DVSA Earned Recognition Scheme
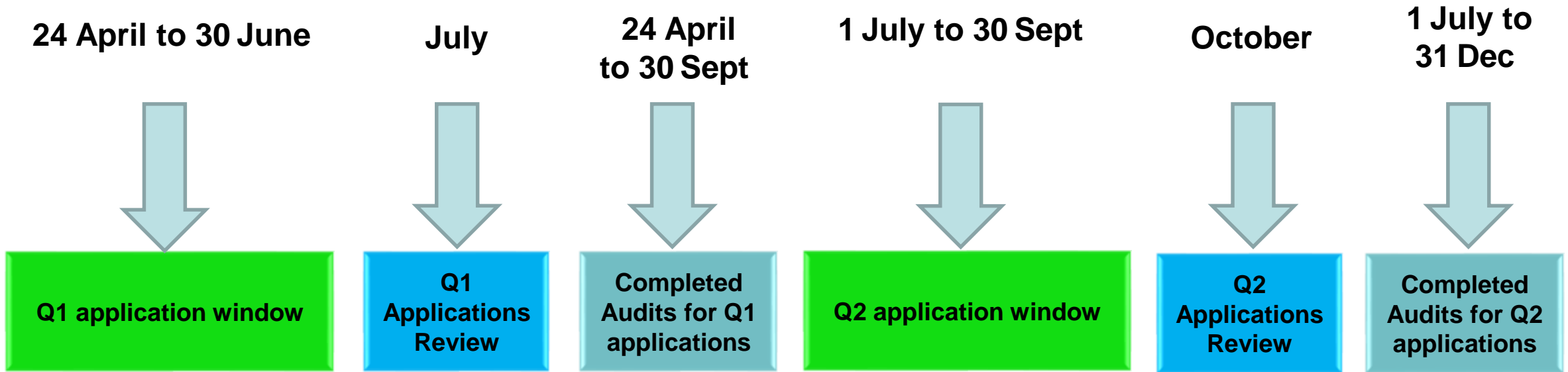
Pilot Achievements

- 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 Window

24 April to 30 June → Q1 application window

July → Q1 Applications Review

24 April to 30 Sept → Completed Audits for Q1 applications

1 July to 30 Sept → Q2 application window

October → Q2 Applications Review

1 July to 31 Dec → Completed Audits for Q2 applications

- 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

- 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

- HGV & PSV standards have 8 generic sections but there are different performance criteria for HGV & PSV audits

HGV Audit Sections
1. Operator Licence
2. Transport Manager
3. Vehicle Standards
4. Drivers' Hours
5. Operational Management
6. Driver Management
7. Training & Driver Behaviour
8. Driver Related Policies
9. **ADR (optional)**

PSV Audit Sections
1. Operator Licence
2. Transport Manager
3. Vehicle Standards
4. Drivers' Hours
5. Operational Management
6. Driver Management
7. Training & Driver Behaviour
8. Driver Related Policies
9. **Service Work (optional)**

- Authorisation can be granted to any organisation or individual that meets the auditor criteria

- Audit providers will need to meet the earned recognition standards for auditing

- Auditors must adhere to the DVSA code of practice and T&Cs

Key Performance Indicators and Monitoring Systems

Electronic systems

- Operators must have electronic transport management systems

- Capable of monitoring both tachograph analysis and maintenance documentation

- Operators will be measured against Key Performance Indicators (KPIs)

- Major exceptions to KPIs will be reported to DVSA via an automated email

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- Each Key Performance Indicator (KPI) will be measured individually

- KPIs are set at a high but achievable level

- Two separate sets of KPI

  Driver related activity

  Maintenance activity

- Measured using the ISO calendar

- Rolling periods

- 4 weekly reporting period

- 4 weeks in arrears

- 13 reporting periods per year

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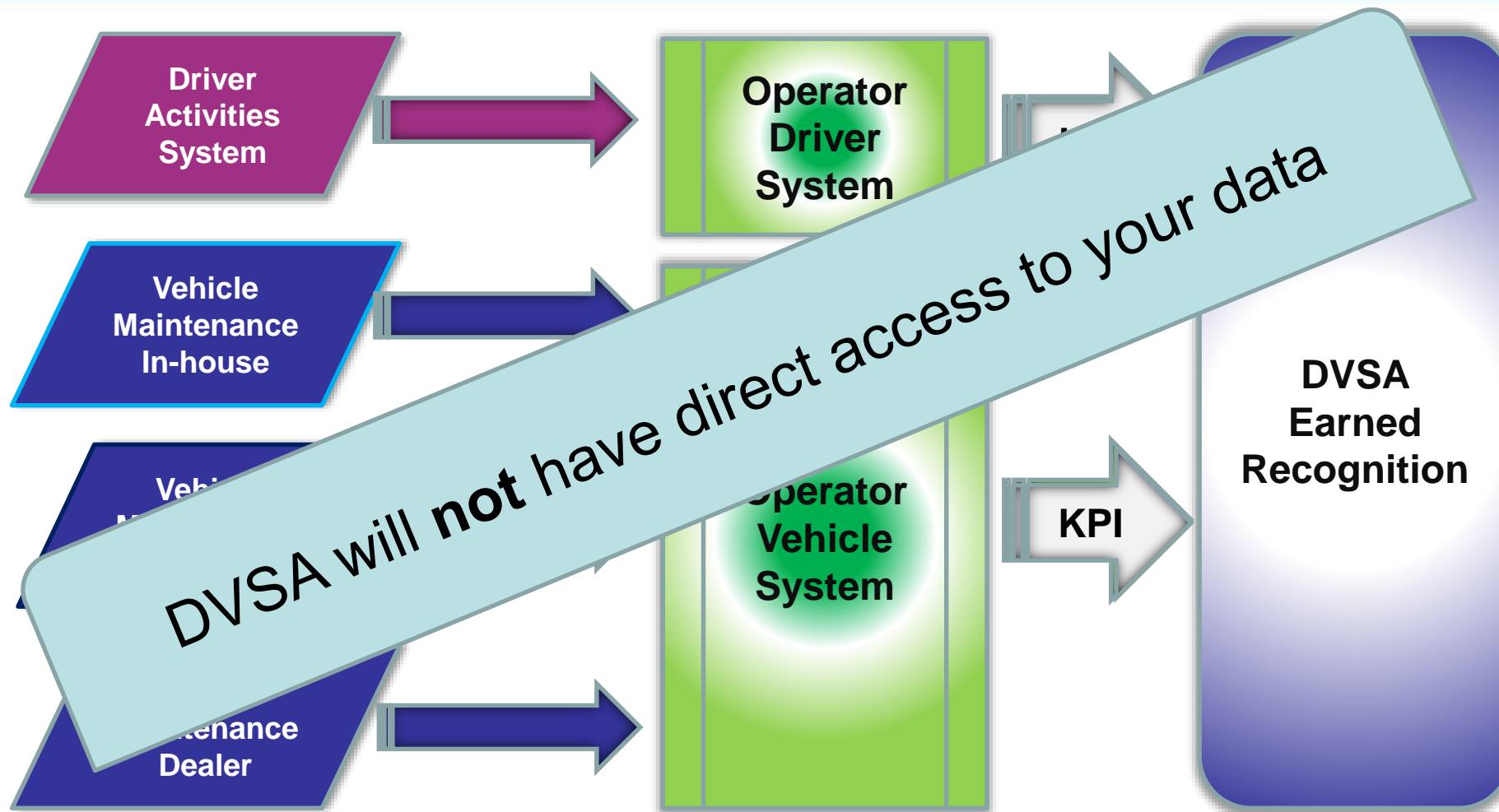
Maintenance System Concessions

- 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%

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

- Unaccounted Mileage

- Repeat Offenders

- Most Serious Infringements (MSI)

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 monitoring has built in rules to trigger exception reports to DVSA

- Tolerance of up to 2%

- Failure to meet one or more of the KPIs may result in an action plan

Driver & Vehicle Standards Agency

KPI Dashboard

Yellow Alert

Yellow Alert

Amber Alert

Recognition

DVSA will work with you to resolve performance issues

Improve

Resolve
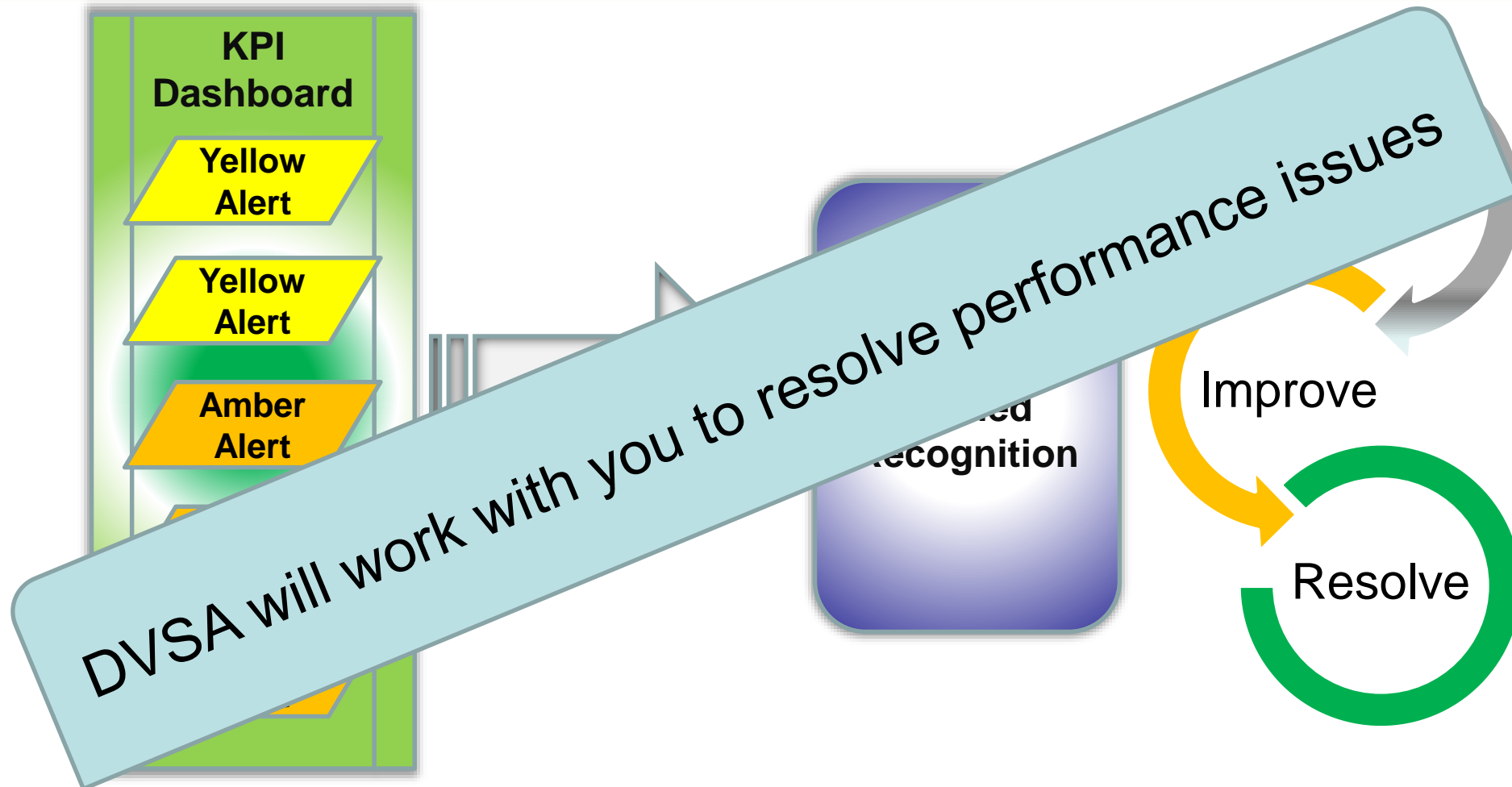
- Operator self assessment checklist

- Application forms and guidance on gov.uk

DVSA earned recognition: join the scheme - GOV.UK

email - dvsaer@dvsa.gov.uk

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