# REMOTE
**DRIVERS HOURS & MAINTENANCE AUDIT**

| Company: | _____________ |
| Address: | _____________
| Operator Licence Number: | _____________ (SI) |
| Number of vehicles and trailers authorised: | 3 vehicles and 3 trailers |
| Number of vehicles and trailers in possession: | 6 vehicles and 0 trailers (3 vehicles have interim authority only) |
| Number of drivers: | 6 drivers |
| Licence Continuation date: | 31/8/23 |
| Contact: | _____________ |
| Tel No: | _____________ |
| Audit carried out by: | _____________  Date: | _____________ |
IMPORTANT: all references to vehicles should be understood to include trailers where relevant. References to operator, company and employer all refer to the legal entity that applied for the operator licence.

Reference to RHA Area Managers and Helpdesk support throughout this audit report is for the benefit of RHA Members only.

**Note:**

This Compliance audit visit was originally arranged with the Road Haulage Association for the 23/3/20, however, due to the ongoing coronavirus (Covid-19) situation and the restrictions imposed by the government on social distancing and travel, the audit visit was postponed. In its place the RHA has arranged a remote audit to be completed with the Operator. In this instance, a list of required documents was sent out to the Operator and a secure ‘Drop-box’ was created for the documents to be uploaded too. These were then reviewed by the auditor prior to a conference call being completed on 15/6/20, where further evidence and explanations of implementation of the policies and procedures were discussed.

The sampling period used by the auditor covers the period between 01/09/19 and the 01/06/20.

3 of 6 vehicles were sampled, along with 6 of the 6 drivers.

Preventative maintenance inspections were seen for the following period 01/09/19 – 01/06/20.

The Operator was able to provide all the information requested by the auditor.
1 Operators Licence

1.1 Operators Licence Validity

Does the company have a copy of their operator’s licence to hand? Is the type of licence applicable? Is the operator name, numbers of vehicles & trailers, named company directors (if applicable), correspondence and operating centre address(es) correct?

Operators licence was provided correctly showing Standard International status and authority to operate 3 vehicles and 3 trailers. Operators name is shown correctly as ______________ Ltd and registered address matches that held by Companies Operating centre is recorded as:

R W Wilcox Ltd
Lincoln Farm Cafe,
Marsh Lane,
Kenilworth Rd,
Hampton In Arden,
Solihull,
B92 0LG.

Auditor was advised that all vehicle operations take place from the Solihull centre.

1.2 Conditions Attached to Operating Centre and/or Licence (if applicable)

Is the operator complying with any specific conditions imposed, or undertakings given, with regards to operator licensing or planning permission and so on?

A specific condition or undertaking has been attached to the operator’s licence by way of an interim direction from the Office of the Traffic Commissioner dated 16/4/20 in connection with an application by Mr _____________ to vary the details of the licence. The specific undertaking is:

“An undertaking by the operator to be audited by the RHA by 30 September 2020.”

This audit has been prepared in order to address the above undertaking.
1.3 Statutory Transport Manager (if applicable)

Is the specified Statutory Transport Manager an employee or an external consultant? Does the Statutory Transport Manager comply with the time commitment guidelines to ensure continuous and effective management and do they undertake the full range of duties as set out in EU regulations? As a best practice measure, is a copy of the Statutory Transport Manager’s CPC certificate stored securely off-site?

The operator’s licence provided to the operator date 26/9/18 clearly states that a transport manager remains “to be nominated”.

The auditor was advised during video call that Mr ____________ took over the business as Managing Director and owner from September 2019. This is verified by information held at Companies House. Mr ____________ runs much of the business from offices at Newnham Way.

Mr ____________ is engaged full-time in running the business as Managing Director and employs Mr ____________ as Transport Manager.

Mr ____________ holds a transport managers certificate of professional competence issued by OCR on 19/4/16. Qualification number ____________. The original certificate is held securely off site by the holder. Copy held at Newnham Way London.

It was noted by the auditor that that Interim Directive issued 20/4/20 was accompanied by an email from the OTC stipulating that Mr. ____________ should employ Mr. ____________ as an external transport manager and this has been done.

Mr ____________ spends approximately 8 hours per week on transport management for ________________ Ltd. Mr ________________ pays Mr ____________ a fixed monthly retainer for his services.

1.4 Transport Management

Does the operator have suitable arrangements in place to ensure transport activities are appropriately managed and controlled?

The auditor was advised that there is a transport office being refurbished at Solihull operating centre equipped with filing and computer equipment. The auditor was assured that in addition Mr ____________ has similar equipment available at premises at Newnham Way London to which Mr ____________ also has access.

In addition, Mr ____________ has access to all the remote digital record systems operated by Mr ____________.

The auditor was advised that Mr ____________ intends to migrate all transport office functions from Newnham Way London to the office at Solihull.
1.5 Drivers, Transport Management & Maintenance Staff Responsibilities
Does the company issue written instructions to drivers, transport management and
vehicle maintenance staff describing their responsibilities in relation to the company
operator’s licence (such as defect reporting procedures etc)?

The auditor has seen written instructions to drivers and staff, but these relate to
general commercial details to be provided for planning and invoicing purposes. The
instructions do not make specific reference to responsibilities in relation to the
company operator’s licence.

Additionally, the RHA Professional Drivers’ Handbook has been issued to all drivers
and this does include instruction on completing walk-round checks and other
responsibilities with regard to the operator’s licence and undertakings.

Recommendation:
Consider adopting the policy set out in RHA guidance. (ATTACHED)

1.6 Vehicle Operator Licensing System (VOLS)
As a best practice measure, is the Operator registered to use the Vehicle Operator
Licensing Service (VOLS)?

Mr _____________ and Mr _____________ have access to the VOLS system.
Mr _____________ and Mr _____________ share responsibility for updating the
listings.

1.7 Specified Vehicles
Does the operator have a current vehicle listing to hand (either as listed on VOLS or a
hard copy on file)?

The auditor observed a list of vehicles produced 11/06/20 showing the following
details and was assured that these are the vehicles currently operated by

________________ (interim)
________________ (interim)
________________ (interim)
________________
________________

All Mercedes Benz Tractor Units.

1.8 Written Confirmation of Current Inspection Intervals
Is the planned maintenance frequency suitable for the operation and type of vehicles?

A printout from VOLS shows a planned maintenance frequency of 12 weeks for
vehicles and trailers.

The auditor was assured that normal practice for the operator is to service all vehicles
every 9 weeks.
1.9 Maintenance Provider(s)
Do the current maintenance arrangements agree with the Central Licensing Office/VOLS records?

The printout from VOLS shows the following maintenance providers listed:

Imperial Commercials, Bannerley Road, Birmingham
Midlands Truck & Van Ltd, Unit 1, Birmingham

The auditor observed completed GV79 maintenance agreement with Midland Truck and Van only dated 9/1/20.

The auditor was advised that there is no current agreement in place with Imperial Commercials as they are not currently used.

Recommendation:
Ensure VOLS is updated without delay to reflect your current maintenance arrangements.

1.10 Other Operating Centres
Are any vehicles specified on the licence ever parked at a different address/location to the listed operating centre(s) when not in use?

Vehicles are not parked at a different address or location when not in use.

1.11 Notification of Convictions
Is the operator aware of which convictions should be notified to the traffic commissioner/traffic regulator?

Mr. ___________ is aware of which convictions must be notified to the OTC.
No recent convictions have been noted or required notification.

1.12 Changes in Circumstances
Is the operator aware of the need to notify the traffic commissioner/traffic regulator of any change to the business/legal entity that might affect the licence?
N.B. includes mergers, takeovers, CVAs, companies entering administration, receivership or liquidation, and changes to director(s).

Mr. ___________ is fully aware of the need to notify the OTC of any changes in circumstances and which changes particularly must be notified.

1.13 Community Authorisations
If applicable, are valid Community Authorisation(s) on file and are certified copies available to issue to a vehicle on an international journey?

No international transport is undertaken so Community Authorisations are not required.
1.14 Operator Compliance Risk Score (OCRS)
Does the operator make arrangements to regularly access their OCRS, MOT pass-rate and prohibition history information?

Mr __________ is able to access the OCRS system and last checked the MOT pass rate on 15/01/20.
The operator has produced a report indicating that only vehicle __________ has failed its MOT in recent reporting/measurement period and this was observed by the auditor.

Current OCRS score is Red – Mr _______________ has attributed this to the MOT failure and a prohibition for a vehicle tyre issued during a DVSA yard check.
2 FLEET POLICIES, PROCEDURES and MANAGEMENT SYSTEMS

2.1 Noise and Visual Intrusion
Does the company take action to reduce the impact of noise and visual intrusion in the vicinity of the operating centre(s)?

The operating centre is located within a truck stop in an agricultural area that is secluded and well screened with trees and fences from adjoining properties.

2.2 Complaints and Representations
Is there a procedure for dealing with complaints or representations concerning the use of the operating centre or vehicles or to address any reported driver behaviour issues?

No formal procedure was observed.

Recommendation:
Adopt the procedure prepared by the RHA for dealing with such issues.
(ATTACHED)

2.3 Vehicle Excise Duty (VED)
Does the operator have an effective system to ensure current and correct VED is paid?

Mr ____________ uses his maintenance planner spreadsheet to monitor VED due dates.
Payment records are held on vehicle files kept at Newnham Way.

2.4 Vehicle Operator Licence Discs
Does the operator have an effective system to ensure that operator’s licence discs are displayed on all vehicles?

Checks of operator’s licence discs are included in the drivers’ daily walk round checks as a mandatory check item.

2.5 Ad-Blue Usage Records
If the operator has any qualifying vehicles, do they have an effective monitoring system to detect any vehicles that are not drawing sufficient amounts of Ad-Blue?

Mr ____________ maintains a spreadsheet system of all vehicle expenditure and this includes a record of any ad-blue purchased by his drivers. Ad-Blue is purchased as required from the fuel suppliers used by ____________.
2.6 Safe loading
Does the operator have effective procedures in place designed to prevent vehicle overloading and safe and secure loading of cargo?

The Dept of Transport guidelines/code of practice “Safety of Loads on Vehicles” has been issued to all drivers. All drivers are instructed to report any circumstance which may give rise to overloading or unsafe loading to Mr __________ or Mr are authorised to decline acceptance of a load if this is the case.

In addition, all drivers have been issued the RHA Professional Drivers’ Handbook which includes guidance on identifying and assessing load security.

2.7 Third-party vehicles and/or trailers
Does the operator have a suitable procedure in place to ensure any third-party vehicles and/or trailers used have been examined and declared roadworthy within the company specified inspection intervals?

The operator uses third party trailers provided by Slam Transport and Amazon. All trailers are checked at every use by the driver using the TruTac daily walkround check application.

Mr ____________ has checked with his providers and is confident that their trailers are maintained more frequently than his current fleet inspection intervals.

2.8 Eyesight Checking
As a best practice measure, does the operator have a procedure to carry out eyesight checks at the start of employment and at least every 6 months thereafter? (i.e. reading a new-style number plate at a distance of 20m)

No eyesight checking of drivers is currently undertaken.

Advise: Conduct eyesight checks at the start of employment and then every 6 months and keep appropriate records. Following a failed company eyesight check, an incident or near-miss the driver should be referred to an optician for an eye test. A dated record should be kept of any action taken.

2.9 Mobile phones and other in-cab devices
Does the company have a policy on the use of mobile phones and other in-cab equipment: i.e. Sat-Navs, smartwatches and personal phones?

The RHA Professional Drivers’ Handbook, which includes a mobile phone device policy, has been issued to all drivers.
2.10 Vulnerable Road Users
Does the company issue a written Vulnerable Road User policy designed to reduce risks to pedestrians, cyclists, motorcyclists, highway workers and horse riders? Are the company vehicles suitably equipped or are appropriate signs displayed?

The operator has not issued a written vulnerable road user policy.

Recommendation:
Consider adopting the policy set out in RHA guidance. *(ATTACHED)*

2.11 Driving Offences and Speeding
Does the operator record and monitor all driving offences and speeding and take action to minimise future occurrences?

All vehicles are equipped with trackers and this provides information on the drivers’ habits.

The system is provided by FleetGo and this generates automated reports whenever speeding or harsh braking/accelerating is detected. Mr ____________ carries out debriefings with his drivers based on these reports.

2.12 Motor Insurance
Can the company produce a valid motor insurance certificate (MIC) that is appropriate to their operation?

N.B. electronically downloaded certificates are acceptable for vehicle licensing purposes.

Valid motor insurance cover provided by Hirett.
Valid certificate is in place - ______________
Valid from 30/07/2019 to 29/07/2020.

2.13 Public Liability Insurance
If the company has public liability insurance, does the policy offer an adequate level of cover?

Valid Public Liability insurance cover provided by Hirett.
Valid certificate is in place - ______________
Valid from 30/07/2019 to 29/07/2020.

Cover £5m.

The certificate is displayed at the Solihull premises.
### 2.14 Employers’ Liability Insurance Certificate
Is a valid employers’ liability insurance certificate on prominent display showing cover of at least the legal minimum level of £5m?

Valid employers’ liability cover provided by Hirett.  
Valid certificate is in place - ________________.  
Valid from 30/07/2019 to 29/07/2020.  

Cover £10m.  

The certificate is displayed at London premises but is being relocated to Solihull as soon as the refurbishment is completed.

### 2.15 Goods in Transit Insurance
If applicable, does the company have valid Goods in Transit Insurance in place?

Valid goods in transit cover provided by Hirett.  
Valid certificate is in place - ________________.  
Valid from 30/07/2019 to 29/07/2020.

### 2.16 RHA Conditions of Carriage
Does the company carry under RHA Conditions of Carriage and is there clear evidence of effective incorporation of the Conditions into all contracts?  
*N.B. RHA Conditions of Carriage are copyright and can only be used by members.*

RHA Conditions of Carriage are not in use due to specific requirements of his main customer.
3 EMPLOYEE INDUCTION QUALIFICATIONS, LICENCES and TRAINING

3.1 Induction of New Employees
Do all new employees undergo a recorded induction procedure?

All drivers and new employees receive an initial assessment of their knowledge of drivers’ hours and requirements.

Drivers are given training on areas where Mr ____________ feels that additional training is required.

Mr ____________ maintains a written record of all training delivered and this is signed for by the drivers and this record is currently stored at the Newnham Way premises.

Recommendation:
Follow the attached guidance on the induction of new employees. *(ATTACHED)*

3.2 Issuing PPE, Uniform and Company Equipment to employees
Is there a procedure for recording what equipment is issued to employees?

Currently drivers are responsible for obtaining their own PPE and equipment.

Recommendation:
You have a legal responsibility to provide the necessary PPE to your employees. Retain a written record of equipment and uniform issued to or held by employees.

3.3 Employees Qualifications, Licences and Driver CPC Training
Is there a procedure for recording the qualifications and licences of all employees (including, when applicable, Drivers CPC training)? Are copy licences and certificates stored on file?

Mr ____________ checks all drivers’ licences and qualifications on commencement of employment.

Copy licences and qualifications and renewal dates are held on drivers’ files.

3.4 Checking Driving Licence validity
Does the company have a procedure to check the ongoing validity of drivers’ vocational licences?

All licences are checked monthly with reference to DVLA website which also includes a check of Drivers CPC card entitlement.

Records of these checks are held on digital drivers’ files held at Newnham Way.
3.5 Driver Licence Renewal, other vocational qualification retention and refresher or Driver CPC Training
Licences acquired from January 2013 are renewed every 5 years, by the driver, on submission of a signed medical declaration.
With regards to drivers, does the operator have an effective system to monitor licence and training expiry dates? Are drivers issued timely reminders concerning licence and DCPC renewals? Is there a program of refresher training in place to ensure all drivers retain relevant qualifications and licences? Does the company organise or pay for Drivers CPC training?

DCPC is checked against DVLA records with drivers mandated authority. Mr _______________ maintains a spreadsheet of due dates and monitors this closely. Drivers are reminded to renew their qualifications as required but no training arrangements or record of training completed is currently held.

Recommendation:
Arrange any training required to ensure continued validity and consider developing a refresher training program for all staff.

While the legal responsibility for Drivers CPC training sits with the individual driver, if the company organises training you can be assured the driver is undertaking the training in a timely manner and is attending courses suitable to your requirements.

RHA courses that are suitable for your Drivers can be accessed at www.rhaonline.co.uk

3.6 Daily Walk-round Check Training
Are drivers given training on how to carry out a daily walk-round check, and complete a daily defect report, before they first drive a vehicle or when new vehicles are added to the fleet?

Drivers are given training at the commencement of employment on how to use the TruTac remote drivers walk-round check and defect reporting system. This training is conducted by Mr _______________.

All drivers have been issued with RHA Professional Drivers Handbook which includes detailed guidance on WTD/RTR legislation and requirements EU Drivers and GB Domestic hours. In addition, all drivers have completed DCPC qualification which includes training on drivers’ hours and working time.

Records of training is retained on drivers’ files.
3.8 Statutory Transport Manager/Responsible Person Continuous Professional Development Training
With regards to the Statutory Transport Manager/Responsible Person, does the operator have an effective refresher training program in place to ensure their knowledge & skills remain current and relevant?

Mr ______________ has carried out recent Operator Licence Awareness Training.

Mr ______________ completed CPC training in 2016 and is preparing to refresh this in 2021.

There is no current structured plan for further training or development.

Recommendation:
Consider continuous professional development for your Statutory Transport Manager. Suitable RHA courses for your Transport Management staff and Drivers, can be accessed at: www.rhaonline.co.uk

3.9 Traffic Office staff training?
With regards to the Traffic Office Staff and anyone managing drivers or vehicles, does the operator have an effective refresher training program in place to ensure their knowledge & skills remain current and relevant?

No further traffic office staff are employed.

3.10 Other employees training?
With regards to other employees, such as forklift truck drivers or administrative staff, does the operator have an effective refresher training program in place to ensure their knowledge & skills remain current and relevant?

No additional staff employed currently.

3.11 Safety Inspection Training
If applicable, have maintenance staff received safety inspection training or do they have suitable time served experience?

Not applicable as the company use an external commercial provider.

3.12 Company Instructions to Driver Agencies
Has the company submitted clear written instructions to any driver agency they use, giving full details of its requirements in respect of the agency services?

Not applicable as agency drivers are no longer used.
<table>
<thead>
<tr>
<th>3.13 Agency Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is there a procedure for the induction and supervision of agency staff and are suitable records kept on file?</td>
</tr>
</tbody>
</table>

Not applicable as agency drivers are no longer used.
4  MAINTENANCE DOCUMENTATION and PROCEDURES

4.1  Drivers Daily Walk-round Check Procedure
Is there a procedure to ensure drivers can demonstrate they conducted a daily walk-round check as a first use inspection and recorded “nil” or details of any defect found?

All drivers are instructed to complete a daily walk-round check at the start of duty using the TruTac remote walk-round check application on their mobile devices.

These are relayed automatically to Mr ______________ on completion. This creates a record of all checks and alerts any outstanding checks.

The system records nil defects if a full check is completed successfully. The application also permits the driver to advise Mr ______________ directly of any defects found by way of a defect report.

4.2  On-road Defect Reporting Procedure
Is there a procedure for drivers to report on-road defects?

The TruTac application can be used to generate a report of on-road defects to Mr ______________. On receipt of such, Mr ______________ will advise the drivers to take appropriate action, for example parking immobilising the vehicle or directing the vehicle to a place of repair based on Mr ______________’s understanding of the nature of the defect.

4.3  Defect Reporting
Are any defects, found during a daily walk-round check or on-road, reported to a responsible person with sufficient authority to ensure appropriate timely action is taken, which may include taking the vehicle out of operation?

Defect reports are sent by the TruTac system to Mr ______________ who has full authority to arrange repairs.
4.4 Defect Rectification
Is there a procedure to record defect rectifications? Are rectification records cross referenced with the related defect report? Are rectifications monitored for underlying undetected issues? How are rectification records stored?

The auditor observed defect rectification reports for a number of recent defect incidents. However, these appear to be from a maintenance provider (SBS Customs) that is not currently on the list advised to OTC and with a maintenance agreement in place.

The auditor was advised that these relate to the rectification of non-safety critical issues detected by the drivers outside of the normal operating hours of the maintenance provider Midland Truck and Van.

The defect rectifications produced do relate/cross-reference to defect reports generated by Mr _____________. Records are stored on file at the Newnham way location.
Mr ____________ can use the TruTac system to send defect reports through to the third party trailer providers if they are required to rectify defects on their equipment.
Recommendation:
Ensure all rectification work is recorded, detailing work done/parts used, with a dated signature showing the defect has been rectified and that the vehicle is in a roadworthy condition.

Ensure any additional maintenance providers are added to the list held on the VOLS system and that a suitable maintenance agreement has been completed.

4.5 Driver Defect Inspection Auditing
Does the operator have a suitable auditing procedure in place to ensure drivers are performing their vehicle maintenance duties?

Mr ____________ carries out random spot checks of his vehicles. The TruTac system allows the operator to store a random spot check of vehicles and compare his results against the drivers’ daily check and forms a thorough audit of the checking process.

4.6 Outstanding Vehicle Safety Recalls
As a best practice measure, do you have a procedure to ensure you’re aware of any outstanding safety recalls against the vehicles on your fleet?

This is currently undertaken by Mr ____________ with the manufacturers and by reference to the DVLA www.gov.uk/check-vehicle-recall
4.7 Maintenance Planner
Does the planner clearly detail safety inspections, major services, MOT, VED, VOR, tachograph (analogue bi-annual checks and 6 yearly calibrations), digital tachograph 2-yearly calibrations and work completed? If manual, is maintenance scheduled at least six months in advance?

N.B. Digital planning systems are acceptable but best practice is to also have an up to date hard copy wallchart in place for reference purposes.

N.B. It is permitted for digital systems to dynamically plan inspections.

A maintenance planner is in use - this is in the form of a colour coded spreadsheet held by Mr ____________. It accurately records planned maintenance inspections and MOT/Tax/Tacho calibration dates.

The auditor was assured that a hard copy print out of the spread sheet is also available at the Solihull location.

4.8 Vehicle Off-road
Is there a system in place to take vehicles out of service when they are awaiting parts, repairs, are not in use or subject to a SORN declaration? Does the process ensure suitable records are generated and stored if the off-road period includes any planned maintenance inspection date(s) and that an appropriate inspection is carried out before the equipment is returned to service?

Vehicles off the road are parked securely at the operating centre, with the keys held in a secure storage locked box. Mr ____________ will establish an automatic report from his tracking system which will alert him to any unauthorised movement of the vehicle until the necessary repairs have been carried out.

No recent example on file of vehicles VOR for an extended period.

4.9 First Use Inspection
Before any vehicle or trailer is introduced onto the fleet or else brought back into use following an extended VOR period, is an appropriate inspection carried out?

This has not occurred under Mr ____________ ’s ownership, but the auditor was assured that in the event of an extended period of VOR a full inspection is required before return to use.

4.10 Maintenance Record Retention
Are vehicle maintenance records retained for a minimum of 15 months?

All records are kept for a minimum of 15 months. Company policy is 24 months and records are kept digitally.
4.11 Inspection Forms Used
Do the safety inspection forms imply the current edition of the HGV Inspection Manual is in use? The forms must include the following -
Name of owner/operator
Date of inspection
Vehicle identity, make & model
ISO week number
Odometer reading (if appropriate)
A list of inspected items, including -
  Exhaust emission testing (a smoke meter should be used if exhaust smoke is visible)
  Brake performance checks
  Tyre checks (tread depth and damage)
  Headlamp (aim)
An indication of the condition of each item inspected
Details of any defect found
Name of inspector
Inclusion of codes: IM01 (registration plates) and IM58 (additional braking systems)
Details of any remedial/rectification or repair work done and who did it
A signed declaration that any defects have been repaired satisfactorily
A signed declaration confirming the vehicle is roadworthy

All vehicles are serviced by main dealers with manufacturers PMI systems being used (i.e. Mercedes Benz “Xentry”). These systems produce up to date and thorough check sheets for vehicles examined and include all the necessary IM Codes.

In addition, these systems generate inspection records which can be stored digitally, and these digital records were shared with the auditor.

Paper copies are held on vehicle files at Newnham Way.

4.12 Inspection Intervals
Are maintenance inspections carried out at the specified intervals? (see 1.8)

The following dated inspection sheets were examined:

<table>
<thead>
<tr>
<th>Date</th>
<th>Interval</th>
<th>Date</th>
<th>Interval</th>
<th>Date</th>
<th>Interval</th>
<th>Date</th>
<th>Interval</th>
<th>Date</th>
<th>Interval</th>
</tr>
</thead>
<tbody>
<tr>
<td>09/09/19</td>
<td>6</td>
<td>23/10/19</td>
<td>8</td>
<td>18/12/19</td>
<td>9</td>
<td>19/02/20</td>
<td>11</td>
<td>04/05/20</td>
<td></td>
</tr>
<tr>
<td>05/09/19</td>
<td>6</td>
<td>14/10/19</td>
<td>20°</td>
<td>29/02/20</td>
<td>8</td>
<td>22/04/20</td>
<td>8</td>
<td>17/06/20</td>
<td></td>
</tr>
<tr>
<td>04/09/19</td>
<td>6</td>
<td>15/10/19</td>
<td>9</td>
<td>16/12/19</td>
<td>11</td>
<td>02/03/20</td>
<td>8</td>
<td>30/04/20</td>
<td></td>
</tr>
</tbody>
</table>
The auditor was assured by Mr ____________ that ______________ was inspected by Midland Truck and Van 17/12/19, but the PMI sheet was not issued by the provider due to a computer fault. The provider has written to Mr ______________ giving assurances that the vehicle was fully inspected and that their job paper records are available for inspection if required.

Remaining vehicles (______________, ___________ & ____________) are recent new purchases and have received full initial inspection 29/4/20 by the supplying dealer - Midland Truck and Van.

Recommendation:
Any preventative maintenance inspection must be evidenced by a fully completed inspection sheet. In future, any faulty digital report should trigger an immediate reinspection to ensure the continuity of your maintenance records.

4.13 Brake Performance Assessment
Does every safety inspection include a record of the braking performance of the vehicle and/or trailer?

N.B. It is best practice to obtain a print-out of the brake efficiency test and attach it to the safety inspection form. While it is strongly advised that a calibrated roller brake tester is used at each safety inspection it is acceptable to use an approved and calibrated decelerometer to test vehicles without trailers. Where it is impractical to obtain a brake efficiency result, the brake performance must still be assessed by means of a road test carried out under controlled and safe conditions.

Every safety inspection carried out includes a test of laden brake performance either by road test or roller test.

4.14 Roller Brake Testing
As per the Guide to Maintaining Roadworthiness, does the fleet undergo laden roller brake testing at least four times per year, including annual test?

Some, but not all, safety inspections observed by the auditor include a roller test of laden brake performance.

Recommendation:
Ensure successful ‘laden’ roller brake efficiency tests are carried out at least four times per year (including the annual test), and dated records are kept.

Advise:
Because the operator’s inspection intervals are 12-weekly the minimum requirement is likely to be met if every future maintenance inspection includes roller brake testing.

4.15 Tyre Checks
Are tyre checks recorded and stored in each vehicle’s maintenance file?

A record of tyre checks is kept on the vehicle file and the auditor verified this.
4.16 Tyre Management Procedure
Does the company have a robust monitoring procedure in place to ensure no tyres are more than 10 years old? And are any tyres kept on site properly stored in a cool, dry and moderately ventilated environment away from possible contact with oil or hydrocarbon solvents or lubricants?

No tyres are kept on premises – all tyres provided by 3rd parties.

4.17 Wheel Security Following Removal/Replacement
Following wheel removal, is there a procedure to ensure wheel nuts are retorqued as per the stated industry guidance, and that records are produced and kept for 15 months?

All tyre repairs requiring wheels replaced are retorqued in line with DVSA guidance allowing a sufficient time lapse between removal and retorquing.

Advice: Issue all drivers the RHA Driver Procedure for Torquing & Retorquing of Wheels. (ATTACHED)

4.18 Inspection Reports Viewed
Is it clear that inspection reports are viewed by the transport manager/competent person to check that the vehicle is fit for service and that any advisory items are noted and/or rectified and are the PMI sheets free of any driver related defects?

Mr ________________ views all PMI sheets on return from maintenance. In addition, Mr ________________ has requested that all future PMI sheets are accompanied by a written summary of his discussions with the maintenance provider to detail the works carried out and to identify driver related defects.

4.19 Vehicle Registration Document
Can the operator produce a V5C (or copy) showing the correct details for each vehicle in their possession?

V5C for the following vehicles were checked:

_____________ (interim)
_____________ (interim)
_____________ (interim)
_____________ – no V5C present
_____________ – no V5C present.

Recommendation:
Ensure that valid V5C documents are available for all fleet vehicles.
4.20 Vehicle Plating Certificates
Can the operator produce VPCs for each vehicle in possession?

VPC for all vehicles are correct on file.

________________________ (interim)
________________________ (interim)
________________________ (interim)
________________

4.21 MOT Annual Test Certificates
Can the operator produce VTCs for each vehicle in their possession?

MOT for all vehicles are valid and in date and filed on vehicle files.

________________________ (interim) 31/10/20
________________________ (interim) 31/7/20
________________________ (interim) 31/8/20
________________________ 30/9/20
________________________ 30/6/20 (extended until 30/9/20 under 2020 coronavirus provisions)
________________________ 31/07/20

4.22 MOT Test Documents
Are all documents relating to the annual test, including appointment cards and brake test printouts, returned by the maintenance staff or contractor?

All MOT documents and certificates are stored on vehicle files.

4.23 Prohibition Notices
Is there a suitable procedure for dealing with prohibition notices (PG9s), with all rectifications recorded and stored?

Mr ________________ investigates all PG9s received (for example, PG9 was issued to ________________ for a defective tyre found in a yard inspection was replaced and prohibition lifted 5 hrs later).

Records of prohibition and rectification held on vehicles file.

Advise:
Communicate to DVSA and Office of Traffic Commissioner written statement of all preventative measures adopted to prevent re-occurrence of prohibitions.
4.24 Workshop Inspection Facilities
Are there adequate facilities to carry out inspections as recommended in the Guide to Maintaining Roadworthiness? These include:

- Under-cover accommodation for the largest vehicle
- Tools and equipment appropriate to the size and nature of the fleet
- Adequate under-vehicle inspection facility
- Adequate lighting
- Access to brake test equipment
- Access to headlamp aim test equipment
- Access to emissions testing equipment
- Access to steam/pressure wash facility
- A safe working environment
- Appropriate staffing levels

Not applicable as the company use an external commercials provider.

4.25 Maintenance Monitoring – vehicle workshop
Are regular assessments carried out by a suitably qualified/competent person to ensure in-house maintenance staff and/or external contractors are following the correct procedures in relation to vehicle maintenance?

Mr _____________ checks all PMIs against his agreement with maintenance provider and any schedule of works agreed in advance. Mr _____________ checks all PMIs comply with the requirements of the Guide to Maintaining Roadworthiness.

No record of meetings with maintenance providers kept at present but all email correspondence is retained to verify works/ checks carried out.

Recommendation:
The transport manager or other competent person should carry out regular recorded assessments to ensure that the correct procedures in relation to vehicle inspections are being followed and that the necessary evidence is being properly completed and returned.

If you want to consider conducting your own assessments, the Institute of Road Transport Engineers have published a free maintenance supplier assessment tool. (ATTACHED)

Maintenance facilities can demonstrate their competence by achieving a recognised accreditation. Vehicle manufacturers have workshop quality standards available or the IRTE Workshop Accreditation Scheme offers an independent verification of the health and safety, quality and expertise of a maintenance workshop. Further information on the benefits of the IRTE scheme and how to become accredited are available here https://www.irteworkshop.org.uk/

The RHA Vehicle Inspection Service can independently audit your maintenance provider or can prepare reports on the condition of your vehicles. For further information contact 01274 863100 or email helpdesk@rha.uk.net
4.26 Reference Material
As a best practice measure, does the operator have access to suitable maintenance
related reference material such as the Categorisation of Defects, The HGV Tester’s
Industry updates (e.g. publications and email newsletters)?

All the above are available in digital or hard copy format at the Newnham Way office.
5. **DRIVERS’ HOURS, TACHOGRAPHS, SPEEDING and WORKING TIME**

5.1 **Domestic Drivers’ Hours**
Does the company have an appropriate procedure for ensuring compliance with domestic Drivers’ Hours and record-keeping legislation?

Not applicable as no domestic hour’s work carried out.

5.2 **EU & AETR Drivers’ Hours and records**
Analogue tachographs issuing charts - responsibility
Is there a designated person with responsibility for ordering and issuing analogue charts?

Not applicable as no analogue equipped vehicles operated.

5.3 **Return of Analogue Charts**
Is there a chart return procedure in place, taking into consideration the requirement to produce at the roadside charts and legally required manual records for the current day and the previous 28 calendar days?

Not applicable as no analogue equipped vehicles operated.

5.4 **Visual Check on Completed Analogue Charts**
Does a competent person carry out a visual check of all collected charts?

Not applicable as no analogue equipped vehicles operated.

5.5 **Analogue Chart Storage**
Are charts stored in date order under vehicle registration or driver name for the required period? 
*N.B. charts used for calculating Drivers’ Hours and/or Working Time and/or wages may be stored in different locations.*

Not applicable as no analogue equipped vehicles operated.

5.6 **Digital Tachographs**
Does the company have a policy concerning how Drivers’ Cards are purchased or replaced?

Drivers pay for their own cards.

5.7 **Company Card/s**
Is there a specified person responsible for the company card(s)?

Mr _____________ holds a company card.
Additionally, Mr _____________'s tachograph analysis and tracking providers Fleetgo hold a company card to enable them to perform remote tachograph downloads.
5.8 Ordering Printer Rolls
Is there a procedure/system to ensure drivers always have two printer rolls in the cab?

Printer rolls are ordered by Mr ___________ and all drivers are under instruction to hold three in the cab. Further rolls are issued as required.

5.9 Download and Storage
Is there a system in place for the downloading and storage of the data from the Driver’s Card at least every 28 days, and from the Vehicle Units at least every 90 days?
N.B. It is considered good practice to download the Vehicle Units frequently to enable you to address any identified missing mileage without undue delay. The frequency of checks will be determined by the company’s need for information and the level of infringements found.

Driver cards are downloaded remotely direct into the FleetGo system daily.

Vehicle Unit tachograph information is downloaded weekly into the FleetGo system.

The downloading is done automatically by FleetGo with no driver involvement.

5.10 Drivers’ Records Verification
Does the operator have an effective system in place to ensure all required Drivers’ Hours records are collected and that any absences are accounted for during analysis?

The FleetGo system automatically alerts Mr ___________ to any missing records. Mr ___________ uploads the system with any periods of absence and could cross check the defect notices to identify any missing records.

5.11 Tachograph Analysis
How does the operator analyse the tachograph information to ensure compliance with the driver’s hours regulations? How often are any reports processed and is a missing mileage/unassigned driving comparison made between the Vehicle Unit and the Driver Card downloads? Where infringements are identified, are drivers interviewed, informed, trained or disciplined as appropriate?

FleetGo System automatically generates infringement analysis reports weekly which Mr ___________ receives and produces a report to Mr ___________ for his information.
Mr ___________ will debrief his drivers on any infringements found and if necessary disciplinary action or retraining will be applied as appropriate.

Records of the infringement report and subsequent debrief are kept on a driver’s infringement file held at Newnham Way.

5.12 Road Transport Directive Information and Agreements
Are all mobile workers issued with information concerning the Road Transport Regulations and given copies of any relevant agreements?

A 17-week reference period is in use and all drivers have been advised of RTR.
5.13 Opt-out
Have opt-outs been signed by all non-mobile workers who may exceed the average 48 hour Working Time limit?

Not applicable as no non mobile workers employed.

5.14 Other Employers
Are drivers required to provide written details of any work carried out for other employers or to periodically confirm in writing that they are not working elsewhere?

Not requested currently.

Recommendation:
Request the relevant information immediately using the Driver Declaration Form.
(ATTACHED)

5.15 Night Workers
Is there a record on file of offering health assessments for night workers?

Not appliable as no exclusive night workers are employed.

5.16 Records
Does the company have records to hand demonstrating employee compliance with the WTR and/or RTR? Are the records held for two years from the end of any reference period? If requested, could the operator provide copies of the relevant records to employees or enforcement officers?

FleetGo system produces WTD and RTR records and these are available to employees and enforcement officers.

Help, advice and support with the contents of this audit are available from the area manager or the RHA Helpdesk: 01274 863100.

END OF AUDIT REPORT