

Before the DVSA Inspector Calls

A Brief Overview of Vehicle Operator Compliance within Local Authorities and the Public Sector organisations viewed from an Interim Fleet Manager and Consultant prospective.

Presented By
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What are the Inspectors looking for

- Consistent Compliance.
- Documented systems and procedures.
- Audit processes and cross checks to confirm and demonstrate the claim of compliance.
- When deficiencies are discovered by the operator documented recovery plans with mile stone monitoring to full compliance.
- Why is the Inspector calling?
- OCRS score entered the red zone.
- Poor vehicle testing performance.
- DVSA or other agency encounters, road side or administrative.
- Vehicle accident or incident.
- How is this evaluated and recorded by the DVSA Inspector.

PG13F&G
Maintenance Assessment
Summary of Findings & Notification of Shortcomings



Driver & Vehicle
Standards
Agency

Operator Name: <input type="text"/>	Licence No: <input type="text"/>
Operator Address: <input type="text"/>	Date: <input type="text"/>

Observations on the adequacy of arrangements for the maintenance of vehicles operated under the above licence are as follows:

MIR Ref	MIR Assessment Question	Assessment	Advice (X)	Explanation Required (X)
2	Transport Manager / Responsible Person			
a	Is the TM in position as specified?	Satisfactory	<input checked="" type="checkbox"/>	<input type="checkbox"/>
b	Does a TM/Responsible person have the required levels of management control?	Mostly Satisfactory	<input checked="" type="checkbox"/>	<input type="checkbox"/>
c	Can the TM/Responsible person demonstrate relevant CPD?	Unsatisfactory	<input type="checkbox"/>	<input checked="" type="checkbox"/>
4	Condition of Vehicles Examined at this Fleet Check			
a	Fleet check demonstrates significant failure of the maintenance system?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
6	Inspection / Maintenance Records			
a	Are records suitable?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
b	Are records properly/fully completed?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
c	Is actual inspection frequency satisfactory?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
e	Is there a satisfactory forward planning system in use?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
7	Drivers' Defect Reports			
a	Is there evidence adequate walk around checks are consistently carried out?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
b	Is a suitable system being used for drivers to report defects?	Pick*	<input type="checkbox"/>	<input type="checkbox"/>
c	Is rectification work satisfactorily being carried out and evidenced?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
8	Safety Inspection Arrangements / Facilities			
b	Is there relevant maintenance contract in place?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
c	Are maintenance arrangements/facilities satisfactory?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
d	Does test history indicate poor maintenance standards?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
9	Operating centre			
a	Is the operating centre being used authorised on the licence?	Pick	<input type="checkbox"/>	<input type="checkbox"/>

c	Is actual inspection frequency satisfactory?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
e	Is there a satisfactory forward planning system in use?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
7	Drivers' Defect Reports			
a	Is there evidence adequate walk around checks are consistently carried out?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
b	Is a suitable system being used for drivers to report defects?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
c	Is rectification work satisfactorily being carried out and evidenced?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
8	Safety Inspection Arrangements / Facilities			
b	Is there relevant maintenance contract in place?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
c	Are maintenance arrangements/facilities satisfactory?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
d	Does test history indicate poor maintenance standards?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
9	Operating centre			
a	Is the operating centre being used authorised on the licence?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
d	Are parking arrangements adequate?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
15	Historical Prohibitions			
d	Are there any aspects of the historical PG9s that demonstrate a significant failing in the maintenance system?	Pick	<input type="checkbox"/>	<input type="checkbox"/>
16	Previous Public Inquiry or RFE Assurances			
a	Have shortcomings identified during this investigation been reported at PI or a previous investigation?	Pick	<input type="checkbox"/>	<input type="checkbox"/>

Status of report: Level A or B (Delete as required)*

- A* The advice and guidance has been provided to help you improve your level of compliance with standards for roadworthiness and vehicle maintenance to enhance road safety and environment. It is provided for information only.
- B* You are advised that the shortcoming(s) notified in section PG13G, require remedial action. They arise from failure to comply with the conditions, which the licence holder gave an undertaking to honour in their application for an operators licence. Guidance is available on the source and reason for requirement(s); You are also advised that the shortcoming(s) listed may be reported to The Office of the Traffic Commissioner. Where applicable both Operator and Transport Manager are required to submit a written explanation of the circumstances giving rise to the noted shortcoming(s). You should also submit assurances that measures will be taken to prevent recurrence and to indicate what these measure will be.

Please reply to the DVSA email address detailed below within 14 days from the date of this notice

Notification of Advice & Reported Shortcomings

Date of Issue:

MIR Ref**Advisory Items**

[Redacted]

MIR Ref**Reported Shortcomings - PG13G**

PG13F&G

Maintenance Assessment

Summary of Findings & Notification of Shortcomings



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I confirm that I am the person nominated as the Transport Manager/CPC holder/Responsible Person and can comment on behalf of the licence holder. I fully understand the noted comments and my obligations to reply to the shortcoming(s) noted within 14 days.

Operator <u>TM</u> Name:	Position:	Sig:

MIR Ref	MIR Questions	Guidance
2	Transport Manager / Responsible Person	Guide to Maintaining Roadworthiness Sections 4 & 6 Senior Traffic Commissioner Statutory Guidance
a	Is the TM in position as specified?	
b	Does a TM/Responsible person have the required levels of management control?	
c	Can the TM/Responsible person demonstrate relevant CPD?	
4	Condition of Vehicles Examined at this Fleet Check	Senior Traffic Commissioner Statutory Guidance GV79 & GV79G
a	Fleet check demonstrates significant failure of the maintenance system?	
6	Inspection / Maintenance Records	Guide to Maintaining Roadworthiness Sections 3 & 4 Annexes 4, 5 & 7
a	Are records suitable?	
b	Are records properly/fully completed?	
c	Is actual inspection frequency satisfactory?	
e	Is there a satisfactory forward planning system in use?	
7	Drivers' Defect Reports	Guide to Maintaining Roadworthiness Section 3 Annexes 3A & 3B
a	Is there evidence adequate walk around checks are consistently carried out?	
b	Is a suitable system being used for drivers to report defects?	
c	Is rectification work satisfactorily being carried out and evidenced?	
8	Safety Inspection Arrangements / Facilities	Guide to Maintaining Roadworthiness Section 5 Annex 6
b	Is there relevant maintenance contract in place?	
c	Are maintenance arrangements/facilities satisfactory?	
d	Does test history indicate poor maintenance standards?	
9	Operating centre	Guide for Operators (GV 74 for HGVs, PSV 437 for PSVs)
a	Is the operating centre being used authorised on the licence?	
d	Are parking arrangements adequate?	
15	Historical Prohibitions	Senior Traffic Commissioner Statutory Guidance GV79, GV79G, PSV421
d	Are there any aspects of the historical PG9s that demonstrate a significant failing in the maintenance system?	
16	Previous Public Inquiry or RFE Assurances	Senior Traffic Commissioner Statutory Guidance
a	Have shortcomings identified during this investigation been reported at PI or a previous investigation?	

a	Is there evidence adequate walk around checks are consistently carried out?	Roadworthiness Section 3
b	Is a suitable system being used for drivers to report defects?	Annexes 3A & 3B
c	Is rectification work satisfactorily being carried out and evidenced?	
8	Safety Inspection Arrangements / Facilities	Guide to Maintaining Roadworthiness Section 5
b	Is there relevant maintenance contract in place?	Annex 6
c	Are maintenance arrangements/facilities satisfactory?	
d	Does test history indicate poor maintenance standards?	
9	Operating centre	Guide for Operators (GV 74 for HGVs, PSV 437 for PSVs)
a	Is the operating centre being used authorised on the licence?	
d	Are parking arrangements adequate?	
15	Historical Prohibitions	Senior Traffic Commissioner Statutory Guidance GV79, GV79G, PSV421
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16	Previous Public Inquiry or RFE Assurances	Senior Traffic Commissioner Statutory Guidance
a	Have shortcomings identified during this investigation been reported at PI or a previous investigation?	

[Senior Traffic Commissioner's statutory guidance - GOV.UK](#) These publications explain the legal basis and the way traffic commissioners will approach the exercise of their statutory functions.

The [Guide to maintaining roadworthiness](#) has been produced in partnership with the transport industry. The guide has been produced for all those who are responsible for operating, maintaining or providing commercial goods or passenger carrying vehicles. It describes a system for maintaining vehicles in a roadworthy condition regardless of operating conditions, fleet size or vehicle type. It is particularly applicable to new operators but also applies to established ones as it incorporates the procedures necessary to satisfy the requirements of Traffic Commissioners.

The [HGV](#) and [PSV](#) Inspection Manuals contain the procedures used for conducting statutory MOT tests on these categories of vehicles. They also contain the minimum standards that vehicles must meet to pass the MOT test.

The Guide to Maintaining Roadworthiness, Operator Guides and Inspection Manuals are available free to download from the GOV.UK website www.gov.uk/transport. For any other enquires, call the DVSA National Number 0300 123 9000

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Determining Procedural Pitfalls

- These issues have been arrived at by looking in on a broad selection of local authority fleets whilst carrying out interim management and consultancy roles.
- Singular management approach to vehicles, transport policy and compliance through out the authority.
- Driver pre-use checks circular audit.
- Comprehensive policy around employee alcohol and substance misuse.
- Competence levels of maintenance technicians or contractor verified.
- Incomplete and uncertified driver records ,driver pre use inspection, vehicular inspection documentation and vehicle maintenance records.
- Effective systems for planning maintenance and record keeping.
- The adequacy of the vehicle inspection and repair facility.
- Quality systems to arrest short comings in compliance issues.

Ensuring the Fleet Workshop is abreast of new regulations

- The Guide to Maintaining Roadworthiness has been updated
 - Removing the inspection frequency graph.
 - Adding a new section about safety inspection and repair facilities.
 - Adding a section with tyre management advice.
 - Including updated advice on brake testing.
 - Adding a section on maintaining emissions control systems.
 - Including information about DVSA earned recognition.
 - Vehicle safety recalls.

Other sources about Legislative Updates

- The DVSA e-mail alerts, various options available.
- The Freight Transport Association e-mail alerts.
- Trade Press articles.

Conclusion

- Questions or observations from the floor.