

Personalised Transport Chain of Responsibility Audit Compliance Checklist

Entity Name (BEA, Operator, Driver): _____		ACN: _____	Trading as: _____	
Service type: Taxi: <input type="checkbox"/> Booked Hire: <input type="checkbox"/> Limousine <input type="checkbox"/>			Total number of affiliated vehicles: Licenced Taxis: _____ Licenced Booked Hire: _____ Licenced Limousines: _____	
Number vehicles sampled:		_____		
Addresses	Office: Postal:	Depot:		
Type of Audit:	Scheduled <input type="checkbox"/>	Triggered:	Complaint <input type="checkbox"/>	Interception <input type="checkbox"/>
Audit period: ____/____/____ to ____/____/____	CID audit number:	Booking Entity Number (BEA):		
Representative (Local Nominee): _____		Role: _____		
Primary Auditor Name:		Signature:		Date: ____/____/____
Audit Result:	Pass <input type="checkbox"/>	Fail <input type="checkbox"/>	Direction to Comply: Yes <input type="checkbox"/> No <input type="checkbox"/>	PIN Issued: Yes <input type="checkbox"/> No <input type="checkbox"/>
Location/s of Audit	_____		_____	

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The following sources of evidence have been identified to assist in verifying compliance with the requirements of a person in the CoR. Other methods of obtaining valid evidence may be used.

1. Interviews with the subject of this Audit Report.
2. Physical observations and/or photographs.
3. Physical inspections of relevant vehicles relating to this Audit Report.
4. Documents and records including, relating to or obtained under but not limited to:
 - Information bulletins provided by TMR;
 - *TOPTA*;
 - *TOPTR*
 - *AAOP*;
 - *Road Rules*
 - *TORUM*.

Authority of Authorised Persons

Authority to conduct the audit is provided under Chapter 7, Part 5, Division 2, section 91ZN of TOPTA.

Authority for an authorised person to enter a premise for the purpose of conducting this audit is provided under section 120(d) of TOPTA.

Nature of Audit Compliance Checklist

This CoR Audit Compliance Checklist is used by TMR as a indicative desktop audit tool for internal TMR use only. It does not constitute an Audit Report for the purpose of section 91ZP of TOPTA.

The information contained in this Checklist does not guarantee that the subject of the audit has complied with relevant legislative obligations or approve or authorise any actions as compliant with legislative obligations. It does not mitigate the requirement for service operators to comply with their relevant legislative obligations.

1. Vehicle Licencing		
Licence/Insurance and Purpose of Use		
Relevant Legislative Provision	Requirement	Yes/No
Section 76 TOPTA	Does the service provider have a system to verify that all affiliated vehicles are appropriately licensed?	Yes/No
Section 158(1)(d) TOPTR	Does the service provider have a system to verify that all affiliated vehicles have the appropriate level of Compulsory Third Party (CTP) insurance and Purpose of Use (POU)?	Yes/No
	Does the service provider have a system to verify that all affiliated vehicles <u>retain</u> the appropriate level of CTP and POU?	Yes/No
Comments		
Vehicle (Inspections)		
Section 158(c) TOPTR	Does the service provider have a system to verify that affiliated vehicles are inspected by an AIS or TMR (COI) as per legislation?	Yes/No
Section 223 TOPTR	Does the service provider have a process for remedial action for the identified non-compliant vehicles?	Yes/No
	Is there a process in place for service providers to receive notice if a vehicle does not comply at inspections?	Yes/No
Comments		

Vehicle (Maintenance)		
Section 224(2)(a) TOPTR	Does the service provider have a system to verify that vehicles are maintained in accordance with the vehicle manufacturers recommended maintenance standards?	Yes/No
Section 224(2)(d) and 224(3) TOPTR	Does the service provider have a system to verify that vehicle maintenance records are held for the required two years and are up to date?	Yes/No
	Does the service provider have a system to ensure procedures are developed for pre-shifts and the end of shift safety checks on vehicles?	Yes/No
Comments		
2. Driver Authorisation		
Booked Hire/Taxi authorisation		
Section 27(2) TOPTA	Does the service provider have a system to verify that all affiliated drivers hold and retain the appropriate BHTX authorisation.	

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<p>Section 117(2) TOPTR</p>	<p>Does the service provider have a process which advises TMR when and for what reason the BEA ends an arrangement with a driver for serious misconduct?</p>	<p>Yes/No</p>
<p>Driver Training</p>		
<p>Sections 97, 98 TOPTR</p>	<p>Does the service provider have a training regime and program that addresses the required competencies set out in the training notice published by the Chief Executive for:</p> <ul style="list-style-type: none"> • anti-discrimination awareness (including sexual harassment?) • disability awareness? • providing wheelchair accessible services? 	<p>Yes/No</p> <p>Yes/No</p> <p>Yes/No</p>
<p>Section 97 TOPTR</p>	<p>Can the service provider produce evidence that each driver has completed the required training?</p>	<p>Yes/No</p>
<p>Section 97(1) TOPTR</p>	<p>Drivers Only</p> <p>Can the driver/s provide evidence of required personalised transport training?</p>	<p>Yes/No</p>
<p>Section 33 and 34 TOPTA</p>	<p>Does the service provider have policies and systems to ensure all driver related disqualifying offences are identified and reported?</p>	<p>Yes/No</p>
<p>Section 138(1) TOPTR</p>	<p>Does the service provider have a system to ensure every affiliated driver displays their taxi driver display card? (Taxi operators only)</p>	<p>Yes/No</p>

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Sections 299, 300 Road Rules	Does the service provider provide any specific training around the minimization of driver distraction and associated expectations and correct use of technology?	Yes/No
Section 274 TOPTR	Does the service provider have any specific risk control strategies or systems implemented around minimization of soliciting and touting?	Yes/No
	Does the service provider have specific risk control strategies or systems around <u>safe set down and passenger pick up?</u>	Yes/No
Comments		
3. Fatigue Management		
Section 91(B)(2) TOPTA	Does the service provider have specific risk control strategies or systems in place around discharging duties related to <u>driver fatigue?</u>	Yes/No
Section 91(B)(2) TOPTA	Does the service provider have fatigue management policies and programs in place to manage driver fatigue which has been based on a risk assessment?	Yes/No
Section 91(B)(2) TOPTA	Does the service provider have any other strategies to manage fatigue of its drivers and staff?	Yes/No
Section 101(1) TOPTR	Does the service provider keep a written record of fatigue information about each driver?	Yes/No
Section 101(2) TOPTR	Can the service provider provide records of driver fatigue information for 2 years?	Yes/No

Comments		
4. Safety Management		
Drugs and Alcohol		
Section 79 TORUM	Does the service provider have a drug and alcohol program and policy in place?	Yes/No
Comments		
Safety Management System (SMS) *refer to Schedule 1 definitions section.		
Section 88 TOPTA	Does the service provider have a system in place to manage its general safety duty?	
Section 88 TOPTA	Does the service provider have a risk register in place which is suitable to the business? (See definition below)	Yes/No
Section 88 TOPTA and section 117 TOPTR.	Does the service provider maintain a complaint register which records actions taken against affiliated drivers as a result of a complaint?	Yes/No
Comments		

5. Security Camera Systems		
Section 208 TOPTR	<p>Does the BEA have a system which ensures all vehicles which are required to have an approved security camera system installed are properly fitted and fully operational?</p> <p>Vehicles include:</p> <p>Taxis – all prescribed relevant areas.</p> <p>Booked Hire – all vehicles where:</p> <ul style="list-style-type: none"> • payment is made in person before, during or at the completion of the journey, • the business model provides for cash payments, or • the driver or passenger is anonymous 	Yes/No
Section 216(1) TOPTR	Can the BEA provide a written record of the downloads its authorised security camera download station performs?	Yes/No
Sections 215, 217(1) TOPTR	Can the service provider demonstrate that images captured by security cameras are stored and protected against download, access by or disclosure to unauthorised persons or use for unauthorised purposes?	Yes/No
Section 218(2) TOPTR	Does the service provider maintain a system to dispose of images or recordings made by security camera systems installed in affiliated vehicles in the time prescribed in the security camera specifications?	Yes/No
Comments		

6. Records/Data and Fares		
<p>Sections 91ZG TOPTA</p> <p>Sections 101(1), 105, 108, 109, 110 TOPTR</p>	<p>Does the service provider have a system to keep the fatigue, taxi service, driver, vehicle and booked hire service information it is required to keep for two years?</p>	<p>Yes/No</p>
<p>Sections 91ZG, 155 TOPTA</p> <p>Sections 106(1), 108(4), 109(4), 110(4), 117(2)</p> <p>TOPTR</p>	<p>Does the service provider have a system to ensure it has provided all quarterly and annual data reports to TMR as required by legislation?</p>	<p>Yes/No</p>
<p>Sections 88(1) and 88(3)</p> <p>TOPTR</p>	<p>Does the booking entity have a system which ensures the hirer of a booked hire service is provided with a fare estimate prior to the journey commencing?</p> <p>Does the booking entity have a system to ensure that an amount greater than the fare estimate is not charged?</p>	<p>Yes/No</p>
<p>Section 82(2)</p> <p>TOPTR</p>	<p>Does the BEA for booked hire services provided using taxis have a system in place to ensure bookings from a person using a wheelchair or a TSS member can be received at any time?</p>	<p>Yes/No</p>
<p>Section 91ZR</p> <p>TOPTA</p>	<p>Does the BEA have a process which verifies affiliated operators and drivers don't charge more than the maximum fare? <u>Taxi BEA only.</u></p>	<p>Yes/No</p>

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Section 91ZS TOPTA	Does the BEA have a process which verifies affiliated operators and drivers don't charge more than the maximum payment surcharge?	Yes/No
	Does the service provider have a system which records complaints received about the service which also details action, if any, taken in response to the complaint?	Yes/No
Comments		

7. Substitute Taxis (Taxi service providers only)

Section 172(a) TOPTR	Does the taxi booking entity have any approved substitute taxi authorities?	Yes/No
	What is the breakdown of the booking entities approved substitute taxi fleet?	N/A
Section 284 TOPTR	Does the BEA hold approval from TMR for substitute taxis to operate as peak demand vehicles?	Yes/No
Section 180(2) TOPTR	Does the BEA have a process to ensure all approved substitute taxis display "ST" on the rear and side panels of the vehicle?	Yes/No
Section 180(1) and 284(2) TOPTR	Does the entity have a system to ensure all approved substitute taxis operating as approved peak demand vehicles comply with the approved hours of operation?	N/A

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<p>Comments</p>		
<p>8. Booked Hire Signage (<u>Booked Hire BEA only</u>)</p>		
<p>Section 90(2) TOPTR Section 90(3) TOPTR</p>	<p>Does the BEA have a system in place to verify all affiliated vehicles display a reproduction of the approved booked hire signage and is displayed in the required position as per legislative requirements at all times when providing booked hire services?</p>	<p>Yes/No</p>
<p>Comments</p>		

Schedule 1 - Definitions

The following definitions are used in this Audit Report:

- **AAOP** means the *Transport Operations (Road Use Management – Accreditation & Other Provisions) Regulation 2015 (Qld)*
- **AIS** means Approved Inspection Station
- **Audit Report** does not mean this personalised transport CoR Compliance Checklist, it means a separate report prepared after this checklist is completed and the authorised officer does whatever else he reasonably considers necessary to inform himself.
- **BEA** means the Booking Entity Organisation
- **Driver Authorisation** – BHTX - means Booked Hire/Taxi Driver Authorisation
- **CoR** means Chain of Responsibility
- **Road Rules** means the *Transport Operations (Road Use Management – Road Rules) Regulation 2009*
- **Risk Register** means a tool for the documenting risks and actions to manage risks.
- **Safety Management System (SMS)** means a systematic approach to managing safety, including organisational structures, accountabilities, policies and procedures. An SMS is scalable, so it can be tailored to the size and complexity of an organisation.
A SMS may include:
 - Safety policy and objectives;
 - Safety risk management;
 - Safety assurances; and
 - Safety promotion.
- **TMR** means the Department of Transport and Main Roads.

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- **TOPTA** means the *Transport Operations (Passenger Transport) Act 1994 (Qld)*
- **TOPTR** means the *Transport Operations (Passenger Transport) Regulation 2018 (Qld)*
- **TORUM** means the *Transport Operations (Road Use Management) Act 1995 (Qld)*
- **TSS** means the *Taxi Subsidy Scheme*

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