



DVSA Enforcement Update

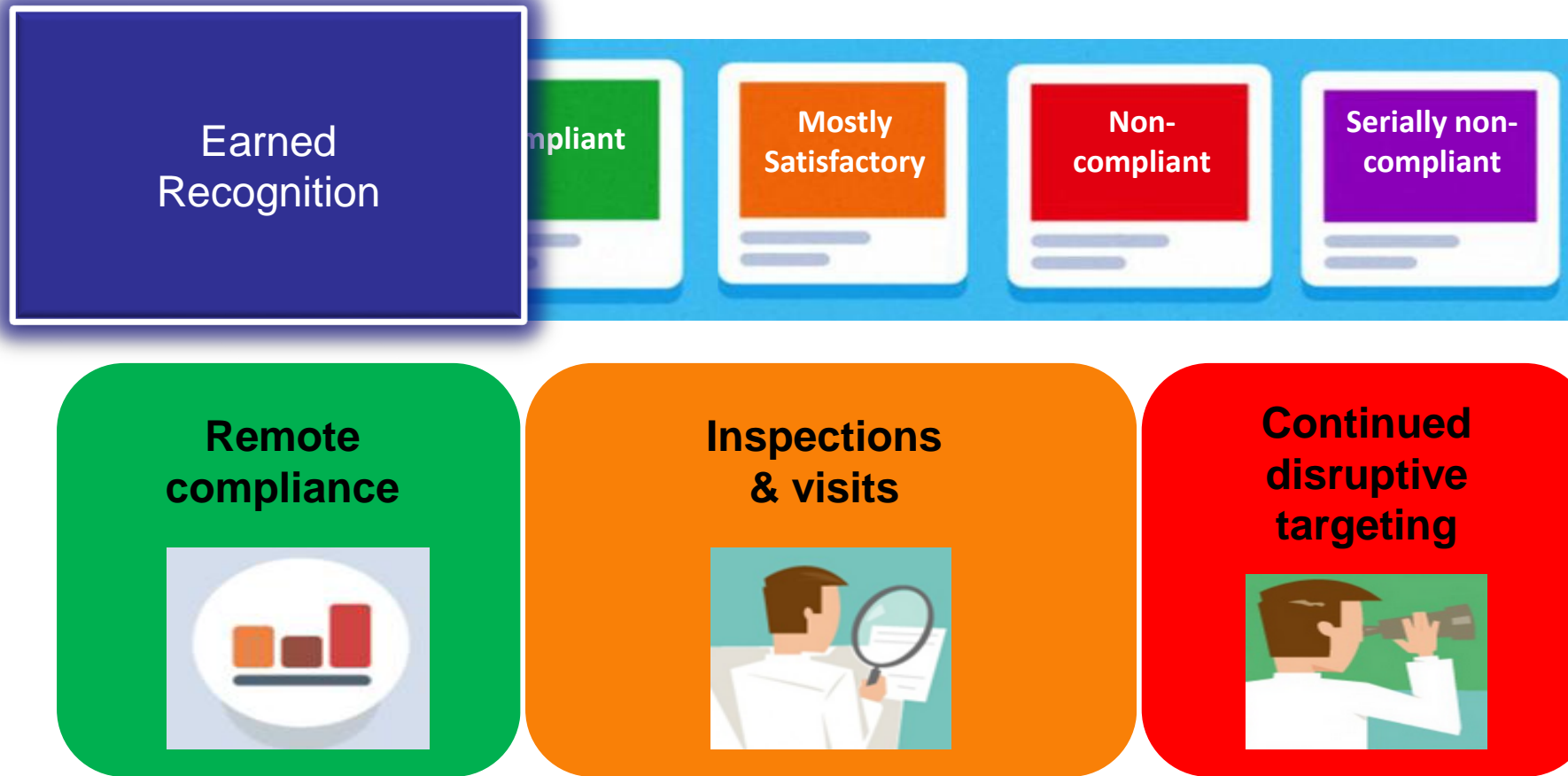
Presented by

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Compliance Vision

To introduce more efficient & effective interventions without compromising standards or outcomes





Earned Recognition Pilot (April 2017)

Pilot Achievements

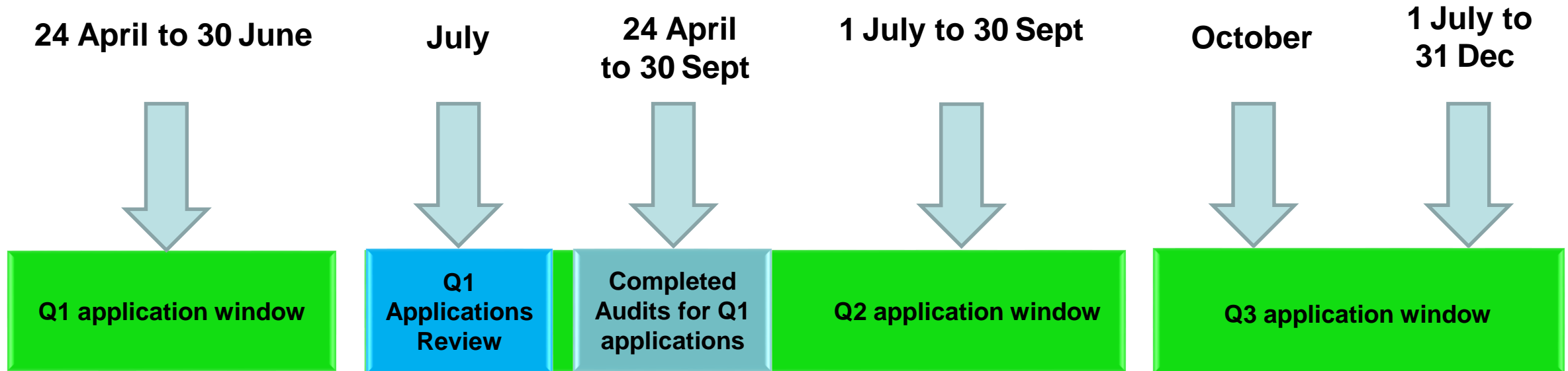
- Accredit over 60 operators on the pilot
- Authorise 12 ER audit providers
- Over 30 IT systems measuring KPIs
- Test standards and procedures
- Publish pilot operators on 31 January **(OCRS Blue)**

Next Steps

24th April 2018 - Transition to business as usual



Earned Recognition – Application Process



- New ER audit standards apply from 24th April 2018
- Pre-application audits may require DVSA directed validation checks
- Operators' pre-application audit may fail the DVSA application review



- All operator licences controlled by the legal entity or group
- Have held an operator licence for a minimum of 2 years
- Full compliance of all operator licence's involved in the application
- No Traffic Commissioner regulatory action history within the last 2 years



- Good compliance history over the past 2 years (DfT Fleet Compliance Rates)
- Operator IT systems are capable of monitoring KPIs
- KPI standards are being met for the past three months

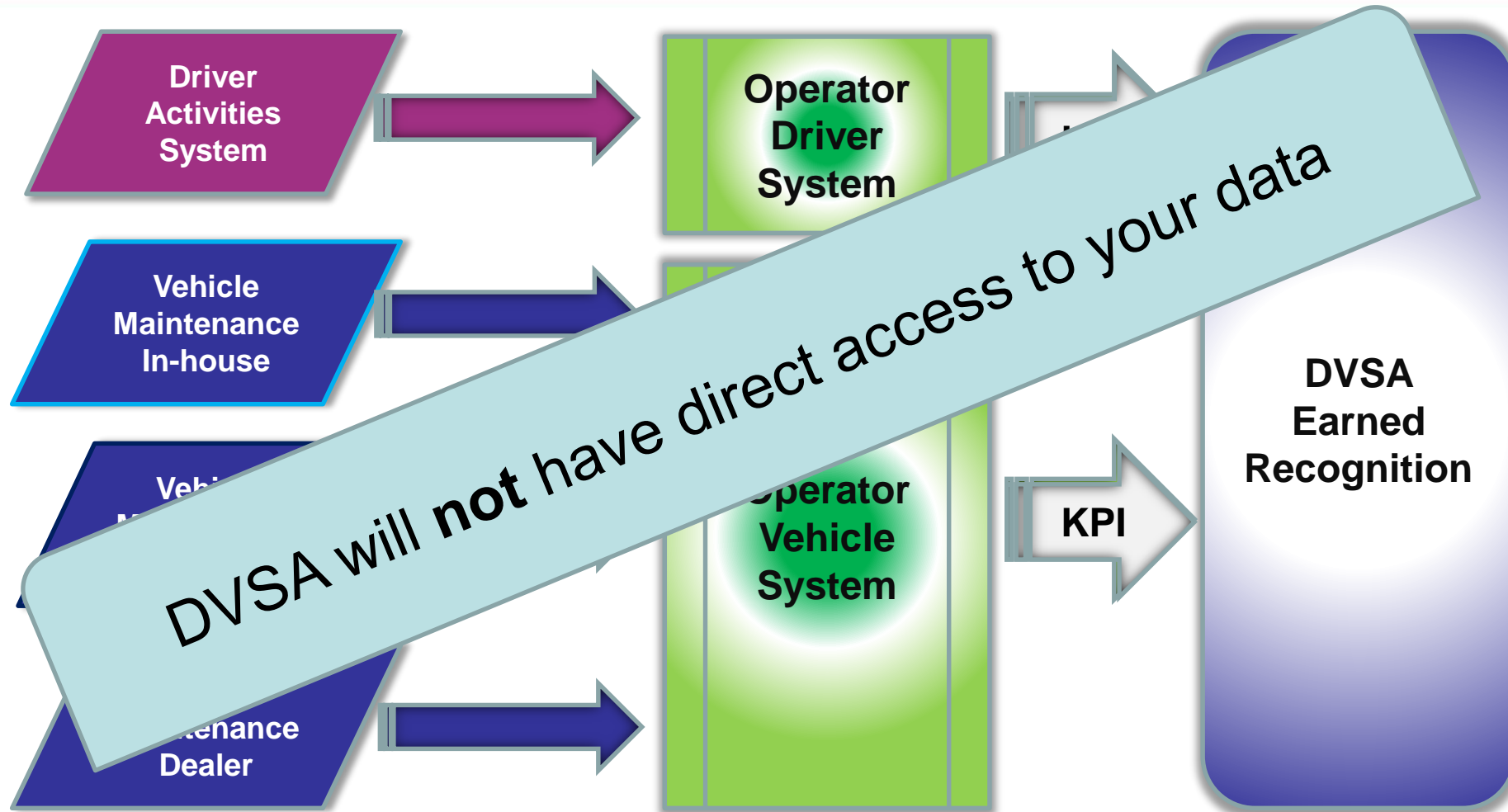


Earned Recognition Audit

- An ER audit must be carried out by a DVSA authorised audit provider
- An initial audit can be carried out up to 3 months prior to applications review or 3 months after the application review
- Audit standards not met
 - If the auditor is satisfied the standards can be met within the application window an improvement plan can be agreed
- An additional verification audit will be required after an improvement plan



Key Performance Indicators and Monitoring Systems





Maintenance System Concessions

- Two maintenance system concessions can be allowed until April 2021
 1. Partial fleet maintenance KPI reporting
(Fleet volume needs to be agreed by DVSA and full reporting completed by 2021)
 2. Scanned and validated (PDF) safety inspection records
(Fully electronic PMI records required by 2021)

Both these concessions would require the operator to have an ER vehicle standards module audit in-between the periodic ER audit.



- Overall Infringement rate
- Four Fixed Penalty Bands (current legislation)
- Working Time Directive
- PSV Domestic Drivers Hours KPIs are measured using Driver Allocation Systems (DAS)
 - Monitoring daily and fortnightly rest



The KPIs are based on number of tachograph days for all the drivers

KPI Penalty Bands	Offence Rate Percentage
Band 1	1.30%
Band 2	1.20%
Band 3	0.80%
Band 4	0.70%
Overall	4.00%
W / T	4.00%



Operator Performance Report

In addition to the KPIs the system will also measure and report to the operator –

- Unaccounted Mileage
- Repeat Offenders
- Most Serious Infringements (MSI)



Maintenance System KPIs

Maintenance KPIs based on in-scope vehicle & trailer fleet

Maintenance KPI	Percentage
Complete set of safety records	100%
Safety Inspection records completed correctly & signed off	100%
Safety Inspections are completed within the stated frequency	100%
Driver defect reports where road safety related items have been reported are appropriately actioned	100%
Vehicle & Trailer initial pass rate	95%



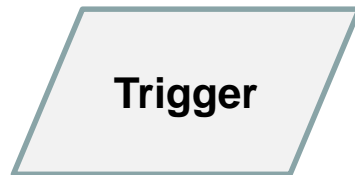
KPI Alerts & Triggers



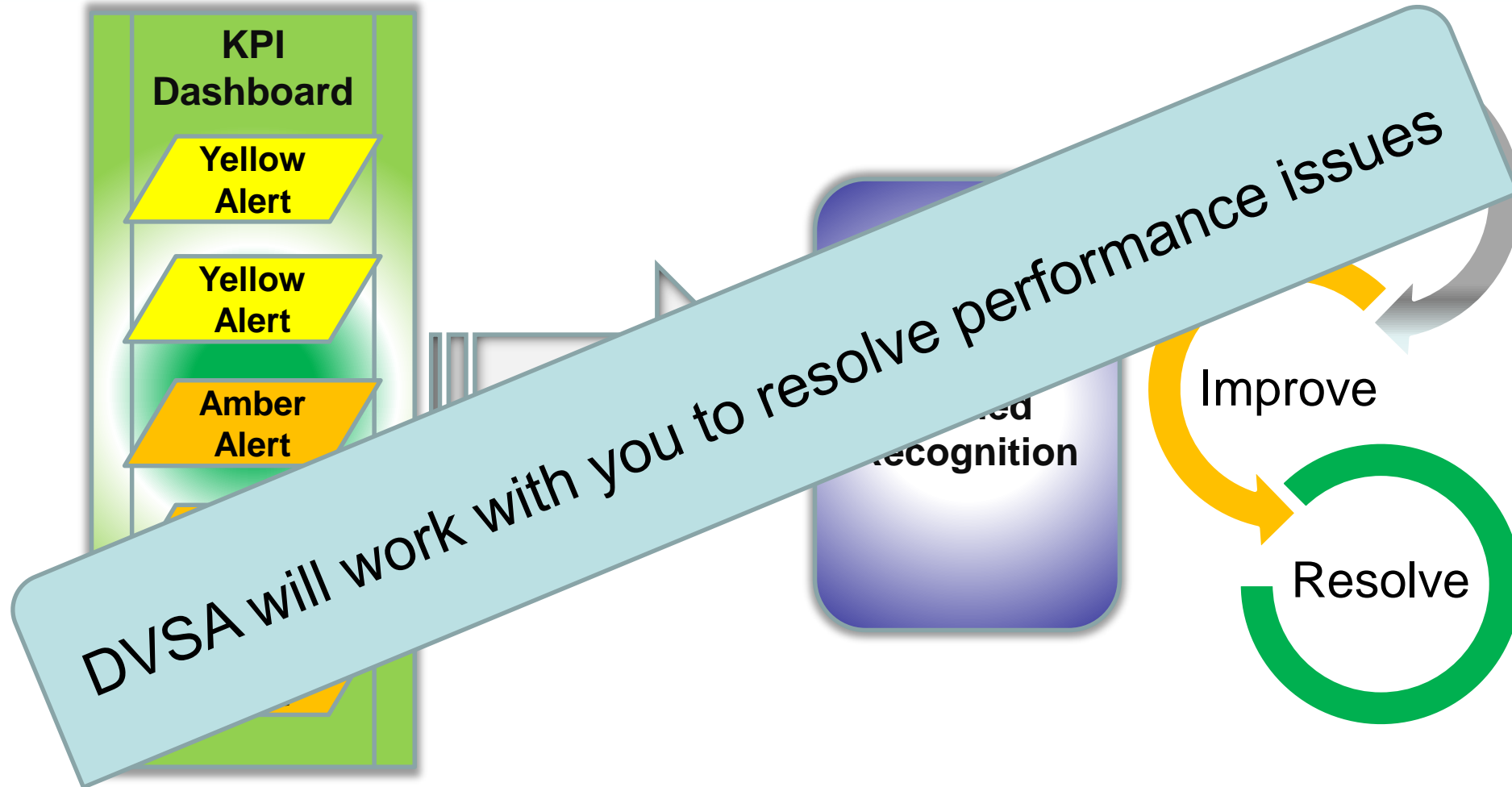
Minor KPI breach between 0.1% and 0.9%



Moderate KPI breach between 1% and 1.9%



Major KPI breach 2% or more





- Operator self assessment checklist
- Application forms and guidance on gov.uk

[DVSA earned recognition: join the scheme - GOV.UK](#)

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Guide to Maintaining Roadworthiness

GTMR 2018 Edition

Review panel

- (DVSA, Trade Associations & TCs)

Content updates include

- IT maintenance systems
- Brake temperatures and EBPMS
- Emissions control systems
- Tyre monitoring
- Inspection frequency guidance (graph removed)
- PSVAR
- Earned Recognition





Guide to Maintaining Roadworthiness

DDR Form

- Vehicle height
- AdBlue® if required
- Malfunction Indicator lamps
- Accessibility equipment and operation (PSV)
- Defect assessment

Safety Inspection Form

- Make and Model
- IM 36, included park brake and electronic park brake control
- Road Test - Brake temperature assessment
- Declaration signature (name and position)



EU Roadworthiness Directive (2014/45 & 2014/47)

Affects annual testing and roadside enforcement

Implemented on 20th May 2018

Changes to inspection items for MOT test and roadside checks

Introduces Dangerous, Major and Minor categories of defects

10 HGV test exemptions removed



Categorisation of Defects Impact

- 200 new defects
- 84 defect description changes
- 29 defect severity changes

Tyre Defect Changes

- Any cords or ply exposed = Immediate prohibition and possible fixed penalty + 3 points endorsement
- Any tyre with illegal tread = Immediate prohibition and possible fixed penalty + 3 points endorsement
- More than one illegal tyre = Driver court prosecution referral

