

# Self assessment and reporting requirements guide

Bus Operator Accreditation Scheme

Transport for NSW | June 2018





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# 1. Purpose

The purpose of this document is to:

- Provide an overview of bus operators' self assessment requirement including tools and reporting
- Outline each criterion in the Annual Self Assessment Reporting (ASAR) document and explain its purpose.

**Note:** Please read this guideline in conjunction with all documentation including the Bus Operator Accreditation Package, Safety Management System handbook, Drug and Alcohol handbook and any other relevant documents.

## 2. Self assessment requirement

### 2.1. What is self assessment?

Section 9 of the Bus Operator Accreditation Package requires that operators submit an ASAR in the form approved by Transport for NSW (TfNSW).

The self assessment process is one component of the audit approach used by TfNSW to ensure that third party providers are compliant under their respective schemes. It requires providers to assure TfNSW they are meeting its obligations through a series of questions.

In addition to reassuring TfNSW, the ASAR can be used by bus operators as a self checking system. Use of the ASAR in this way allows the operator to check various aspects of their operation, identify where weaknesses and deficiencies may exist and work towards eliminating these before they become issues.

### 2.2. How to self assess

While not compulsory, it is recommended that you begin the ASAR process at least two months before it is due. This allows each operator to conduct a review of practices and procedures, with a view to fixing them prior to submitting the ASAR. Remember that the primary goal of the ASAR is to support and educate; it is not the aim of this tool to act as a compliance or sanctioning tool, except in the more extreme of cases.

The ASAR is one component of the three-part audit approach in use to monitor the bus industry. It is intended that this component, in conjunction with independent audits and TfNSW conducted audits, will allow TfNSW, the bus industry as a whole and individual operators to monitor emerging issues within the industry.

### 2.3. What do I need to do?

- Be aware of your obligations as a bus operator, including your requirements under the scheme, and requirements to comply with legislation (eg the *Work Health Safety Act 2011*)
- Be aware of what you will need to report on annually (see section 4)
- Establish procedures to support your obligations and annual reporting requirements
- Complete and submit the ASAR to TfNSW before the due date each year.

## 3. Changes to the ASAR document

### 3.1. Requirement

As part of the self assessment process, TfNSW has conducted a review of the ASAR document, in consultation with industry bodies. A review of the existing tool has highlighted the need for:

- Greater clarity in the Drug and Alcohol Section

- More outcome-focused questions to allow TfNSW to help operators continuously improve systems within their organisation(s).

## 4. Self assessment components

Bus operators are required to report on the following on an annual basis using the TfNSW approved BOAS ASAR Tool, as found on the TfNSW website. Corresponding sections of the form are provided in brackets below.

### Part A – Accreditation details

Operators must provide TfNSW with their details including:

- Business details
- Accreditation type
- Registration numbers of all buses in operation
- Additional accreditations held by the operator.

### Part B – Incorporated association or corporation details

Operators which are either an incorporated association or a corporation must report on their business during the past 12 months. This includes questions designed to investigate the fitness and propriety of directors and other designated managers within the company and to provide indications for the financial stability of the operator.

### Part C – Individual details

Operators whose accreditation is held by one or more individuals (ie a sole trader or a partnership) must report on their business during the past 12 months. This includes questions designed to investigate the fitness and propriety of these individuals and to provide indications as to the financial stability of the operator.

### Part D – ASAR operator requirements check

This section has questions which require an operator to describe certain aspects of their business. This is intended to check that operators are not only compliant with their obligations, but also understand the processes that these obligations entail. These aspects include:

#### 1. Operating requirements

This section requires operators to report on their business procedures and practices including an examination of the Management Information System, Insurance, Driver Records, Bus Safety Procedures, Safety Management System and Vehicle Maintenance Plan. This section is intended to check each operator's compliance with the *Passenger Transport Act 1990 and 2014* and the *Passenger Transport (General) Regulation 2017*.

This section requires operators to both confirm they have these systems in place, and to summarise how they work. This allows TfNSW to gain a snap shot of how the industry as a whole manages each of these requirements.

#### 2. Drug and alcohol testing

Drug and alcohol testing is not a compulsory operating requirement for bus operators. It is, however, a requirement that all bus operators undertake a risk assessment to determine whether drug and alcohol testing is a necessary part of their compulsory drug and alcohol program.

This section has been substantially rewritten to include:

- The distinction between drug testing and alcohol testing
- The distinction between random, targeted (also known as testing for cause) and post-incident testing. The difference between these are as defined under Step 6 of the Drug and Alcohol Handbook for Bus Operators as:
  - Random testing involves testing random employees at a set time (ie at the start of a shift)
  - Targeted testing is conducted where the bus operator suspects that an individual or individuals may be under the influence of drugs or alcohol
  - Post-incident testing occurs following any notifiable incident and is a legal requirement for all operators.
- The ASAR form has also been written to look at the difference between:
  - Total numbers of tests conducted (sections (c)(i) and (d)(i) respectively)
  - Total numbers of drivers tested (sections (c)(i)(5) and (d)(i)(5) respectively)
  - Total number of drivers not tested (sections (c)(i)(6) and (d)(i)(6) respectively).

This allows TfNSW to gain an effective snap-shot of how widely drug and alcohol testing is conducted across the state.

### 3. Vehicle Monitoring Devices

This now requires operators, in addition to confirming that they use Vehicle Monitoring Devices, to outline the process they use to ensure that these devices are compliant with the legislation. Where the operator does not use such devices, they are required to explain (in Part D, Question 6 - Additional Information of the Annual Self-Assessment Report) why they believe that they are exempt.

### 4. Speed Limiter Devices

This section requires operators, to report if they are required to use Speed Limiter Devices. Where the operator does not use such devices, they are required to explain (in Part D, Question 6 - Additional Information of the Annual Self-Assessment Report) why they believe that they are exempt.

### 5. Incident Reporting

This section requires operators to provide information on how they are meeting the requirements under Clause 88 of the *Passenger Transport (General) Regulation 2017* by providing the procedures for reporting an incident to TfNSW and the Office of Transport Safety Investigations (OTSI).

### 6. Additional Information

This section also provides an area in which operators must provide an explanation for any non-compliance recorded in the sections above. It should be noted that TfNSW officers will check this section in any instance where a non-compliance is registered. Where an extenuating circumstance or mitigating factor can be found, TfNSW will work collaboratively with operators to identify ways to minimise or remove the non-compliance.

## Part E – Defect Notices

Operators must report on all Major Defect and Major Grounded Defect notices that have been issued by TfNSW or the NSW Police Service within the last 12 months. This is intended to prompt operators to conduct a review of the effectiveness of their maintenance system.

## Part F – Privacy Statement

This section outlines the rights and responsibilities held by all parties (TfNSW and bus operators) for both the submitted ASAR document and the data contained within.

This section also outlines the other government agencies to who your information may be disclosed and from which other agencies TfNSW may request additional information from for your accreditation.

Finally, the Privacy Statement outlines your right to request a copy of any previously submitted information and outlines the processes for doing so.

## Part G – Declaration

The declaration should be the last item you complete while filling out your ASAR. This declaration outlines that the submitted answers are, to the best of your knowledge, true and accurate. The declaration states that you consent to TfNSW retaining records of your submitted answers. It also acknowledges that this information may be disclosed to any Australian Police Service for the purposes of law assessment.

## Part H – Contact Details

Operators are now required to submit all ASARs by email, fax or mail. Submission details are listed on the [ASAR tool](#). Similarly, all ASARs must be sent to the [Scheme Review Unit](#) located in Glen Innes.

This part also provides the contact details for TfNSWs, Information and Privacy Unit, which handles all requests for information.

## 5. Terms and abbreviations

Term/Acronym	Definition
ASAR	Annual Self Assessment Report – the reporting document each operator is required to submit annually as part of their accreditation condition.
BOAS	Bus Operator Accreditation Scheme

## 6. Further information

### Transport for NSW

Bus Safety Officer

E: [BusSafetyInformation@rms.nsw.gov.au](mailto:BusSafetyInformation@rms.nsw.gov.au)

M: 02 8848 8755

Further information on BOAS can be found in:

- [Bus Operator Accreditation Package](#) (and all subsequent appendices)
- [BOAS Audit Tool](#)
- [Bus Operator Safety Management System Handbook](#)
- [Bus Operator Drug and Alcohol Handbook](#).



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