service representatives 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.

Name of person involved in the audit	Position title
<input type="text"/>	<input type="text"/>

Is the person:

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| a) A provider of the transport service?            | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| b) An authorised officer of the transport service? | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| c) A responsible officer?                          | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

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

## General details

In the case of a body corporate, is the nominated director or manager involved in the day to day operation?      Yes       No

Details of evidence:

## Related Audit Regimes

Many operators are subject to audit regimes from other authorities, under contractual arrangements or through professional memberships. Examples include:

- Tourism Council of WA accreditation audits;
- Public Transport Authority school bus contract audits;
- Public Transport Authority town bus service contract audits; and
- Worksafe compliance audits.

The auditor is required to identify if the auditee is subject to any other audit regimes and look for opportunities to partner with other auditors or satisfy the audit requirements of this audit using the result of other audits. The auditor should request a copy of the results of any other audits the operator has been subject to and keep a record where they have accepted these as evidence of conformance of any elements of this audit.

Details of other audits

Authority conducting Audit	Date of Audit	Summary of Audit outcome and details of elements accepted as evidence of conformance, if any.



## Notification to CEO (r26A)

Have the requirements been met to notify the DoT within 7 days if:

- a nominated Director or manager ceases to reside in the state of Western Australia or to be directly involved in the day to day management of the service, or
- there is a change in the responsible officer, or
- change of business address, or
- any changes to the company structure or details.

Yes

No

## Audit Sampling

### Vehicles

Total number of vehicles operating at the time of audit

Includes:

WAV Taxis \_\_\_\_\_  
 Standard taxis \_\_\_\_\_  
 WAV Charter vehicles \_\_\_\_\_  
 Charter vehicles \_\_\_\_\_

Total number of vehicles sampled for audit

Includes:

WAV Taxis \_\_\_\_\_  
 Standard taxis \_\_\_\_\_  
 WAV Charter vehicles \_\_\_\_\_  
 Charter vehicles \_\_\_\_\_

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


## Drivers

Total number of drivers operating at time of audit

\_\_\_\_\_

Total number of drivers sampled for audit

\_\_\_\_\_

**Provide the Name and Drivers licence details of drivers sampled at this audit (attach a separate sheet if required)**


# Body of audit

## Authorisation

Does the ODBS hold a current authorisation?

Yes

No

Provide detail

Officer to view authorisation document, confirm authorisation number and expiry date. (s27, and r17)

Does the ODBS have association arrangements with other service providers?  
(s4(1), r4 and r12)

Yes

No

If yes, provide details:

Association arrangements where the auditee is the principle:

Association arrangement where the auditee is the associated ODBS:

Do the association arrangements meet the prescribed criteria (r4 and r12):

Yes

No

1. In writing
2. States the names of the two providers
3. States which provider is the principal, and which is the associated
4. The principal is an Authorised Booking Service
5. Describes the services of the associated booking service
6. Includes acknowledgements that the principal is:
  - a. Responsible for:
    - i. preparing, maintaining, reviewing and keeping up-to- date a safety management system
    - ii. keeping and retaining records relating to drivers, vehicles, bookings and booking requests
    - iii. ensuring that a complaints resolution procedure is prepared and made accessible
    - iv. keeping and retaining records of customer complaints
  - b. liable to pay levy payable under Part 9 Division 2 of the Act.

Provide detail

## Safety Management System (SMS) (r9)

### Element 1 Record keeping and accountability

1.1. Is the SMS documented?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
1.2. Has the SMS been signed off by senior management?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
1.3. Is the SMS accessible and/or able to be viewed?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
1.4. Is the SMS incorporated into the employees / contractors / driver's handbooks (if applicable), induction and/or training materials?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
1.5. Are SMS responsibilities and accountabilities documented and communicated to the holders of the responsibilities?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

Provide details:

### Assessment

**Element 1**

**Conforming**                      /                      **Non-conforming**

## Element 2 Risk management

2.1. Does the service provider have a risk register which is suitable to their business?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
2.2. Does the register:				
• Identify hazards (potential and current)?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
• Provide details regarding the severity of the hazards (if they occur)?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
• Provide an indication relating to the likelihood of hazards occurring?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
• Provide a risk rating (risk score) for each of the identified hazards and controls?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
• Describe how the risks will be managed?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
• Detail the employees / contractors / drivers responsible for the management of the identified risks?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
2.3. Has the register been reviewed and updated as soon as practicable after any new hazard has been identified?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
2.4. Have risk controls identified in the risk register been implemented?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

Provide details:

2.5. Does the SMS address all of the specific high risk issues listed below:

### Specific risk management strategies for high risk issues

#### Fatigue (F)

• Does the service provider maintain driver logon/logoff systems/records?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
• Do any drivers meet the threshold of a “commercial vehicle driver”.	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

The “Threshold” being a driver whose work time (Refer to r3(130) of the *Occupational Safety and Health Regulations 1996*):

- is more than 60 hours per week; or
- for more than once per week – is more than 10 hours in any 24 hour period; or
- for more than once per week – includes the period from midnight to 5.00am.

If yes:

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

- does the service provider have a “driver fatigue management plan” (FMP) as required under the *Occupational Safety and Health Regulations 1996* (r 3(130) and 3(133))?

_____	_____
-------	-------

- Does the FMP meet the prescribed requirements as follows:
  - A written document that sets out requirements and procedures for
    - i. scheduling trips; and
    - ii. rostering drivers; and
    - iii. establishing a driver’s fitness to work; and
    - iv. education of drivers in fatigue management; and
    - v. managing incidents on or relating to commercial vehicles; and
    - vi. establishing and maintaining appropriate workplace conditions;

Yes  No

Provide details:

**Violence (assault on driver)**

*Risk assessment and procedures*

- Have specific risk control strategies been identified in the risk register and implemented?
- Risk assessments of the potential for the risk are undertaken annually or in response to incidents;
- Procedures related to the risk are documented

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

*On-boarding and training*

- On-boarding and training provided on “dealing with difficult people”, “conflict resolution”, procedures and policies.

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

*Reporting and record keeping*

- Escalation and reporting mechanisms; systems to record, manage, report and analyse incidents.

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

Provide details:

**Driver distraction**

*Risk assessment and procedures*

- Have specific risk control strategies been identified in the risk register and implemented?
- Risk assessments of the potential for the risk are undertaken annually or in

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

- response to incidents;  Yes  No
- Procedures related to the risk are documented  Yes  No

*On-boarding and training*

- On-boarding and Training around the minimisation of driver distraction and associated expectations and correct use of booking technology.  Yes  No

*Reporting and record keeping*

- Escalation and reporting mechanisms; systems to record, manage, report and analyse incidents.  Yes  No

Provide details:

**Driver suitability**

*Risk assessment and procedures*

- Have specific risk control strategies been identified in the risk register and implemented?  Yes  No
- Risk assessments of the potential for the risk are undertaken annually or in response to incidents;  Yes  No
- Procedures related to the risk are documented  Yes  No
- Evidence of application of the procedures and regular use of the DoT driver and vehicle dashboard to check driver suitability.  Yes  No

*On-boarding and training*

- On-boarding and Training cover related driver suitability policies and procedures.  Yes  No

*Reporting and record keeping*

- Escalation and reporting mechanisms; systems to record, manage, report and analyse incidents.  Yes  No

Provide details:

**Vehicle mechanical failure**

*Risk assessment and procedures*

- Have specific risk control strategies been identified in the risk register and implemented? Yes  No
- Does the service provider have a system in place for drivers to report faults with vehicles? Yes  No
- Is there evidence the faults are actioned? Yes  No
- Is there evidence of regular prestart checks being completed? Yes  No
- Is there a vehicle maintenance schedule and register? (r10B) Yes  No
- Can the provider provide evidence that all vehicles used have been inspected as per the minimum requirement of one inspection per year? Yes  No

*On-boarding and training*

- On-boarding and training cover related vehicle maintenance policies and procedures. Yes  No

*Reporting and record keeping*

- Evidence of adequate controls to ensure vehicle registration and authorisation for example regular use of the DoT driver and vehicle dashboard. Yes  No
- Escalation and reporting mechanisms; systems to record, manage, report and analyse incidents. Yes  No

Provide details:

**Soliciting and touting R35zzf**

*Risk assessment and procedures*

- Have specific risk control strategies been identified in the risk register and implemented? Yes  No

*On-boarding and training*

- On-boarding and training cover related soliciting and touting policies and procedures. Yes  No

*Reporting and record keeping*

- Evidence that any vehicle used for rank or hail work has the appropriate passenger transport vehicle category? Yes  No
- Escalation and reporting mechanisms; systems to record, manage, report and analyse incidents. Yes  No



Provide details:

**Fraud**

*Risk assessment and procedures*

- Have specific risk control strategies been identified in the risk register and implemented? Yes  No
- If the ODBS operates Rank or Hail vehicles, do they have training and procedures in place to ensure TUSS is used properly. Yes  No

*On-boarding and training*

- On-boarding and training cover fraud related policies and procedures. Yes  No

*Reporting and record keeping*

- Escalation and reporting mechanisms; systems to record, manage, report and analyse incidents. Yes  No

Provide details:

**Passenger safety**

*Risk assessment and procedures*

- Have specific risk control strategies been identified in the risk register and implemented? Yes  No

*On-boarding and training*

- On-boarding and training cover passenger safety related policies and procedures. Yes  No

*Reporting and record keeping*

- Escalation and reporting mechanisms; systems to record, manage, report and analyse incidents. Yes  No

Provide details:

## Transporting vulnerable passengers

Transporting vulnerable passengers with care and support including the visually impaired.

### Risk assessment and procedures

- Have specific risk control strategies been identified in the risk register and implemented?
- Does the service provider have policies and procedures to ensure all drivers are aware of requirements?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

(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.)

- Does the service provider have policies or procedures in place to accommodate assistance animals? (r35ZZD)

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

### On-boarding and training

- On-boarding and training cover related policies and procedures. (r10R)

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

### Reporting and record keeping

- Escalation and reporting mechanisms; systems to record, manage, report and analyse incidents.

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

Provide details:

## Wheelchair Accessible Vehicles (WAV) and related equipment

### Risk assessment and procedures

- Have specific risk control strategies been identified in the risk register and implemented?
- Does the service provider ensure all WAV's meet engineering specifications and standards (Ensure that procedures refer to current Australian Standards and include 6 months inspections and annual servicing for the hoist)? (r10C)

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

### On-boarding and training

- On-boarding and training cover appropriate use of WAV equipment.
- Education and training provided to all drivers of WAVs on appropriate use of WAVs.

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

### Reporting and record keeping

- Escalation and reporting mechanisms; systems to record, manage, report and analyse incidents.

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

Provide details:

**Assessment**

<b>Element 2</b>		
<b>Conforming</b>	/	<b>Non-conforming</b>

**Element 3 Procedures and documentation**

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

Yes  No

Provide details:

**Assessment**

<b>Element 3</b>		
<b>Conforming</b>	/	<b>Non-conforming</b>

## Element 4 On-boarding, training and education

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

Yes

No

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

Yes

No

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

Yes

No

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

Yes

No

Provide details:

### Assessment

<b>Element 4</b>		
<b>Conforming</b>	/	<b>Non-conforming</b>

## Element 5 Incident/accident management and monitoring (r35W - r35Y)

5.1. Have any passenger services been involved in any notifiable occurrences as defined in the regulations (r35W and r35X)	Yes		No	
5.2. Have any drivers been the subject of allegations of serious misconduct (r35Y)	Yes		No	

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

5.3. Has a notifiable occurrence or allegations as listed above been reported as required?	Yes		No	
5.4. Does the service provider have a procedure to manage incidents/accidents?	Yes		No	
5.5. Does the service provider have a procedure to investigate and evaluate incidents/accidents?	Yes		No	
5.6. Does the service provider have a process to implement recommendations arising from incidents/accidents?	Yes		No	
5.7. 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

5.8. 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	
--	-----	--	----	--

Provide details:

5.9. 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

Provide details:

**Assessment**

<b>Element 5</b>		
<b>Conforming</b>	/	<b>Non-conforming</b>

**Element 6 Review and evaluation (r9(3))**

6.1. Has the service provider developed a plan to review their SMS at least annually?

Yes

No

6.2. Has the service provider identified who will conduct the SMS review?

Yes

No

6.3. Have the reviews occurred?

Yes

No

6.4. If deficiencies were detected can the service provider demonstrate how they addressed and rectified the identified deficiencies?

Yes

No

Provide details:

**Assessment**

<b>Element 6</b>		
<b>Conforming</b>	/	<b>Non-conforming</b>

# Other vehicle related safety standards

## Vehicle authorisation and registration

Does the service provider have a register of affiliated vehicles?

Yes

No

Are the vehicle records kept in the required format/manner (r28(1)(b))  
(Objective reference A11766547)

Yes

No

Does the service provider maintain a system to ensure affiliated vehicles have a current Passenger Transport vehicle authorisation and meet the requirements for authorisation (s126 and s129) specifically?

Yes

No

Does the service provider ensure that the vehicles are registered? (r10A)

Yes

No

Can the provider show evidence of this process?

Yes

No

Provide details:

### Assessment

<b>Vehicle authorisation and registration</b>		
<b>Conforming</b>	/	<b>Non-conforming</b>

## Vehicle maintenance (r10A and r10B)

Can the service provider demonstrate that vehicles are regularly maintained in accordance with the manufacturers recommendations?

Yes

No

Does the service provider have a system in place for drivers to report vehicle defects that may affect the safety of the driver or passengers?

Yes

No

Can they demonstrate how they record reported faults, and the repair or rectification?

Yes

No

Provide details:

### Assessment

<b>Vehicle maintenance</b>		
<b>Conforming</b>	/	<b>Non-conforming</b>

## Wheelchair Accessible Vehicles (WAV) standards (r10C)

Does the service provider have systems in place to ensure wheelchair accessible vehicles meet the applicable standards as required?

Yes

No

Provide details:

### Assessment

<b>Wheelchair Accessible Vehicles (WAV)</b>		
<b>Conforming</b>	/	<b>Non-conforming</b>



## Wheelchair Accessible Vehicle (WAV) driver competency standards (r10D)

Does the ODBS provide a training package that includes components to ensure driver competency in:

- Assisting passengers into and out of a taxi in a manner suited to their disability:

o Passenger characteristics are identified and taken into account when determining appropriate assistance into and out of a taxi?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
o Hazards are identified, risks are assessed, and control measures are implemented?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
o Compatibility of passenger mobility device with taxi loading, anchoring and carrying equipment is assessed in accordance with regulations?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
o Passengers are assisted into and out of a taxi, in accordance with regulations and workplace safety requirements?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
o Passengers and their mobility device/wheelchair are secured safely in accordance with taxi and equipment specifications and regulations?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
o Taxi equipment is operated and stowed in accordance with company procedures and manufacturer instructions?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
o Ancillary equipment is stowed safely in taxi in accordance with relevant regulations?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
o Passengers are picked up and set down in a safe and efficient manner, taking into account suitable locations and safe use of equipment?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
o Relevant work health and safety (WHS)/occupational health and safety (OHS) requirements and passenger welfare are considered?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

- Driving a taxi used by passengers with disabilities:

o Ongoing support is provided to passengers to maximise their travelling comfort?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
o Taxi is driven safely in accordance with regulations for the class of vehicle involved?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
o Taxi is driven in accordance with road and traffic conditions and with due consideration to any required precautions related to passenger disability and relevant government regulations?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
o Signs or indicators are fixed to taxi as required?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
o Documentation/transactions relevant to providing the taxi subsidy scheme is completed?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

Have all drivers of WAVs been trained as per the training package? Yes  No

Does the training assess competency? Yes  No

Provide details:

**Assessment**

**WAV Driver Training**

**Conforming**                      /                      **Non-conforming**

**Signs, lights and markings (r10G – r10K)**

Do all sampled rank or hail vehicle pass the vehicle checklist sign requirements (Appendix 1)

Yes

No

Do all sampled charter vehicle pass the vehicle checklist sign requirements (Appendix 1)

Yes

No

Does the service provider ensure that all **on demand charter-vehicles** do not have any markings or signs (including use of the word taxi) that or could reasonably lead to it be considered to be an on-demand rank or hail vehicle?

Yes

No

Does the service provider ensure all vehicles are displaying prominent livery or the required signage identifying the on-demand booking service by name or logo and that it is clearly visible from the outside of the vehicle whilst operating indicating that it is an on-demand transport vehicle?

Yes

No

Provide details:

**Assessment**

**Signs, lights and markings**

**Conforming**                      /                      **Non-conforming**

## Meters (fare calculation device) (r35ZY and r35ZZ)

Can the transport service provider demonstrate there is a procedure in place to ensure all taxis are fitted with an appropriate fare calculation device and they are clearly visible to all passengers and securely fixed within vehicle?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

Do all Rank or Hail PTVs pass the vehicle checklist related to meters

Provide details:

### Assessment

<b>Meters (fare calculation device)</b>		
<b>Conforming</b>	<b>/</b>	<b>Non-conforming</b>

## Camera surveillance units (r35Z – r35ZG)

Is there an approved security camera system installed in all taxis, functioning as per Department of Transport standards?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

For all taxis, and any charter vehicle with cameras installed:

- Are signs placed in and on the outside of a vehicle advising persons that they are under video surveillance? (applicable to Charter vehicles if they have cameras – inside only)
- Has the service provider implemented regular spot checks of camera systems to ensure they are operating as per camera standards?
- Has the service provider documented remedial action plans if faults are identified?
- Can the service provider demonstrate that images captured by security camera systems are stored and protected against use for unauthorised purposes or by unauthorised persons?
- Can the service provide provide copies of any third-party authorisations to access cameras on their behalf (r35ZF)
- Do all sampled rank or hail vehicles pass the vehicle checklist (appendix 1) items related to cameras

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

Provide details:

**Assessment**

<b>Camera surveillance units</b>		
<b>Conforming</b>	/	<b>Non-conforming</b>

**Motorcycles (Subdivision 3)**

Do all motorcycles used have wheel or mud guards?

Yes	No
-----	----

Do all LC motorcycles used have an engine that is not two stroke and has a capacity of more than 500cc

Yes	No
-----	----

Motorcycle helmets in a range of sizes and in undamaged condition are available and used? (r10F)

Yes	No
-----	----

Does the service provider have checks in place to ensure drivers are competent to operate a motorcycle of the type used? (r10F)

Yes	No
-----	----

Provide details:

**Assessment**

<b>Motorcycles</b>		
<b>Conforming</b>	/	<b>Non-conforming</b>

## Vehicle sampling results

Refer to vehicle sampling checklist at Appendix 1.

Number of vehicles sampled: \_\_\_\_\_

Number of vehicles which were found to be non-conforming: \_\_\_\_\_

Summary of reasons for vehicle sampling non-conformance

--

Is the auditor satisfied that the service provider has satisfactory procedures in place to mitigate the non-conformances identified?

Yes

No

# Other driver related safety standards

## Driver licence and authorisation (r28)

Does the service provider maintain a register of all affiliated drivers?  
(r28(1)(a))

Yes

No

Are the records kept in the required format/manner? (r28(2)). (Objective  
reference A11766547)

Yes

No

Does the service provider perform regular checks on driver authorisations and  
licences to ensure they are current?

Yes

No

Provide details:

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

Yes

No

If yes, what procedure did they employ in relation to this matter? Provide details.

### Driver licence and authorisation

Conforming

/

Non-conforming

## Driver sampling results

Refer to driver sampling checklist at Appendix 2.

Number of drivers sampled: \_\_\_\_\_

Number of drivers which were found to be non-conforming: \_\_\_\_\_

Provide details

Is the auditor satisfied that the service provider has satisfactory procedures in place to mitigate the non-conformances identified?

Yes

No

N/A

## Complaints Management (r32 and r33)

Does the transport provider have a complaints resolution process in place which is known to drivers and available to customers of the service? (r32)

Yes

No

Does the provider have a record of all complaints and the records pertaining to the resolutions for the past 2 years? (r33)

Yes

No

Are the complaint records in the required format/manner? (Objective reference A11766547)

Yes

No

Provide details.

### Complaints management

Conforming

/

Non-conforming

## Advertising (r31(1))

The service provider must include at least one of the following when advertising. Authorisation number, name of provider or trading/ business name (as recorded against the ODBS authorisation in T-One).

Yes

No

Provide details.

### Advertising

Conforming

/

Non-conforming



## Fares (r35ZI, 35ZJ and 35ZK)

Rank or Hail:

- Does the service provider have a fare schedule card in an approved form stating name of the on demand booking service and the fares (that are not more than the maximums set out in Schedule 2A or 2B) and any other applicable charges as set by regulation?
- If the ODBS provides leviable transport services, and the levy is not included in the fares displayed on the fare schedule, does the fare schedule include a statement 'that an additional amount of fare allocated for the levy and an amount for the GST on that additional amount may be charged'.

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

Charter:

- Can the transport service provider demonstrate processes for calculating fares for the provision of on-demand passenger transport services, including the transparency and availability of those processes?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

Provide details:

<b>Fares</b>		
<b>Conforming</b>	/	<b>Non-conforming</b>

## Record keeping

### Booking Records (section 251 and r29)

Are records of bookings in the required format/manner (Objective reference A11766547)? (r29)

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

Do records of bookings contain all the required fields? (r29(2))

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

Are records being kept of any requests for WAV vehicles that did not result in a booking? (r29(3))

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

If the ODBS provides contract fares is a record of each contract fare kept for 12 months. (r35ZM)

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

Do records of bookings comply with requirement to keep booking information for 2 years? (r29(5))

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

Do DoT TUSS voucher records match the Booking Records held by the ODBS. (Compared to confirm accuracy.)

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

Provide details:

### Association Arrangements (r28(1)(c))

Do records of association arrangements comply with the requirement to keep information for 2 years?

Yes

No

Are records of association arrangements in the required format/manner? (Objective reference A11766547)?

Yes

No

Do association arrangements have the required content (r4 and r12) as follows:

Yes

No

- written agreement
- states the names of the parties
- identifies which is the principal and which is the associated booking service
- describes the on-demand booking services provided by the associated booking service
- include an acknowledgement that the ODBS is responsible for:
  - preparing, maintaining, reviewing and keeping a safety management system;
  - keeping and retaining all required records relating to drivers, vehicles, bookings and booking requests;
  - ensuring a complaints resolution procedure is prepared for the associated booking service, and managing associated records; and
  - meeting the obligations of the Levy

Provide details.

## Other Records

Note: Record keeping requirements specified under regulations 28(1)(a)-(b), and 33 are contained in the 'vehicle authorisation and registration', 'driver licence and authorisation' and 'complaints management' sections of this audit tool.

<b>Record keeping</b>		
<b>Conforming</b>	/	<b>Non-conforming</b>

## Levy compliance

Is the ODBS undertaking leviabale passenger service transactions (Section 244)?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	N/A
Yes	<input type="checkbox"/>	No	N/A
Yes	<input type="checkbox"/>	No	N/A
Yes	<input type="checkbox"/>	No	N/A
Yes	<input type="checkbox"/>	No	N/A
Yes	<input type="checkbox"/>	No	N/A

**If no, disregard this section.**

Is the ODBS registered as a taxpayer (Section 249)

Has the ODBS submitted returns as required (Section 250)

Is the ODBS keeping levy records as required (Section 251)?

Do levy records contain the required information (r55 and 56)

ODBS is paying the levy as required (Section 246)

Does the ODBS have any exemptions to paying the levy? (Section 290)(r50)

Provide details:

<b>Levy</b>		
<b>Conforming</b>	/	<b>Non-conforming</b>

# Audit completion

Details of improvement notices and enforcement actions, if any:

--	--	--

**Name of auditor**

**Signature**

**Date**

--	--	--

# Appendix 1: Vehicle sampling checklist

## Vehicle check

Plate number	Frontline reference for vehicle stop

## Checklist

Item	Details	Related vehicle type		Compliant (C) / Non-compliant (NC) / N/A	Officer comments
		Taxi	Others		
Vehicle is registered		✓	✓		
Vehicle is authorised		✓	✓		
Vehicle meets <i>Road Traffic (Vehicle) Regulation 2014</i> and applicable Australian Design Rule standards	<p>As per standard processes conduct standard checks of vehicle</p> <ul style="list-style-type: none"> <li>• Tyres</li> <li>• Seatbelts</li> <li>• Bodywork</li> <li>• Fire extinguisher (vehicles with 10 or more seats) – inspected last 12 months</li> </ul>	✓	✓		
Vehicle complies with WAV specifications	<ul style="list-style-type: none"> <li>• Vehicle modification for hoist and approved (check Trellis) must be carried in the vehicle</li> <li>• All restraints are present in good order, clean and with no signs of wear and tear, each set must be the same colour</li> </ul>	✓	✓		

Item	Details	Related vehicle type		Compliant (C) / Non-compliant (NC) / N/A	Officer comments
		Taxi	Others		
	<ul style="list-style-type: none"> <li>The hoist is fully functioning.</li> <li>The hoist clearly shows it's Safe Working load (SWL) and all required safety signs</li> <li>Reversing warning buzzer is operational if fitted</li> <li>Hoist warning buzzer is operational if fitted</li> <li>Storage solution to secure extra seats, walking aids, wheelchair trays, restraint belts and buckles etc</li> <li>Courtesy lights above the hoist are present and operational</li> <li>Meter is visible for wheelchair passenger</li> <li>One full set of restraints for each W/C position.</li> </ul> <p>For WAVS modified on or after 2015:</p> <ul style="list-style-type: none"> <li>Three-point harness system installed</li> <li>Safety sign in passenger space</li> <li>Ensure that all belts have manufactures name, month and year of manufactures and an indication that the belt conform to ISO 10542-1:2012 on each belt</li> </ul>				
Camera Surveillance Unit is installed and working	<p>Camera Surveillance Unit is present and:</p> <ul style="list-style-type: none"> <li>Device is of an approved type</li> <li>Device is functioning at time of check</li> <li>Signage notifying passenger of use of recording device is present (Taxi = internal &amp; external, Charter = internal)</li> <li>Sample of recordings is verified against standard and:</li> </ul>	<ul style="list-style-type: none"> <li>✓</li> <li>✓</li> <li>✓</li> <li>✓</li> </ul>	<ul style="list-style-type: none"> <li>x</li> <li>x</li> <li>✓</li> <li>x</li> </ul>		

Item	Details	Related vehicle type		Compliant (C) / Non-compliant (NC) / N/A	Officer comments
		Taxi	Others		
	<ul style="list-style-type: none"> <li>○ Vision is facial recognition quality for each seat</li> <li>○ Cameras are installed in a way that captures all seats (not too high or low, multiple cameras if needed)</li> <li>○ Cameras record clearly day and night.</li> <li>○ System records for a minimum of 12 days.</li> </ul>				
Meter (fare calculation device)	<p>A fare calculation device is present and:</p> <ul style="list-style-type: none"> <li>● Clearly displays fares</li> <li>● Is clearly visible to passengers</li> <li>● Is securely/safely fitted to the vehicle</li> <li>● Uses Australian dollars</li> </ul>	✓	✘		
Fare Schedules	<p>The vehicle displays clearly visible fare schedules:</p> <ul style="list-style-type: none"> <li>● inside the vehicle</li> <li>● outside the vehicle</li> <li>● that comply with prescribed maximum fares for the region of operation.</li> <li>● Contain ODBS Name</li> </ul>	✓	✘		
Signage and Livery	<p>Taxis</p> <ul style="list-style-type: none"> <li>● Marked as a rank or hail vehicle - may include the word Taxi</li> <li>● Taxi roof top sign and light which operates when available for hire</li> <li>● Clearly identifies the service provider - external</li> <li>● Clearly identifies the service provider -</li> </ul>	✓	✘		

Item	Details	Related vehicle type		Compliant (C) / Non-compliant (NC) / N/A	Officer comments
		Taxi	Others		
	<p>internal</p> <ul style="list-style-type: none"> <li>• Booking service contact details clearly and prominently displayed - external</li> <li>• Booking service contact details clearly and prominently displayed - internal</li> <li>• Tactile signage is present and meets requirements of Disability Standards for Accessible Public Transport 2002 <ul style="list-style-type: none"> <li>○ Raised lettering</li> <li>○ Exterior of passenger doors forward of handle</li> </ul> </li> </ul>				
	<p>Charter vehicle</p> <ul style="list-style-type: none"> <li>• Does not resemble a taxi or display the word Taxi or words with similar meaning</li> <li>• Either: <ul style="list-style-type: none"> <li>○ Prominent livery for the booking service, or</li> <li>○ A sign clearly visible from the outside and positioned on the left of the rear window or otherwise clearly visible from the rear (day and night), and containing the ODBS name or logo.</li> </ul> </li> </ul>	x	✓		
Receipts	<p>Sample receipt contains the ODBS number, name or trading name.</p> <p><b>Note: Not mandatory until 31 December 2019.</b></p>	✓	✓		



# Appendix 2: Driver sampling checklist

## Driver check

Drivers licence number	Drivers name as recorded on licence

## Checklist

Item	Details	Related vehicle type		Compliant (C) / Non-compliant (NC) / N/A	Officer comments
		Taxi	Others		
Driver licence	<ul style="list-style-type: none"> <li>Driver licence is valid</li> <li>Driver licence includes authorisation to drive vehicle of the class required, for example motorcycles and heavy vehicles.</li> </ul>	✓	✓		
Driver Authorisation	<ul style="list-style-type: none"> <li>Driver Authorisation (F or T) is valid</li> </ul>	✓	✓		
Driver Training	<p>ODBS Records show:</p> <ul style="list-style-type: none"> <li>When the driver received training, who provided the training and that they were deemed competent.</li> <li>Details of contents of the training (please summarise in notes). Confirm if training included:               <ul style="list-style-type: none"> <li>Fatigue Management</li> <li>Driver Assault</li> <li>Driver Distraction</li> <li>Vehicle fault reporting and prestart checks</li> <li>Soliciting and touting procedures/policies</li> <li>Passenger safety procedures</li> <li>Transporting guide dogs</li> <li>Use of WAV's (equipment, and supporting</li> </ul> </li> </ul>	✓	✓		<p>When trained:</p> <p>By whom:</p> <p>Confirmed understood each new topic:</p>

Item	Details	Related vehicle type		Compliant (C) / Non-complaint (NC) / N/A	Officer comments
		Taxi	Others		
	<p>passengers)</p> <ul style="list-style-type: none"> <li>o TUSS scheme</li> <li>o Incident reporting/notifiable occurrences</li> <li>o Mandatory reporting to ODBS of change in circumstances</li> </ul> <p>Driver verbally confirms:</p> <ul style="list-style-type: none"> <li>• When he/she received training, who provided the training and that they understood the training</li> <li>• Details of contents of the training (please summarise in notes). Confirm if training included: <ul style="list-style-type: none"> <li>o Fatigue Management</li> <li>o Driver Assault</li> <li>o Driver Distraction</li> <li>o Vehicle fault reporting and prestart checks</li> <li>o Soliciting and touting procedures/policies</li> <li>o Passenger safety procedures</li> <li>o Transporting guide dogs</li> <li>o Use of WAV's (equipment, and supporting passengers)</li> <li>o TUSS scheme</li> <li>o Incident reporting/notifiable occurrences</li> <li>o Mandatory reporting to ODBS of change in circumstances</li> </ul> </li> <li>• Details procedures should a safety incident occur</li> </ul>				
WAV Driver trained to transport people with disability and their mobility aids	<p>Driver verbally confirms:</p> <ul style="list-style-type: none"> <li>• When he/she received training, who provided the training, what it included and that they understood the training</li> </ul>				<p>When trained:</p> <p>By whom:</p> <p>Confirmed understood</p>

Item	Details	Related vehicle type		Compliant (C) / Non-compliant (NC) / N/A	Officer comments
		Taxi	Others		
					training:
Driver is aware of complaint handling process	<p>ODBS Record confirm how the complaints resolution procedure is made available to drivers.</p> <p>Driver confirms:</p> <ul style="list-style-type: none"> <li>• Details procedure followed when complaints received</li> <li>• The driver is aware of the complaints handling process and how to request a copy</li> </ul>				

# Appendix 3: Record sampling checklist

## Checklist

Record Type	Must Contain	Compliant (C) / Non-complaint (NC) / N/A	Officer comments
Driver Records (r28)	<ul style="list-style-type: none"> <li>• Contains               <ul style="list-style-type: none"> <li>○ Name</li> <li>○ Driver licence number</li> </ul> </li> <li>• All sampled drivers appear in the records</li> <li>• Retained for 2 years after driver ceases to drive for the ODBS</li> <li>• In written form, legible, in English, and collatable into a document if needed.</li> </ul>		
Vehicle Records (r28)	<ul style="list-style-type: none"> <li>• Contains               <ul style="list-style-type: none"> <li>○ Vehicle licence number</li> </ul> </li> <li>• All sampled vehicles appear in the records</li> <li>• Retained for 2 years after vehicle ceases to be used</li> <li>• In written form, legible, in English, and collatable into a document if needed.</li> </ul>		
Association Arrangement Records (r28)	<ul style="list-style-type: none"> <li>• Contains               <ul style="list-style-type: none"> <li>○ Name of associated ODBS</li> <li>○ Contact details of associated ODBS</li> </ul> </li> <li>• Retained for 2 years after end of arrangement</li> <li>• In written form, legible, in English, and collatable into a document if needed.</li> </ul>		
Booking Records (r29)	<ul style="list-style-type: none"> <li>• Contains               <ul style="list-style-type: none"> <li>○ the day of the associated journey and the times it began and ended;</li> <li>○ the locations where the associated journey began and ended;</li> <li>○ the name and driver's licence number of the driver of the vehicle;</li> <li>○ the vehicle licence number or interstate vehicle licence number of the vehicle;</li> </ul> </li> </ul>		

Record Type	Must Contain	Compliant (C) / Non-complaint (NC) / N/A	Officer comments
	<ul style="list-style-type: none"> <li>○ any contact details provided by the person who made the booking or to whose account the booking was charged;</li> <li>○ the number of passengers carried who were seated in a wheelchair (if any);</li> <li>○ whether the vehicle was an electric vehicle;</li> <li>○ the amount payable for the on-demand passenger transport service and the components of that amount.</li> <li>● Retained for 2 years after the booking request made</li> <li>● In written form, legible, in English, and collatable into a document if needed.</li> </ul>		
Booking Records for Wheelchair Accessible Vehicles where booking not taken or facilitated (r29)	<ul style="list-style-type: none"> <li>● Contains <ul style="list-style-type: none"> <li>○ any contact details provided by the person making the request or through whose account the request is made;</li> <li>○ the day and time of the request;</li> <li>○ the on-demand passenger transport service for which a booking is requested.</li> </ul> </li> <li>● Retained for 2 years after the booking request made</li> <li>● In written form, legible, in English, and collatable into a document if needed.</li> </ul>		
Complaints (r33)	<ul style="list-style-type: none"> <li>● Contains <ul style="list-style-type: none"> <li>○ Details of each complaint made</li> <li>○ Details of the resolution of each complaint</li> </ul> </li> <li>● Retained for 2 years after the complaint is made</li> <li>● In written form, legible, in English, and collatable into a document if needed.</li> </ul>		
Leviable Transactions (r55 and r56)	<ul style="list-style-type: none"> <li>● In addition to those details required to be kept of all booking leviable transaction records must also contain: <ul style="list-style-type: none"> <li>○ Components of the fare excluded from the levy</li> <li>○ Components of the fare included in the levy</li> <li>○ Total levy fare</li> <li>○ Amount of levy</li> <li>○ Rates used if any (e.g. \$4 per kilometre)</li> </ul> </li> </ul>		

Record Type	Must Contain	Compliant (C) / Non-complaint (NC) / N/A	Officer comments
	<ul style="list-style-type: none"> <li>○ any contact details provided by the person making the request or through whose account the request is made;</li> <li>○ the day and time of the request;</li> <li>○ the on-demand passenger transport service for which a booking is requested.</li> <li>● Retained for 5 years after the leviable transaction</li> <li>● In written form, legible, in English, and collatable into a document if needed.</li> <li>● Confirm that levy records match their levy return for the same period.</li> </ul>		

# Audit outcome summary

**AUDIT OUTCOME**

--

Section	Description	Conforming or non-conforming
	<b>ODBS Authorisation</b>	
	<b>Safety Management System</b>	
	Element 1 – Record keeping and accountability	
	Element 2 – Hazard Identification and Management	
	Element 3 – Procedures/Documents	
	Element 4 – Training/Education	
	Element 5 – Incident Management	
	Element 6 – Review/Evaluation	
	<b>Safety Standards</b>	
	Vehicle Related Safety Standards	
	Driver Related Safety Standards	
	<b>Other Requirements</b>	
	Complaints Management	
	Advertising	
	Fares	
	Record Keeping	

**Non-Safety Related Requirements**

**Levy Compliance**

--

Signature of auditor

Date

--	--