

CASE STUDIES



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The information in this publication is current as at February 2012.

MANAGEMENT INFORMATION SYSTEMS FOR BUS SAFETY

FEBRUARY 2012

Each accredited bus operator must develop its own management information system based on its own operating conditions, risks, incident history, and determined safety objectives.

The following case studies are provided as a guide only and are to assist accredited bus operators develop their own management information system.

The bus operators named in the case studies are fictitious and are used for illustration purposes only.

This document is intended as a general information source and does not replace legislation, or limit or expand its scope. While every effort has been made to ensure that the material is accurate and up to date, the State of Victoria accepts no responsibility or legal liability for the accuracy or completeness of the information contained within. Should there be any inconsistency between these documents and the legislation, the legislation will prevail to the extent of the inconsistency. It is recommended that you still obtain your own, independent legal advice about meeting any legislative requirements.

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// Contents

1	Introduction	4
1.1	Case study organisations	4
2	Matters and information to be contained in the management information system of an accredited bus operator	4
2.1	Bus safety policy	4
	Sample bus safety policy – large operator	6
	Sample bus safety policy – small operator	7
2.2	Governance and internal control arrangements	8
2.3	Documented safety accountabilities and authorities	9
	Sample job description: depot manager/business owner	10
	Sample job description: bus driver	11
	Sample job description: mechanic	12
2.4	Information management process	13
	Sample document register	16
	Sample document control form	17
	Sample safety records retention schedule	19
	Sample fleet register	20
2.5	Safety information communication	21
2.6	Drug and alcohol management	22
	Sample drug and alcohol management policy – large operator	23
	Sample drug and alcohol management policy – small operator	24
2.7	Hazard, risk and change management	25
2.8	Emergency management	25
	Sample first response emergency management plan	26
2.9	Bus safety worker competence	27
	Sample training matrix	28
	Sample record of training	29
	Sample driver qualification and training record	30
	Sample record of qualifications and competencies	31
2.10	Incident reporting and investigation	32
2.11	Internal audits	33
	Sample audit procedure	35
	Sample audit scope planner	37
	Sample audit log	38
	Sample audit checklist and report	39
	Sample audit report form	40
	Sample non-conformance/non-compliance report	41
2.12	Regulatory compliance (optional)	42
2.13	Safety performance targets and performance measures (optional)	42

1 // Introduction

To assist you in developing your management information system (MIS), this publication follows two fictitious bus operators, one large and one small, as they prepare their own MIS. This will highlight what your processes need to address in order to comply with the new safety regulations.

You are encouraged to read the case studies in order to gain an understanding of the basic requirements in developing an MIS. You should then rework and cultivate the knowledge to suit your own business needs. Your MIS needs to be designed to complement and enhance your organisation's safety culture.

1.1 CASE STUDY ORGANISATIONS

Our Bus Lines is a prominent operation with 700 employees and 300 vehicles in its fleet. It transports around 15 million passengers across Victoria each year.

My Bus is a small one-man operation providing public transport to a small regional hub in Northern Victoria, with a population of 400.

2 // Matters and information to be contained in the MIS of an accredited bus operator

2.1 BUS SAFETY POLICY

Our Bus Lines

Our Bus Lines has developed a safety policy which defines the safety aims and objectives of the organisation. The policy articulates the organisation's commitment to risk management, the development of a positive safety culture and continuous safety improvement. The safety policy has been approved by Our Bus Lines' management team.

The safety policy is reviewed every year by the management team. The review involves consultation with Our Bus Lines staff and any changes to the policy are submitted to the management team for approval.

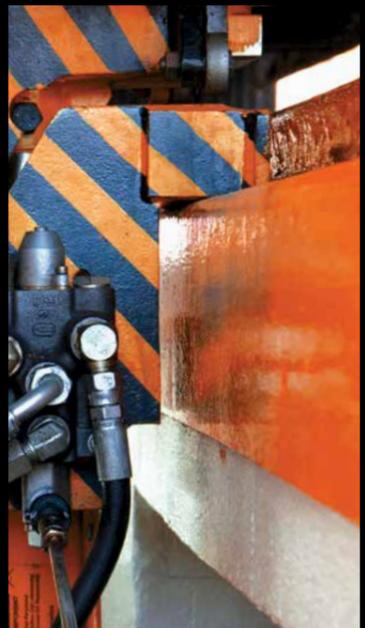
The safety policy is a controlled document, requiring the signature of the chief executive officer on behalf of the management team to take effect.

The safety policy is displayed at various prominent locations around the organisation so it is available to staff, passengers and the public.

My Bus

Sol Trader, who is the owner/operator of My Bus, has developed a safety policy which defines the safety aims for his business. The policy articulates his commitment to risk management, the development of a positive safety culture and continuous safety improvement.

Sol reviews the safety policy every year as part of his business plan review prior to the end of the financial year.



SAMPLE BUS SAFETY POLICY – LARGE OPERATOR

Our Bus Lines is committed to operating in a way that ensures there is minimum risk of injury to workers, passengers and the general public. The management team is responsible for the safety of the organisation and shall promote a climate in which all persons are attentive to risks and shall ensure that controls are in place to reduce risks so far as reasonably practicable.

Our Bus Lines is committed to compliance with the *Bus Safety Act 2009 (Vic)* and *Bus Safety Regulations 2010 (Vic)*.

Our Bus Lines will strive to continually improve safety performance levels by:

- identifying and assessing safety risks
- putting in place the controls and resources to reduce risks so far as is reasonably practicable
- making managers and supervisors responsible for implementing the relevant sections of the MIS and maintenance management system (MMS), and for developing standards and procedures for employees
- ensuring that all workers are trained in these standards and procedures and are committed to the Our Bus Lines safety policy and the safety of others
- monitoring and auditing against this safety policy and compliance with the MIS and MMS.

Suggestions from the staff about how safety can be improved will always be appreciated and encouraged within Our Bus Lines.

Our Bus Lines has identified key safety performance targets to monitor the performance of this organisation, including:

- injuries
- defect reports
- customer complaints.

Signed

CEO, Our Bus Lines

On behalf of the management team

1 January 2011

Each operator will need to develop a safety policy based on its specific operating conditions, risks, incident history and determined safety objectives.

SAMPLE BUS SAFETY POLICY – SMALL OPERATOR

My Bus is committed to operating in a way that ensures there is minimum risk of injury to workers, passengers and the general public. As the owner and sole employee, I am responsible for the safety of the organisation. I will promote a climate in which all people are attentive to risks to safety and I will ensure that the appropriate controls are in place to reduce risks to safety so far as reasonably practicable.

My Bus is committed to compliance with the *Bus Safety Act 2009 (Vic)* and *Bus Safety Regulations 2010 (Vic)*.

My Bus will strive to continually improve safety performance levels by:

1. identifying and assessing safety risks
2. putting in place the controls and resources to reduce risks so far as is reasonably practicable
3. monitoring and auditing against this safety policy and compliance with the MIS and MMS.

Suggestions about how safety can be improved will always be appreciated and encouraged within My Bus.

My Bus has identified key safety performance targets to monitor the performance of this organisation, including:

- injuries
- defect reports
- customer complaints.

Signed

Owner, My Bus

1 November 2010

Each operator will need to develop a safety policy based on its specific operating conditions, risks, incident history and determined safety objectives.

2.2 GOVERNANCE AND INTERNAL CONTROL ARRANGEMENTS

Our Bus Lines

Governance

The management team of Our Bus Lines is made up of the following positions:

- chief executive officer (CEO)
- manager
- supervisor.

The management team is elected annually at the Our Bus Lines annual general meeting.

The management team reviews its standards and procedures on a regular basis at its monthly meetings in order to monitor the effectiveness of document control processes as well as other issues.

Another standard agenda item at the committee meetings is the review of the risk register. The supervisor provides an update on the risk register at each meeting and aspects of the risk register are discussed by the management team.

The manager provides the CEO and management team with appropriate safety information to assist them in their decision making.

The management team is provided with copies of internal audits to give them sufficient knowledge about the level of compliance displayed by the organisation.

Internal control arrangements

The responsibility for implementing and maintaining the MIS at Our Bus Lines has been given to the manager.

The overall management of operational safety is the responsibility of the supervisor, who has responsibility for applying risk management processes to maintain a safe operational and work environment.

The major safety responsibilities and accountabilities within Our Bus Lines are set out in individual job descriptions.

My Bus

Sol Trader has completed a training course approved by the Safety Director and reviews the risk register he has developed as part of his overall business review, completed at the end of each financial year.

Sol will also review the risk register if he introduces any material change into his business.

Sol completes his own internal audits of his business to test compliance with applicable legislation and his own procedures.

2.3 DOCUMENTED SAFETY ACCOUNTABILITIES AND AUTHORITIES

Our Bus Lines

Our Bus Lines has documented the job descriptions and safety relevant responsibilities for all job functions that complete bus safety work and had the position holder sign the document to signify they have read and understood their obligations. The manager of Our Bus Lines then holds the signed job descriptions on file. Our Bus Lines has developed job descriptions for depot managers, drivers and mechanics.

My Bus

Given that Sol Trader has no employees and runs the business himself, he keeps his Certificate of Accreditation as evidence of his sole accountability for the safety of his operation.

Sol outsources the maintenance of his bus to a local mechanic. Sol advised the mechanic in writing of his safety obligation to maintain My Bus buses in accordance with the requirements of the My Bus MIS and MMS and provided the mechanic with copies.

Sol has obtained a letter from the mechanic which confirms that the mechanic is aware of his obligations.

SAMPLE JOB DESCRIPTION: DEPOT MANAGER/BUSINESS OWNER

Job purpose:

The depot manager has overall responsibility for ensuring the bus service runs safely and for the implementation and monitoring of the organisation's safety management system.

To fulfill their safety responsibilities, depot managers:

- provide leadership on safety issues
- manage operations and staff to ensure that services are provided in a safe manner
- integrate safety requirements into the position descriptions, performance agreements and work plans of staff
- ensure effective communication processes are implemented across all functional areas
- involve staff in the development of safe work practices
- encourage staff to be aware of unsafe activities and to participate in identifying unsafe areas, including ideas about improvements and training
- ensure that information on safety issues is regularly communicated to staff
- ensure hazard management systems are in place and regularly reviewed and updated
- ensure staff are provided with the training and resources necessary to carry out their responsibilities safely
- monitor the performance of drivers and other staff to ensure duties are performed in a safe and professional manner
- report and, where appropriate, investigate incidents
- evaluate and audit operational and safety systems on a regular basis.

I _____ have read and received instruction on the above job description and agree to abide by the responsibilities outlined.

Signature _____ Date _____

SAMPLE JOB DESCRIPTION: BUS DRIVER

Job purpose:

Drivers are responsible for operating buses in a manner which ensures the safety of themselves, their passengers and the public and in accordance with all safety relevant legislation and organisational requirements.

To fulfil their safety responsibilities bus drivers:

- ensure the safety of passengers
- operate buses in accordance with relevant road laws, other applicable legislation and company policies
- advise the accredited bus operator of any safety issues discovered during the operation of the bus
- report all incidents and injuries, including completing accident report forms and incident reports, as required
- complete vehicle pre-departure checks
- report any damage, defect or repairs needed to the bus
- do not have any alcohol or drugs present in their blood or breath immediately before, or while, driving a bus
- immediately report any matters relevant to the currency of their driver's licence or driver authority, including details of any criminal charges or offences
- immediately report all health issues or other issues that may affect their fitness to drive
- follow policies, procedures and safety instructions
- wear all personal protective equipment (PPE) as issued by the operator
- participate in training and staff meetings as required.

I _____ have read and received instruction on the above job description and agree to abide by the responsibilities outlined.

Signature _____ Date _____

SAMPLE JOB DESCRIPTION: MECHANIC

Job purpose:

Workshop mechanics are responsible for carrying out maintenance and repair to a level that ensures bus safety and roadworthiness.

To fulfil their responsibilities mechanics:

- undertake day to day bus repair and maintenance activities to ensure vehicle safety and roadworthiness
- fulfil vehicle preventative maintenance schedules and requirements
- maintain vehicle monitoring and reporting systems as required by relevant authorities
- respond to, investigate and repair vehicle defects as notified by drivers in vehicle defect books
- maintain a safe workshop area
- work in accordance with safe working procedures and instructions and comply with the accredited bus operator's MIS
- do not have any alcohol or drugs present in their blood or breath immediately before, or while, performing bus safety work
- report all health issues or other issues that may affect their fitness to work
- follow policies, procedures and safety instructions
- wear all PPE as issued by the operator or pertinent to the job
- participate in training and staff meetings as required.

I _____ have read and received instruction on the above job description and agree to abide by the responsibilities outlined.

Signature _____ Date _____

2.4 INFORMATION MANAGEMENT PROCESS

Our Bus Lines

(a) Document identification

The identification and administration of safety records will be the responsibility of the Our Bus Lines manager and the relevant supervisors. A 'bus safety record' is a document that outlines the day to day operations of the accredited bus operator. This includes operational records, engineering records and bus safety worker records such as training records.

Controlled documents are allocated a unique identification number. Where there is more than one copy of a controlled document these are numbered in sequence.

(b) Document registration and storage

A document register is kept in the manager's office and includes the following information as a minimum:

- unique document number
- title of document, standard, procedure or form
- person responsible for maintaining document
- issue date
- document status, for example, draft, revision number, superseded or obsolete
- risk register cross reference, where appropriate
- retention period
- disposal protocol.

Our Bus Lines makes safety records available for inspection by authorised parties as required.

The safety records retention schedule lists the records to be retained, how long these are to be retained and the name of the manager or supervisor who is responsible for monitoring storage and retention.

Hard copy records are kept in the manager's office for the required period and then either retained or destroyed and the safety records retention schedule updated accordingly. Documents are securely stored to guard against the risk of loss through deterioration or damage.

Electronic records are backed up. Back-up records are kept secure at a location remote from the main office where the master records are kept.

(c) Document and data approval and issue

The manager of Our Bus Lines reviews and approves all new and amended bus safety documents before they are issued.

The manager records that review and approval has taken place by signing the relevant column of the document control form at the front of each master control document.

The identity of individual holders of manuals and procedures is recorded on the document control form at the front of each controlled master copy.

The manager distributes controlled documents by hand to each person on the document distribution list for storage in agreed locations, for example, workshop, company office. The manager removes obsolete documents and then updates the document register to indicate the current status of each document.

Archived or superseded documents that could impact on the safe operations of Our Bus Lines are stored separately in a secure environment.

Our Bus Lines retains documents in accordance with the safety records retention schedule, after which they are reviewed and either discarded or retained as archival documents.

(d) Document changes

The relevant supervisors are responsible for issuing any amendments to the documents for which they have responsibility to the manager for inclusion in controlled manuals and for distribution to workers as appropriate.

Amendments to documents are identified by the inclusion of a vertical line in the margin against each paragraph containing current changes in the revised version. When subsequent amendments are required the vertical lines against the previous amendments are deleted and new vertical lines included against the current changes.

Any amendments to bus safety documents are reviewed and approved by the management team.

My Bus

Sol Trader has produced only two copies of his MIS and MMS. Copy number one is for his use and copy number two is provided to the mechanic who maintains his bus.

Any safety relevant records are kept in an alphabetical vertical file held by Sol.

(a) Document identification

The identification and administration of safety records will be the responsibility of the owner/accredited bus operator.

A bus safety record is a document that outlines the day to day operations of the operator. It includes operational records, engineering records and bus safety worker records, such as competencies and training records.

(b) Document registration and storage

My Bus makes safety records available for inspection by authorised parties as required.

The safety records retention schedule lists the records to be retained, how long these are to be retained and the name of the manager or supervisor who is responsible for monitoring storage and retention.

Hard copy records are kept in the accredited bus operator's office for the required period and then either retained or destroyed and the safety records retention schedule updated accordingly. Documents are securely stored to guard against the risk of loss through deterioration or damage.

Electronic records are backed up. Back-up records are kept secure at a location remote from the main office where the master records are kept.

2.6 DRUG AND ALCOHOL MANAGEMENT

Our Bus Lines

Drugs and alcohol

The Our Bus Lines Drug and Alcohol Management Policy prohibits any person who is affected by drugs or alcohol from taking any part in bus safety work.

Personnel are required to advise their supervisors if taking any medication which may affect performance. Our Bus Lines managers rely on visual and verbal assessments to form a reasonable impression as to whether a person's behaviour is affected by drugs or alcohol.

Where necessary, to determine whether a person is affected by alcohol, a breath test and/or breath analysis may be arranged with the local police. In these cases the supervisor must refer the matter to the manager, who has responsibility for making the final decision.

A person may wish to challenge the decision which prevents them from taking part in Our Bus Lines operations due to the belief they are affected by drugs. To do this, the person must be referred to a qualified medical practitioner for drug urine analysis.

Our Bus Lines has arrangements with local police and a local testing service provider to undertake post-incident drug and alcohol testing on an as-required basis.

My Bus

Drugs and alcohol

The My Bus Drug and Alcohol Management Policy prohibits any person who is affected by drugs or alcohol from taking any part in bus safety work.

Sol Trader will ensure he does not operate his bus while taking any medication which may affect his performance.

SAMPLE DRUG AND ALCOHOL MANAGEMENT POLICY – LARGE OPERATOR

An accredited bus operator must develop its drug and alcohol management policy in consultation with bus safety workers who are employees or contractors of the operator.

This sample policy does not include testing procedures. If the drug and alcohol management policy provides for testing procedures, such procedures must comply with section 57(2) of the Bus Safety Act.

Our Bus Lines Drug and Alcohol Policy

Our Bus Lines is committed to a zero tolerance alcohol and illicit drugs working environment. It will take all practicable steps to endeavour that all persons performing bus safety work have a zero level of alcohol and illicit drugs and are not impaired by other drugs.

Our Bus Lines has adopted this policy because of its general duty:

- to provide a safe and healthy work environment
- to ensure that all persons are fit to carry out their duties.

Our Bus Lines recognises the detrimental effects that drugs and alcohol may have on the safety of bus operations and the general health and wellbeing of individuals.

This policy applies to all persons carrying out bus safety work, as defined in section 3 of the *Bus Safety Act 2009* (Vic), for or on behalf of Our Bus Lines. If you are unclear about what constitutes bus safety work, see your manager.

It is the responsibility of every person when reporting for duty or while at work to ensure they:

- have no drugs or alcohol present in their blood or breath immediately before, or while undertaking bus safety work
- are not impaired by drugs or medication/s immediately before, or while, undertaking bus safety work
- inform their treating health practitioner or pharmacist of the Our Bus Lines Drug and Alcohol Management Policy when being prescribed medications.

Signed

Chief Executive Officer

On behalf of the Our Bus Lines Committee of Management

Date / /2011

SAMPLE DRUG AND ALCOHOL MANAGEMENT POLICY – SMALL OPERATOR

An accredited bus operator must develop its drug and alcohol management policy in consultation with bus safety workers, who are employees or contractors of the operator.

This sample policy does not include testing procedures. If the Drug and Alcohol Management Policy provides for testing procedures, such procedures must comply with section 57(2) of the Bus Safety Act.

My Bus Drug and Alcohol Policy

My Bus is committed to a zero tolerance alcohol and illicit drugs working environment. It will take all practicable steps to endeavour that all persons performing bus safety work have a zero level for alcohol and illicit drugs and are not impaired by other drugs.

As the sole operator and employee of My Bus, I recognise the detrimental effects that drugs and alcohol may have on the safety of bus operations and the general health and wellbeing of individuals.

I will ensure that every time I undertake bus safety work, as defined under section 3 of the *Bus Safety Act 2009* (Vic):

- I will have no drugs or alcohol present in my blood or breath immediately before, or while undertaking bus safety work
- I am not impaired by drugs or medication/s
- I will inform my treating health practitioner or pharmacist of my policy when being prescribed medications.

This policy will be communicated to the following persons, or companies, who perform bus safety work for or on behalf of My Bus:

1. Dave's Garage, who performs mechanical work on My Bus vehicles.

2. XYZ
3. ABC
- Complete as necessary**

Signed

Owner, My Bus

Date / /2011

2.7 HAZARD, RISK AND CHANGE MANAGEMENT

Our Bus Lines

The concepts of the Transport Safety Victoria (TSV) guidance material on managing safety so far as is reasonably practicable, issued by the Safety Director, have been applied to Our Bus Lines operating environment.

My Bus

The concepts of the TSV guidance material on managing safety so far as is reasonably practicable, issued by the Safety Director, have been applied to the Sol Trader operating environment.

2.8 EMERGENCY MANAGEMENT

Our Bus Lines

The manager of Our Bus Lines uses a First Response Emergency Management Plan which is held on each bus to provide drivers with instructions and contact numbers to be used in the event of an emergency.

The Our Bus Lines Emergency Planning Committee will review the emergency plan annually, in conjunction with the emergency services and government agencies.

My Bus

Sol Trader uses a First Response Emergency Management Plan which is held on his bus to provide him with instructions and contact numbers to be used in the event of an emergency.

Sol Trader ensures the currency of the emergency plan by reviewing the numbers annually, as part of his internal audit program.

SAMPLE FIRST RESPONSE EMERGENCY MANAGEMENT PLAN

The responsible person will ensure that emergency information is available in each bus. This form assigns responsibilities and authorities to all staff and must be consulted in the case of an emergency or accident.

The contact list, codes and procedures for communication must be followed and anyone becoming aware of any changes needed should immediately contact management.

Emergency Management Plan – Instructions to drivers
Emergency contacts: In the case of any emergency you should immediately contact the appropriate emergency services. The depot/owner should also be contacted and advised as to the event.
Police – Ambulance – Fire Dial “000”
Have the following information available when contacting emergency services: <ul style="list-style-type: none">• nature of the emergency• number and nature of injuries (if applicable)• your location (the more exact, the quicker the response)• hazards which may exist for rescue personnel attending• bus owner’s contact details• the telephone number you are calling from• your assessment of the situation.
Local contact numbers
Local CFA:
Local SES:
School bus co-ordinator:
Depot:
Additional considerations: <ul style="list-style-type: none">• your first priority is the safety of your passengers – all other actions take second place to this priority• assess the situation and, should an evacuation of the bus be required, use the most appropriate method/exit, remain calm, speak slowly and clearly, direct passengers to safest off-vehicle location• keep passengers informed of the progress of any action to be taken, for example, details such as ETA of fire/ambulance, ETA of replacement bus• where possible, remain with the passengers and only leave them to seek assistance as a last resort• if appropriate, render first aid treatment and delegate tasks, for example, head counts, protection of the scene, to responsible passengers• if there is danger – do not re-board the bus to obtain property.
Unforeseen events: For situations such as bushfire, flood, items across roadway you should always follow the instructions of local police/ CFA/ emergency services. If emergency services personnel require you to travel off your normal route, this information should be relayed to the owner/depot.

Must be modified by the bus operator after operational risks are assessed.

2.9 BUS SAFETY WORKER COMPETENCE

Our Bus Lines

Our Bus Lines management team develops and regularly reviews position descriptions for all bus safety work. These reviews identify the competencies deemed necessary to ensure that persons undertaking the bus safety work have the knowledge, skills and experience to carry out their duties in a safe manner.

All Our Bus Lines personnel hold safety qualifications and/or competencies appropriate for their positions and are regularly assessed for necessary competencies related to their work responsibilities. Competencies and training requirements for bus safety workers are detailed in the training matrix with courseware, training materials, and assessment materials located in the training resources folder.

Competency assessments are organised by the relevant managers and whenever possible, assessments are carried out using a registered training organisation. In cases where there is no appropriate course available, assessments are carried out by people within the organisation who have qualifications and/or experience in the field of expertise being assessed.

Records of training and records of qualifications and competencies are held in personnel files in a secure location.

My Bus

Sol Trader has completed an approved training course and has his certificate of accreditation as evidence of his competence and capacity to operate a bus service safely.

2.10 INCIDENT REPORTING AND INVESTIGATION

Our Bus Lines

The manager of Our Bus Lines is nominated as the person to advise TSV of bus safety incidents and has entered the TSV duty officer contact number in his mobile telephone.

The manager has familiarised himself with the reporting criteria, as described in the *Bus Safety Regulations 2010* (Vic) and printed a copy of the relevant section, which he keeps in a folder in his briefcase.

He has produced a bullet point checklist which describes what he must do should an incident occur and placed this in the folder.

He has also printed a small stock of TSV incident report forms, downloaded from its website, and keeps them in the folder.

When the manager takes leave, he delegates the reporting responsibility to his assistant manager and gives him/her the folder.

My Bus

Sol Trader is the person to advise TSV of bus safety incidents and has entered the TSV duty officer contact number in his mobile telephone.

He has familiarised himself with reporting criteria, as described in the bus safety regulations and printed a copy of the relevant section, which he keeps in a folder in his briefcase.

He has produced a bullet point checklist which describes what he must do should an incident occur and placed this in the folder.

He has also printed a small stock of TSV incident report forms, downloaded from the its website, and keeps them in the folder.

The bus service does not operate when Sol Trader takes leave, so he has not delegated the reporting obligation.

2.11 INTERNAL AUDITS

Our Bus Lines

(a) Safety audit program

The Our Bus Lines management committee is responsible for establishing and managing the annual audit program. Two levels of auditing may be undertaken:

1. Our Bus Lines' workers with relevant experience and knowledge of position responsibilities, but independent of the position being audited, carry out internal audits to ensure individuals who are assigned safety responsibilities are effectively carrying out their responsibilities.
2. Where appropriate, external auditors with relevant experience may carry out audits of specific MIS policies and procedures.

Audits are conducted according to the audit procedure.

The manager is responsible for internal audit arrangements and for reviewing the risk register to make sure high risks are given priority.

(b) Audit scheduling

The management team prioritises the audit program, taking into account various factors, including:

- previous audit findings and recommendations
- recent safety performance
- status and importance of activities to be audited
- scope of previous audit
- industry trends.

The program is run on a financial year basis according to a prepared audit scope planner. This schedule may vary as a result of changes to audit priorities or if additional audit requirements are identified. The audit schedule makes provision for all safety related activities to be audited at least once during every financial year.

The audit program is monitored at meetings of the management team, which inspects the audit log to ensure audits are proceeding according to schedule. Annual audits are conducted to ensure the entire MIS is reviewed every year.

(c) Audit reporting

Audit findings are initially documented on an audit checklist and report form before being finalised on the audit report form with non-conformance/non-compliance report forms completed, as necessary. The scope for annual independent audits includes the requirement to provide a written audit report.

Audit reports are given to the manager and are reviewed at management team meetings until all corrective action items have been completed.

Where findings from audits require urgent attention the manager can assign corrective action items to the relevant workers or arrange to convene a management team meeting to review the findings and assign action.

My Bus

Sol Trader has developed a checklist utilising some components from the TSV checklist, used as part of its accreditation process of his operation, and adapted it for his business needs.

Sol uses this checklist to conduct annual internal audits of his operations and records any areas of non-compliance and the corrective action taken to address the non-compliance on the checklist.

Sol ensures that any issues he finds are corrected within an appropriate timeframe, depending on the risk to his operation.

Sol keeps a copy of the completed checklist and corrective actions in his file for three years.

SAMPLE AUDIT PROCEDURE

Document Control Record

Document title: Audit Procedure	Document number: Rev.0	Copy number: 1
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1. Document Status Record

Status	Date	Issue revision	Prepared by (signature)	Reviewed and approved by (signature)	Document owner
Draft		Rev.0			

2. Document Distribution List

Position	Organisation	Copy issued (yes/no)	Copy number
Master copy (manager)	Our Bus Lines	Yes	1
Operations supervisor	Our Bus Lines		2
Supervisor	Our Bus Lines		3

Document Control Record (continued)

1.0 Purpose

2.0 Scope

3.0 Responsibilities

3.1 Management team

3.2 Auditors

3.3 Managers and staff

4.0 References

5.0 Definitions

Internal auditor An auditor, appointed by the management committee from within Our Bus Lines, such as a manager or employee.

Internal audit A systematic examination to determine whether the bus safety activities comply with documented procedures, that is all documentation that makes up the management information system, and the management intent.

Independent external auditor An auditor, with appropriate qualifications and training in audit procedures, appointed by the management committee to conduct broad annual safety audits as determined by the management committee.

Management team The Our Bus Lines management committee identified in the MIS.

Non-conformance report A report issued by auditors and/or manager/supervisors within Our Bus Lines to report observed bus safety non conformances to manager/supervisors and the management committee.

6.0 Actions

6.1 General

6.2 Audit resources

6.3 Preparation for audits

6.4 Conducting the audit

6.5 Evaluation of results

6.6 Audit report

6.7 Management committee actions

6.8 Corrective actions

6.9 Audit records

SAMPLE AUDIT SCOPE PLANNER

MIS item		Checked
1.	Safety policy	<input type="checkbox"/>
2.	Governance and internal control arrangements	<input type="checkbox"/>
3.	Documented safety accountabilities and authorities	<input type="checkbox"/>
4.	Information management process	<input type="checkbox"/>
5.	Safety information communication	<input type="checkbox"/>
6.	Drug and alcohol management policy	<input type="checkbox"/>
7.	Hazard, risk and change management	<input type="checkbox"/>
8.	Emergency management	<input type="checkbox"/>
9.	Bus safety worker competence	<input type="checkbox"/>
10.	Incident reporting and investigation	<input type="checkbox"/>
11.	Internal audits	<input type="checkbox"/>

Each bus operator will need to develop its own audit scope planner requirements based on its own operating conditions, risks, incident history and determined safety objectives.

SAMPLE AUDIT REPORT FORM

Audit Report	Audit report number:
	Page of
Auditor:	Date: / /
Activity audited:	
Date previously audited: / / Audit number:	
Signed:	Non-conformance reports issued
Date: / /	

SAMPLE NON-CONFORMANCE/NON-COMPLIANCE REPORT

NCR number		Issue date	/ /
File number		Auditor	
Audit number		Phone	
		Fax	
Organisation:		Representative	
Division		Phone	
		Fax	

Section 1. Details of non-conformance/non-compliance (completed by auditor)

Reference clause (Act/Regs/other): _____
 (Circle as applicable; if other identify)

Document number (if applicable): _____

Signed: _____ Date: ___/___/___

Section 2. Corrective action proposed (completed by auditee's representative)

Estimated completion date: ___/___/___ Signed: _____ Date: ___/___/___

Actual completion date: ___/___/___ Signed: _____ Date: ___/___/___

Section 3. Corrective action finalised (completed by auditor)

Signed: _____ Date: ___/___/___

2.12 REGULATORY COMPLIANCE (OPTIONAL)

Requirement

An accredited bus operator must establish systems and processes for the identification of safety requirements under the Bus Safety Act and Regulations.

An accredited bus operator must establish systems to ensure compliance with those safety requirements.

Our Bus Lines

Our Bus Lines complies with all Acts and Regulations relevant to its operations and ensures its bus safety workers are aware of their legal responsibilities. Refer to Section 2.8 for further information about Our Bus Lines' internal communication.

The manager has responsibility for keeping current copies of relevant Acts and Regulations and reviewing them to ensure these are up to date. This review is carried out annually or when it becomes known that changes have occurred to the relevant documents.

Details of all relevant Acts and Regulations monitored and held by Our Bus Lines are provided in the document register.

When policies and procedures are developed, or existing policies and procedures are reviewed, a check is made of relevant Acts and Regulations to ensure the policies and procedures are legally compliant.

My Bus

Sol Trader has completed a training course approved by the Safety Director. This course provided Sol with the safety requirements imposed by the Bus Safety Act and Regulations.

Sol has developed a checklist based on the items reviewed by TSV during the site visit and uses it as the basis on which to conduct his annual internal audits.

2.13 SAFETY PERFORMANCE TARGETS AND PERFORMANCE MEASURES (OPTIONAL)

Requirement

A set of safety performance targets for the bus operations should include:

- (a) key performance indicators to be used to measure safety performance and determine whether the MIS is effectively delivering the safety performance targets
- (b) a description of the systems, procedures and standards to be used by the bus operator to achieve safety performance targets
- (c) procedures for the collection, analysis, assessment and dissemination of safety related data kept by the bus operator.

Our Bus Lines

As part of the annual safety policy review, the Our Bus Lines management team determines the key safety performance targets for the next year and circulates these to staff.

The targets and subsequent results are discussed at each committee meeting during the year to ensure that targets are being met and, if this is not the case, to identify what additional controls need to be implemented.

The management committee sets goals each year for the improvement of Our Bus Lines safety performance. Our Bus Lines assesses its performance against these goals by monitoring and analysing the numbers and types of:

- reportable incidents per kilometre travelled, or per operating day
- injuries
- defect reports
- customer complaints.

Key performance indicators (KPIs), which measure safety performance and determine the effectiveness of the MIS include:

- corrective actions resulting from the annual review implemented within agreed timeframes
- directions from the safety regulator implemented within the required timeframe.

Our Bus Lines aims to meet or exceed key safety performance targets through the effective use and review of procedures and standards, including the collection and measurement of data on completion of and compliance with safety management activities.

Our Bus Lines collects data to show how it is meeting its safety performance objectives, including the following:

- risk register
- injury register
- agenda items and or minutes from safety committee or relevant safety meetings
- incident report forms
- analysis of causes of accidents and incidents, which helps to develop strategies to prevent future occurrences.

My Bus

Sol Trader, who is the owner/operator of My Bus, reviews his safety policy every year as part of his business plan review. As part of his review, Sol determines and records the key safety performance targets he will set himself for the next year.

Sol reviews his performance against the targets every quarter at the same time as he completes his BAS statements. Where he is not meeting his targets, he decides on the action needed to address the performance shortfall.