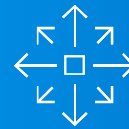# DESCARTES™

Uniting the People & Technology
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Descartes SmartCompliance

Thurs 17 January 2019

SmartCompliance

smartanalysis™

One Integrated System for Compliance Management from one supplier
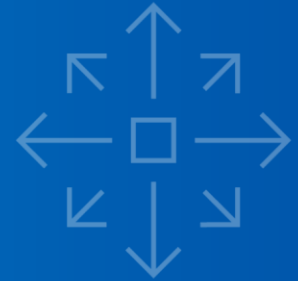
smartlicence™

smartcheck™

Introducing SmartRecognition – Earned Recognition KPIs

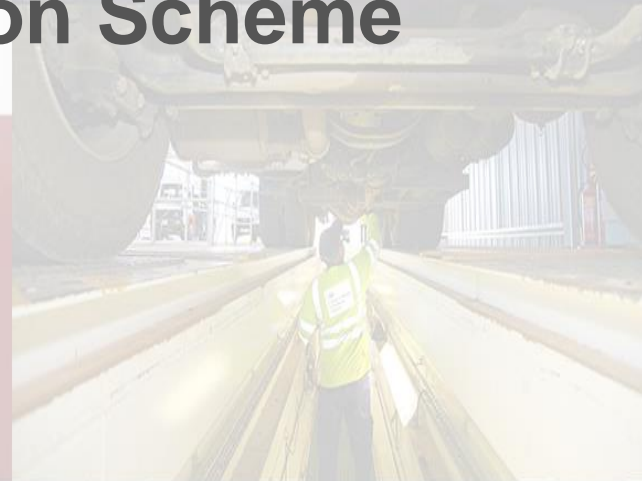DESCARTES™

Roger Dent, DVSA

Earned Recognition

DVSA Earned Recognition Scheme

Presented by

Roger Dent - DVSA
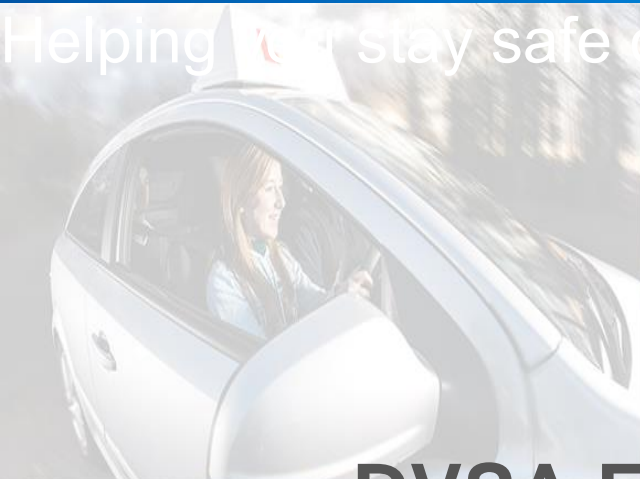
Earned Recognition Contacts at DVSA

Peter Richards Earned Recognition Scheme Manager

- Email dvsaer@dvsa.gov.uk

- Phone 0117 966 2855

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DVSA Earned Recognition Scheme
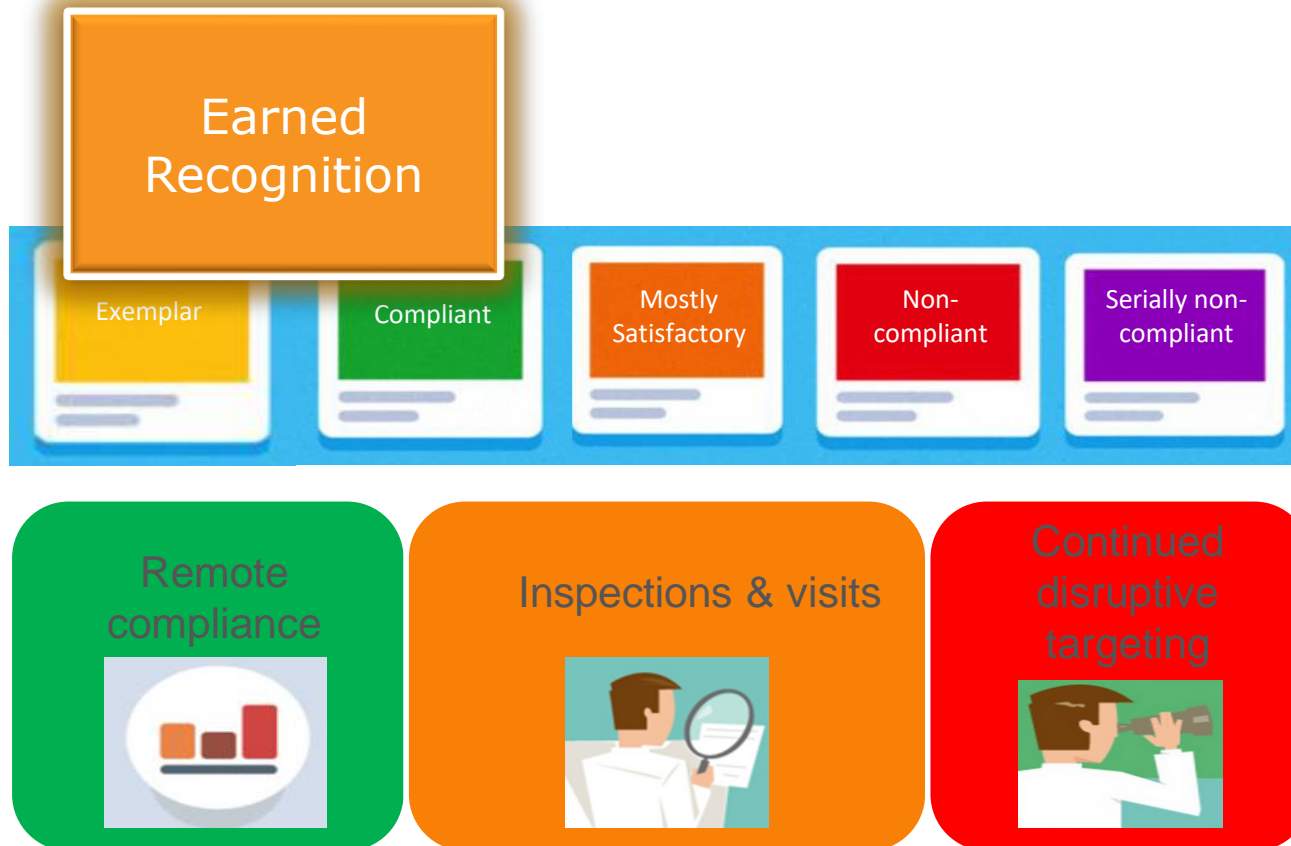
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Compliance Vision

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

Earned Recognition

| Exemplar | Compliant | Mostly Satisfactory | Non-compliant | Serially non-compliant |

Remote compliance

Inspections & visits

Continued disruptive targeting

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Earned Recognition Pilot

Pilot Achievements

○ Accredit over 60 operators on the pilot

○ Authorise 12 ER audit providers

○ Over 30 IT systems measuring KPIs

○ Test standards and procedures

○ Published Operators **OCRS Blue**

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Earned Recognition – Application

- Applications may be made at any time.

- Audits may be conducted three months before or three months after application review date.

- Pre-application audits may require DVSA directed validation checks.

- Operators' pre-application audit may fail the DVSA application review

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Application Criteria

- 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

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Application Criteria

- Good compliance history over 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

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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

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Audit Standards

- 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)**

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Authorised Audit Providers

- 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

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Key Performance Indicators and Monitoring Systems

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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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KPI Infringement Scoring

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

- KPIs are set at a high but achievable level

- Two separate sets of KPI:
  1. Driver related activity
  2. Maintenance activity

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Key performance indicators

- Measured using the ISO calendar

- Rolling periods

- 4 weekly reporting period

- 4 weeks in arrears

- 13 reporting periods per year

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Monitoring KPIs
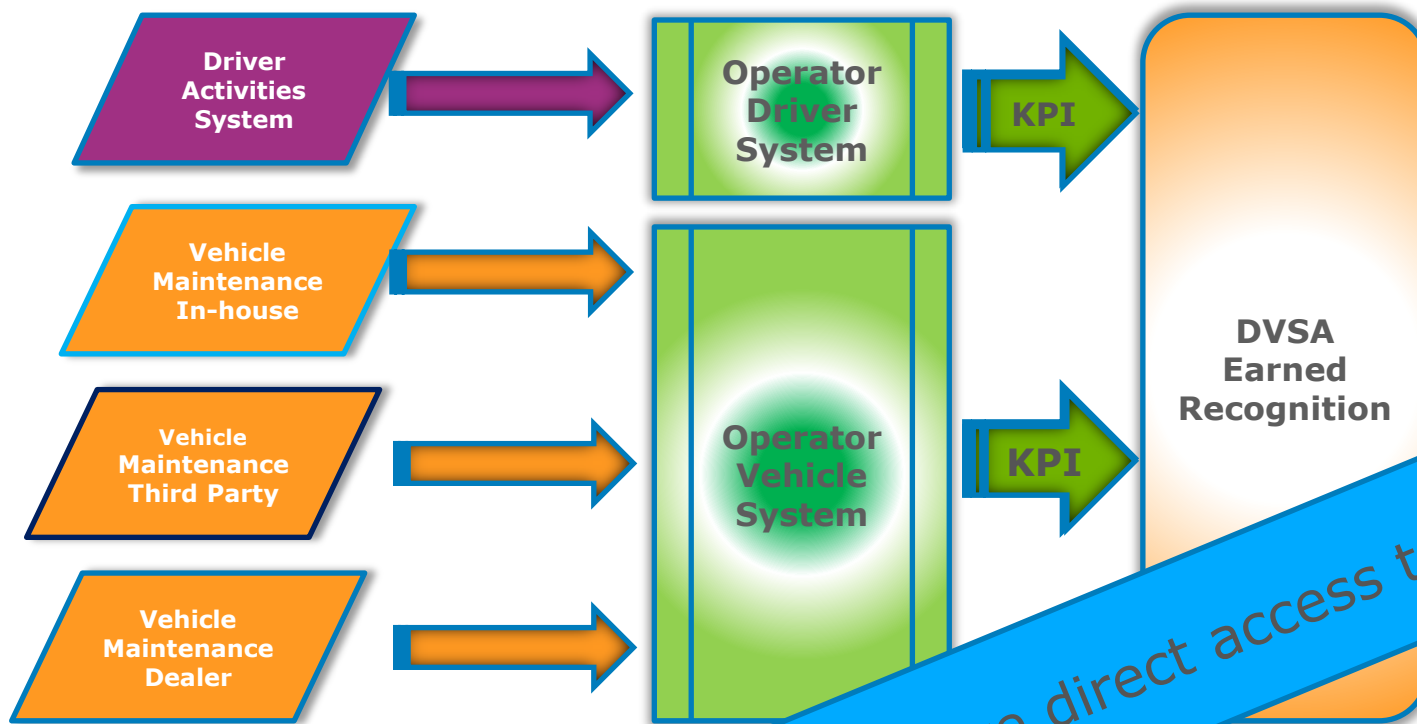
Maintenance System Concessions

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.

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Driver related activity KPIs

- 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

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Driver Activity KPIs

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%

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Operator Performance Report

In addition to the KPI's the system will measure & report to the operator :–

- Unaccounted Mileage

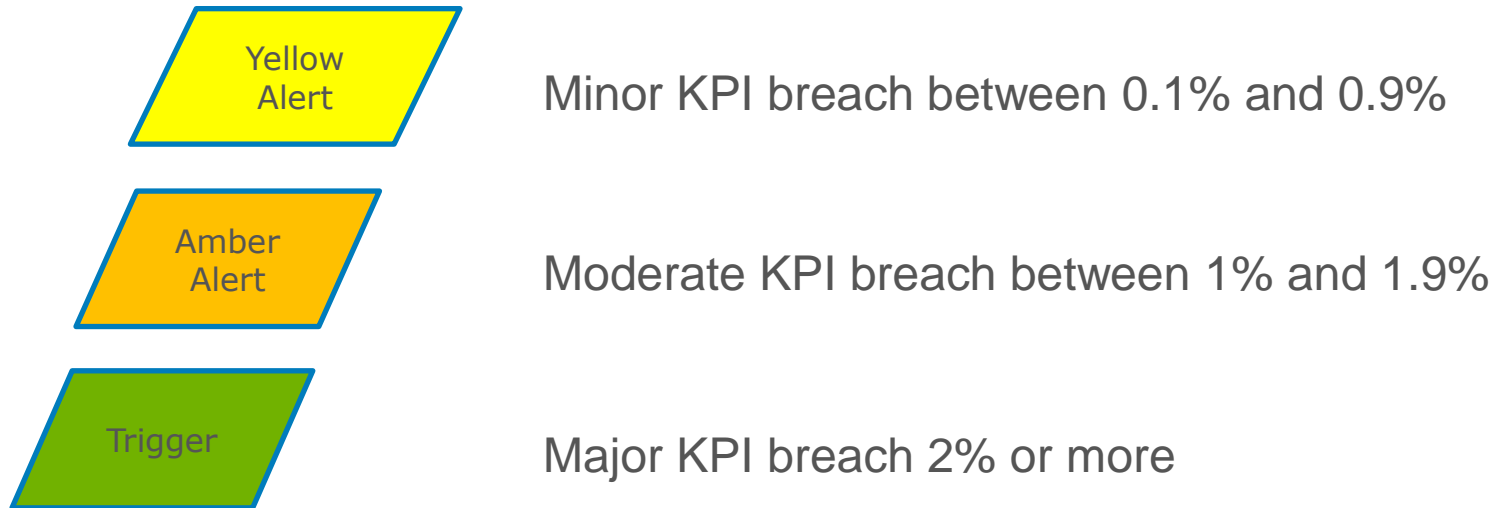- Repeat Offenders

- Most Serious Infringements (MSI)

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Maintenance System KPIs

Maintenance KPIs based on in-scope vehicle & trailer fleet

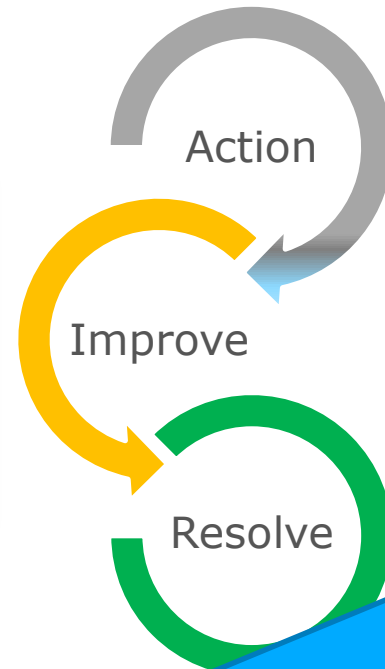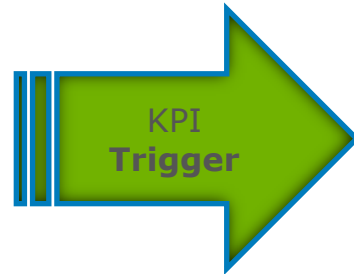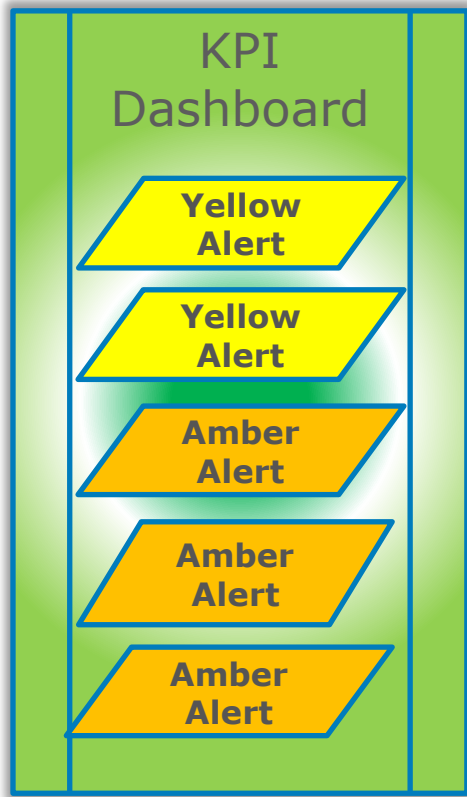| Maintenance KPI	Percentage
Complete set of safety records	100%
Safety Inspection records completed correctly & signed off	100%
Safety Inspections are completed within the stated frequency	100%
Driver defect reports where road safety related items have been reported are appropriately actioned	100%
Vehicle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

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How Trigger Points Work

- 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

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KPI Alerts & Triggers

Yellow Alert — Minor KPI breach between 0.1% and 0.9%

Amber Alert — Moderate KPI breach between 1% and 1.9%

Trigger — Major KPI breach 2% or more

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KPI Trigger

How to Apply & Information

- Operator self assessment checklist

- Application forms and guidance on gov.uk

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

email - dvsaer@dvsa.gov.uk

Helping you stay safe on Britain's roads

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Helping you stay safe on Britain's roads

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Earned Recognition Contacts

- Peter Richards Scheme Manager

- Email, dvsaer@dvsa.gov.uk

- Phone 0117 966 2855

- Mobile 07710 892282

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Earned Recognition will save Operators time and money

☑ Fewer or no roadside checks

☑ Assured delivery times

☑ Avoiding penalties for late deliveries

☑ Demonstrates a "compliance first" approach to business

☑ A marketing asset and positive differentiator

☑ Will become a disadvantage not to have it in the future

☑ Paves the way for remote enforcement with introduction of new smart tachographs in June 2019

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