



EastCoastbuses

Lothiancountry



EDINBURGH BUS TOURS

LOTHIAN MOTORCOACHES

Operations Audit Process

Version 4.1 July 2025

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Section 1

Traffic Audit Process (Central, Longstone, Marine, EastCoast, Lothian Country)

Driver Daily Walk-Round Checks (ER Section 3.14)

Driver Daily Walk-Round Check audits should be carried out by trained individuals only – all individuals carrying out an audit will be checked against the list from the Training School to ensure they are trained and qualified to carry out the audits. Audits should be recorded on form OM104 and on the garage spreadsheet to ensure that every driver is checked at least twice in the year. New staff should be added to the tracking sheet when they enter live service. Every section of the OM104 should be completed with the relevant data. A selection of licence/CPC expiry dates should be checked against Licence Bureau by a Manager.

Daily Defects (ER Section 3.15)

The Night Supervisor should record driver payroll numbers against the reported defect on form OM110 – this number should then be used when recording the defect in FACT. There should be a sheet for every day and there should be a payroll number against every defect. At least five defects should be cross-checked against FACT by a Manager to ensure that the defect was recorded. Any non-regular vehicle movements taking place in the day must be recorded on the OM110 and the sheet should be signed and dated by a Manager before filing in the folder.

Defects That Should Have Been Recorded (ER Section 3.15)

A list of driver defects that should have been booked off are provided to the garage from Engineering using the Driver Defects Not Reported form OM614. There should be a form for every day even if there were no defects to report. The form should record the bus number, details of the defect and the action taken by Garage Management. These completed forms should then be stored in the Garage Compliance Folder as evidence of a robust procedure being followed.

Van Daily Walk-Round Checks (ER Section 5.10.4)

Walk-round checks should be carried out on a daily basis and recorded on form OM318, this should be checked for outstanding defects and signed by a Manager before filing. There should be a sheet for every day and every day should include the van fleet numbers whether the vans were used or not. Any hire vans in use must also follow the same process. The week 4 sheet in each period should state the MOT and vehicle tax expiry dates for each van, including hire vans. Check online (<https://www.gov.uk/get-vehicle-information-from-dvla>) and print and store these checks in the book.

Driver Tachographs (ER Section 4.1)

Driver tachographs should be downloaded at least every 14 days (Earned Recognition standard) and any reason for not downloading should be recorded on the weekly report issued by Operations Support before being filed. Persistent offenders should receive a letter reminding them of their obligations before entering the disciplinary process if there is no improvement. Reasons for not downloading need to be accurate and will be cross-checked. Any long-term absences should be reported to Operations Support so the driver can be set to “away” and not create an alert. Any tachograph cards that were not downloaded within the legal 28-day window should have been followed up by a Manager and recorded in the driver’s file.

Vehicle Tachographs (ER Section 3.11)

Vehicle units should be downloaded at least every 28 days and any reason for not downloading should be recorded on the weekly report issued by Operations Support. Any long-term VOR should be reported to Operations Support so the vehicle can be set as such and not create an alert.

Daily RTA Reports (ER Section 4.5)

A system should be in place where the Traffic Supervisor on backshift runs the Daily RTA reports. This report must always cover the live week and should be checked for RTA breaches and signed by a manager before filing. There should be 28 reports present for the period.

RTA Investigations (ER Section 4.5)

Any breaches that require investigation should be in the folder with the corresponding documents relating to the investigation. The Manager investigating should have copies of the running board with the layovers achieved written on then summed up – this should match the front page of the initial report. If a duty is modified to reflect a later take over, then that duty should have a screenshot taken with the modification noted.

Non-Regular Vehicle Movements

If it is necessary for vehicles to be moved outside of normal bus operations, such as non-predetermined road-testing routes or moving vehicles to different garages then the movement must be recorded on the daily OM110 and be accompanied by a completed OM142 Non-Standard Vehicle Movements Briefing Sheet. The OM142, once completed, and fully signed-off by the movement organiser and the driver must be filed in the Garage Compliance Folder. This list should be cross-checked with the OM110 for the days that a vehicle was used to ensure all vehicle movements were recorded correctly.

DAS Licence Check (ER Section 7.2)

Data should be captured from Licence Bureau and DAS on week 4 of the period and pasted into the spreadsheet template. The spreadsheet will then cross-compare the two data sources to ensure that there is a licence mandate present for every member of staff employed. The sheet will state expiry dates of licences and CPC and highlight any that will require attention. The reason for any revoked or expired licences should be recorded on the spreadsheet by a manager before printing. All expiry dates should be monitored on a regular basis.

Licence DCPC Check (ER Section 7.2)

All drivers who have had their licence and CPC card randomly checked should be recorded on the relevant tracking sheet OM321 – recording the date, person carrying out the check, any codes checked for compliance and comments noted. Checks must be evenly spread throughout the whole day.

A Manager should be performing random checks of this data against Licence Bureau to ensure that the correct information is being recorded.

Drug and Alcohol Testing (ER Section 9.4)

When the list of duties to be tested is received from Operations Support, a Manager should enter the required duty numbers of the tests into the event log on Duty Allocation. The name of the person currently on that duty (if applicable) should be entered onto the calling sheet. The day before the test the backshift supervisor should be paging the required driver about their next day test. The completed list from Operations Support – with names and

number of tests carried out – should be filed along with the paperwork for the tests carried out – OM202 for alcohol tests and OM203 for drug tests.

The alcohol testing machine should be present and contain a sticker on the back with the date the next calibration is due. Drug testing kits should be present and contain a good supply of tests which are all in-date. The folder of required forms and scripts (alcohol pre-test script, drug pre-test script, second test drug pre-test script and suspension script) should be stored with the alcohol testing machine and drug kits.

Drug and alcohol tests must only be carried out by individuals trained to do so. HR maintain a master list of trained Managers and Supervisors who are able to carry out these tests. All individuals who carried out a test in the period will be checked against HR's master list to ensure compliance. If a new member of staff is trained to carry out these tests then a notification email must be sent to HR so the list can be updated.

Transport Manager Observations (ER Section 2.2)

A minimum of one run-in and one run-out check should be performed in each period and recorded on the relevant forms OM113 and OM114 with Manager comments. If a garage has more than one operating location then all locations must be subject to an Observation throughout the year.

Employee Hours Analysis

Driver hours should be checked by the Staff Manager every week before the wages are locked – this should catch any errors and anomalies. During the audit another Employee Hours Report will be run for the period and checked against each designation and type. A detailed description of how an Employee Hours Report will be run can be found in the Trapeze DAS Staff Manager Handbook.

Driver File Contents Checks (ER Section 7.1)

Three (Central, Longstone, Marine)/Two (EastCoast, Lothian Country) driver files should be checked to make sure they contain the following:

- Right to Work documentation
- Offer of employment letter
- Contract of employment
- Signed Working Time Directive opt-out (valid for five years)
- Driving licence verification
- CPC and tachograph card records
- Employee personal details form
- Relevant probationary period documentation
- PCV assessment drive paperwork
- PCV theory test results
- Interview notes
- Checked references
- Driver Training Books
- Daily Walk-round Check guide
- Low Bridge Awareness guide (most recent version)
- Banksman guide
- Record of discipline with relevant discipline process evidence

Business Continuity

Proof of daily backups (sign on files, tracers and unallocated duties), lost mileage sheets, changeover sheets, FACT manual entry sheets and weekday, Saturday and Sunday duty books. A handheld Optac reader should also be present and empty of any files waiting to be uploaded.

Operator's Licence (ER Section 1)

Check online (<https://www.vehicle-operator-licensing.service.gov.uk/search/check-vehicle-operator-decisions-applications/>) to ensure the Operator Licence is up-to-date with Transport Manager's names and expiry date. Cross-reference this with My Lothian to make sure the My Lothian is also up-to-date and current. Companies House should also be checked (<https://www.gov.uk/get-information-about-a-company>) against the Operator Licence to ensure the Directors match across both.

Company Tachograph Card (ER Section 4.1)

Check against the master sheet that the company card allocated is the correct card. There should be a tracking sheet for card movements with the name of the person who signed the card out and in.

Transport Manager Industry Updates and Continuous Professional Development (ER Section 2)

Check that the Transport Manager is signed up to the relevant industry body newsletters and can evidence this by showing saved communications. They should be receiving updates from at least the following:

- GOV.UK Moving On Blog (<https://movingon.blog.gov.uk/subscribe>)
- Confederation of Passenger Transport (CPT) – Member's area and Compliance Manual (<https://www.cpt-uk.org/communications/>)
- DVSA Bulletins (<https://content.govdelivery.com/accounts/UKDVSA/bulletins/2c2ca6f>)
- Updates about changes to GOV.UK (<https://www.gov.uk/help/get-emails-about-updates-to-govuk>)
- GOV.UK DVLA Services Updates (<https://www.gov.uk/guidance/dvla-services-update>)
- Health and Safety Executive Latest News and Updates (<https://www.hse.gov.uk/news/index.htm>)
- Route One (<https://www.route-one.net/sign-up/>)
- Backhouse Jones Free Webinar (<https://backhousejones.co.uk/free-webinar>)

The Transport Manager CPD Tracker will be checked to note the most recent training and development opportunities the manager has undertaken. The courses and training sessions listed will be compared to the Transport Manager Certificates folder to ensure that any courses undertaken have a relevant certificate saved.

Statutory Notices and Garage Notice Boards

Garage notice boards should contain all current Statutory notices as listed in the LB Notices Control document and all other notices present should be current and valid. Notice boards should be laid out according to the issued Notice Board Plan and each notice should be signed and dated by the person who put the notice up. Notices should not be up past their removal date or if they are no longer relevant.

MUDFA/Operational Spare Packs and Tracking

On every day that a MUDFA/Operational Spare operates the list of drivers who have operated a MUDFA duty will be checked against the garage MUDFA packs to make sure each driver signed a pack out. Each box on the sign out sheet should be ticked to say all items are present and the sheet should be counter-signed by a Manager or Supervisor.

In-Depth Driver File and Training Book Checks

Three (Central, Longstone, Marine)/two (EastCoast, Lothian Country, Edinburgh Bus Tours) driver files will be thoroughly checked to make sure they contain the following:

- **Bus Driver Competence Standards (provisional trainees from March 2022 onwards)**
 - Front page completed with driver name and payroll number
 - Every Knowledge page containing full answers and tick marks for all questions
 - Every Skills page containing Module start dates and Dates when competent
 - Every section signed and dated by the trainee to confirm they have received training
 - Completion of Garage Training page fully completed and signed off by trainee and Manager
 - Plus any other relevant section subsequently added to be fully completed
- **Bus Driver Garage Training (for provisional and PCV trainees from March 2022 onwards)**
 - Front page completed with driver name and payroll number
 - Health & Safety section initialled and dated in full
 - Personal Wellbeing section signed off by Trainer
 - All vehicle types signed off by the trainee and Trainer with all vehicle heights completed
 - Dash symbols section completed with relevant Y/N
 - Vehicle Defects section signed off by trainee and Trainer
 - Driver Walk Round Check Audits completed with evidence of a check on a double deck vehicle
 - Routes by garage completed with Relief Point and signed and dated
 - Route Learning completed for all routes at the trainee's garage with relevant hazards identified
 - Driver Changeover page signed by trainee and Trainer
 - Early Running page signed by trainee
 - Wayfarer ticket machine knowledge check containing all tick marks and signed by trainee and Trainer
 - All driving assessments completed with any comments for improvement followed up in subsequent assessments – all must be signed by the trainee and the Trainer
 - Signed reversing acknowledgements
 - Completed mock Accident & Investigation Report
 - GB Domestic Driving Hours page with relevant gaps and acknowledgement statement completed and signed by the trainee
 - Disability and Impairments section completed with tick marks in relevant boxes
 - Lothian Buses Customer Engagement Standard signed and dated by trainee and Trainer
 - Low Bridge and Railway Crossings Locations all completed with route number (or "off-service")
 - Low Bridge Awareness acknowledgement signed and dated by the trainee
 - Take Control calling card signed for by trainee and Trainer and all call types containing tick marks
 - Fire or Excessive Smoke on a Vehicle signed for by trainee and Manager
 - Completion of Garage Training signed off by trainee and Staff Manager
 - Supervisor Training/Garage Training Checklist completed and signed
 - Garage Induction filled in with who led the induction, Overpayment slip start and end numbers, all tick marks present and trainee initials and dates
 - Toilet Keys page must be signed and dated by the trainee
 - A suitable number of training/Lead Driver reports completed with all details and signed by the Trainer/Lead Driver and trainee
 - Lead Driver section signed off by the Lead Driver
 - PCV Driving Test Indemnity Form completed where appropriate
 - Plus any other relevant section subsequently added to be fully completed

- Single Deck to Double Deck Training (Central, Longstone, Marine only where applicable from July 2023 onwards)

OM121

- Front page completed with driver name and payroll number
- All vehicle types signed off by the driver and Trainer with all vehicle heights completed
- Dash symbols section completed with relevant Y/N
- Fire or Excessive Smoke on a Vehicle signed for by driver and Manager
- Routes by garage completed with Relief Point and signed and dated
- Signed reversing acknowledgements
- Early Running page signed by driver
- Low Bridge Awareness acknowledgement signed and dated by the driver
- Double Deck checklist completed with all Y's and signed off by Manger
- Plus any other relevant section subsequently added to be fully completed

Supervisor And Operations Support File Contents Checks

All Supervisor and Operations Support files should be checked to make sure the most recent Supervisor Low Bridge/Off Service acknowledgement is present and signed as well as the Driver Low Bridge acknowledgement being present and signed.

Newly Introduced Procedures and Documents

If any new procedures have been implemented or documents issued since the previous audit then a check will be performed to ensure any new procedure is being followed since the date it was introduced. All documents and forms that have been re-issued or updated recently will also be checked to ensure the most up-to-date version is in use in the current period. All evidence should be presented in the usual way in the TM folder even if the period is not complete.

Documents Referenced

All documents and forms in the Compliance folder will always be checked to ensure the most up-to-date version is being used for the period being audited. The documents can be found at the links below:

- [OM104](#) Driver Walk Round Check Audit
- [OM110](#) Morning Runout Defect Sheet
- [OM113](#) Transport Manager Run-out Check Sheet
- [OM114](#) Transport Manager Run-in Check Sheet
- [OM121](#) Single Deck to Double Deck Training Book
- [OM142](#) Non-Standard Vehicle Movements Briefing Sheet
- [OM202](#) Alcohol Testing Consent Form
- [OM203](#) Drug Screening Consent Form
- [OM318](#) Ancillary Van Daily First-use Checks
- [OM321](#) Licence and CPC Check Sheet
- [OM614](#) Driver Defects Not Reported

Section 2

Edinburgh Bus Tours Audit Process

Driver Daily Walk-Round Checks (ER Section 3.14)

Driver Daily Walk-Round Check audits should be carried out by trained individuals only – all individuals carrying out an audit will be checked against the list from the Training School to ensure they are trained and qualified to carry out the audits. Audits should be recorded on form OM104 and on the garage spreadsheet to ensure that every driver is checked at least twice in the year. New staff should be added to the tracking sheet when they enter live service. Every section of the OM104 should be completed with the relevant data. A selection of licence/CPC expiry dates should be checked against Licence Bureau by a Manager.

Daily Defects (ER Section 3.15)

All drivers who take a bus from the garage should confirm on the run-out sheet that their bus is good and free of defects. Every bus on the sheet must be signed for. There should be three signatures at the bottom of the run-out sheet confirming a cross-check of this.

Defects That Should Have Been Recorded (ER Section 3.15)

A list of driver defects that should have been booked off are provided to the garage from Engineering using the Driver Defects Not Reported form OM614. There should be a form for every day even if there were no defects to report. The form should record the bus number, details of the defect and the action taken by Garage Management. These completed forms should then be stored in the Garage Compliance Folder as evidence of a robust procedure being followed.

Driver Tachographs (ER Section 4.1)

Driver tachographs should be downloaded at least every 14 days (Earned Recognition standard) and any reason for not downloading should be recorded on the weekly report issued by Operations Support before being filed. Persistent offenders should receive a letter reminding them of their obligations before entering into the disciplinary process if there is no improvement. Reasons for not downloading need to be accurate and will be cross-checked. Any long-term absences should be reported to Operations Support so the driver can be set to “away” and not create an alert. Any tachograph cards that were not downloaded within the legal 28-day window should have been followed up by a Manager and recorded in the driver’s file.

Vehicle Tachographs (ER Section 3.11)

Vehicle units should be downloaded at least every 28 days and any reason for not downloading should be recorded on the weekly report issued by Operations Support. Any long-term VOR should be reported to Operations Support so the vehicle can be set as such and not create an alert.

Daily RTA Reports (ER Section 4.5)

A system should be in place where the Traffic Supervisor on backshift runs the Daily RTA reports. This report must always cover the live week and should be checked for RTA breaches and signed by a manager before filing. There should be 28 reports present for the period.

RTA Investigations (ER Section 4.5)

Any breaches that require investigation should be in the folder with the corresponding documents relating to the investigation. The Manager investigating should have copies of the running board with the layovers achieved written

on then summed up – this should match the front page of the initial report. If a duty is modified to reflect a later take over, then that duty should have a screenshot taken with the modification noted.

Non-Regular Vehicle Movements

If it is necessary for vehicles to be moved outside of normal bus operations, such as non-predetermined road-testing routes or moving vehicles to different garages then the movement must be recorded on the daily OM110 and be accompanied by a completed OM142 Non-Standard Vehicle Movements Briefing Sheet. The OM142, once completed, and fully signed-off by the movement organiser and the driver must be filed in the Garage Compliance Folder. This list should be cross-checked with the OM110 for the days that a vehicle was used to ensure all vehicle movements were recorded correctly.

DAS Licence Check (ER Section 7.2)

Data should be captured from Licence Bureau and DAS on week 4 of the period and pasted into the spreadsheet template. The spreadsheet will then cross-compare the two data sources to ensure that there is a licence mandate present for every member of staff employed. The sheet will state expiry dates of licences and CPC and highlight any that will require attention. The reason for any revoked or expired licences should be recorded on the spreadsheet by a manager before printing. All expiry dates should be monitored on a regular basis.

Licence DCPC Check (ER Section 7.2)

All drivers who have had their licence and CPC card randomly checked should be recorded on the relevant tracking sheet OM321 – recording the date, person carrying out the check, any codes checked for compliance and comments noted. Checks must be evenly spread throughout the whole day.

A Manager should be performing random checks of this data against Licence Bureau to ensure that the correct information is being recorded.

Drug and Alcohol Testing (ER Section 9.4)

When the list of duties to be tested is received from Operations Support, a Manager should enter the required duty numbers of the tests into the event log on Duty Allocation. The name of the person currently on that duty (if applicable) should be entered onto the calling sheet. The day before the test the backshift supervisor should be paging the required driver about their next day test. The completed list from Operations Support – with names and number of tests carried out – should be filed along with the paperwork for the tests carried out – OM202 for alcohol tests and OM203 for drug tests.

The alcohol testing machine should be present and contain a sticker on the back with the date the next calibration is due. Drug testing kits should be present and contain a good supply of tests which are all in-date. The folder of required forms and scripts (alcohol pre-test script, drug pre-test script, second test drug pre-test script and suspension script) should be stored with the alcohol testing machine and drug kits.

Drug and alcohol tests must only be carried out by individuals trained to do so. HR maintain a master list of trained Managers and Supervisors who are able to carry out these tests. All individuals who carried out a test in the period will be checked against HR's master list to ensure compliance. If a new member of staff is trained to carry out these tests then a notification email must be sent to HR so the list can be updated.

Transport Manager Observations (ER Section 2.2)

A minimum of one run-in and one run-out check should be performed in each period and recorded on the relevant forms [OM113](#) and [OM114](#) with Manager comments.

Employee Hours Analysis

Driver hours should be checked by the Staff Manager every week before the wages are locked – this should catch any errors and anomalies. During the audit another Employee Hours Report will be run for the period and checked against each designation and type. A detailed description of how an Employee Hours Report will be run can be found in the Trapeze DAS Staff Manager Handbook.

Driver File Contents Checks (ER Section 7.1)

Two driver files should be checked to make sure they contain the following:

- Right to Work documentation
- Offer of employment letter
- Contract of employment
- Signed Working Time Directive opt-out (valid for five years)
- Driving licence verification
- CPC and tachograph card records
- Employee personal details form
- Relevant probationary period documentation
- PCV assessment drive paperwork
- PCV theory test results
- Interview notes
- Checked references
- Driver Training Books
- Daily Walk-round Check guide
- Low Bridge Awareness guide (most recent version)
- Banksman guide
- Record of discipline with relevant discipline process evidence
- Annual Medical Declaration

Business Continuity

Proof of daily backups (sign on files, tracers and unallocated duties), lost mileage sheets and weekday, Saturday and Sunday duty books.

Operator's Licence (ER Section 2)

Check online (<https://www.vehicle-operator-licensing.service.gov.uk/search/check-vehicle-operator-decisions-applications/>) to ensure the Operator Licence is up-to-date with Transport Manager's names and expiry date. Cross-reference this with My Lothian to make sure the My Lothian is also up-to-date and current. Companies House should also be checked (<https://www.gov.uk/get-information-about-a-company>) against the Operator Licence to ensure the Directors match across both.

Transport Manager Industry Updates and Continuous Professional Development (ER Section 2)

Check that the Transport Manager is signed up to the relevant industry body newsletters and can evidence this by showing saved communications. They should be receiving updates from at least the following:

- GOV.UK Moving On Blog (<https://movingon.blog.gov.uk/subscribe>)
- Confederation of Passenger Transport (CPT) – Member's area and Compliance Manual (<https://www.cpt-uk.org/communications/>)

- DVSA Bulletins (<https://content.govdelivery.com/accounts/UKDVSA/bulletins/2c2ca6f>)
- Updates about changes to GOV.UK (<https://www.gov.uk/help/get-emails-about-updates-to-govuk>)
- GOV.UK DVLA Services Updates (<https://www.gov.uk/guidance/dvla-services-update>)
- Health and Safety Executive Latest News and Updates (<https://www.hse.gov.uk/news/index.htm>)
- Route One (<https://www.route-one.net/sign-up/>)
- Backhouse Jones Free Webinar (<https://backhousejones.co.uk/free-webinar>)

The Transport Manager CPD Tracker will be checked to note the most recent training and development opportunities the manager has undertaken. The courses and training sessions listed will be compared to the Transport Manager Certificates folder to ensure that any courses undertaken have a relevant certificate saved.

Statutory Notices and Garage Notice Boards

Garage notice boards should contain all current Statutory notices as listed in the LB Notices Control document and all other notices present should be current and valid. Notice boards should be laid out according to the issued Notice Board Plan and each notice should be signed and dated by the person who put the notice up. Notices should not be up past their removal date or if they are no longer relevant.

MUDFA/Operational Spare Packs and Tracking

On every day that a MUDFA/Operational Spare operates the list of drivers who have operated a MUDFA duty will be checked against the garage MUDFA packs to make sure each driver signed a pack out. Each box on the sign out sheet should be ticked to say all items are present and the sheet should be counter-signed by a Manager or Supervisor.

Walk-Round Trained Testers

The file of two random Trained Checkers who completed a Daily Walk-Round audit in the previous period will be checked to make sure up-to-date paperwork proving their competency to perform these checks is present. This should then be cross-checked with the database of Trained Testers held by the Training School.

In-Depth Driver File and Training Book Checks

Three (Central, Longstone, Marine)/two (EastCoast, Lothian Country, Edinburgh Bus Tours) driver files will be thoroughly checked to make sure they contain the following:

- **Bus Driver Competence Standards (provisional trainees from March 2022 onwards)**
 - Front page completed with driver name and payroll number
 - Every Knowledge page containing full answers and tick marks for all questions
 - Every Skills page containing Module start dates and Dates when competent
 - Every section signed and dated by the trainee to confirm they have received training
 - Completion of Garage Training page fully completed and signed off by trainee and Manager
 - Plus any other relevant section subsequently added to be fully completed
- **Bus Driver Garage Training (for provisional and PCV trainees from March 2022 onwards)**
 - Front page completed with driver name and payroll number
 - Health & Safety section initialled and dated in full
 - Personal Wellbeing section signed off by Trainer
 - All vehicle types signed off by the trainee and Trainer with all vehicle heights completed
 - Dash symbols section completed with relevant Y/N
 - Vehicle Defects section signed off by trainee and Trainer

- Driver Walk Round Check Audits completed with evidence of a check on a double deck vehicle
 - Routes by garage completed with Relief Point and signed and dated
 - Route Learning completed for all routes at the trainee's garage with relevant hazards identified
 - Driver Changeover page signed by trainee and Trainer
 - Early Running page signed by trainee
 - Wayfarer ticket machine knowledge check containing all tick marks and signed by trainee and Trainer
 - All driving assessments completed with any comments for improvement followed up in subsequent assessments – all must be signed by the trainee and the Trainer
 - Signed reversing acknowledgements
 - Completed mock Accident & Investigation Report
 - GB Domestic Driving Hours page with relevant gaps and acknowledgement statement completed and signed by the trainee
 - Disability and Impairments section completed with tick marks in relevant boxes
 - Lothian Buses Customer Engagement Standard signed and dated by trainee and Trainer
 - Low Bridge and Railway Crossings Locations all completed with route number (or "off-service")
 - Low Bridge Awareness acknowledgement signed and dated by the trainee
 - Take Control calling card signed for by trainee and Trainer and all call types containing tick marks
 - Fire or Excessive Smoke on a Vehicle signed for by trainee and Manager
 - Completion of Garage Training signed off by trainee and Staff Manager
 - Supervisor Training/Garage Training Checklist completed and signed
 - Garage Induction filled in with who led the induction, Overpayment slip start and end numbers, all tick marks present and trainee initials and dates
 - Toilet Keys page must be signed and dated by the trainee
 - A suitable number of training/Lead Driver reports completed with all details and signed by the Trainer/Lead Driver and trainee
 - Lead Driver section signed off by the Lead Driver
 - PCV Driving Test Indemnity Form completed where appropriate
 - Plus any other relevant section subsequently added to be fully completed
- **Single Deck to Double Deck Training (Central, Longstone, Marine only where applicable from July 2023 onwards)**

OM121

- Front page completed with driver name and payroll number
- All vehicle types signed off by the driver and Trainer with all vehicle heights completed
- Dash symbols section completed with relevant Y/N
- Fire or Excessive Smoke on a Vehicle signed for by driver and Manager
- Routes by garage completed with Relief Point and signed and dated
- Signed reversing acknowledgements
- Early Running page signed by driver
- Low Bridge Awareness acknowledgement signed and dated by the driver
- Double Deck checklist completed with all Y's and signed off by Manger
- Plus any other relevant section subsequently added to be fully completed

Supervisor And Operations Support File Contents Checks

All Supervisor and Operations Support files should be checked to make sure the most recent Supervisor Low Bridge/Off Service acknowledgement is present and signed as well as the Driver Low Bridge acknowledgement being present and signed.

Newly Introduced Procedures

If any new procedures have been implemented or documents issued since the previous audit then a check will be performed to ensure any new procedure is being followed since the date it was introduced. All documents and forms that have been re-issued or updated recently will also be checked to ensure the most up-to-date version is in use in the current period. All evidence should be presented in the usual way in the TM folder even if the period is not complete.

Documents Referenced

All documents and forms in the Compliance folder will always be checked to ensure the most up-to-date version is being used for the period being audited. The documents can be found at the links below:

- [OM104](#) Driver Walk Round Check Audit
- [OM113](#) Transport Manager Run-out Check Sheet
- [OM114](#) Transport Manager Run-in Check Sheet
- [OM142](#) Non-Standard Vehicle Movements Briefing Sheet
- [OM202](#) Alcohol Testing Consent Form
- [OM203](#) Drug Screening Consent Form
- [OM321](#) Licence and CPC Check Sheet
- [OM614](#) Driver Defects Not Reported

Section 3

LMC & EVE Audit Process

Driver Daily Walk-Round Checks (ER Section 3.14)

Driver Daily Walk-Round Check audits should be carried out by trained individuals only – all individuals carrying out an audit will be checked against the list from the Training School to ensure they are trained and qualified to carry out the audits. Audits should be recorded on form OM706 with Supervisors ensuring every driver is checked at least four times in the year. Every section of the OM706 should be completed with the relevant data. A selection of licence/CPC expiry dates should be checked against Licence Bureau by a Manager.

Lead-In Checks and Vehicle Checks (ER Section 3.15)

All driver lead-in time less than 10 minutes will be investigated. This will be done with a C10 Vehicle Check Status Report from CPT to ensure that a check was carried out on the vehicle using the app (or a manual paper check if the app was not available). A D63 Driver Lead-In Report will be used to determine the driver had their card in the vehicle and the correct mode was used. All issues raised on these reports will be investigated and stored in the compliance folder.

Daily defects should be recorded via the CPT app with a separate monthly list that cross-references with FACT (LMC) or manual defect recording sheets (EVE) – including the date of the defect being reported and the date entered into FACT. The FACT number (LMC) and manual defect recording sheet number (EVE) should then be recorded. All defects should be closed off in TruTac so the data matches across TruTac and FACT. Manual paper walk-round sheets can be used in place of the app when the app fails or the driver cannot access it. A random selection of defects should be selected by a manager and cross-checked between CPT and FACT to ensure accurate recording.

Van Daily Walk-Round Checks (ER Section 5.10.4)

Walk-round checks should be carried out on every day of the period with these checks being recorded on form OM734, this should be checked for outstanding defects and signed by a supervisor or manager before filing. All hire vans in use must also follow the same process. The week 4 sheet in each period should state the MOT and vehicle tax expiry dates for each van, including hire vans. Check online (<https://www.gov.uk/get-vehicle-information-from-dvla>) and print and store these checks in the van folder.

Driver Tachographs (ER Section 4.1)

Driver tachographs should be downloaded at least every 14 days – but preferably after each hire. A D53 Digital Driver Download Warning report will be taken from CPT weekly to display the days between each download by driver. Any drivers that are showing more than 14 days must have a reason for non-download noted. This reason will cross-checked with the Driver Booking Summary from Coach Manager which should also be in the folder to ensure the reason noted is correct.

Digital Vehicle Tachographs (ER Section 4.3)

Vehicle units should be downloaded at least every 28 days – but preferably weekly. A V14 Vehicle Download Date report will be taken from CPT on a weekly basis to display the days between each download by vehicle. Any vehicles that are showing more than 28 days must have a reason for non-download noted.

Missing Mileage (ER Section 4.7.8)

Any missing mile will be investigated using a D28 Driver Timesheet Report from TruTac. This report will show the length of each duty the driver has done in the period and any duty that is showing a time close to the legal limit will be investigated to ensure the driver has not removed their card close to the end of their shift. All mileage should be accounted for in TruTac with evidence available of all investigations.

This will then be accompanied at the end of the period by a V17 Vehicle Missing Mileage Tracker. This report will show the miles missing in the period and all entries must have an explanation.

Reason	Evidence
Yard Shunting	GPS vehicle location for time and date of movement.
Servicing/Engineering	Servicing Road Test tracker sheet and GPS vehicle location for time and date of road test. Anything assigned to Engineering work should be noted in CPT as Servicing.
Assigned to Domestic Work	Vehicle allocation sheet and GPS vehicle location for time and date of movement.
Other	Any other mileage must be investigated in the same way with evidence to demonstrate the reason.

Any paper-based evidence should be stored in the back of the compliance folder to support any investigation, e.g. tachograph rolls etc.

Driver Infringements and Debriefs (ER Section 4.6)

Evidence will be provided in the form of a D6 Driver Infringement – All Infringement report at the end of the period. D6 Driver Infringement – All Infringement reports should be received by email automatically on a weekly basis so debriefs are handled as soon as possible after they occur. This forms part of the Supervisor Checklist at each location.

All drivers should be debriefed within 21 days of the incident occurring. An Infringement Debrief Document from CPT should then be present for each infringement with a Driver Feedback Form OM705 with the driver's explanation of the infringement. The OM705 should be completed before the debrief takes place so the driver has the chance to consider why they breach occurred.

Debriefs must then be committed by a manager and then be noted in the driver's file on their Record of Discipline.

Licence Check (ER Section 7.2)

Data should be captured from Licence Bureau and Coach Manager on week 4 of the period and pasted into the spreadsheet template. The spreadsheet will then cross-compare the two data sources to ensure that there is a licence mandate present for every member of staff employed. The sheet will state expiry dates of licences and CPC and highlight any that will require attention. The reason for any revoked or expired licences should be recorded on the spreadsheet by a manager before printing. All expiry dates should be monitored on a regular basis. The sheet should be signed and dated when it is printed for the folder.

Licence DCPC Check (ER Section 7.2)

At least 20 drivers should be checked each period, preferably one per day. All drivers who have had their licence, tachograph and CPC card randomly checked should be recorded on the relevant tracking sheet OM321- recording the date, person carrying out the check, any codes checked for compliance and comments noted.

A manager should be performing random checks of at least 4 checks against Licence Bureau to ensure that the correct information is being recorded.

Drug and Alcohol Testing (ER Section 9.4)

The list from Operations Support is sent to the Operations Supervisors. The supervisors must then arrange for the drug or alcohol test to be carried out by a suitably trained person and the paperwork filed along with the list from Operations Support – OM202 for alcohol tests and OM203 for drug tests.

The alcohol testing machine should be present and contain a sticker on the back with the date the next calibration is due. There should be a good supply of breath test tubes. Drug testing kits should be present and contain a good supply of tests which are all in-date. The folder of required forms and scripts (alcohol pre-test script, drug pre-test script, second test drug pre-test script and suspension script) should be stored with the alcohol testing machine and drug kits.

Drug and alcohol tests must only be carried out by individuals trained to do so. HR maintain a master list of trained managers and supervisors who are able to carry out these tests. All individuals who carried out a test in the period will be checked against HR's master list to ensure compliance. If a new member of staff is trained to carry out these tests then a notification email must be sent to HR so the list can be updated.

Transport Manager Observations (ER Section 2.2)

A daily observation should be performed in each period and recorded on the relevant form with manager comments. Run-in and run-out checks should check satnav use (if applicable), work tickets and tachographs as well as the standard criteria set out in forms OM713 and OM114.

Work Tickets (ER Section 4.6)

All work tickets for the period should be printed from Coach Manager and stored in the relevant month's Work Tickets folder. A random selection of jobs will be taken from Coach Manager and cross-checked with the relevant Work Tickets (OM701). The mileage, driver and vehicle status of the job should match between the work ticket and Coach Manager.

Driver File Contents Checks (ER Section 7.1)

Two driver files should be checked to make sure they contain the following:

- Right to Work documentation
- Offer of employment letter
- Contract of employment
- Driving licence verification
- CPC and tachograph card records
- Employee personal details form
- Relevant probationary period documentation
- PCV assessment drive paperwork

- PCV theory test results
- Interview notes
- Checked references
- Driver Training Books
- Daily Walk-round Check guide
- Low Bridge Awareness guide (most recent version)
- Banksman guide
- Record of discipline with relevant discipline process evidence
- Annual Medical Declaration

Operator's Licence (ER Section 2)

Check online (<https://www.vehicle-operator-licensing.service.gov.uk/search/check-vehicle-operator-decisions-applications/>) to ensure the Operator Licence is up-to-date with Transport Manager's names and expiry date. Cross-reference this with My Lothian to make sure the My Lothian is also up-to-date and current. Companies House should also be checked (<https://www.gov.uk/get-information-about-a-company>) against the Operator Licence to ensure the Directors match across both.

Company Tachograph Card (ER Section 4.1)

Check against the master sheet that the company card allocated is the correct card. There should be a tracking sheet for card movements with the name of the person who signed the card out and in.

Transport Manager Industry Updates and Continuous Professional Development (ER Section 2)

Check that the Transport Manager is signed up to the relevant industry body newsletters and can evidence this by showing saved communications. They should be receiving updates from at least the following:

- GOV.UK Moving On Blog (<https://movingon.blog.gov.uk/subscribe>)
- Confederation of Passenger Transport (CPT) – Member's area and Compliance Manual (<https://www.cpt-uk.org/communications/>)
- DVSA Bulletins (<https://content.govdelivery.com/accounts/UKDVSA/bulletins/2c2ca6f>)
- Updates about changes to GOV.UK (<https://www.gov.uk/help/get-emails-about-updates-to-govuk>)
- GOV.UK DVLA Services Updates (<https://www.gov.uk/guidance/dvla-services-update>)
- Health and Safety Executive Latest News and Updates (<https://www.hse.gov.uk/news/index.htm>)
- Route One (<https://www.route-one.net/sign-up/>)
- Backhouse Jones Free Webinar (<https://backhousejones.co.uk/free-webinar>)

The Transport Manager CPD Tracker will be checked to note the most recent training and development opportunities the manager has undertaken. The courses and training sessions listed will be compared to the Transport Manager Certificates folder to ensure that any courses undertaken have a relevant certificate saved.

Newly Introduced Procedures

If any new procedures have been implemented or documents issued since the previous audit then a check will be performed to ensure any new procedure is being followed since the date it was introduced. All documents and forms that have been re-issued or updated recently will also be checked to ensure the most up-to-date version is in use in the current period. All evidence should be presented in the usual way in the TM folder even if the period is not complete.

Documents Referenced

All documents and forms in the Compliance folder will always be checked to ensure the most up-to-date version is being used for the period being audited. The documents can be found at the links below:

- [OM706](#) Driver Walk Round Check Audit
- [OM713](#) Transport Manager Run-out Check Sheet
- [OM114](#) Transport Manager Run-in Check Sheet
- [OM202](#) Alcohol Testing Consent Form
- [OM203](#) Drug Screening Consent Form
- [OM734](#) Ancillary Van Daily First-use Checks
- [OM705](#) Driver Feedback Form
- [OM321](#) Licence and CPC Check Sheet
- [OM701](#) LMC Work Ticket

Section 4

Admin/Control Audit Process

Driver Daily Walk-Round Checks (ER Section 3.14)

Driver Daily Walk-Round Check audits should be carried out by trained individuals only – at least one file of a person who carried out a daily walk-round check should be audited to check their status as a trained checker. Audits should be recorded on form OM104 and on the garage spreadsheet to ensure that every driver is checked at least twice in the year. New staff with a PCV licence should be added to the tracking sheet when they enter the business. Every section of the OM104 should be completed with the relevant data. A selection of licence/CPC expiry dates should be checked against Licence Bureau by a Manager.

Van Daily Walk-Round Checks (ER Section 5.10.4)

Walk-round checks should be carried out on a daily basis and recorded on form OM318, this should be checked for outstanding defects and signed by a Manager before filing. There should be a sheet for every day and every day should include the van fleet numbers whether the vans were used or not. Any hire vans in use must also follow the same process. The week 4 sheet in each period should state the MOT and vehicle tax expiry dates for each van, including hire vans. Check online (<https://www.gov.uk/get-vehicle-information-from-dvla>) and print and store these checks in the book.

Driver Tachographs (ER Section 4.1)

Driver tachographs should be downloaded at least every 14 days (Earned Recognition standard) and any reason for not downloading should be recorded on the weekly report issued by Operations Support before being filed. Persistent offenders should receive a letter reminding them of their obligations before entering into the disciplinary process if there is no improvement. Reasons for not downloading need to be accurate and will be cross-checked. Any long-term absences should be reported to Operations Support so the driver can be set to “away” and not create an alert. Any tachograph cards that were not downloaded within the legal 28-day window should have been followed up by a Manager and recorded in the driver’s file.

DAS Licence Check (ER Section 7.2)

Data should be captured from Licence Bureau and DAS on week 4 of the period and pasted into the spreadsheet template. The spreadsheet will then cross-compare the two data sources to ensure that there is a licence mandate present for every member of staff that may drive a company vehicle. The sheet will state expiry dates of licences and CPC and highlight any that will require attention. The reason for any revoked or expired licences should be recorded on the spreadsheet by a manager before printing. All expiry dates should be monitored on a regular basis.

Licence DCPC Check (ER Section 7.2)

Licences are checked at least twice per year as part of the walk-round check. The Duty Manager should be performing random checks of this data against Licence Bureau to ensure that the correct information is being recorded.

Drug and Alcohol Testing (ER Section 9.4)

When the list is received from IT, the Service Delivery Manager should enter the required tests into the event log on Duty Allocation regardless of the employee’s working status on the day of the test. The Duty Manager should then arrange for a suitable person to carry out the test. The list from IT should be filed along with the paperwork for the tests carried out – OM202 for alcohol tests and OM203 for drug tests.

Drug and alcohol tests must only be carried out by individuals trained to do so. HR maintain a master list of trained Managers and Supervisors who are able to carry out these tests. All individuals who carried out a test in the period will be checked against HR's master list to ensure compliance. If a new member of staff is trained to carry out these tests then a notification email must be sent to HR so the list can be updated.

Radio Calls Procedure

The Service Delivery Manager should be randomly auditing a selection of radio calls to make sure all processes are being followed. At least one call by each user will be audited each period. There should be evidence these audits have been carried out and any action taken if the correct procedures have not been followed.

MUDFA/Operational Spare Packs and Tracking

On every day that a MUDFA/Operational Spare operates the list of drivers who have operated a MUDFA duty will be checked against the event plan sheets uploaded to MyLothian via Control. Driver Route Knowledge sheets will be cross-checked with the main event plan to ensure drivers have only been allocated work in which they have signed to say they are trained to do.

Service Delivery Supervisor File Contents Checks

All Supervisor files should be checked to make sure the most recent Supervisor Low Bridge/Off Service acknowledgement is present and signed as well as the Driver Low Bridge acknowledgement being present and signed. All supervisors should contain full and complete training records for the job roles they are undertaking.

Transport Manager Industry Updates and Continuous Professional Development (ER Section 2)

Check that the Transport Manager is signed up to the relevant industry body newsletters and can evidence this by showing saved communications. They should be receiving updates from at least the following:

- GOV.UK Moving On Blog (<https://movingon.blog.gov.uk/subscribe>)
- Confederation of Passenger Transport (CPT) – Member's area and Compliance Manual (<https://www.cpt-uk.org/communications/>)
- DVSA Bulletins (<https://content.govdelivery.com/accounts/UKDVSA/bulletins/2c2ca6f>)
- Updates about changes to GOV.UK (<https://www.gov.uk/help/get-emails-about-updates-to-govuk>)
- GOV.UK DVLA Services Updates (<https://www.gov.uk/guidance/dvla-services-update>)
- Health and Safety Executive Latest News and Updates (<https://www.hse.gov.uk/news/index.htm>)
- Route One (<https://www.route-one.net/sign-up/>)
- Backhouse Jones Free Webinar (<https://backhousejones.co.uk/free-webinar>)

The Transport Manager CPD Tracker will be checked to note the most recent training and development opportunities the manager has undertaken. The courses and training sessions listed will be compared to the Transport Manager Certificates folder to ensure that any courses undertaken have a relevant certificate saved.

Newly Introduced Procedures

If any new procedures have been implemented or documents issued since the previous audit then a check will be performed to ensure any new procedure is being followed since the date it was introduced. All documents and forms that have been re-issued or updated recently will also be checked to ensure the most up-to-date version is in use in the current period. All evidence should be presented in the usual way in the TM folder even if the period is not complete.

Documents Referenced

All documents and forms in the Compliance folder will always be checked to ensure the most up-to-date version is being used for the period being audited. The documents can be found at the links below:

[OM104](#) Driver Walk Round Check Audit

[OM202](#) Alcohol Testing Consent Form

[OM203](#) Drug Screening Consent Form

[OM318](#) Ancillary Van Daily First-use Checks

Version	Author	Date	Changes
1.0	M Motion	10/05/2023	First version.
1.1	K Telford	27/06/2023	Added wording around setting drivers to away for tachograph checks. Added links to check vehicle tax and MOT online.
1.2	M Motion	28/06/2023	Inserted section around defects not booked off – process still TBC.
1.3	M Motion	29/06/2023	Amended Lothian Motorcoaches process to remove irrelevant sections.
1.4	M Motion	30/06/2023	Amended to include links to relevant documents on Ops Hub Added section on Employee Hours Analysis to Traffic and Edinburgh Bus Tours.
1.5	M Motion	13/07/2023	Reworded various sections of the Traffic Audit Process and finalised the section Defects That Should Have Been Recorded.
1.6	M Motion	21/07/2023	Updated the alcohol and drug section to be relevant to the new process where drivers are called by duty number. Added more detail to the alcohol and drug section around checking the machines and what paperwork should be stored with the machines and test kits.
1.7	M Motion	24/08/2023	Added in a process as part of checking the Operator Licence where Companies House will also be checked to make sure director names are correct across both.
1.8	M Motion	28/08/2023	Added cover page. Added Industry Updates for all sections where the TM must be signed up to receive industry updates.
2.0	M Motion	22/09/2023	Rewrote Lothian Motorcoaches section to take into account Missing Mileage, Analogue Tachographs, Work Tickets and other specific EU regulation checks.
3.0	M Motion	19/03/2024	Updated Lothian Motorcoaches section to replace OM104 Daily Walk Round Audit Form to the new OM105 coach-specific form. Introduced a new Garage Audit process to complement the existing Compliance Folder Audit process in Lothian City and Edinburgh Bus Tours. Amended Edinburgh Bus Tours Daily Defects section to remove the need for Palasis tickets to be stored in the folder.
3.1	M Motion	21/03/2024	Updated Lothian Motorcoaches section to change the number of days allowed for a driver debrief to be completed from 28 to 21.
3.2	M Motion	02/09/2024	Updated Traffic Audit Process to contain updated Defects That Should Have Been Recorded and add Double Deck on Single Deck Route and Non-Regular Vehicle Movements. Added section for New Procedures. Updated Drug and Alcohol Tests section at all locations to include that all Managers and Supervisors who carried out a test will be checked against HR's list of trained testers. Updated Van section to include mention of any hire vans. Added a check for Manager CPD.

Version	Author	Date	Changes
3.3	M Motion	09/10/2024	Updated LMC section to reference van sheet OM134 and remove reference to van sheet OM318.
3.4	M Motion	16/10/2024	Corrected a typo in Section 3
4.0	M Motion	14/05/2025	Rewritten LMC section to also incorporate EVE. Changes to all sections including new document references, updated Missing Mileage procedure and CPT reports now listed by name to ensure the correct report is ran at the correct time. Updated Admin/Control section to add MUDFA checks and Supervisor file checks. There is also an updated to the radio calls procedure.
4.1	M Motion	04/07/2025	Updated LMC & EVE section to include defect recording procedure in TruTac, updated wording around missing mileage and clarified the number of licence DCPC checks required in a period. Updated the Admin/Control section to replace Control Duty Manager with Service Delivery Manager.