



Earned Recognition

Pilot





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

**Earned
Recognition**

Compliant

**Mostly
Satisfactory**

**Non-
compliant**

**Serially non-
compliant**

**Remote
compliance**



**Inspections
& visits**



**Continued
disruptive
targeting**





Earned Recognition Aim

Reduce the burden of enforcement for the proven compliant

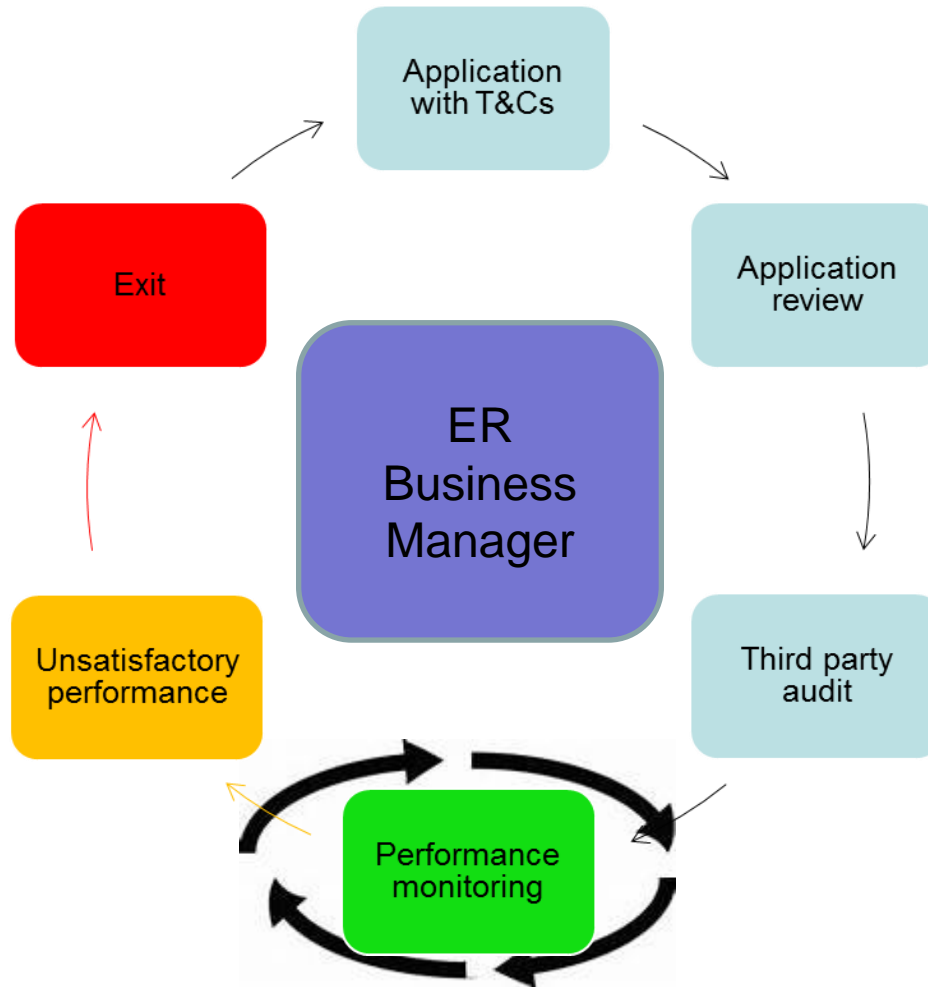
DVSA publicly recognise operators ER 'exemplar operator' status

Drive up industry standards, support innovation and best practice

Enable DVSA front-line resources to focus on high risk traffic



DVSA Earned Recognition - Approach





Application Criteria

- All operator licences controlled by the legal entity must be included in the application
- Legal entity must have held an operator licence for a minimum of 2 years
- Legal entity has no Traffic Commissioner regulatory action history within the last 2 years



Application Criteria

- Operator IT systems are capable of monitoring KPIs
- KPI standards are being met
- Operator agrees to the Terms and Conditions



Audit



Operator earned recognition accreditation process:

- Initial and periodic audits
- Audits carried out by approved audit providers not DVSA staff



Audit Standards

- Audits will be delivered by DVSA approved audit providers
- 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**



Audit Sampling

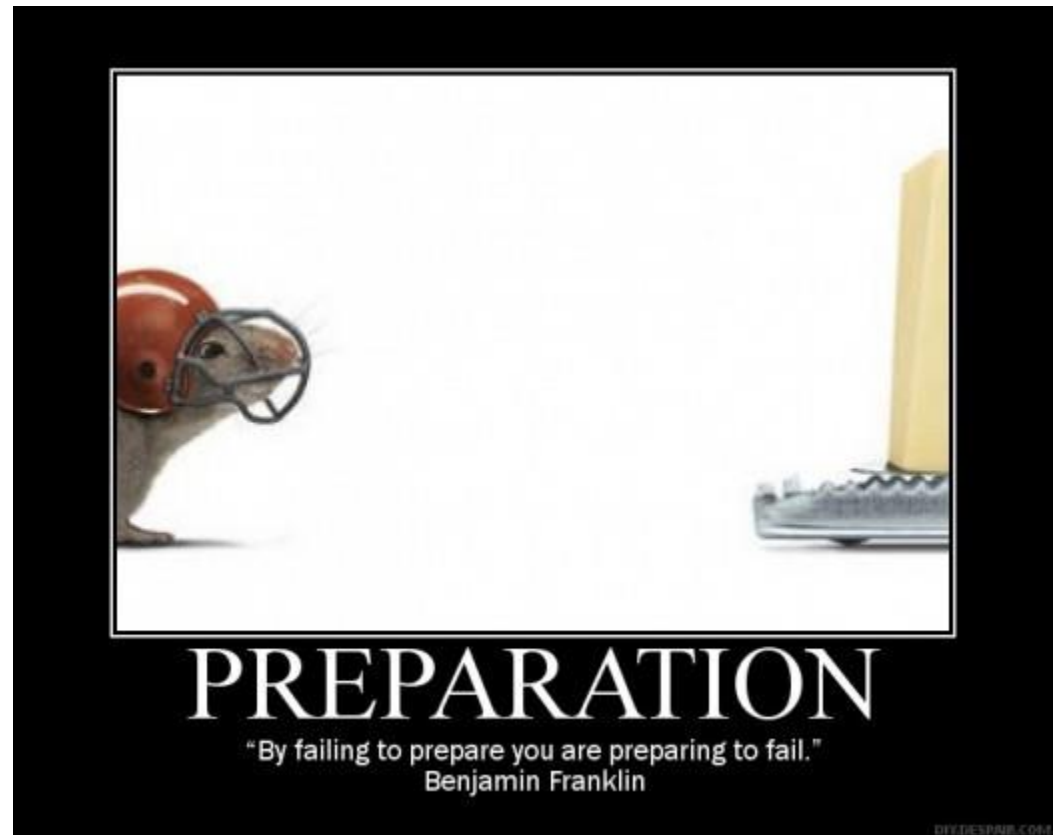
| Fleet Size(in possession) | Vehicle/Trailer Records | Drivers Records |
|---------------------------|--|--|
| 1-5 | All | All |
| 6-100 | 2 checks per operator licence (minimum 5 checks in total) | 2 checks per operator licence (minimum 5 checks in total) |
| 101+ | 5 checks per operator licence (minimum 10 checks in total) | 5 checks per operator licence (minimum 10 checks in total) |

| Number of operating centres | Operating Centres |
|-----------------------------|-------------------------|
| 1-5 | Main/controlling centre |
| 6-20 | Main centre + 1 |
| 20+ | Main centre + 2 |



Audit Preparation

- Read the guidance document and audit standards documents
- Written policies and processes
- Prepare in advance





Approved Audit Providers

- Approval 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





What will it cost me?

- DVSA will not charge for being in Earned Recognition
- There will be an audit cost
- You may need to invest in updating your systems



Key Performance Indicators and Monitoring Systems

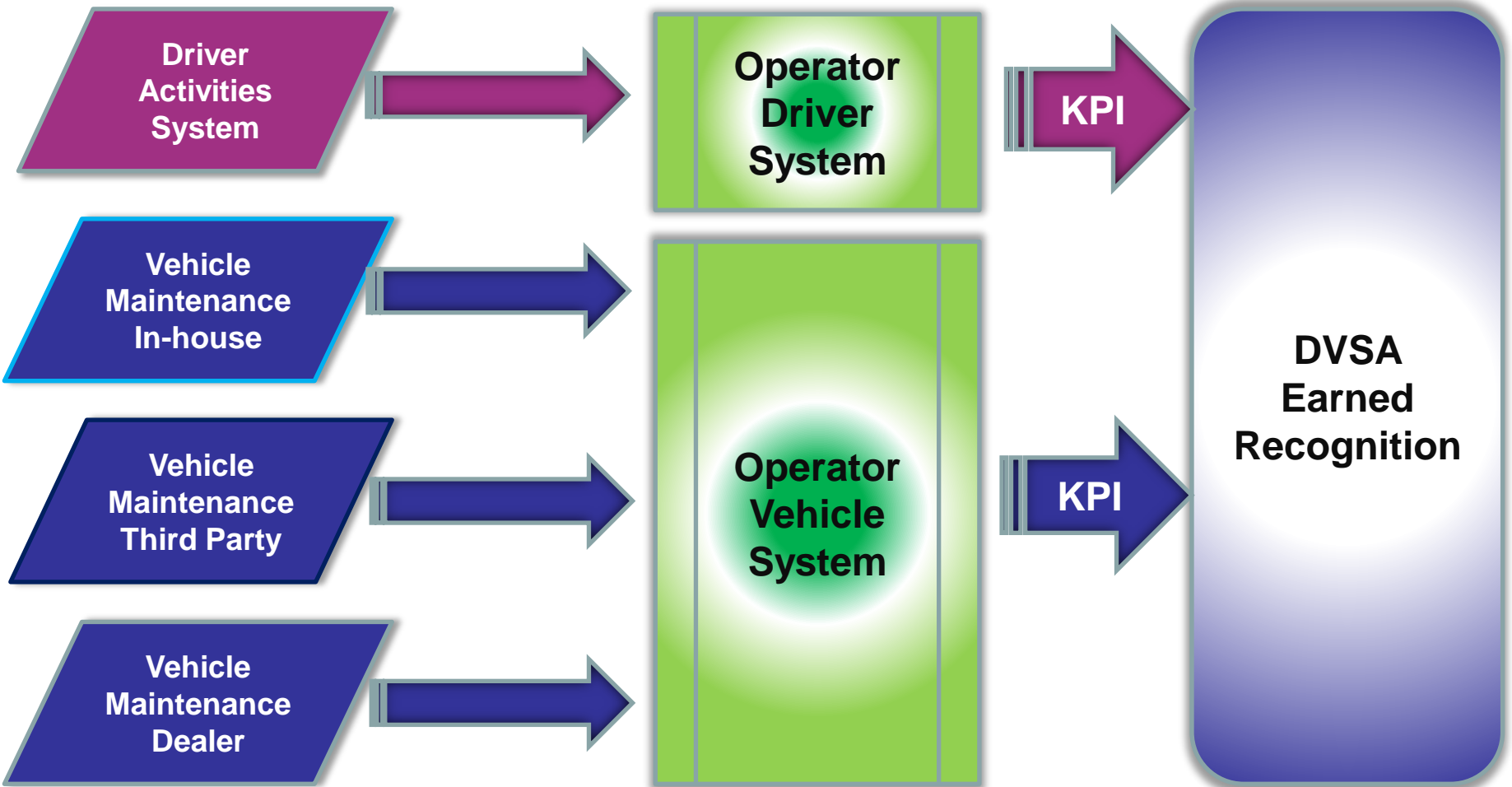


Electronic systems

- 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)
- Exceptions will be reported to DVSA via an automated email

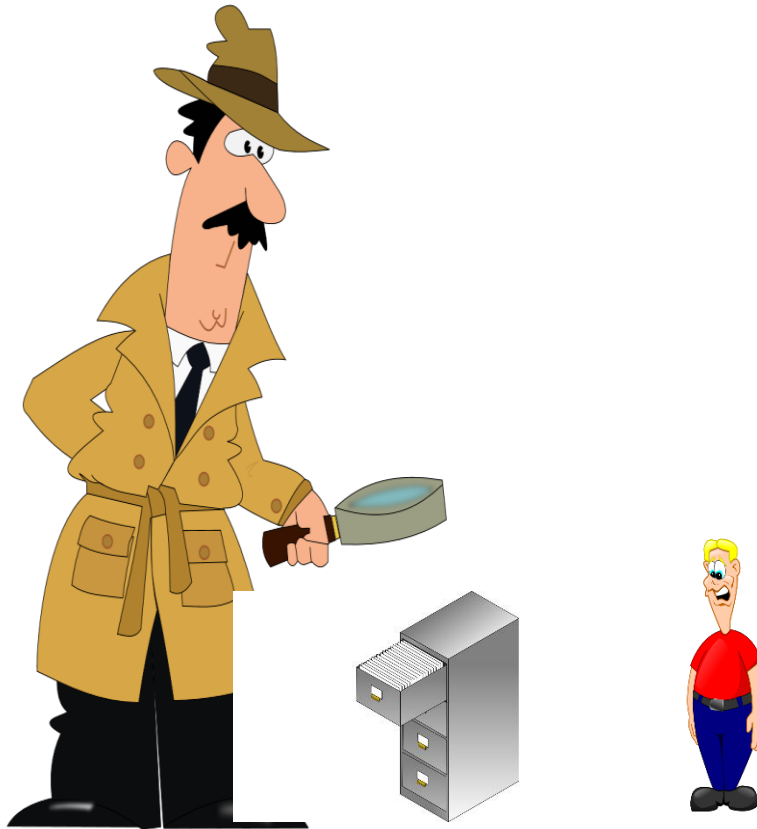


Monitoring KPIs





Breaking the Myths



We are not big brother

We do not need access to
your systems or data

It is up to you to manage
your systems

We only require your
system to report
exceptions

You will always know
before we do



Key performance indicators

- Measured using the ISO calendar
- Rolling periods
- 4 weekly reporting period
- 4 weeks in arrears
- 13 reporting periods per year




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

Driver related activity

Maintenance activity



Continuous Monitoring Driver Related Activities



Driver related activity KPIs

- Overall Infringement rate
- Four Fixed Penalty Bands (current legislation)
- Working Time Directive
- Domestic Drivers Hours KPIs are under development



The KPIs are based on number of tachograph days

| Band | Percentage |
|---------|------------|
| Band 1 | 1.30% |
| Band 2 | 1.20% |
| Band 3 | 0.80% |
| Band 4 | 0.70% |
| Overall | 4.00% |
| W / T | 4.00% |



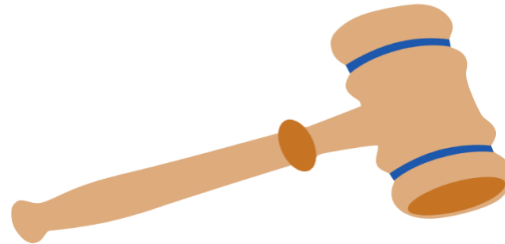
Operator Performance Report

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

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



Breaking the Myths



We want to work with you to address any issues rather than take enforcement action



Continuous Monitoring Maintenance Activities



Maintenance KPIs

- Complete set of safety inspection records
- Safety Inspection records are completed correctly including all relevant sections and signed off as being roadworthy
- Safety Inspections are completed within the stated frequency
- Driver defect reports where road safety related items have been reported are appropriately actioned
- Vehicle & trailer MOT initial pass rates



Maintenance KPIs

| Band | 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% |



Reporting Triggers





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



KPI Triggers

**Yellow
Alert**

Minor KPI breach between 0.1% and 0.9%

**Amber
Alert**

Moderate KPI breach between 1% and 1.9%

**Red
Trigger**

Major KPI breach 2% or more



KPI Triggers

In 3 consecutive rolling periods



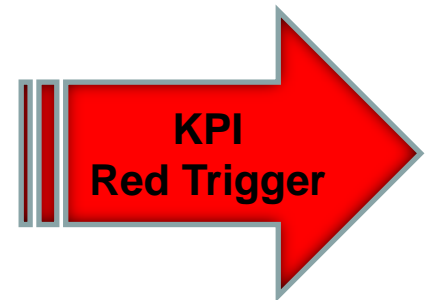
or



or



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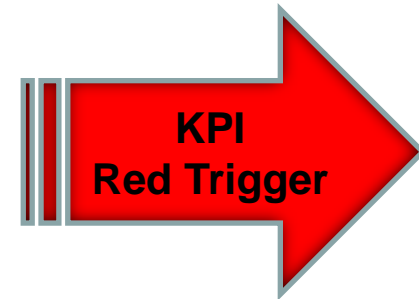
KPI Triggers

In 13 periods

5 x

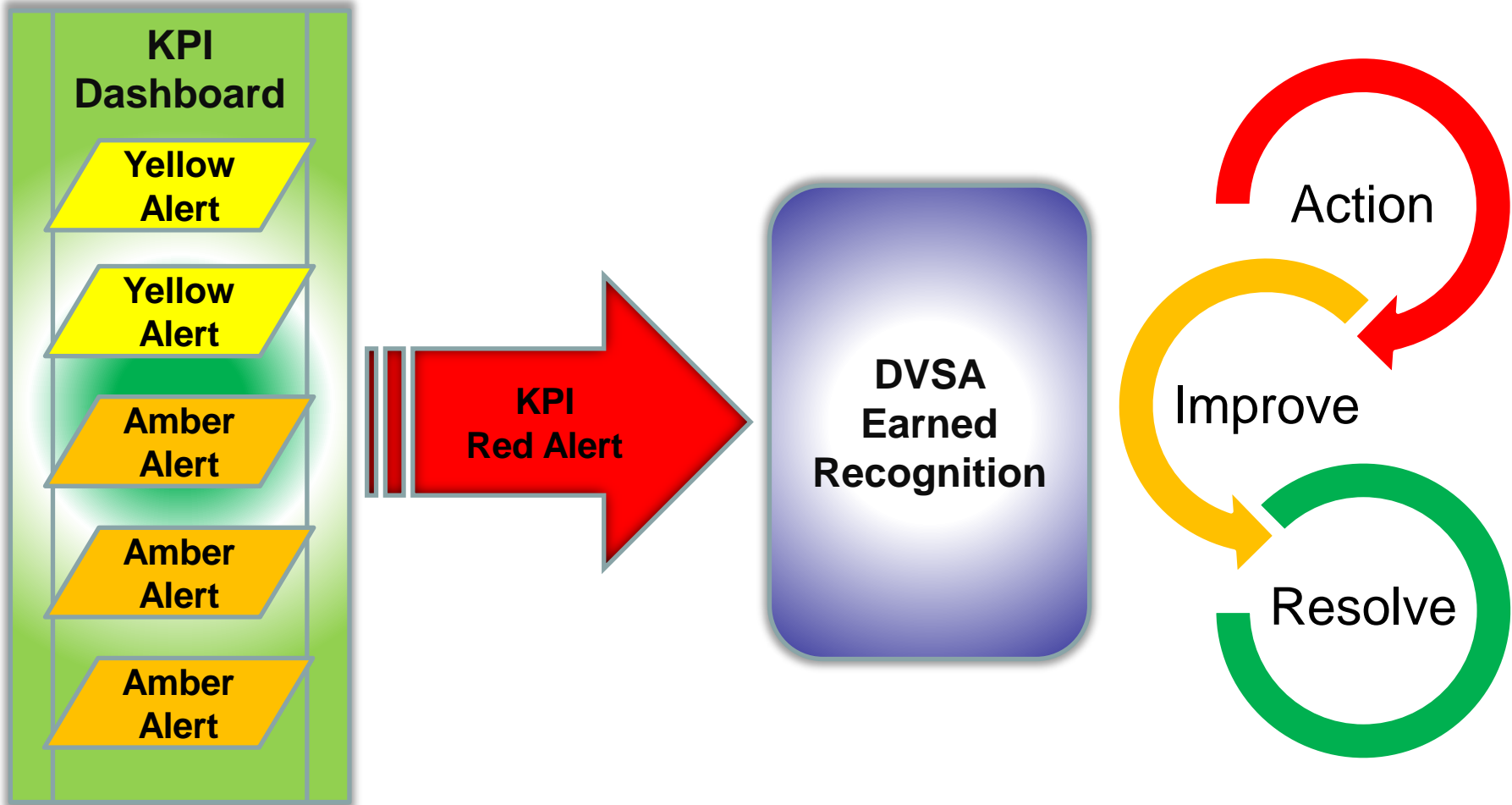


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KPI Trigger





What do we mean by further action?

- A mutually agreed action
- A mutually agreed time period



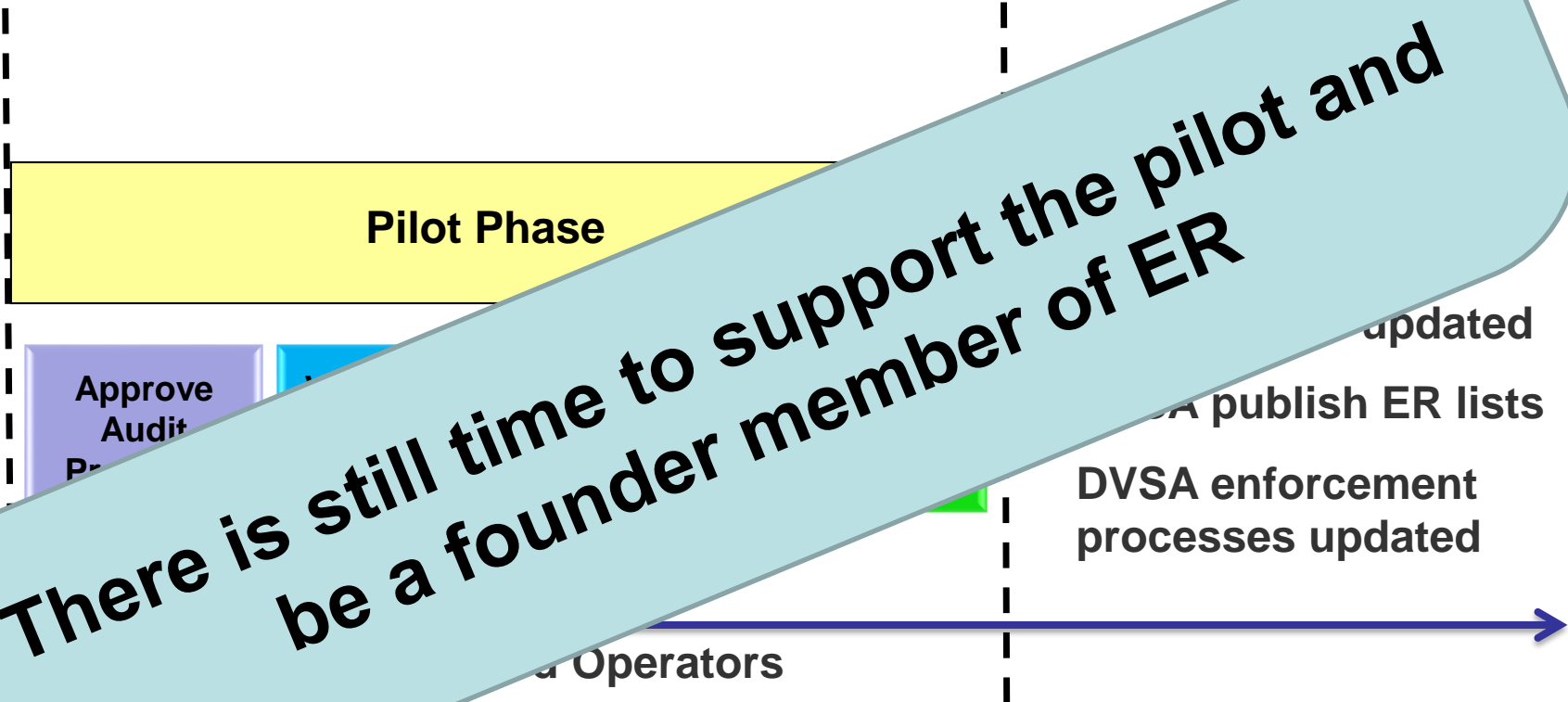
Pilot Phase



Earned Recognition – Pilot

April 2017

Spring 2018



There is still time to support the pilot and be a founder member of ER



ER Pilot Advantages

We'll publish a list of all the operators who successfully complete the pilot

Automatic entry on the DVSA Earned Recognition scheme

More support to help you through the process during the pilot

You'll be helping with the development of the DVSA Earned Recognition scheme



Pilot application form


- We need you to fill in a pilot application form.
- The pilot guide can be used to assist you in completing the form
- Any problems speak to one of the team





Any Questions?





We Are Here
To Help

DVSAER@dvsa.gsi.gov.uk