HGV audit standards

Earned recognition scheme for vehicle operators

Helping you stay safe on Britain's roads
Introduction

This document details the standards of the scheme, the assessment and evidence required during an audit to attain scheme status. It is a public document and allows both the operator and the auditor to identify the areas where standards are met and where shortcomings need to be addressed.

Each of the applicable standards must be attained in order to meet the overall criteria and the operator should be able to demonstrate full and effective control in all cases. It is not possible to be entirely prescriptive in all cases as each operator must be considered individually. It is up to the operator to demonstrate the systems they have in place satisfy the required standards.

Before completing an audit, reference must be made to section three of the Guidance Document and the audit sampling criteria defined below.

HGV Standards Documents - of the Guidance Document

Audit Sampling - arrange an audit section of the Guidance Document

Key Performance Indicators – monitoring your performance section of the Guidance Document
Earned Recognition Audit Sampling Criteria.

Audit sampling needs to be based on the following areas of measurement and considerations.

Areas of measurement:
- Vehicles
- Drivers
- Operating Centres

Considerations:
- Type of management system and span of control should be considered in relation to sampling size.
- Where different management systems are used sampling must cover all of these.
- DVSA ER may wish to direct the audit or stipulate measures
- Audit and verification checks should only be carried out at operating centres that have an administrative or management function.
- The auditor check should include a minimum of one month’s operator analysis and subsequent actions.
- In addition to the audit at the main operating centre and where required any verification checks at other operating centres must be rotated at the periodic audit.
- Maintenance records should conform with the current DVSA Guide to Maintaining Roadworthiness.
- The sample must be representative of the fleet including all types of vehicles, trailers and age range.
- Audit checks must sample records across all types of maintenance providers (for example manufacturers, independents and in-house)
- Sampling from each operator licence
- If an operator carries out ADR activities then at least one ADR centre will be part of the audit

<table>
<thead>
<tr>
<th>Fleet Size (in possession)</th>
<th>Vehicle/Trailer Records</th>
<th>Drivers Records</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-5</td>
<td>All</td>
<td>All</td>
</tr>
<tr>
<td>6-100</td>
<td>2 checks per operator licence (minimum 5 checks in total)</td>
<td>2 checks per operator licence (minimum 5 checks in total)</td>
</tr>
<tr>
<td>101+</td>
<td>5 checks per operator licence (minimum 10 checks in total)</td>
<td>5 checks per operator licence (minimum 10 checks in total)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Number of operating centres</th>
<th>Operating Centres</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-5</td>
<td>Main administrative centre</td>
</tr>
<tr>
<td>6-20</td>
<td>Main administrative centre + 1</td>
</tr>
<tr>
<td>21+</td>
<td>Main administrative centre + 2</td>
</tr>
</tbody>
</table>
Examples of sampling sizes:

<table>
<thead>
<tr>
<th>Operator size</th>
<th>O Licences</th>
<th>Fleet size</th>
<th>Op Centres</th>
<th>Vehicles</th>
<th>Trailers</th>
<th>Drivers</th>
<th>Centres</th>
</tr>
</thead>
<tbody>
<tr>
<td>8</td>
<td>3365v</td>
<td>5000t</td>
<td>560</td>
<td>20</td>
<td>20</td>
<td>40</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>888v</td>
<td>81t</td>
<td>20</td>
<td>36</td>
<td>4</td>
<td>40</td>
<td>2</td>
</tr>
<tr>
<td>2</td>
<td>46v</td>
<td>92t</td>
<td>4</td>
<td>5</td>
<td>5</td>
<td>10</td>
<td>1</td>
</tr>
<tr>
<td>3</td>
<td>117v</td>
<td></td>
<td>3</td>
<td>15</td>
<td></td>
<td>15</td>
<td>1</td>
</tr>
<tr>
<td>2</td>
<td>42v</td>
<td>38t</td>
<td>3</td>
<td></td>
<td>2</td>
<td>5</td>
<td>1</td>
</tr>
</tbody>
</table>
Contents

Section 1  Operator’s Licence........................................................................................................6
  1.1 Correct Legal Entity
  1.2 Financial Standing
  1.3 Notifiable Changes
  1.4 Appropriate Licence
  1.5 Conditions or Undertakings on the Licence
  1.6 Operating Centres
  1.7 Authorised Vehicles & Trailers
  1.8 Vehicles Specified
  1.9 O Licence Vehicle Identity Discs

Section 2  Transport Manager or Responsible Person .........................................................10
  2.1 Current Knowledge and Competence
  2.2 Continuous and Effective Management and Control of the Transport Operation

Section 3 – Vehicle Standards................................................................................................11
  3.1 First Use Inspections
  3.2 Maintenance Facilities and Technical Staff (In-house Maintenance Only)
  3.3 Maintenance Contractors
  3.4 Prohibition or Safety Critical Defect Investigation
  3.5 Forward Planning
  3.6 Inspection Frequency
  3.7 Safety Inspection Documentation
  3.8 Walk Around Checks
  3.9 Driver Defect Reporting
  3.10 Annual Test Results
  3.11 Tachograph & Speed Limiter Equipment

Section 4  Drivers’ Hours.........................................................................................................17
  4.1 Working Time Systems and Monitoring
  4.2 Return of Records
  4.3 Downloading of Driver Cards
  4.4 Downloading of Vehicle Units
  4.5 Tachograph Analysis
  4.6 Infringement Reporting
  4.7 Speed Limit Compliance
  4.8 Keeping of Tachograph Records
  4.9 Tachograph - Driver and Company Card Management
  4.10 Scheduling

Section 5  Operational Management.......................................................................................22
  5.1 Insurance
  5.2 Vehicle Excise Duty
  5.3 Vehicle Weight and Height Compliance
  5.4 Load Securing and Equipment
  5.5 Specialist Equipment or Loads
  5.6 Management of Non-O Licence Vehicles and Equipment
  5.7 Agency Drivers
  5.8 Sub-Contractor Hauliers

© DVSA Crown copyright 2017. All rights reserved. Not to be copied or distributed without permission, for any purposes other than those required to run the DVSA Earned Recognition scheme.
Section 5 (Cont.)

5.9 International Operators and Cabotage
5.10 Security Requirements

Section 6  Driver Management

6.1 Driver Recruitment
6.2 Driving licence and Driver Qualification Card (DQC) Monitoring
6.3 Driver Pay and Incentives

Section 7  Training and Driver Behaviour

7.1 Driver CPC Training
7.2 Other Relevant Driver Training and Engagement
7.3 Driver Behaviour
7.4 Other Operational Staff Training

Section 8  Driver Related Policies

8.1 Drink, Drugs and Driver Health Policy
8.2 Mobile Device Policy

Section 9  ADR

9.1 Training Certificate
9.2 Equipment
9.3 Vehicles
9.4 Load Security and Integrity
9.5 Documentation
9.6 Dangerous Goods Safety Advisor (DGSA)
Section 1 – Operator’s Licence

1.1 Correct Legal Entity

The Operator must hold at least one valid operator licence issued by the Office of the Traffic Commissioner.

The Operator must have processes in place to ensure that they are correctly licensed to operate vehicles in their transport operation. Licence(s) must be held in the correct legal entity of the operator. Any changes are notified to the Traffic Commissioner within 28 days, licences must be within their review date. Processes must be documented, responsibilities clearly communicated with effective management control clearly demonstrated.

Assessment Requirements

The auditor will request documented evidence that demonstrates that the licence(s):

1.1.1 Is (Are) held in the correct legal entity of the operator
1.1.2 The operator and trading name are as defined on Companies House records
1.1.3 Sole Trader’s registration with HMRC corresponds to operator licence
1.1.4 A partnership agreement or other documentation supports the entity type
1.1.5 There are no discrepancies regarding the named directors
1.1.6 The correspondence address is as stated on the operator licence
1.1.7 Licences are current
1.1.8 A documented process identifying responsibilities and effective management control

Auditor Guidance

• Operator should be able to demonstrate management of O licence through DVSA operator on line self-service system (VOL)
• No Companies House check requirement for sole traders – check HMRC self-employment registration or last tax return
• The correspondence address is directly connected the operation of the business. No requirement for the address to match Companies house.

1.2 Financial Standing

Operators must have processes in place to ensure that Traffic Commissioners are notified within 28 days of a change in the financial status of the licence holder

Assessment Requirements

1.2.1 Evidence of a process that demonstrates that the Traffic Commissioner is notified within 28 days of a change in the financial status of the licence holder

Auditor Guidance

• Request details of process

© DVSA Crown copyright 2017. All rights reserved. Not to be copied or distributed without permission, for any purposes other than those required to run the DVSA Earned Recognition scheme.
1.3 Notifiable Changes

The Operator must have processes in place to ensure that any notifiable changes in circumstances to their transport operation are reported to the Traffic Commissioner within 28 days. The process must be documented, responsibilities clearly communicated with effective management control clearly demonstrated.

Assessment Requirements

1.3.1 The auditor will request documented evidence of the process that demonstrates that the Traffic Commissioner is notified within 28 days of any notifiable changes in circumstances.
1.3.2 Evidence must take the form of a documented policy, identification of and instructions to those responsible for ensuring the standard is met, together with evidence of the process.

Auditor Guidance

- Senior Traffic Commissioner Statutory Guidance: good repute and fitness, January 2016
- Reportable changes refer to GV74 The Guide to Operator Licensing

1.4 Appropriate Licence

The operator must be able to effectively demonstrate the specifics of the operation, sufficient for the auditor to clearly identify the nature of the business and that the licence(s) held is (are) appropriate for the transport operations undertaken.

Where a Standard National operation applies, the operator must demonstrate the scope of operations that prove no international links, either by direct haulage or by contracting work to a third party.

Assessment Requirements

1.4.1 Evidence of contractual work, invoices to clients for haulage work showing a Standard National operation.
1.4.2 For a Restricted licence operation, consignment notices demonstrating by description that ‘own goods’ are transported.
1.4.3 Standard licence holders must have processes in place to ensure that they have an establishment in Great Britain (GB) with premises in which core business documents are kept. These include (as a minimum) accounting and personnel management documents and data on driving time and rest (a PO box or third party address is not permitted).
1.4.4 They must also ensure formal arrangement for access at all times to at least one vehicle registered or in circulation in GB. This could be by specifying a vehicle for use under an operator’s licence or by demonstrating on request that a vehicle is available. Vehicles may be either wholly owned or held under a hire-purchase, hire/leasing arrangement or other type of formal arrangement.
1.4.5 Processes must be documented, with effective management control clearly demonstrated.

Auditor Guidance

- Driver’s hour’s records that tie in with haulage operations evidenced from invoices. Working time records where these are separate may also provide evidence.
- Company letterheads and advertising material specifying nature of operation and services to customer.
- Vehicle livery including telephone codes for location of offices.

© DVSA Crown copyright 2017. All rights reserved. Not to be copied or distributed without permission, for any purposes other than those required to run the DVSA Earned Recognition scheme.
1.5 Conditions or Undertakings on the Licence

Any conditions or undertakings on the licence must be fully apparent and understood by all relevant personnel within the organisation. The operator must demonstrate a good understanding and knowledge of any such restrictions by those required to act upon and maintain them.

The Transport Manager or responsible person must be able to demonstrate where the conditions or any undertakings are being complied with and where appropriate support this with documentary evidence. Evidence of allotted parking areas and documented arrangements with any lease holder will support the operator’s claims where this is brought into question.

Assessment Requirements

1.5.1 Any conditions or undertakings on the licence are complied with

Auditor Guidance

- Obtain any conditions and undertakings for each operator licence and establish compliance. Note - This information will be provided by DVSA to the authorised audit provider
- The operator licence must be available for inspection by the auditor
- Access to operator licence via VOL system should be available to the auditor

1.6 Operating Centres

Operators must have processes to ensure that all operating centres are authorised for use. The operator must identify the centres both listed on the licence and any previously used in the past two years as part of the transport operation, these may include dormant centres.

Assessment Requirements

1.6.1 Operators must have processes to ensure that all operating centres are authorised for use. Processes must be documented, with effective management control clearly demonstrated
1.6.2 Documented evidence from the operator listing ALL sites used by the company cross checked against those specified on the licence
1.6.3 All operating centre conditions are being met
1.6.4 Any environmental conditions relating to operating centre are complied with

Auditor Guidance

- Cross check against those specified on the licence
- Invoices and/or consignment notices that coincide with locations or otherwise
- Vehicle livery suggesting locations of offices/depots that do not comply with those listed
- Access to operator licence via VOL system should be available to the auditor
1.7 Authorised Vehicles and Trailers

The maximum number of vehicles and trailers authorised on the licence must be clearly understood by the operator and the Transport Manager or responsible person. Management system must be in place to ensure the number of vehicles used does not exceed the number authorised. By a process of administration, the operator must be able to demonstrate a robust process for identifying vehicles and trailers and any arrangement in place to deal with changes to the licence such as replacement of vehicles etc.

Assessment Requirements

1.7.1 Documented process and procedures for vehicles and trailer storage at each centre
1.7.2 Operators must have processes to ensure that the number of vehicles and trailers used at each operating centre is within the authorised limits, operating centres have adequate off road parking for all authorised vehicles and trailers; and vehicles are normally kept at authorised operating centre.
1.7.3 Management system must be in place to ensure the number of vehicles used does not exceed the number authorised.

Auditor Guidance

- The process should be adequate to demonstrate effective management and control for the size of fleet operated and the number of authorised operating centres
- Cross check of specified vehicle and trailer lists against authorisation for each operating centre
- VOL system should be able to demonstrate management of vehicles specified on the licence.

1.8 Vehicles Specified

A robust process for specifying current vehicles on a licence must be demonstrated, along with an effective process for dealing with changes requiring to be applied to the licence at any time. Vehicles in any case should be specified within a calendar month including those on short term hire. For the purpose of Earned Recognition it will be required that vehicles will be specified as soon as they enter into service.

Assessment Requirements

1.8.1 Process in place to maintain effective control of the vehicles/trailers specified on the licence
1.8.2 Cross check of fleet lists against vehicles specified on each licence
1.8.3 Evidence a documented process to ensure all vehicles and trailers are specified on the licence prior to use.

1.9 O Licence Vehicle Identity Discs

A process must be in place to both ensure all vehicles are specified and thereby licence discs are obtained. The operator should explain the administrative procedures for dealing with the display of discs, ensuring they continue to be displayed and a process to deal with their withdrawal and return when the vehicle has been removed from the licence.

Assessment Requirements

1.9.1 Documented administration process to effectively manage the identity discs

Auditor Guidance

- Procedure to ensure the disc is displayed, such as part of the driver walk around check.

© DVSA Crown copyright 2017. All rights reserved. Not to be copied or distributed without permission, for any purposes other than those required to run the DVSA Earned Recognition scheme.
Section 2 - Transport Manager or Responsible Person

2.1 Current Knowledge and Competence

The nominated Transport Manager or responsible person (in the case of a restricted licence) must be able to demonstrate a clear understanding of all aspects of the operation.

The Transport Manager must also produce evidence of qualifications and be able to evidence the level of control and involvement with the operation.

The responsible person must clearly demonstrate an ability to carry out their duties.

Assessment Requirements

2.1.1 Documented evidence of the Certificate of Professional Competence from the Transport Manager
2.1.2 Responsible person evidence of ability and skill to fulfil their duties
2.1.3 Evidence of training and development process within the organisation

Auditor Guidance

- Evidence of continual professional development, which may include details of relevant refresher training undertaken in the last five years
- Examples for responsible person could include relevant training, membership of professional organisations or trade bodies
- The auditor should record on the audit report the examining body and certificate number for CPC holders

2.2 Continuous and Effective Management and Control of the Transport Operation

The Transport Manager or responsible person (Restricted licence) should have full and effective day to day control of all aspects of the transport operation.

The Transport Manager or responsible person should hold a senior position within the business and have the responsibility to decide the use of the vehicles, trailers and relevant staff to ensure a legal operation.

Assessment Requirements

2.2.1 Transport Manager(s) are as stated on the licence(s)
2.2.2 Evidence of the Transport Manager’s or responsible person’s presence within the day to day operation
2.2.3 Presentation of a personal contract for any named external Transport Manager
2.2.4 Organisational chart showing chain of responsibility
2.2.5 For external Transport Managers evidence of the number of hours per week dedicated to the role
2.2.6 Clear reporting line from Transport Manager to the operator licence holder
2.2.7 Where tasks are delegated that full control is still maintained
2.2.8 The level of involvement is sufficient to maintain effective management control

Auditor Guidance

- Check for effective communication methods and appropriate data storage throughout the organisation.
- The ratio should be effective for method of operation
Section 3 - Vehicle standards

3.1 First Use Inspections

The operator must demonstrate a robust process for dealing with vehicles or trailers in terms of first use including hire vehicles, third party trailers and those being brought back into use.

Assessment Requirements

- 3.1.1 Evidence of inspection following start of hire period where applicable
- 3.1.2 Records of first use for fleet and corresponding inspection sheet
- 3.1.3 Evidence of a robust system to establish the roadworthiness of third party trailers prior to use.

Auditor Guidance

- Pre hire inspections from BVRLA approved suppliers is acceptable evidence
- Comprehensive (as a safety inspection) pre delivery inspections (PDI) from authorised dealer network for new, used or hire vehicles is acceptable evidence
- Maintenance provision first use inspection
- System for obtaining the last safety inspection for third party trailers and declaration of roadworthiness. (See link Best-Practice-for-3rd-Party-Trailer)

3.2 Maintenance Facilities and Technical staff (In-house Maintenance Only)

The operator must demonstrate provision of suitable facilities for all inspections of vehicles and/or trailers within the fleet, together with the provision of trained and competent technical staff to undertake such maintenance.

Assessment Requirements

- 3.2.1 Documentation for equipment repair and servicing and/or calibration
- 3.2.2 Documented evidence of technical staff competence
- 3.2.3 Documented evidence of staff training and development process
- 3.2.4 Maintenance provision aligns with that specified on the licence
- 3.2.5 Facilities are clearly adequate to maintain the fleet of vehicles operated

Auditor Guidance

- Evidence of physical inspection of facilities and equipment by the operator (internal audit documents)
- Cross check of inspection sheets for variance in equipment available e.g. Roller Brake Tester (RBT) where no device present
- Check for availability of maintenance resources such as staff, facilities, equipment and parts, which are appropriate for the fleet of vehicles being maintained
- Check for technician and workshop accreditation, for example Institute of Road Transport Engineers (IRTE) accreditation scheme (or equivalent).
3.3 Maintenance Contractors

Where an independent maintenance provider is utilised, the operator must demonstrate an effective regime of full and regular audits to establish and maintain quality standards as well as a robust administrative process. The maintenance provider must be as specified on the licence.

Assessment Requirements

3.3.1 Documented evidence of current maintenance contracts
3.3.2 Documented evidence of audit/assessment processes by the operator (including the assistance of an independent body, where relevant)

3.3 Auditor Guidance

- Processes in place to deal with audit/assessment outcomes
- Explanation from the Transport Manager of procedural action where necessary
- Analysis of periodic maintenance inspections identifying issues
- Check for updates to CLO for maintenance provision
- Check for technician and workshop accreditation audit reports, for example IRTE accreditation scheme (or equivalent).

3.4 Prohibition or Safety Critical Defect Investigation

The operator must demonstrate processes to identify in a timely manner and effectively deal with prohibitions encountered or safety critical defects. The investigation must establish causes or trends and provide documented evidence to substantiate their actions.

Assessment Requirements

3.4.1 Processes present to identify and procedures to deal with prohibitions or safety critical defects
3.4.2 Documented evidence of effective remedial action, copies of correspondence to OTC or DVSA

Auditor Guidance

- Records of OCRS encounter history including recurrence of defects for the previous two years
- Effective driver defect reporting process
- Evidence of effective rectification work from reported defects
- Evidence of safety critical defects on the safety inspection records
- Training or other methods delivered to drivers to deal with early rectification
- Access to up to date guidance documentation, such as the Categorisation of Defects manual.
3.5 Forward Planning

A robust and effective forward planning process must be in place, using either a manual or an electronic process defined by the operator. The Transport Manager or responsible person must be able to demonstrate a full understanding on the need for and administrative process of forward planning and where this is administered by other staff, the Transport Manager or responsible person must be able to show full management and control of the responsibilities delegated to others. The operator should have processes to ensure that vehicle, trailer or component recalls are actioned.

Assessment Requirements

3.5.1 Documented evidence to demonstrate the existence of at least six months forward planning.
3.5.2 Evidence of the scope of the planning, which includes annual testing, preventative maintenance inspections, tachograph and speed limiter calibration.
3.5.3 Vehicle off the road (VOR) identification.
3.5.4 Scheduling for vehicle excise renewal.
3.5.5 Process for ensuring recalls are actioned

Auditor Guidance

- An explanation and demonstration from the Transport Manager or responsible person of the procedures for administering the process
- Instances from records of periodic maintenance beyond the stated intervals
- System sampling must cover all licences on the application, which should include different contacts if applicable and evidenced in the audit report.
- Evidence of a clearly managed and transparent process

3.6 Inspection Frequency

The Transport Manager or responsible person must be able to clearly state the established frequency of periodic maintenance for the fleet and demonstrate a robust and adherence to this. Where a system or administrative process is delegated to others, the Transport Manager or responsible person must show full management and control.

Assessment Requirements

3.6.1 Documented evidence held by the operator that aligns with the conditions of the operator licence.
3.6.2 Processes that are proactive in maintaining compliance with the agreed frequency.
3.6.3 Clear evidence to support a justified reason where the frequency has been extended.
3.6.4 Evidence of a robust VOR policy

Auditor Guidance

- System sampling must cover all licences on the application, which should include different contacts if applicable and evidenced in the audit report.
- Check maintenance agreements
- Identify any additional maintenance resources
- Cross check on vehicles stated VOR against drivers' hours records
- Documentary evidence of safety inspection after VOR
3.7 Safety Inspection Documentation

A robust system of planned maintenance must be proven by full and effective documentation. The Transport Manager or responsible person must demonstrate the ability to access any documentation and in each case, all forms should meet or exceed the Guide to Maintaining Roadworthiness.

Assessment Requirements

3.7.1 Complete sets of records for any vehicle/trailer in the fleet
3.7.2 All sheets comprehensively completed including all necessary signatures
3.7.3 Full compliance with the Guide to Maintaining Roadworthiness
3.7.4 Where electronic systems are used for recording inspections, they should meet the requirements that are stated in the DVSA Guide to Maintaining Roadworthiness.
3.7.5 All safety inspection records are maintained for a period of at least 15 months

Auditor Guidance

• Timely and appropriate checking and filing that supports the management process
• System sampling must cover all licences on the application, which should include different contacts if applicable and evidenced in the audit report
• Refer to the Guide to Maintaining Roadworthiness
• Safety inspection records returned with the vehicle
• Invoices for repair work following defects identified on the safety inspection.

3.8 Walk Around Checks

There must be a process in place to demonstrate that walk around checks are carried out effectively, together with a documented audit process that checks compliance with the requirements, this must include hired / loaned vehicles and third party trailers. Instructions and training to support this process should also exist.

Assessment Requirements

3.8.1 Evidence of regular reporting of both NIL and defect reporting
3.8.2 Daily checks and/or driver walk around checks
3.8.3 Audits process such as gate checks to identify checks and effectiveness
3.8.4 Training documents or arrangements for drivers or responsible staff

Auditor Guidance

• Electronic process for walk around checks
• Check paper based process for compliance
• Cross check of safety inspection driver reportable defects against walk around checks
• Document sampling must cover all licences on the application
3.9 Driver Defect Reporting

A robust and effective defect reporting process must be in place which includes a ‘NIL’ defect process. The Transport Manager or responsible person must be able to show effective and corrective procedures in place to administer to the required standard.

Assessment Requirements

3.9.1 Documented procedures including comprehensive instructions for all staff
3.9.2 Evidence of a NIL reporting process
3.9.3 Records of defect reporting
3.9.4 Maintenance and repair work aligning to reported defects
3.9.5 Systems for training and monitoring drivers compliance with the process

Auditor Guidance

- Evidence of reported defects not being dealt with and repeat reporting
- Cross check of safety inspection driver reportable defects against walk around check
- Document sampling must cover all licences on the application

3.10 Annual Test Results

The operator must show a process of monitoring of annual test results, to identify trends and take appropriate action where necessary. An initial pass rate should be demonstrated over the previous 2 years (see assessment requirements).

The operator must also provide all test history for all vehicles operated by them over the same period.

Assessment Requirements

3.10.1 Fleet size exceeding 20 vehicles a test history that maintains an initial pass rate of 95% or above for the previous 2 years.
3.10.2 Fleet size 20 or less the 95% KPI is replaced by no more than one initial fail in a rolling 12 months
3.10.3 IT Maintenance system reports demonstrating compliance with the MOT KPI over the previous 13 reporting periods
3.10.4 Records of all vehicles and trailers owned or operated by the operator
3.10.5 Documented process in place to monitor annual test performance for all vehicles and trailers operated

Auditor Guidance

- Documentation to support action where issues/trends appear
- Evidence of any pre-test inspections and the test results
- Actions by the Transport Manager or responsible person to address third party issues where applicable
- Evidence of access to OCRS/DVSA information regarding test history
- Review preparer performance if applicable.
- VOL system should be able to demonstrate management of test history and KPIs for the previous 13 reporting periods.
3.11 Tachograph & Speed Limiter Equipment

Where vehicles are used in scope, the operator must demonstrate a clear and robust system for dealing with all repairs and calibration to tachograph equipment, including a comprehensive forward planning process for calibration. Where appropriate the operator must be able to demonstrate a process to monitor speed limiter effectiveness and identification of faults and appropriate action taken.

Assessment Requirements

3.11.1 Documented system covering calibration and maintenance
3.11.2 Consistent and effective planning for calibration
3.11.3 Documented evidence of calibration dates on the forward planner
3.11.4 Records for calibration and mandatory checks
3.11.5 Evidence of tachograph repairs in line with legislation
3.11.6 Speed limiter maintenance and calibration records detailing repairs where appropriate.

Auditor Guidance

- Maintenance or other contracts with calibration centres
- Invoices for repair and/or calibration work
- Driver defect reporting with subsequent repair etc. of tachograph equipment
- Evidence records relating to speed limiter issues where appropriate
Section 4 – Drivers’ Hours

Depending on the type of work being carried out by the operator various sections may not be applicable. The auditor needs to establish the full extent of the operation and be satisfied that the work undertaken is either domestic, EU or a mixture of both.

4.1 Working Time Systems and Monitoring

A comprehensive and effective system for monitoring compliance with Working Time Directive must be in place; this must align effectively with the process of compliance with driver’s hours. Full account of driver scheduling and other duties must be incorporated into the process

Assessment Requirements

4.1.1 Documented evidence of analysis of WTD alongside drivers’ hours
4.1.2 Operator effective monitoring of key performance indicators (KPIs)
4.1.3 Evidence of management and scheduling to take account of WTD
4.1.4 Evidence of corrective action in the event of infringements
4.1.5 Absence days are correctly accounted for
4.1.6 Evidence of collective or workforce agreements and appropriate opt outs.
4.1.7 Working time records are maintained for a period of at least 2 years

Auditor Guidance

- Training to staff and drivers to ensure compliance
- Refer to DVSA Earned Recognition published KPIs for minimum compliance levels
- Evidence of compliance with KPI levels

4.2 Return of Records

The operator must demonstrate by evidence a robust and effective process for the return of records that ensures compliance and action taken to deal with outstanding records.

Assessment Requirements

4.2.1 Documented procedural evidence of management of an effective process

Auditor Guidance

- Charts, log books and printouts returned within 42 days
- Evidence of corrective action where records not returned within the time scale
- Evidence of procedures for non-employed drivers including agency drivers

4.3 Downloading of Driver Cards

The operator must have a process in place where driver card data is downloaded and submitted for analysis on at least a 14 day basis

Assessment Requirements

4.3.1 Driver cards are downloaded on at least a 14 days frequency
4.3.2 An evidenced process for dealing with frequency of downloading

(Auditor guidance overleaf)
Auditor Guidance

- Appropriate contingencies in place to deal with downloading outside the stated frequency will be accepted
- Obtain driver download summary reports

4.4 Downloading of Vehicle Units

The operator must have a process in place where data from vehicle units is downloaded and submitted for analysis on at least a 42 day basis

Assessment Requirements

4.4.1 Vehicle units are downloaded on at least a 42 days frequency
4.4.2 An evidenced process for dealing with frequency of downloading

Auditor Guidance

- Appropriate contingencies in place to deal with downloading outside the stated frequency will be accepted
- Obtain vehicle unit download summary reports

4.5 Tachograph Analysis

The operator must demonstrate that all analogue and digital tachograph records are submitted for analysis within 7 days from the driver card or vehicle VU download and a robust system of analysis is undertaken to identify infringements.

Assessment Requirements

4.5.1 A robust and detailed analysis system in place
4.5.2 Infringements are identified and reported, in any case within 28 days after the infringement date
4.5.3 Operator can demonstrate effective management of driver repeat offenders
4.5.4 Effective management of driving without a card and unaccounted mileage
4.5.5 Operator is able to identify MSIs and demonstrate effective action taken
4.5.6 Operator can justify any manual analysis amendments
4.5.7 Operator effective monitoring of key performance indicators (KPIs)
4.5.8 Documented audit system undertaken by the Transport Manager
4.5.9 Understanding of the reporting process including that from a third party where applicable

Auditor Guidance

- Where third party analysis takes place, evidence of administrative arrangements for reporting
- For digital analysis cross reference driver card and vehicle unit data
- Demonstrate use of Operator Performance Report to manage MSIs and repeat offenders including any remedial action
  - Evidence of trigger points monitored and actioned
  - Effective disciplinary process being followed
  - Training provided to eliminate reoccurrence including drivers, planners & TMs
(Continued overleaf)
• Auditor should cross reference amendment analysis reports
• Refer to DVSA Earned Recognition published KPIs for minimum compliance level
• Evidence of compliance with KPI levels.
• Evidence of effective management of all unaccounted driving including validation and investigation process including:
  o Cross reference against vehicle tracking data
  o Auditor to carry out sample checks of operator validation procedures
  o Identify appropriate action taken if driving is in scope for EU regulations.
  o Management process should be able to validate any periods of driving without a card.
  o Robust process to manage and limit legitimate driving without card
• Appropriate contingencies in place to deal with infringement reporting outside the stated frequency will be accepted

4.6 Infringement Reporting

The operator must demonstrate a process that deals effectively with all reported infringements providing documentary evidence to show each has been robustly investigated and appropriate action taken to prevent a recurrence.

Assessment Requirements

4.6.1 Documented procedures in relation to reported infringements
4.6.2 Operator monitoring of infringement patterns and frequency

Auditor Guidance

• Refer to DVSA Earned Recognition published KPIs for minimum compliance levels
• Evidence of compliance with KPI levels
• Evidence of recurrence of infringements
• Cross check actions by the operator in relation to each prohibition or infringement
• Evidence of appropriate remedial action that effectively addresses the issue(s)
• Any training or information content provided to staff by the operator

4.7 Speed Limit Compliance

Evidence of speeding must be dealt with in accordance with the company disciplinary procedures.

Assessment Requirements

4.7.1 Processes and procedures to deal with notifications from drivers of speeding offences
4.7.2 Published company policy in relation to road traffic offences including speeding
4.7.3 Process for monitoring speed limit compliance.

Auditor Guidance

• Processes or procedures for dealing with speeding as a result of telematics and tachograph analysis evidence.
• Documented evidence of action taken when speeding offences committed
• Where action is taken it must be dealt with in accordance with the company’s disciplinary procedures
• Evidence of recurrence following remedial action
4.8 Keeping of Records

Records are required to be kept, in the case of tachograph for a minimum of 12 months for EU regulations and 24 months for WTD. The operator must have a robust and effective process in place, which is administered appropriately and provides for easy and accurate access to all records.

**Assessment Requirements**

- 4.8.1 Evidence of process in place to store and access records as required
- 4.8.2 Documented company policy in respect of third party analysis
- 4.8.3 Contractual evidence between operator and third party provider
- 4.8.4 Records kept for required minimum periods

**Auditor Guidance**

- Ready access to records demonstrated by operator
- Access to the raw data
- Look for how records are produced and stored

4.9 Tachograph - Driver and Company Card Management

Driver and company tachograph cards must be monitored effectively to ensure expiry dates are known and managed; procedures must be in place to take account of lost or defective cards. A process to ensure supply of sufficient print rolls, charts and log books is evidenced.

**Assessment Requirements**

- 4.9.1 Documented evidence of a forward planner and/or tracking process for key elements, expiry date etc.
- 4.9.2 Evidence of listing of all card holders within the operation
- 4.9.3 Procedures for card expiry and lost or defective
- 4.9.4 Information/training to drivers regarding tachograph cards
- 4.9.5 Documented process in place for the supply of sufficient print rolls, charts and log books.

**Auditor Guidance**

- Evidence of investigation of vehicles driven with no card in tachograph and action taken
- Obtain unassigned driving report
4.10  Scheduling

Staff responsible for scheduling the transport operation must be suitably qualified or experienced and have an appropriate level of knowledge and skill to manage the operation and take full account of drivers’ hours and Working Time Directive requirements. The operator must demonstrate robust and effective process in place to prevent infringement and actively deal with problems arising from this.

Assessment Requirements

4.10.1  A comprehensive procedure, well documented to effectively implement the scheduling operations

4.10.2  Documented contingencies for dealing with drivers’ hours compliance and working time directive

4.10.3  Where a Transport Manager is employed evidence of the level of control exercised by them

4.10.4  Evidence of a reporting procedure to deal with schedule conflicts

Auditor Guidance

- Evidence of historical problems and actions taken to address them
- Action taken to prevent recurrence or particular scheduling conflicts
- Where electronic processes are used these are adequate and used effectively
- Staff are appropriately trained
Section 5 - Operational Management

5.1 Insurance

All relevant insurances are in place to ensure all liabilities are covered

Assessment Requirements

5.1.1 Operators must have processes in place to ensure they have valid third party insurance in place for their motor vehicles in scope of this scheme, public and employer liability insurance

5.1.2 Processes must be documented and responsibilities clearly communicated.

Auditor Guidance

• Check insurance documents are valid
• Minimum cover in-line with current legislation - Employers liability (compulsory insurance) Act 1969

5.2 Vehicle Excise Duty

The operator must have a robust process in place to deal with the timely renewal of road fund licence for all vehicles in the fleet and in all cases at the correct revenue rate. A forward planning process should be in place to administrate this which may be incorporated into other aspect of the business

Assessment Requirements

5.2.1 A forward planning process, possibly in combination with maintenance planning etc.
5.2.2 Documented process to ensure correct revenue rates are being applied
5.2.3 Be able to demonstrate a correct procedure for dealing with vehicle SORN

Auditor Guidance

• Documented or on line evidence of road fund renewal for all vehicles
• Company instructions and/or training documentation for administrative staff

5.3 Vehicle Weight and Height Compliance

The operator will have clear processes in place to ensure no vehicle is used on a public highway when any weight limit is exceeded. Data should be held regarding known vehicle and axle weights and training processes in place for all staff affected. The operator will have a process to ensure every driver is aware of the height of their vehicle and travels the most suitable route to avoid low bridges.

Assessment Requirements

5.3.1 Documented evidence of staff training regarding vehicle loading and weight distribution
5.3.2 Documented process in place to monitor weight compliance
5.3.3 Documented process in place to monitor height compliance
5.3.4 Documented evidence of staff training regarding vehicle height awareness

(Auditor guidance overleaf)
5.3 Auditor Guidance

- Access to weighing facilities including public weigh bridges
- Vehicle details regarding vehicle tare weights and any operational procedures
- Route planner used which includes option to avoid low bridges etc

5.4 Load Securing and Equipment

There must be processes in place to ensure drivers and loaders are properly trained and given the right equipment to maintain safe loads. Using appropriate equipment in the correct manner and in line with any user instructions and health and safety requirements

Assessment Requirements

5.4.1 Evidence of staff training in vehicle loading, unloading and load security
5.4.2 Suitable equipment available where required and serviceable
5.4.3 Process in place covering vehicle loading and any associated activity
5.4.4 Operating instructions for equipment used in loading vehicles
5.4.5 Consignor load plans in use where applicable

Auditor Guidance

- Handlers’ qualifications or certificates where appropriate such as fork lift operation
- Existence of risk assessments and method statements
- DfT Code of Practice for Safety of Loads on Vehicles

5.5 Specialist Equipment or Loads

Where specialist equipment or unusual loads are concerned, the operator must demonstrate there are additional processes in place to effectively manage the type of operation and specialism involved, including training, certification and management of health and safety

Assessment Requirements

5.5.1 Documented evidence of a process in place to ensure specialist equipment and/or vehicle compliance
5.5.2 Training, certification and awareness by staff for specialist operation
5.5.3 Process and procedures for management of operation
5.5.4 Evidence of maintenance and safety inspection arrangements

Auditor Guidance

- Existence of special equipment and vehicles suitable for task
- Compliance with STGO where appropriate and processes in place to administer this
- Evidence of specialist equipment list
- Where applicable the Transport Manager knowledge and understanding of the operation
5.6 Management of Non O Licence Vehicles and Equipment

The operator and Transport Manager or responsible person must demonstrate processes and procedures in place to manage to a legal standard commercial vehicles, light goods vehicles (LGV) and equipment not covered under the operator licence.

Assessment Requirements

5.6.1 Robust and effective system to manage franchised LGV fleet
5.6.2 Evidence of maintenance processes as robust as those for operator compliance
5.6.3 Adherence to road traffic law to the same standards as elsewhere within the business
5.6.4 Robust and effective driver defect reporting and road safety standards

Auditor Guidance

- Evidence of franchised contracts, which includes appropriate fleet management requirements to the same standards of the operator’s own fleet.
- Evidence of appropriately managed processes for vehicle leasing for example Van Excellence, BVRLA or similar
- Vehicles are correctly classed in terms of requirements for specification on the operator licence

5.7 Agency Drivers

The operator and Transport Manager or responsible person must demonstrate a process that applies the same high overall standard as applies to employed staff and drivers. Due diligence must be shown and robust contractual arrangements between the operator and any agency must be evidenced.

Assessment Requirements

5.7.1 Evidence of contractual arrangements with all driver agencies used
5.7.2 Processes to monitor agency driver Working Time Directive and drivers’ hours compliance
5.7.3 Auditing and reporting processes within the business and with the agency
5.7.4 Documented evidence of processes to deal with non-compliant agency drivers
5.7.5 Driving licence and Driver CPC checks prior to start driving activities

Auditor Guidance

- Evidence of contractual arrangements between the operator and agency
- Evidence of approved supplier agreements and spot hire arrangements
- WTD compliance may be evidenced by a written driver or agency declaration of compliance where appropriate.
- Evidence of compliance with REC/FTA/RHA joint code of practice, Driver Agency Excellence or similar should be considered by the auditor
5.8 **Sub-Contractors Hauliers**

There must be evidence of a management process that prohibits activities that could be given to sub-contractors which cannot be conducted legally.

**Assessment Requirements**

- **5.8.1 Business rules and working arrangements for utilising haulage sub-contractors**
- **5.8.2 Evidence of contractual agreements between the operator and any haulage sub-contractor**
- **5.8.3 Evidence of an approved contractor list**

**Auditor Guidance**

- Evidence of sub-contractor accreditation for the Earned Recognition scheme
- Processes in place to safeguard against contractual work being carried out illegally
- Reporting arrangements between either party
- Evidence of any corrective action following issues or complaints
- Evidence of condition of carriage and insurance if appropriate
- Scheduling information to demonstrate compliance achievable
- Where contractual agreements not available evidence of safeguards in place to ensure work can be carried out legally.

5.9 **International Operators and Cabotage**

International operators who conduct cabotage operations within other member states must have processes to ensure that operations meet the cabotage regulations. Processes must be documented, responsibilities clearly communicated and performance regularly (at least annually) reviewed.

**Assessment Requirements**

- **5.9.1 The auditor will request documented evidence of the processes, which must take the form of a documented policy, identification of and instructions to those responsible for ensuring the standard is met, together with evidence of the process, including copies of regular review reports for the previous 12 months**

5.10 **Security Requirements**

Operators should have a knowledge of the current risks and threats from terrorist groups and individuals. Measures should be in place to minimise the risk of vehicles being used as weapons and to ensure premises, staff and members of the public are kept safe.

Operators should occasionally access the MI5 website to familiarise themselves with current threat levels including a basic understanding of both national and international terrorism threats.

*As a minimum reference should be made to the DfT publication - [Vehicles as a Weapon: Best Practise Guidance for Commercial Vehicle Operators and Drivers](#). Where required the advice should be added to existing policy and procedure documentation.*

(Continued overleaf)

© DVSA Crown copyright 2017. All rights reserved. Not to be copied or distributed without permission, for any purposes other than those required to run the DVSA Earned Recognition scheme.
Assessment Requirements

5.10.1 Vehicles - A comprehensive procedure and policy to counter terrorism including vehicle security *(Section 4 ‘Vehicle Security), suspicious behaviour on the road *(Section 3 Site Security – Unsecured Locations)’, awareness of suspicious objects attached to vehicles (The 10 point Security Checklist for Drivers (Annex A)) and hijacking threats.

5.10.2 Premises - Awareness of unusual, unattended or suspicious objects found or concealed within the workplace. Relevant training on reporting procedures. *(Section 3 ‘Site Security’) Access to restricted sections of the premises should be controlled and any access codes or keys should be protected.

5.10.3 People - Unusual or suspicious behaviour by either staff or visitors within the workplace. Relevant training on reporting procedures *(Section 2 ‘Security Culture for behaviour’)

5.10.4 Risks - Review of risks and management of incidents this will include evacuation and contingency planning to allow the operation to continue normally even after an incident**

5.10.5 Reporting Procedures - Clearly defined reporting procedures both internally and reporting to relevant authorities. This may include actions to be taken during an incident or hijacking

5.10.6 Journeys - Evidence of a reporting procedure to deal with unexpected delays or diversions during a scheduled journey

5.10.7 ADR - Where high consequence dangerous goods are involved, ensure the operators are complying with ADR chapter 1.10***

Auditor Guidance

- **Check documentation but note there may be highly sensitive information contained that the operator may not wish to share with you. If this is the situation make sure you are satisfied the general details, if so it should be accepted that the requirement is met
- *** The operator should be asked about this requirement, however because of the sensitivity of the information they may not wish to share it with you, as long as the operator is aware of the requirements of ADR chapter 1.10 it should be accepted the assessment requirement is met
- Staff who have specific roles should be clearly identified detailing what their responsibilities are. There should also be a whistleblowing process allowing members of staff to report any suspicious behaviour to the management
Section 6 - Driver Management

6.1 Driver Recruitment

The operator will demonstrate an effective management process for the appropriate recruitment of drivers, which takes into account all aspects required to ensure compliance with regulations, road traffic law and the obligations set out within the operator licence.

Assessment Requirements

6.1.1 Evidence of an established recruitment process within the business
6.1.2 Documented evidence of an interview process
6.1.3 Evidence of driving assessment during the recruitment process
6.1.4 Details of any company rules and notification to new drivers

Auditor Guidance

- Appropriate compliance checks regarding previous employment history and qualifications
- Right to work documents for employees outside the EU
- Tested processes to establish driver knowledge of legal requirements regarding drivers’ hours etc.
- Evidence of practical driving assessment

6.2 Driving Licence & Driver Certificate of Professional Competence (CPC) Monitoring

The operator must demonstrate processes in place to effectively monitor driving licence and driver CPC authorisation, classes, disqualification, penalty points, expiry and licence conditions for all drivers within the business.

Assessment Requirements

6.2.1 Documented procedures regarding the monitoring of all driving licences and CPCs held by employees including expiry dates
6.2.2 Regular checks at least at six monthly intervals (driving licence) with a risk based approach to additional checks
6.2.3 Compliance with licence conditions such as corrective eye wear
6.2.4 Procedures in place to deal with licence infringements
6.2.5 Logging of penalty points where appropriate
6.2.6 Instructions to staff regarding notification to employer of driving offences, points etc.

Auditor Guidance

- Additional monitoring of ‘High Risk’ drivers (with 6 or more points)
- Appropriate contingencies in place to deal with checks outside the stated 6 month frequency will be accepted
6.3 Driver Pay and Incentives

Where an incentive scheme is operated, it promotes best practice and road safety.

Assessment Requirements

6.3.1 Training and notifications to staff that prevent or prohibit the breaking of any rules
6.3.2 Documented process that enhances good driver practices

6.3 Auditor Guidance

- Evidence from tachograph records that determine illegal practices taking place
- Published incentive schemes that appear incompatible with good driver practice
- Telematics data where this is available
Section 7 - Training and Driver Behaviour

7.1 Driver CPC Training

Driver CPC training should be of value to both the operator and the driver. Records must exist to clearly show the level and frequency of training.

Assessment Requirements

7.1.1 Evidence of business procedures and processes in place to effectively promote training
7.1.2 Training records for all drivers that are correct, concise and up to date
7.1.3 Forward planning to ensure continuous training

Auditor Guidance

- Check the training modules are relevant for the operator’s business and includes the role of the Traffic Commissioner
- CPC training provider details captured in the audit

7.2 Other Relevant Driver Training and Engagement

Any other training to drivers must be demonstrated and shown to be relevant to the business.

Assessment Requirements

7.2.1 Additional training documentation

Auditor Guidance

- Documented toolbox talks
- Specialist training requirements within the organisation
- Consistency of training standards across all drivers
- Evidence of driver training records

7.3 Driver Behaviour

Processes must exist to ensure driver behaviour is monitored and where necessary remedial action is taken, documented appraisals, where available, effective investigations procedures and methods for disciplinary action must be shown to exist.

Assessment Requirements

7.3.1 Documented procedures for dealing with disciplinary matters
7.3.2 Documented company policy in respect of road traffic legislation

Auditor Guidance

- Driver assessment records by principal staff
- Action taken where necessary to resolve concerns
- Driver monitoring processes
- Where applicable evidence of incident investigation

© DVSA Crown copyright 2017. All rights reserved. Not to be copied or distributed without permission, for any purposes other than those required to run the DVSA Earned Recognition scheme.
7.4 Other Operational Staff Training

Where applicable evidence of processes and procedures must be shown to deal with any training requirements that are relevant to staff employed in the transport operation, along with well documented actions and monitoring.

Assessment Requirements

7.4.1 Staff training and development process in place
7.4.2 Evidence of relevant training specific to the nature of the operation

Auditor Guidance

- Identify other operational staff training needs
- Evidence of records for operational staff training
Section 8 - Driver Related Policies

8.1 Drink, Drugs and Driver Health Policy

The operator must have in place a clear and published policy for preventing driving whilst under the influence of drink or drugs. There should be processes in place to monitor driver health and wellbeing.

Assessment Requirements

8.1.1 Published policy to all staff
8.1.2 Clear statement of disciplinary procedures to staff
8.1.3 Evidence of a process in place in relation to driver health
8.1.4 Policy in place for night time workers
8.1.5 Evidence of random checks and the use of monitoring devices

Auditor Guidance

- Regular driver health checks
- Alcohol monitoring devices in use

8.2 Mobile Device Policy

Processes and procedures must be in place to manage effectively the use of mobile communications devices etc. where their use is controlled by legislation or might otherwise be required for road safety. There should also be a demonstrated mechanism for dealing with breaches or neglect

Assessment Requirements

8.2.1 A clear and published policy in place
8.2.2 Evidence of staff having been notified and trained on the policy
8.2.3 Instructions and training on the use of devices such as navigation aids, laptops and mobile phones and equipment for monitoring vulnerable road users

Auditor Guidance

- Evidence of action taken in the event of non-compliance
- Checking mechanisms by management to ensure compliance
Section 9 - ADR

9.1 Training Certificate

The operator must have a process to ensure all drivers involved in the carriage of dangerous goods are suitably trained and hold all relevant training certificates

Assessment Requirements

9.1.1 Processes to document staff involved in ADR work
9.1.2 Registers of staff and their qualifications
9.1.3 Copies of any training certificates held on file
9.1.4 Notices to staff regarding training and requirements for qualifications
9.1.5 Training certificate checks for class of goods carried
9.1.6 Forward planning processes in place to ensure training relevancy and currency

9.2 Equipment

Processes must be in place to ensure the required safety equipment is supplied and maintained and the driver is trained to use such equipment

Assessment Requirements

9.2.1 All equipment is logged and records exist for maintenance
9.2.2 Process in place to deal with equipment out of service date requirements
9.2.3 Documented operating instructions for equipment and record of training to use it

Auditor Guidance

- Use of equipment which is not suitable
- Evidence of issues arising from misuse
- Maintenance and repair sheets/invoices for equipment

9.3 Vehicles

Processes must be in place to ensure all vehicles involved in the carriage of dangerous goods meet the required standard and where required forward planning procedures are in place to account for testing and certification

Assessment Requirements

9.3.1 Administrative process in place for testing along with appropriate records/certificates etc.

Auditor Guidance

- Evidence of vehicles used that are not correctly ADR tested
- Vehicles otherwise not suitable for the carriage of dangerous goods

© DVSA Crown copyright 2017. All rights reserved. Not to be copied or distributed without permission, for any purposes other than those required to run the DVSA Earned Recognition scheme.
9.4 Load Security and Integrity

The operator must have a process in place, which enhances that required for load security in general but also deals with ADR specifically; this should include relevant training covering any additional considerations pertinent to the type of goods carried.

Assessment Requirements

9.4.1 Documented evidence that packing rules are being followed
9.4.2 Evidence of any management monitoring process to prevent breaches
9.4.3 Evidence of staff training in vehicle loading, unloading and load security

Auditor Guidance

- Insufficient knowledge or training to drivers/loaders regarding dangerous goods carriage

9.5 Documentation

Documented procedures must be in place to manage the correct production of and retention of all relevant documentation where necessary; this must include records management and processes to identify products and classes of chemicals.

Assessment Requirements

9.5.1 Clear policies in place and lines of communication, including emergency number
9.5.2 Instructions in writing relate to individual drivers native language that they understand
9.5.3 Consignment notes and other required documentation with sufficient detail

9.6 Dangerous Goods Safety Advisor

Where dangerous goods are carried the operator must have appointed a Dangerous Goods Safety Advisor who is suitably qualified and who has sufficient involvement and control over the ADR requirements within the business. The DGSA can be either ‘in house’ or contracted.

Assessment Requirements

9.6.1 Evidence of a DGSA employed where required
9.6.2 Documented evidence of DGSA reports showing level of involvement and management
9.6.3 Details of hours worked by DGSA in relation to size of the business
9.6.4 Evidence of DGSA annual reports

Auditor Guidance

- Arrangements for access where contracted DGSA used
- Action plans from DGSA report where ADR regulations have not been applied