



EARNED RECOGNITION IT SYSTEM REQUIREMENTS

Date	Author	Reference
16-11-16	Andy Ford	Draft1.af.V1_0
23-11-16	Andy Ford	Draft1.af.V2_0
28-11-16	Andy Ford / Dave Wood	Draft1.af.V3_0
30-11-16	Andy Ford	Draft1.af.V4_0
02-12-16	Andy Ford	Draft1.af.V5_0
05-12-16	Andy Ford / Dave Wood / Howard Forrester	Draft1.af.V6_0
06-12-16	Andy Ford	Draft1.af.V7_0
07-12-16	Dave Wood	Draft1.af.V7_0DW
07-12-16	Andy Ford	Draft1.af.V8_0
12-12-16	AF, DW, Phil L, Howard F	Draft1.af.V9_0Wolves12.12.16
13-12-16	Andy Ford	Draft1.af.V10_0
14-12-16	Andy Ford	Draft1.af.V11_0
15-12-16	Andy Ford / Dave Wood	Draft1.af.V12_0
15-12-16	Andy Ford / Dave Wood	Final.V1_0
18/01/17	SJ. DW PL HF	Final.V1-1
20-01-17	Steve Joyce	
24-01-17	Steve Joyce	External Providers Requirements
08-03-17	Steve Joyce	Drivers Hours dashboard updated
04-05-17	Steve Joyce/Howard Forrester/Phil Lapczuk	Update from System Providers
11-05-17	Steve Joyce	KPIs updated
02-08-17	Philip Lapczuk / Howard Forrester	Version 1-5 Clarification & error rectification as detailed below
15-12-17	Philip Lapczuk	KPI updates, text updates detailed below

Updates in this release

Page 3	Explanation for appendix 6 & 7
Page 9	Amendment to 'wipe the slate clean' for M5
Page 9	Additional requirements for D7, D8 & D9
Page 9	Added text in paragraph 12 for amended drivers hours data
Page 9	Additional requirements for M5
Page 13	Updated chart reflecting changes for D7, D8 & D9
Page 13	Updated chart reflecting changes for M5
Page 15	Updated text reflecting changes for 'repeat offenders', 'unaccounted mileage' & 'MSI'
Page 16	Updated text for 'Safety Inspections are within the stated frequency'
Page 25	Updated dashboard template for reporting drivers hours triggers
Page 26	Updated dashboard template for reporting maintenance triggers

Terms of Reference (ToR) / Background information

DVSA Business Plan deliverable

- *We'll make sure that vehicles on our roads are safe, and drivers and Operators are doing what they should by moving to more targeted enforcement checks on the seriously and serially non-compliant. We'll minimise disruption to the most compliant, offering operators the opportunity to demonstrate their level of compliance through an earned recognition scheme.*
- *Therefore, we shall develop the operator earned recognition scheme further to enable implementation following the pilot.*

DVSA Earned Recognition is a scheme which aims to reduce the burden of enforcement on Operators with a strong track record of compliance and adherence to standards.

Operators will 'earn recognition' by maintaining audited compliance systems, and meet high levels of compliance standards.

This may prevent the need to pull them in at the roadside or carry out other means of frontline interventions and frees up DVSA resource to concentrate on targeting the seriously and serially non-compliant operators. This will be achieved by introducing KPIs, monitoring performance and periodic systems audits

DVSA will validate an operator's electronic systems to ensure the data is recording correctly and provided to DVSA in the correct format.

An operator could attempt to manipulate their data but this would risk fraud prosecutions and potential loss of operator licence. The DVSA will make random spot checks of data and the systems audit will also check that the operator's systems are correctly capturing all the required driver and vehicle data.

High Level Requirements – for the Scheme

Please note these requirements relate to the scheme.

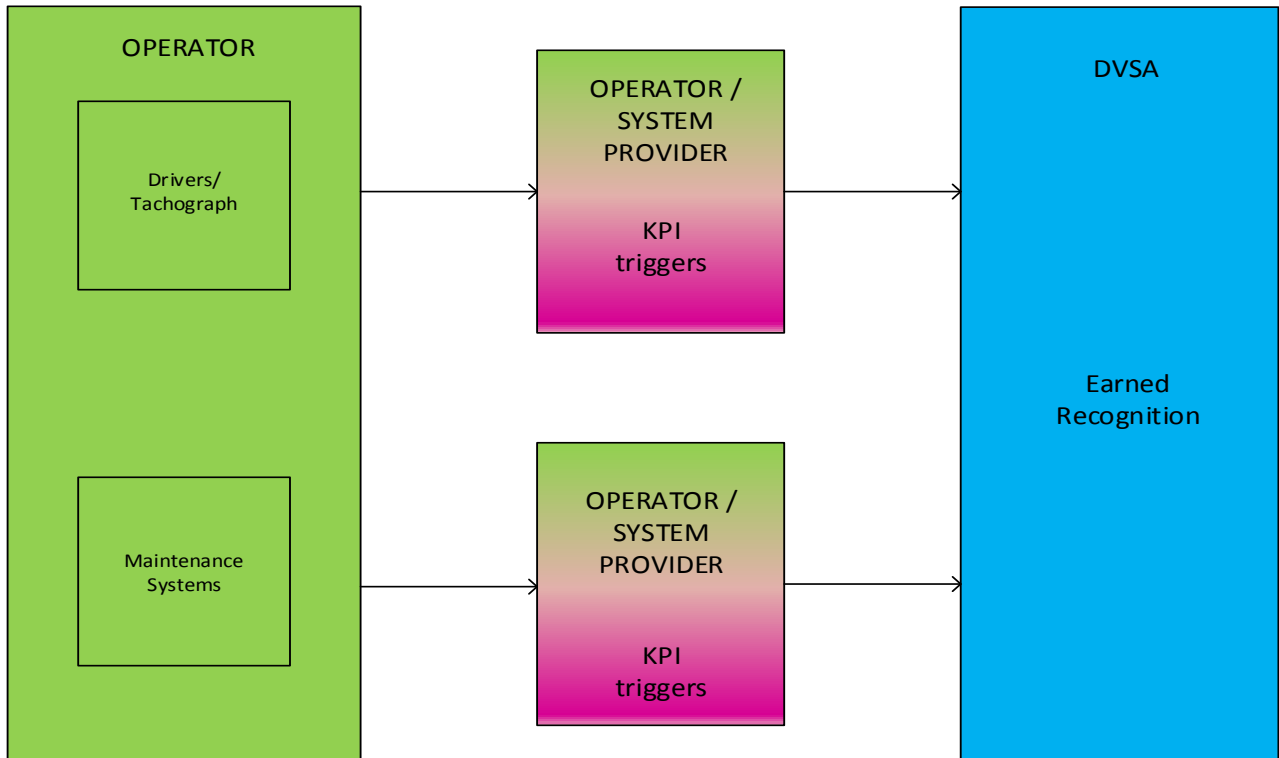
1. Ability to monitor via electronic triggers from Operators systems (see High Level System Design, pg5)
2. Ability to send an e-mail, with no attachment, on the required day of each reporting period if no KPIs have been triggered
3. Ability to supply agreed KPI data, should any triggers occur, via a reporting dashboard (See Appendix 6 & 7)* as a pdf attachment to an e-mail on the required day of the relevant reporting period.

***Appendix 6 & 7 has been updated. Where systems have been 'accepted in principle' you may continue to use your existing reporting dashboard until 'system validation' providing it follows the format detailed in previous versions of this document.**

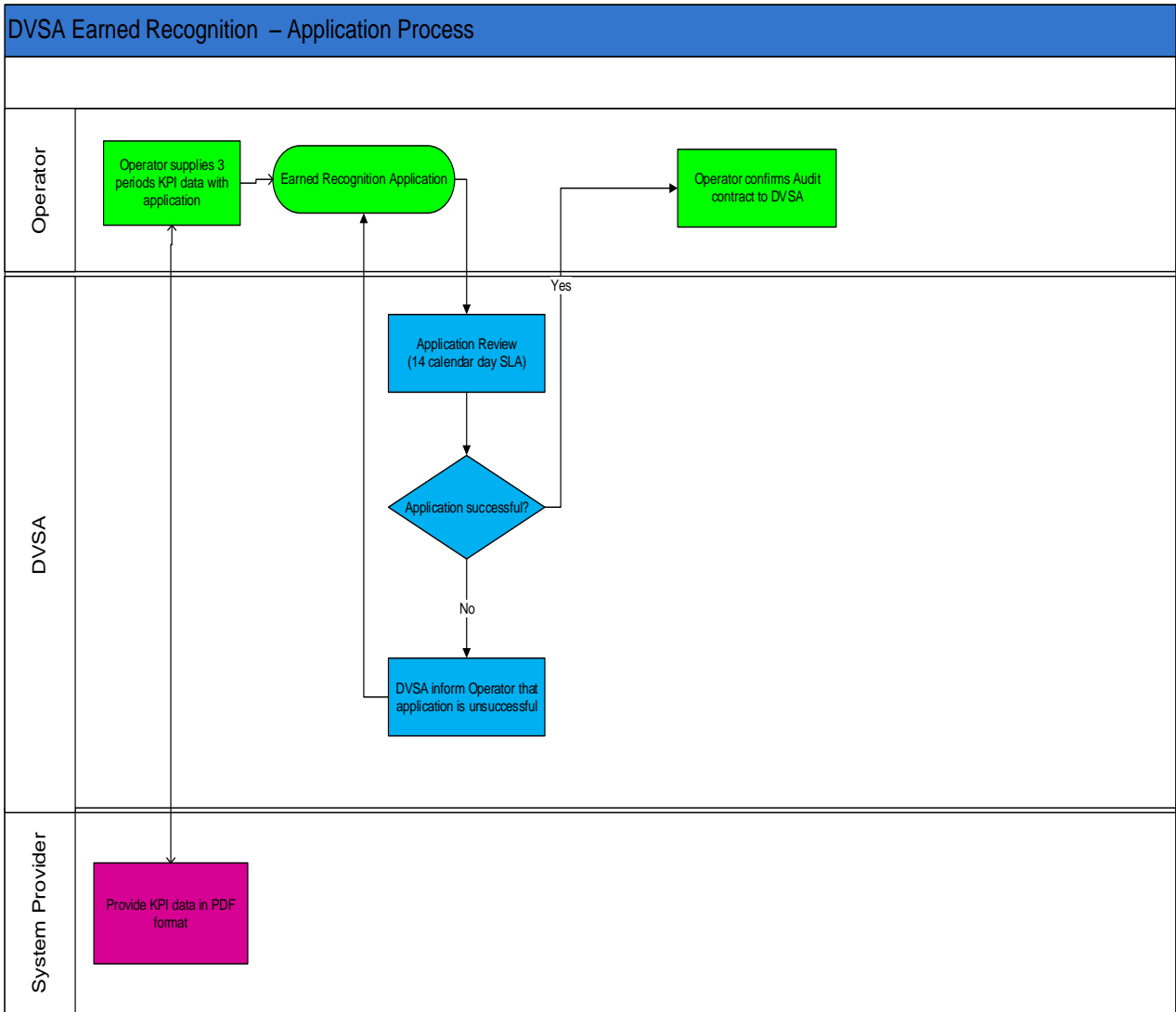
Glossary of terms

Term	Definition
A N P R	Automatic Number Plate Recognition
BAU	Business As Usual
BF (date)	Brought Forward
CLO	Central Licensing Office
DDR	Driver Defect Report
DVSA	Driver and Vehicles Standards Agency
E.R.	Earned Recognition
ECMS	Electronic Case Management System
EU	European Union
Ex.R	Exception Report
Ex.R PDF	Exception Report PDF
FBC	Full Business Case
FCC	Fleet Compliance Check
In Scope Vehicles	In scope for operator licensing requirements
ISO week	The ISO week date system is effectively a leap week calendar system that is part of the ISO 8601 date and time standard issued by the International Organization for Standardization. It has 52 or 53 full weeks. That is 364 or 371 days instead of the usual 365 or 366 days.
KPI	Key Performance Indicator
KPI period	A period of 4 weeks used to measure the data for the key performance indicators
MC	Mobile Compliance
MSI	Most Serious Infringement
OCSR	Operator Compliance Risk Score
OIPR	Operator Information & Performance Report
OTC	Office of the Traffic Commissioner
RAG	Red, Amber, Green
REO	Remote Enforcement Office
S.Ps	System Providers (providing the KPI monitoring information into the DVSA)
Safety Rep	Safety Inspection Report
Tachograph VU / Tacho	Vehicle Unit
Vehicle Assets	Up to date fleet list of 'in scope' vehicles and trailers (incl' hired) the operator (legal entity) is responsible for
VOL	Vehicle Operator Licensing
VOR	Vehicle off the road
W I M S	Weigh in Motion Sensor

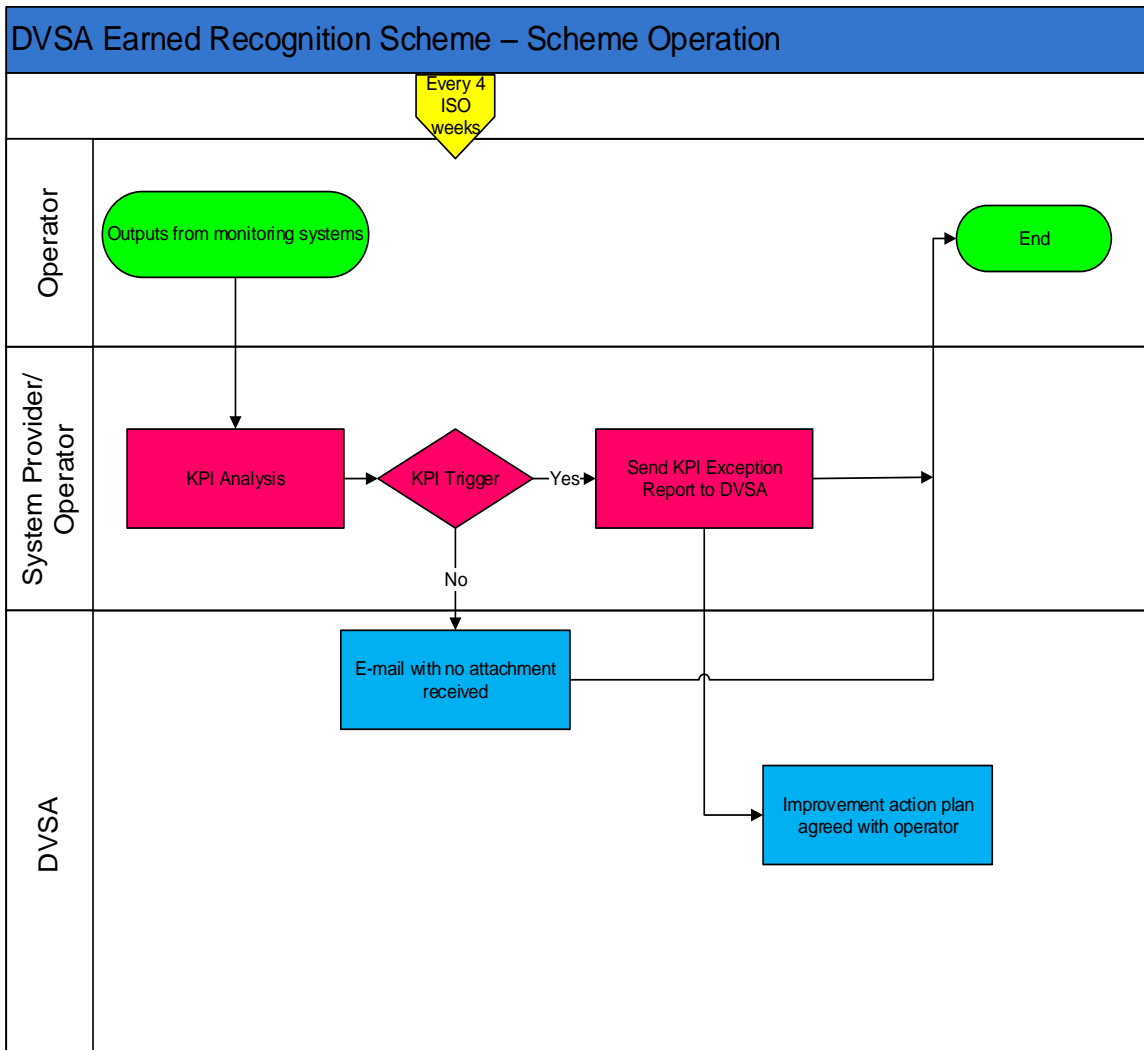
High level system design



Earned Recognition – Application Process



Earned Recognition Scheme – Scheme Operation



Scheme Rules

1. Each operator will have a specific individual ID number in the following format 0000-0000. There will be further identifiers used on all returns; these will identify the operator, the period being reported and will be applicable to both maintenance and drivers hours. Examples of the required format are shown below and must form the subject line of the e mail returns.
[maintenance or driver hours identifier nil or kpi trigger] unique operator id, reporting period and year:
 - a. [MTnil]0000-0000~p01y2017 *i.e. no maintenance KPI trigger, no attachment*
 - b. [MTkpi]0000-0000~p01y2017 *i.e. maintenance KPI trigger, attachment expected*
 - c. [DHnil]0000-0000~p01y2017 *i.e. no drivers hours KPI trigger, no attachment*
 - d. [DHkpi]0000-0000~p01y2017 *i.e. drivers hours KPI trigger, attachment expected*

2. Systems need to be validated by DVSA, and system providers will be issued a unique id number for their validated system.
3. For each KPI reporting period DVSA must be sent two e-mails (to: er@dvsa.gsi.gov.uk): one relating to Drivers Hours, the other to Safety Inspections/Maintenance Activities. If no KPIs have been triggered no attachment should be included with the e-mail, if there are any KPI triggers a pdf of the DVSA Dashboard should be attached to the e-mail. There must be no other attachments included on the email.
4. Reporting period(s)
 - i. 4 ISO weekly reporting period
 - ii. The operator's chosen system (which must be validated by DVSA) will report on the last complete 4 week KPI period
 - iii. KPI reporting emails must be sent to DVSA on the first Monday of each reporting period.
 - iv. 13 rolling KPI periods for monitoring the KPIs i.e. Jan to Jan (N.B: on joining the E.R scheme the previous 12-week period will be provided prior to being accepted onto the scheme)
 - v. Reported data will be four weeks in arrears e.g. data for period 1 will be reported in period 3. Refer to KPI ISO Weeks Reporting Schedule 2017-2018 document for the reporting dates.
 - vi. Operators will join the scheme at the beginning of the next reporting period.

There will be a DVSA administrative process to allow the KPI thresholds, or reporting periods, to be reviewed/amended, if required
5. Safety inspections must be carried out, as a minimum, according to the latest version of Guide to Maintaining Roadworthiness
6. Any vehicle declared "Vehicle off road" (VOR) must be suppressed from the reporting period.
7. Drivers Hours and Vehicle Maintenance/Safety Inspections will be reported every 4 week period, on a 13 period basis. KPIs and triggers for Driver Activities are measured independently from those for Vehicle Maintenance/Safety Inspections

8. Following a KPI trigger the system should “wipe the slate clean” for all previous reporting periods for M1, M2, M3 and M4 maintenance requirements , and for D1 to D6 for drivers hours.
9. D7, D8 and D9 will not independently trigger, however following any triggers for D1 to D6 the details of D7 and D9 will be included in the KPI email attachment
10. The requirements for D7, D8 and D9 will be included in an ‘Operator Performance’ report which will be available from the operator for audit purposes.
11. All records relating to Drivers Hours and Vehicle Maintenance must be included in the report. There must be no records removed by the system provider
12. An operator may be given the opportunity to amend tachograph data following analysis only when this relates to genuine errors recorded by the driver and only in the following circumstances: -
 - a. If a driver card is left in a tachograph instrument and records ‘other work’ if the driver is taking their daily or weekly rest
 - b. If an error is made when a driver completes a manual entryAmendments must be recorded including the date, who made the changes and the reasons why. Amendments made under the above mentioned circumstances will be removed from the incorrect fixed penalty band and recorded under fixed penalty band 1. No other amendments will be allowed. A report identifying the amendments must be available for audit purposes.
13. When an application is made by an operator to join the scheme the system supplier will record the previous thirteen period history for M5 measured as a percentage. This percentage will be updated when the operator is accepted onto the scheme and will be used as the starting figure for M5. On each subsequent anniversary a report will be produced indicating the current percentage for M5 based on the previous 13 period’s data. This will be included on the appropriate email attachment and reported to DVSA only if the result is below 95%.
14. M5 will not independently trigger however following any triggers for M1, M2, M3 or M4 the details for M5 will be included in the KPI email attachment.
15. KPI triggers must be identified by code – see Appendix 1
16. There will be a DVSA administrative process to allow the KPI thresholds, or reporting periods, to be reviewed/amended if required

High Level Summary of Requirements

Functional Requirements – Drivers Hours

ID	Description	Acceptance
EXCEPTION REPORTING		
ERF1	Rolling year of 13 periods which are themselves 4 weeks in duration (ISO week)	E-mail received on first Monday of each reporting period with <ul style="list-style-type: none"> • no attachment if there are no KPI triggers • If any KPI is triggered in the reporting period a DVSA dashboard detailing the KPI trigger will be attached to the e-mail See Scheme Rule 4
Driver Activities		
ERF2	DVSA to receive email from system to indicate no trigger of drivers hours KPIs.	E-mail received on first Monday of each reporting period with no attachment.
ERF3	DVSA to receive email from system detailing any trigger of drivers hours KPIs	E-mail received on first Monday of each reporting period with a DVSA dashboard detailing the trigger/s. This should include any MSI triggers, or repeat offenders.
<u>Unaccounted Mileage</u>		
ERF4	Ensure mileage information on the Tachograph VU matches that of the Drivers Card. DVSA notified of any unaccounted mileage.	Included on Operators performance report only
<u>Reporting Requirements</u>		
ERF6	Returns will be automatically sent to DVSA	E-mail received on first Monday of each reporting period
ERF7	DVSA will be alerted of any nil return from an operator.	E-mail notification to be received on the first Monday of each reporting period if any instance of nil return occurs

Functional Requirements – Vehicle Maintenance/Safety Inspections

ID	Description	Acceptance
	EXCEPTION REPORTING	
ERF9	Rolling year of 13 periods which are themselves 4 weeks in duration (ISO week)	E-mail received on first Monday of each reporting period with <ul style="list-style-type: none"> • no attachment if there are no KPI triggers. • If any KPI is triggered in the reporting period a DVSA dashboard detailing the KPI trigger will be attached to the e-mail
	Vehicle Maintenance/Safety Inspections	
ERF10	DVSA to receive email from system to indicate no KPI triggers of vehicle maintenance/safety inspection KPIs.	E-mail received on first Monday of each reporting period with no attachment.
ERF11	DVSA to receive email from system detailing any trigger of vehicle maintenance/safety inspection KPIs	E-mail received on first Monday of each reporting period with a DVSA dashboard detailing the KPI trigger/s
	<u>Reporting Requirements</u>	
ERF12	Returns will be automatically sent to DVSA	E-mail received on first Monday of each reporting period
ERF13	DVSA will be alerted of any nil return from an operator.	E-mail notification to be received on the first Monday of each reporting period if any instance of nil return occurs

The following references detail the criteria for the KPI

- 1.) Offences split into four bands refer to the legislation document (Section 96 (11) transport act 1968 table 1 & 2 and the Road Safety (financial penalty deposit) (appropriate amount) order 2009
- 2.) WTD – these are detailed in the Road Transport (Working Time) Regulations 2005
- 3.) The DVSA “Guide to Maintaining Roadworthiness” can be downloaded from the following link:

<https://www.gov.uk/government/publications/guide-to-maintaining-roadworthiness>

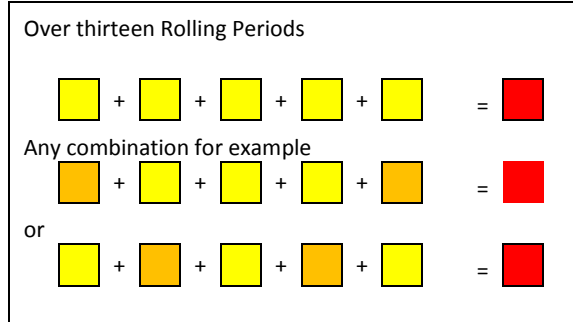
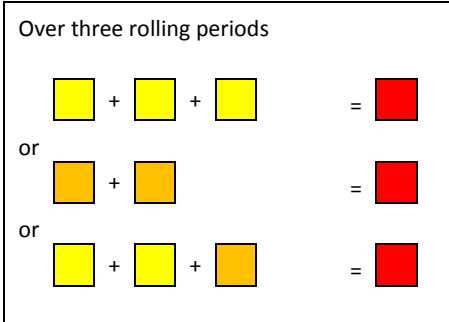
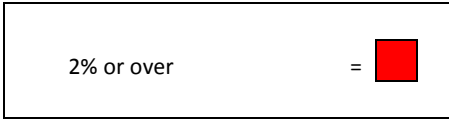
Appendix 1

Code	Drivers Hours Requirements (Based on tachograph days)	Key Performance Indicator	Trigger 1 2%+	Trigger 2 1%<2%	Trigger 3 <1%	Notes - Where an operator reports less than 25 tachograph days in a KPI period the KPI will be set at no more than 1 offence in the reporting period
D1	Fixed Penalty band 1	1.30%	3.30%	2.30%	1.31%	
D2	Fixed Penalty band 2	1.20%	3.20%	2.20%	1.21%	
D3	Fixed Penalty band 3	0.80%	2.80%	1.80%	0.81%	
D4	Fixed Penalty band 4	0.70%	2.70%	1.70%	0.71%	
D5	Overall Infringements	4%	6%	5%	4.10%	
D6	Working Time	4%	6%	5%	4.10%	
Operator Performance Report						D7, D8 & D9 will not trigger independently
D7	Repeat Offenders *	0	1	1	1	See KPI explanation list
D8	Unaccounted Mileage **	0	1	1	1	See KPI explanation list
D9	Most Serious Infringements *	0	1	1	1	See appendix 2
* included in Operator Performance report and additionally in KPI report following a trigger for D1, D2, D3, D4, D5 or D6						
** included in Operator Performance report only (available for audit purposes)						

Code	Maintenance Requirements	Key Performance Indicator	Trigger 1 2%+	Trigger 2 1%<2%	Trigger 3 <1%	Notes - For fleets less than 20 vehicles including trailers the KPI will be set at no more than 1 breach in the reporting period
M1	Complete set of safety inspection records	100%	98%	99%	99.99%	VOR reports will be validated against drivers hours records during the periodic audit
M2	Safety inspection records are completed correctly including all relevant sections and signed off as being roadworthy	100%	98%	99%	99.99%	
M3	Safety inspections are within the stated frequency	100%	98%	99%	99.99%	VOR reports will be validated against drivers hours records during the periodic audit
M4	Driver defect reports where road safety related items have been reported are appropriately actioned	100%	98%	99%	99.99%	
Reported on acceptance to the scheme and each subsequent anniversary						M5 will not trigger independently
M5	Vehicle & trailer MOT initial pass rates*	95%	93%	94%	94.99%	Where the fleet size is 20 or less the KPI is no more than one failure in 13 rolling periods
*will be reported to DVSA yearly on the anniversary of acceptance to the scheme, additionally will be included in KPI report following a trigger for M1, M2, M3 or M4						

Appendix 1 (cont.)

Examples of trigger calculations based on the information above



KPI explanations for drivers hours


Drivers Hours	
Tachograph day	Any day from 00:00 to 23:59 where duty has been recorded. Where continuous duty extends over 23:59 this will be recorded as two days
Fixed penalty bands	Reference to section 96(11) Transport Act 1968 table 1 & 2 and the Road Safety (Financial Penalty Deposit) (Appropriate Amount) order 2009
Working time	Systems should identify where agreements are in place for night time workers and report accordingly. The validity of any agreements will be checked during the periodic audit.
Repeat offenders	Where a driver has any infringement 3 times in three rolling reporting periods. The action taken will be checked during the periodic audit
Unaccounted mileage	If an operator can satisfactorily account for any missing mileage this should be validated through the system. The missing mileage may be grouped or reported individually depending on the preference of the operator. For example the operator may be satisfied that any distance less than 5km that can be explained by driving on private land may choose to group that mileage. This validation will be checked during the periodic audit.
Most serious infringements	These are included in appendix 2 and are subject to review from time to time. Any amendments will be notified

KPI explanations for maintenance

Maintenance	
Complete set of safety inspection records	All planned vehicles due an inspection within the 4 week period have an inspection job within that period
Safety Inspection records are completed correctly including all relevant sections and signed off as being roadworthy	Safety inspection records should be appropriate to the vehicle and should include all the requirements stated in the Guide to Maintaining Roadworthiness. These sections should be marked as per the Guide to Maintaining Roadworthiness, removal of these sections by the operator must not be allowed. Any additional requirements the operator wishes to add to the records should not count towards this requirement. The document must contain two signatures one for the person carrying out the work and the second of the person verifying the vehicle or trailer is in a roadworthy condition, the two signatures could be the same.
Safety Inspections are within the stated frequency	This is dictated by the requirements of the operator’s licence and it is that period that should be measured. For example if the operator’s licence states 8 weekly inspections but the operator decides to carry these out at 6 weekly intervals the KPI will only be breached if there is more than 8 weeks between any inspection. The safety inspection can occur at any point before or during the ISO week when it is due. The system should either dynamically re-calculate the subsequent inspection periods or notify the operator that an additional inspection is due if they wish to keep their planned checks.
Driver defect reports where road safety related items have been reported are appropriately actioned	The system needs to identify that a driver defect report has been actioned, this may be a declaration from the operator. It is up to the operator to decide what is safety related and what is the most appropriate action, this will be checked during the periodic audit
Vehicle & trailer MOT initial pass rates	The system needs to identify whether the MOT is pass, PRS or fail. This is only applicable for the initial test, retests should not be included in the figures
Vehicle off the road (VOR)	If a vehicle is off the road when an inspection is due the data should be suppressed to prevent a failed kpi, but the system should recognise that because the frequency has been exceeded an inspection must be carried out prior to the vehicle re-entering service.

Appendix 2 – Most Serious Infringement (MSI) details:

PDF 2 – Drivers Hours & Tachograph Most Serious Infringements:

 <p>Driver & Vehicle Standards Agency</p>	<p>Operations Manual</p> <hr/> <p>Section 69 Most Serious Infringements</p>
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Driver's Hour's & Tachograph Most Serious Infringements

PLS No:	Infringement Description
4.37 C, 4.37 C.2	Exceed 56 hours weekly driving time by more than 25% (=14 hours) (EC)
4.37 D, 4.37 D.1	Exceed 56 hours weekly driving time by more than 25% (=14 hours) (AETR)
4.37 A, 4.37 A.2	Exceed 90 hours accumulated driving in any consecutive two week period by margins of 25% (=112.5hrs) or more (EC)
4.37 B, 4.37 B.1	Exceed 90 hours accumulated driving in any consecutive two week period by margins of 25% (=112.5hrs) or more (AETR)
4.35 A, 4.35 A.2	Exceed 10 hrs driving – by a margin of 50% (=15hrs) or more (EC)
4.35 B, 4.35 B.1	Exceed 10 hrs driving – by a margin of 50% (=15hrs) or more (AETR)
4.36 A, 4.36 A.2	Exceed 9hrs driving – by a margin of 50% (13.5hrs) or more (EC)
4.36 B, 4.36 B.1	Exceed 9hrs driving – by a margin of 50% (13.5hrs) or more (AETR)
4.38 A, 4.38 A.2 4.39 A, 4.39 A.2	Exceed 9/10 hrs daily driving <u>by any amount</u> without taking an uninterrupted rest period of <u>at least 4.5 hours</u> (EC)
4.38 B, 4.38 B.1 4.39 B, 4.39 B.1	Exceed 9/10 hrs daily driving <u>by any amount</u> without taking an uninterrupted rest period of <u>at least 4.5 hours</u> (AETR)
4.19	Tachograph not fitted
4.20 A	Unauthorised device fitted (<i>tachograph recording system</i>)
1.66, 1.63	Speed limiter not fitted (<i>HGV and PSV</i>) * also to be used if speed limiter modifying device fitted
4.31	Knowingly makes a false record or entry
4.33 F	Records data which is known to be false on recording equipment or driver card
4.18	False instrument
4.33 D	Fails without reasonable excuse, to make a relevant record or entry
4.50	Uses, or is in possession of a driver card that has been forged or altered
4.33 P	Uses, or attempts to use a driver card on which a person is not identified as the holder

Appendix 3 – Examples showing where drivers’ hours KPIs are not met:

KPIs that are exceeded, but not sufficiently to trigger an alert to the scheme manager are highlighted in yellow and amber.

KPIs that trigger an alert to the scheme manager are highlighted in red.

Example 1

In period 1 the operator will be aware that they have a yellow alert for exceeding a KPI, during period 2 no KPIs are exceeded. In period 3 and period 4 the operator receives two further yellow alerts indicating KPIs have been exceeded by less than one percentage point, DVSA will not be alerted because the three yellow alerts are not in consecutive rolling periods. However, in period 5 the operator receives a red alert indicating DVSA have now been made aware of the exceeded KPIs for the following reason:

In measurement period 5 - the KPIs have been exceeded three times in three rolling measurement periods

Band	KPI %	Period 1	Period 2	Period 3	Period 4	Period 5
Band 1	1.30	0.75	1.20	0.80	1.60	1.05
Band 2	1.20	0.35	1.00	1.60	1.05	0.90
Band 3	0.80	0.78	0.79	0.50	0.50	0.75
Band 4	0.70	1.10	0.68	0.65	0.55	1.15
Overall	4.00	2.98	3.67	3.55	3.70	3.85
W / time	4.00	3.80	3.70	3.90	3.95	3.85

Example 2

In period 3, 4, 7 & 9 the operator will be aware that they have an yellow alert for exceeding a KPI, during periods 1, 2, 5, 6, 8, 10 no KPIs are exceeded. All of these yellow alerts indicate KPIs have been exceeded by less than one percentage point but because alerts are not in consecutive rolling periods DVSA will not be alerted. However, in period 11 the operator receives a red alert indicating DVSA have now been made aware of the exceeded KPIs for the following reason:

In measurement period 11 – The KPIs have been exceeded five or more times in thirteen rolling measurement periods.

Band	KPI %	Period 1	Period 2	Period 3	Period 4	Period 5	Period 6	Period 7	Period 8	Period 9	Period 10	Period 11
Band 1	1.30	1.10	1.00	1.35	1.00	1.15	1.25	1.20	1.25	1.10	1.20	1.40
Band 2	1.20	1.00	0.90	1.10	1.15	1.05	1.10	1.30	0.90	1.10	1.00	1.05
Band 3	0.80	0.80	0.70	0.75	0.60	0.65	0.75	0.65	0.60	0.90	0.75	0.50
Band 4	0.70	0.65	0.60	0.65	0.75	0.65	0.50	0.30	0.35	0.65	0.60	0.30
Overall	4.00	3.55	3.20	3.85	3.50	3.50	3.60	3.45	3.10	3.75	3.55	3.25
W/ time	4.00	3.55	3.40	1.35	1.45	1.85	2.65	2.75	2.85	3.05	2.95	3.70

Example 3

In period 1 the operator will be aware that they have both yellow and amber alerts for exceeding KPIs. These alerts indicate KPIs have been exceeded, the ‘overall figure’ by less than one percentage point and the ‘working time’ by more than one percentage point but less than two percentage points. As the operator is allowed to exceed the KPIs three times by less than one percentage point and two times by more than one percentage point but less than two percentage points, in three rolling measurement periods, DVSA will not be alerted. However, in period 1 & 2 the operator receives a trigger indicating DVSA have now been made aware of the exceeded KPIs for the following reasons:

In measurement period 1 – The KPI for band 4 has been exceeded by more than two percentage points

In measurement period 2 – The KPI for working time has been exceeded by more than one percentage point but less than two percentage points. The previous triggers will not count towards the five or more times in thirteen rolling measurement periods because a red alert was triggered period 1

Band	KPI %	Period 1	Period 2
Band 1	1.30	0.10	0.15
Band 2	1.20	1.10	1.00
Band 3	0.80	0.10	0.15
Band 4	0.70	2.90	2.40
Overall	4.00	4.20	3.70
W / time	4.00	5.50	5.45

Appendix 4 – Examples showing where maintenance KPI's are not met:

KPIs not met, but not sufficiently to trigger an alert to the scheme manager are highlighted in yellow and amber.

KPIs that trigger an alert to the scheme manager are highlighted in red.

Please note

Within the tables shortened titles, have been used but appear in the same order as the list below,

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

Example 1

In period 2 the operator will be aware that they have a yellow alert for failing to meet a KPI, during periods 1 & 3 all KPIs were met. In period 4 and period 5 the operator receives two further yellow alerts indicating KPIs have not been met by less than one percentage point. DVSA will not be alerted because the three yellow alerts are not in consecutive rolling periods. However, in period 6 the operator receives a red alert indicating DVSA have now been made aware of the failure to meet KPIs for the following reason:

In measurement period 6 - the KPIs have not been met three times in three rolling measurement periods

Measure	KPI %	Period 1	Period 2	Period 3	Period 4	Period 5	Period 6
Complete set	100	100.00	100.00	100.00	100.00	100.00	100.00
Completed & signed	100	100.00	100.00	100.00	99.55	99.00	99.50
Frequency	100	100.00	99.25	100.00	100.00	100.00	100.00
Driver defect	100	100.00	100.00	100.00	100.00	100.00	100.00
MOT	95	96.50	96.00	95.50	97.50	97.25	97.50

Example 2

In period 2, 4, 5 & 8 the operator will be aware that they have an yellow or amber alert for not meeting a KPI, during period 1, 3, 6, 7 & 9 all KPIs have been met. All of these alerts indicate KPIs have not been met because the operator is allowed to fail to meet the KPIs three times by less than one percentage point and two times by between one percentage point and two percentage points in three rolling measurement periods DVSA will not be alerted. However, in period 10 the operator receives a red alert indicating DVSA have now been made aware of failure to meet KPIs for the following reason:

In measurement period 10 – The KPIs have not been met five or more times in thirteen rolling measurement periods.

Measure	KPI %	Period 1	Period 2	Period 3	Period 4	Period 5	Period 6	Period 7	Period 8	Period 9	Period 10	Period 11
Complete set	100	100.00	100.00	100.00	100.00	100.00	100.00	100.00	98.60	100.00	100.00	100.00
Completed & signed	100	100.00	100.00	100.00	99.75	98.50	100.00	100.00	100.00	100.00	100.00	100.00
Frequency	100	100.00	99.25	100.00	100.00	100.00	100.00	100.00	100.00	100.00	99.10	100.00
Driver defect	100	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00
MOT	95	96.50	96.00	95.50	97.50	97.25	97.50	97.00	96.00	95.50	94.25	95.50

Example 3

In period 1 the operator receives a red alert indicating DVSA have now been made aware of the failure to meet KPIs for the following reason:

In measurement period 1 – The KPI for complete set of safety inspection records has not been met by more than two percentage points

Measure	KPI %	Period 1	Period 2
Complete set	100	96.00	100.00
Completed & signed	100	100.00	100.00
Frequency	100	100.00	100.00
Driver defect	100	100.00	100.00
MOT	95	97.50	97.00

Appendix 6 – DVSA Drivers Hours Dashboard

Operator ID

0000-0000

Date
Produced

System Provider ID

ZZ0000

	Reporting Period (00)													
	Year (0000)													
Code	Description													
D1	Band 1													
D2	Band 2													
D3	Band 3													
D4	Band 4													
D5	Overall													
D6	Working time													
Record D7 & D9 using numeric values	Only report D7 & D9 following any D1 to D6 trigger													
D7	Repeat offenders													
D9	Most serious infringements													

Appendix 7 – DVSA Maintenance/Safety Records Dashboard

Operator ID

0000-0000

Date
Produced

System Provider ID

ZZ0000

	Reporting Period (00)													
	Year (0000)													
Code	Description													
M1	Full Set													
M2	Completed													
M3	Frequency													
M4	Driver defects													
Record M5 as a percentage		Only report M5 following any M1 to M4 trigger												
M5	MOT													