



The safe operator's guide (revised 2009)

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Disclaimer

Anything stated in this Guide should not be construed as legal advice. Please consult a solicitor for legal guidance.

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Foreword

by the Acting VOSA Chief Executive



In the three years since the first edition of *The safe operator's guide* was published, technical advancement and innovations have been introduced at such a pace that we have produced this second edition.

The new edition is part of a suite of VOSA publications dedicated to giving useful information to operators, drivers and other staff involved in the use of goods and passenger carrying vehicles. The Guide covers the introduction of digital tachographs and graduated fixed penalties and deposits for offences relating to drivers' hours, record keeping, overloading and construction and use.

The first edition of the Guide proved popular with operators and I can fully recommend this revised edition as it provides high quality and useful advice to help you operate safely and within the law.

A handwritten signature in dark ink, appearing to read 'A Peoples', written in a cursive style.

Alastair Peoples
Acting VOSA Chief Executive

Foreword

by the Senior Traffic Commissioner



In our role as the regulators of commercial vehicles, the Traffic Commissioners regard education and training as essential elements in the prevention of road accidents. We support the publication of this revised edition of *The safe operator's guide*. The Guide sets out the required procedures and systems which operators need to implement to enable users to monitor driver performance and conduct (for example drivers' hours and record keeping) and the operators of vehicles (use, maintenance and loading), together with all other matters which impact upon their contribution to road safety.

This Guide also contains useful advice on the employment and training of drivers (including agency drivers), the introduction of the driver certificate of professional competence, and how to ensure compliance with essential road safety rules relating to statutory weight limits for certain classes of commercial vehicles. The annexes include information on the role of the Traffic Commissioners, who are the independent regulators of the road transport industry, together with advice to transport managers and a section dealing with driver fatigue.

Traffic Commissioners welcome this new edition of *The safe operator's guide*, which together with VOSA's sister publication, the *Guide to maintaining roadworthiness*, provides a basis for every operator to achieve compliance with the law to ensure that road safety and fair competition are not put at risk. We commend the Guide as a model of best practice for operators.

A handwritten signature in black ink that reads "Philip Brown". The signature is written in a cursive style and is underlined with a long, horizontal stroke.

Philip Brown
Senior Traffic Commissioner

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Section 1:

Introduction

About this Guide

The Vehicle and Operator Services Agency (VOSA) has produced this Guide to explain the operator's licensing system and to help make sure that all goods and passenger carrying vehicles are used **safely** and **legally**.

The procedures and systems explained in this Guide are useful for both new and established users of goods and passenger vehicles. The guidance applies to everyone – whether you already hold an Operator's Licence or, because of the size of your vehicles or their use, you do not need a licence.

New operator

If you are a new operator, you will find this Guide useful for advice on the types of systems and procedures to put in place for your employee drivers, loaders and other staff. If you follow the advice given in this Guide, you can make sure you are complying with the law and that your compliance can be monitored and controlled. A VOSA Examiner will visit all new operators to assess how well those monitoring systems and procedures are working. While there, the Examiner will give advice on any shortcomings found in the systems and will answer any related questions.

Experienced operator

If you are an experienced and established operator, you will be able to use this Guide as a benchmark to assess whether the systems you already have in place are comprehensive enough or whether they need reviewing and improving.

Easing the burden on the compliant

To avoid causing inconvenience and disruption to good operators, VOSA Examiners are now targeting those operators that are more likely to be a risk to road safety. To achieve this, all operators are being given a grading which Examiners at roadside checks will be able to access on their hand-held devices.

Those operators shown to be a greater risk to road safety are more likely to be stopped for an enforcement check, while those shown to pose the least risk will be allowed to go on their way without a full check. *(See section 6 for a more detailed explanation of targeting and the Operator Compliance Risk Score.)*

What does this Guide contain?

The procedures and systems described in this Guide relate to the monitoring and control of drivers' hours, record keeping, speeding, driver licensing and the maximum permitted weights of vehicles.

This Guide:

- summarises best practice advice on safety procedures relating to various aspects of employees' duties (such as driving and loading);
- summarises general procedures for managers of commercial road transport businesses to make sure they comply with all licensing regulations and contribute to road safety; and
- explains the legal position of operators in relation to compliance.

This Guide also discusses the importance of training drivers, loaders and support staff, and explains the compliance checks that drivers and other staff will come across in their jobs (such as road checks, operator visits and vehicle testing).

Other guides and codes of practice

There are many guides, manuals and codes of practice available relating to all aspects of a transport business. **Please note that this Guide is mainly concerned with monitoring systems to help with compliance.** Although some best practice advice is included (such as the loading of vehicles and training of drivers), it is in summary form only and therefore should not be taken as comprehensive guidance on the subjects.

We have produced a separate VOSA booklet to help you apply for an Operator's Licence, called *Goods Vehicle Operator Licensing – Guide for Operators*. We have also produced a manual called *A Guide to Maintaining Roadworthiness*, which gives details about the systems you need to put in place for maintaining vehicles in a roadworthy condition. Drivers' hours rules and record keeping requirements are explained in VOSA guides GV262 (for heavy goods vehicles) and PSV375 (for passenger carrying vehicles).¹

Information on most of the important aspects of operating commercial transport can be found in other VOSA guides listed in Annex 12 of this Guide. We recommend you read and keep these guides for future reference. There are also codes of practice available relating to various aspects of transport operations, including the weighing of vehicles and the safety of loads on vehicles.

Nobody's perfect

VOSA recognises that operators of heavy goods or passenger carrying vehicles will not be perfect all of the time. However, we do want you to be vigilant and responsible.

The penalties for and consequences of non-compliance to you the operator – and to the general public – can range from the inconvenient to the very serious and, sometimes, to the catastrophic. You and your staff may be prosecuted and your vehicles may be prohibited. At worst, you may cause serious injury or fatal accidents due to tired drivers or poorly loaded and badly maintained vehicles.



How does the law affect me?

Traffic Commissioners have the power to revoke, suspend or curtail your Operator's Licence. They may also impose various conditions on the way you operate authorised vehicles if you don't comply with the requirements of the licensing system. If you continue to use a heavy goods vehicle when your licence has been revoked, your vehicle and any goods carried in it could be impounded and your assets may be lost.

A Traffic Commissioner may also suspend or revoke a driver's vocational licence on the grounds of non-compliance with drivers' hours rules and/or other driver licensing legislation.

When an Operator's Licence is granted, the holder makes written promises to the Traffic Commissioner that, among other matters, he/she will have a working system in place to make sure that the drivers abide by drivers' hours/record keeping regulations and that the vehicles will be maintained properly and used within the weight limits.

The person holding the Operator's Licence must report to the Traffic Commissioner, within 28 days, any convictions relating to the drivers or the holder of the licence, and any event affecting the good standing of the operator, such as an authorised vehicle being seized by HM Revenue & Customs when found to be using illegal fuel.

Health and safety (risk assessments)

As well as general road safety, your first consideration must be the health, safety and welfare of all your staff. The text that follows is therefore particularly important. Health and safety and risk assessments should be ingrained in all your thoughts about **all** planning aspects of any transport business.

¹ See Annex 12 of this Guide for full details. Many of these guides are available on request from any VOSA Traffic Area Office or Test Station, and from the VOSA website at www.transportoffice.gov.uk. Useful addresses and sources of further help can be found in Annex 13 of this Guide.



How does the law affect me?

An employer must give, 'as far as is reasonable', a safe, risk-free workplace and systems of work. To comply with regulations, the employer has to carry out suitable and sufficient risk assessments, record the significant findings and make sure that employees are given information, instruction, training and supervision to ensure their safety. The information given to employees can be provided in whatever form is most suitable, but it must be relevant and easily understood by everyone.

Research shows that more work-related deaths and injuries occur on the road than in the 'static' workplace. In the light of this research, the Department for Transport (DfT), together with the Health and Safety Executive (HSE), have published a useful guide called *Driving at Work – Managing Work-Related Road Safety*.²

Risk assessments should be a compulsory part of any transport business. We advise you to carry out a separate risk assessment for each and every type of duty carried out by drivers, all other staff, vehicles and premises.³

² Copies of the guide can be downloaded free from the HSE website at www.hse.gov.uk/pubns/. You can also link to the guide from the road safety page of the DfT website (www.dft.gov.uk).

³ More information on this subject can be found in the Health and Safety Executive's *Approved Code of Practice and Guidance (ACOP)*, available from www.hse.gov.uk.

Section 2:

Monitoring procedures and systems (in general)

This section gives best practice advice on the procedures and systems to put in place in order to comply with the law. It covers tachograph monitoring, speed limiter monitoring, record keeping, duty rosters and timetables and record books.

As an operator, it is your responsibility to put proper arrangements in place to make sure that, where relevant, each vehicle and driver complies with all the items listed below.

We recommend that each item in the list has a related **procedure for checking the standard of compliance** and a **system for immediately acting on any non-compliance**. It is important to have a system for immediate action so that the situation can be corrected, procedures can be introduced for training, and control measures can be introduced to prevent non-compliance happening again.

You must make sure that vehicles are operated as safely as possible. There is little point in having a good monitoring system in place if faults and bad behaviour (minor or serious) are seen and acknowledged but just allowed to continue.

All monitoring systems should make sure that you or the responsible manager are aware of all critical dates for mandatory and safety checks on vehicles and components.⁴

Items to be monitored	Action/information available
Tachographs	When installed and when last calibrated, check for malfunction or repairs needed.
Speed limiters	When fitted or repaired, check for malfunction.
Record keeping	Issue, return, check/analyse, store/file tachograph charts or manual record books and/or duty rosters and timetables. Download, store and analyse digital data from driver smart cards and digital tachographs. Ensure that adequate numbers of company cards are available to manage and download data on digital tachographs.
Drivers	Check driving licence, driver smart cards, training, scheduling of duties and rotas, hours of work, record keeping and control measures around non-compliance.
Plating and testing	Check dates and details of MOTs, accuracy of Ministry/Type Approval Plate and storage of current certificates.
Insurance	Check extent and relevance of cover, and check dates of expiry for each vehicle.
Vehicle Excise Duty	Check correct duty paid and Vehicle Excise Licence clearly displayed on each vehicle. Check reduced pollution certificates.
Loads	Check details of consignment (quantity, weight, details of consignor(s) and/or delivery points). Check that you stick to weight limits on plating certificate.
Operator licensing (authorisation and discs)	Update authorisation and specification of current vehicles. Monitor Public Service Vehicle (PSV) licence discs on vehicles in service or being used to carry passengers. Check that all sub-contracted operators hold an Operator's Licence.
Vehicle condition and maintenance records	Complete records of safety maintenance inspections and repairs should be retained to demonstrate that the vehicles have been kept in a roadworthy condition. This is equally important when the maintenance is contracted out.

⁴ The sample planner chart in VOSA's *A Guide to Maintaining Roadworthiness* can be adapted for this purpose.

The main items to be monitored include:

Scheduling and planning duties

Any operator of goods and passenger carrying vehicles should have a good system in place for scheduling drivers' duties to take account of all the relevant drivers' hours, working time and health and safety regulations.

The planned journey must be practical and must not jeopardise road safety. Therefore, you should allow some time for general congestion on routes, especially around places where delays often occur. You should also consider the limitations on the hours that the driver can work and take into account any known disruptions to traffic on highways, at ports or other places on the route.

Allow extra time for inexperienced drivers and for drivers unfamiliar with any given route or vehicle. Relief drivers, who are often the newest and most inexperienced of a company's drivers, are sometimes given routes or vehicles not favoured by the regular drivers. We suggest that it may be more sensible, in the interests of road safety, for you to use only the more experienced drivers on difficult journeys, especially if unfamiliar vehicles are being used.

Remember to consider driver, load and vehicle security if the vehicle is to be parked somewhere overnight. Good forward planning, including time spent on researching safe stopping/parking places, is essential to the driver and the company.

Golden rules for planning schedules and work rosters

- Never compromise road safety by putting pressure on drivers to complete journeys when insufficient time has been allowed. (If your driver is stressed, the vehicle's running costs will also be higher.)
- Take into account a driver's experience, familiarity with the type of vehicle and knowledge of the route.

Items for monitoring from the table on page 9 are now examined in more detail.

Tachograph monitoring system

If you are using vehicles that are subject to the EC Drivers' Hours and Record Keeping Regulations, you need to have a system in place that makes sure the tachograph is functioning correctly. Such a system will keep you informed about the current working state of the tachograph. It will also make sure that procedures are in place for malfunction reporting by the driver and for swift action to be taken to solve the problem. Also, the system should make sure that the operator knows about significant dates coming up so that the necessary inspections can be carried out.

Your tachograph monitoring system should include a way of registering essential information, including:

- the date of the initial calibration and a record of the calibration details (if they are not on the certificate);
- a 'bring forward date' for a reminder to book vehicles in for two-year inspection and six-year inspection/recalibration (analogue tachographs) and two-year calibration (digital tachographs);
- the Type Approval 'e' number of the tachograph and the corresponding record sheet type number (so that correct charts can be issued to drivers);
- a record of the details of all submitted driver defect reports concerning malfunctioning tachographs and actions taken to solve the problems (including relevant dates);
- details of any minor or major repairs, including any seals broken and replaced; and
- a system to check tachographs for any malfunction or tampering (e.g. to find any fitted illegal wires, templates, blocking devices, etc) and to record that checks have been carried out.

Speed limiter monitoring system

We recommend you put a system in place for checking that the speed limiter is functioning correctly at all times, otherwise road safety may be compromised. The system should check:

- installation date;
- position of the speed limiter plate and the accuracy of its details;
- any speed limiter malfunction and a record that any checks have been carried out;
- evidence from tachograph records that the vehicle has exceeded the regulated speed limit⁵; and
- records of all submitted driver defect reports concerning malfunctioning speed limiters and actions taken to solve the problems (including relevant dates).

⁵ Please refer to the speed limiter thresholds table in Annex 8.

Note: if you find any malfunction of the instrument or any evidence of speeding, you should discuss it with the driver concerned as soon as possible.

Drivers' hours and tachograph record keeping system (EC Regulations)

It is essential for road safety reasons that you can show that your drivers are keeping to the hours and record keeping regulations. You should therefore have a good monitoring and control system in place.

Digital tachographs require the electronic downloading of data from driver smart cards and tachographs – this will support improved methods of analysis but requires different administrative processes to those used for analogue tachograph records. It is vital that your system works properly and that it covers the following:

<p>Issuing tachograph record sheets (charts) and print rolls for digital tachographs</p>	<p>The transport manager (or delegated person) should keep a record detailing:</p> <ul style="list-style-type: none"> • the quantity and type of charts/print rolls issued (i.e. make and Type Approval number); and • the driver's name and date of issue.
<p>Returning tachograph record sheets (charts) and printouts from digital tachographs</p>	<p>The transport manager (or delegated person) should keep a record detailing:</p> <ul style="list-style-type: none"> • the date and time of return of the charts or printouts; and • any other relevant details, including the quantity, the date of each chart/printout, the reasons for the printout and any unusual aspect (e.g. damaged or defaced charts, missing charts).
<p>Checking and downloading of driver smart cards</p>	<p>The transport manager (or delegated person) should ensure that downloading of the data from driver smart cards is carried out at a frequency no greater than the legal maximum⁶ and often enough to ensure that no data is lost. This will enable the operator to capture a full record of the drivers' activities. Driver smart cards will, for most types of operation, hold up to 28 days of data; the card will overwrite the oldest records once full.</p> <p>Routine checking and downloading of smart cards should be conducted, particularly for part-time and agency drivers, to confirm that the card is valid and that drivers have adequate time to complete the duties assigned to them.</p>

⁶ Regulation (EC) No. 561/2006 introduced a requirement for Member States to set a maximum period within which data shall be downloaded. At the time of writing a time period has not been agreed and legislation has not been introduced into Great Britain and Northern Ireland.

<p>Lock-in and lock-out of digital tachographs using a company card</p>	<p>Company cards are provided to assist operators in managing digital data. They are the ‘key’ that enables operators to identify data recorded on digital tachographs generated while the vehicle is in their care, and to prevent downloading by unauthorised persons. In the event of a tachograph failure away from base, the company card will help the tachograph workshop to identify and return data to the operator.</p> <p>The use or non-use of a company card does not provide any proof of control of the vehicle or impose any liability on an operator. For the reasons stated above, and to support the operator in managing electronic data, it is recommended that company cards are used.</p>
<p>Downloading digital data from digital tachographs</p>	<p>The transport manager (or delegated person) should ensure that downloading of the data from a digital tachograph is routinely conducted, using a company card, at a frequency no greater than the legal maximum and often enough to ensure that data is not lost.</p> <p>This enables the operator to ensure the completeness and accuracy of data captured from driver smart cards and to take timely remedial action to resolve any problems. The tachograph will have a record of all driving and will enable identification of all driver cards used and periods of driving where no card has been used.</p> <p>In addition to driver activity, the data will include information such as the record of ‘events’ and ‘faults’ recorded by the tachograph, consideration of which should form part of the routine analysis of the records.</p>
<p>Inspecting tachograph record sheets (charts)</p>	<p>You should nominate a competent person to be responsible for checking or analysing the record sheets (charts). This person may be the transport manager, another employee or an independent contractor. Record sheets (charts) should be checked for obvious errors immediately on their return and analysed as soon as possible. Particular items that should be checked for omissions or errors include:</p> <p><i>On the centrefield</i></p> <ul style="list-style-type: none"> • driver’s surname and first name; • date(s); • start/finish places and odometer readings; and • vehicle registration mark (including any required change of vehicle information on the reverse of the charts).

	<p>Recordings</p> <ul style="list-style-type: none"> • check correct use of the mode switch mechanism; and • look for any interference with the recordings, such as bent styli, interference in the electrical supply, opening of the tachograph head and missing kilometres (including any discrepancies in the odometer readings/distance trace totals or in the distances recorded between towns). <p>Charts</p> <p>Checks on the charts should be made to ensure that the recordings (or manual entries) show the time that the driver started his/her duty and that he/she stuck to all rest, break and driving periods, as well as to the speed limiter settings. Charts should also be scrutinised for drivers exceeding speed limits, including when driving on single/dual carriageway roads, where these can be identified in the recordings.</p> <p>The information on the charts can and should be compared with other relevant documents, such as time sheets (or job/journey sheets), to check any discrepancies in the time that duty starts and ends, times and places of picking up/dropping off (especially for passenger carrying vehicles) or loading/delivery (especially for goods carrying vehicles), and overnight stops and distances travelled.</p>
<p>Analysis of digital data</p>	<p>Digital data, downloaded from digital tachographs and driver smart cards, requires IT equipment and software to enable analysis. This equipment can be installed at the operator's premises for analysis by the operator or their staff.</p> <p>Alternatively, analysis can be conducted remotely by a third party. Analysis of the data follows the same rules as provided above for the inspection of tachograph record sheets (charts) used with analogue tachographs. Digital data must, however, be available to anyone from the operating centre authorised to inspect it.</p>
<p>Records of analysis of driver records</p>	<p>You should keep a record of the analysis and the results for both analogue and digital tachograph records. This can include reasons why particular journeys have not been completed as originally scheduled (e.g. unforeseen breakdowns or weather/traffic problems) and whether or not the driver has endorsed the back of the chart or printout in such a case.</p>

	<p>If an independent analysis bureau is used, the charts should be sent to the bureau as soon as possible and the analysis reports checked immediately they are received. In the case of digital data copies of the original files, these can be sent for analysis while the original file is retained for inspection if required. The contracted service should be customised to suit your needs as an operator and you should monitor the analysis reports for accuracy.</p>
<p>Listing faults and offences (both serious and minor)</p>	<p>You should list all drivers' hours and records offences relating to each driver and vehicle (including speeding and tachograph faults) that you find during the analysis.</p> <p>You should have a procedure in place for quickly bringing this list to the attention of the person(s) responsible for the running of the transport business (i.e. the Certificate of Professional Competence holder, the actual operator or the controlling director).</p>
<p>Monitoring and training drivers</p>	<p>In the interest of road safety, you should put a system in place to interview drivers when offences are discovered, so that you can discuss and arrange a suitable training programme and, where necessary, impose sanctions.</p> <p>Your system should make sure that:</p> <ul style="list-style-type: none"> • each driver is dealt with in a just, fair and unprejudiced way; • any agreed training programme is relevant to the offences or problems discovered; • a progressive disciplinary procedure is in place to deal with drivers committing repeated offences; and • a record is kept of any action or training programme begun concerning the driver.
<p>Repairing tachographs</p>	<p>You should put a procedure in place for acting on the information gained from the analysis of the charts so that you can correct any tachograph malfunctions found. The law says it is an offence to use a vehicle with a defective tachograph.</p>

<p>Storing record sheets and printouts</p>	<p>The law says that you must keep the tachograph record sheets (charts) and printouts for at least one year from the date of their use. You should store/file them in a safe and easily accessible place. There are various methods of storing the charts (e.g. on pegs, in envelopes, in folders, etc). However, both the charts and the printouts must be kept in date order, either under the registration number of each vehicle or the name of each driver.</p>
<p>Storing digital data</p>	<p>Data downloaded from digital tachographs and from driver smart cards must also be stored for at least one year.</p> <p>For the purposes of confirming the authenticity of data, it must be stored in its downloaded format,⁷ and operators must ensure that the equipment they, or any contracted third party agencies, use is able to fulfil this requirement.</p> <p>Data may be stored remotely from the operating centre, e.g. on the server at an Analysis Bureau, providing it can readily be made available (e.g. by email transfer).</p>
<p>Keeping and filing Working Time Directive records</p>	<p>The law says that you must keep a record of the hours worked by all employees, including mobile workers. This can be in a very simple form, such as through the normal payroll system.</p> <p>These records should be stored/filed for at least two years after the end of the period covered.</p> <p>You must be able to give employed drivers and other workers copies of the records of hours worked if you are asked.</p>

⁷ Regulation (EC) 1360/2002 specifies the technical requirements for data format and authentication using digital signatures.

Duty rosters and timetables (passenger vehicles on regular services)

It is not only crucial that your drivers carry, and keep to, the published timetable but also important that you keep a record of the driver and vehicle being used on any journey in case you are questioned about it by the Traffic Commissioner, the police or VOSA Examiners.⁸



How does the law affect me?

National regular passenger services⁹ on a route of **over 50 km** using vehicles with nine or more passenger seats come under Community Regulation (EC) 561/2006 in April 2007, when that Regulation replaces Community Regulation (EEC) 3820/85. (Up to that time this affects vehicles with 17 seats or more.) If the vehicle being used on these services is not fitted with a tachograph in accordance with Community Regulation (EEC) 3821/85, you can use a duty roster and timetable in respect of the driver's duties. The duty roster covers a period of at least the previous 28 days and must be completed strictly in accordance with the Regulations (see booklet PSV375) and kept available for inspection for a period of at least one year from the date of use.

Regular passenger services up to and including 50 km in length are **not** subject to the EC Regulations. However, they are usually subject to the domestic regulations (including regulations made under sections 96 to 99 of the Transport Act 1968) and, where local services are operated, the routes of these services need to be registered with the Traffic Commissioner. In the UK there is no obligation on the driver to keep any records when he/she is engaged on such journeys, but the time spent on this type of journey is counted as 'other work' in respect of the EC Regulations. Therefore, if the same driver carries out EC driving at any time in the same 24-hour period, it must be recorded on the driver's chart or, if using digital equipment, by the tachograph, as duty and be entered manually if necessary.

After 31 December 2007 duty rosters should no longer be used because all vehicles by then should be equipped with a tachograph that has been fitted in accordance with Community Regulation (EEC) 3821/85.

A **local service** is one where a Public Service Vehicle is used to carry passengers at separate fares and where passengers can get on or off the vehicle within a distance of 15 miles/24.15 km (as the crow flies).

There are other conditions relating to a local service and therefore any operator contemplating setting up such a service should contact Traffic Area PSV Operator Licensing.

Record books (goods vehicles)

Operators using goods vehicles under one of the exemptions contained in Articles 3 or 13 of Regulation (EC) 561/2006 are usually subject to the domestic rules – requiring drivers to use written record books. As the operator, you should keep a register of the issue and return of the record books. You should closely check the entries, and any offences discovered should be dealt with as explained above in relation to the use of tachograph record sheets.



How does the law affect me?

You must keep the record books for at least **one year** for enforcement staff to inspect.

⁸ Details about the requirements relating to various types of Passenger Carrying Vehicles (PCVs) can be found in Annex 5A of this Guide.

⁹ The definition of a 'regular service' is given in Annex 5B of this Guide.

Section 3:

Drivers (employing, contracting and safety issues)

This section concentrates on drivers and gives best practice advice on their recruitment, licensing and training. It also offers best practice advice on using agency drivers and sub-contracted operators, while clearly stating your legal position.

Recruiting drivers

The driver is the face of the transport business to the general public. This includes most of the customers and, therefore, the driver can be seen as the ambassador for your company. Reliable and motivated drivers are an important asset and this should be considered at the time of recruitment.

In relation to road safety it is important that, when recruiting a new driver, you pay enough attention to his/her driving style, mental approach to driving and accident history. It should be obvious from the wording of the job description and the impression given to the recruit at the first interview that you attach great importance to a safe, defensive driving style and to road safety in general.

Always include a test drive as part of the recruitment process. However, try to remember that a driver who normally drives well may drive badly due to nerves and that an unreliable or erratic driver may manage to control their natural inclinations. Consider the results of any test drive carefully.

We recommend that any offer of a contract of employment should only be made subject to a satisfactory medical examination and, if relevant, a Criminal Records Bureau (CRB) check of the driver.

Driver licensing

It is important to put a rigorous procedure/system in place to enable each driver's licence to be thoroughly and frequently checked, to avoid possibly serious infringements of the licensing laws. This is something that can be incorporated into a driver's contract of employment so that, once the driver is employed, there is no problem

in asking the driver to produce the licence for inspection and copying. You should always check the validity of any self-employed (e.g. agency-supplied) driver's licence.

It has been known for drivers to continue driving despite being disqualified by the courts or after having their vocational driving licence suspended or revoked by a Traffic Commissioner. It is your responsibility as operator to make sure that employed drivers hold valid licences, not just because a driving offence would be committed and the vehicle's insurance invalidated, but also because of the road safety implications.

You should check the original driving licence(s) and not a photocopy (which could have been altered). Check all the details, especially name, address, issue number, entitlement (categories of vehicles), expiry date and endorsements. However, we recommend that each time it is checked you keep a photocopy of the licence for the office file.

It is up to you how often you make checks on a driver's licence, but you should certainly make a thorough check when a driver is first employed, before they drive any vehicle. We recommend that you then make regular checks on the licence (e.g. every six months or so) so that the ongoing situation can be closely monitored. If there is any stalling by the driver about producing his/her licence, you should enquire about the validity of the licence.

Operators can check directly with the Driver and Vehicle Licensing Agency (DVLA) for the accurate current licensing position of any driver. Please note that this can only be done with the approval of the driver, but his/her refusal may indicate a possible problem with their licence.¹⁰

¹⁰ Detailed information on how you can check your driver's licences with DVLA can be found at Annex 7B.

If you are in any doubt, contact a VOSA Traffic Examiner so that an investigation can take place.

Driver smart cards

A driver smart card does not provide proof of an entitlement to drive. Without a driver smart card, however, a driver cannot legally drive a vehicle that falls within the scope of EU Drivers' Hours Regulations if the vehicle is fitted with a digital tachograph.

Routine checking and downloading of smart cards should be conducted (see section 2).



Driver Certificate of Professional Competence

A new qualification for professional bus, coach and lorry drivers – the Driver Certificate of Professional Competence (CPC) – is being introduced across the EU. In the future, drivers will be required to hold a Driver CPC in addition to their vocational driving licence. The new requirement will be introduced in September 2008 for bus and coach drivers and in September 2009 for lorry drivers. In Britain, implementation of the Driver CPC is being administered by the Driving Standards Agency.

New drivers acquiring a vocational entitlement after the relevant implementation date (and intending to work as a driver) must obtain an initial Driver CPC qualification. Drivers already holding a vocational licence on the relevant implementation date will be deemed to hold Driver CPC by acquired rights. All drivers must complete 35 hours of training every five years to keep their Driver CPC valid.

Further details can be found on the DSA website at www.transportoffice.gov.uk

Driver training

A driver who has received proper training should be able to:

- drive more safely than a driver who has not received proper training;
- work more efficiently than a driver who has not received proper training;
- make risk assessments and understand risk management;
- provide good customer service; and
- contribute to your transport business's positive image.

As a transport operator, if you pay attention to traffic safety from the start of the training period, you will help your drivers understand that safety and reliability are the first priorities.

What sort of training is needed?

Training should cover all aspects of drivers' work, and you should put a system/procedure in place for each separate duty carried out. We recommend that you set out each system/procedure in an operations instruction manual so that everybody, from driver and trainer through to top management, knows exactly what procedure needs to be carried out for each item and can refer to it at any time.

The operations instruction manual should cover the following duties:

- handling the specific vehicles used by the operator;
- drivers' hours and record keeping (including relevant legislation);
- following vehicle maintenance procedures and systems;
- carrying out all safety precautions (before, during and after driving), such as walk-round checks;
- the correct control of speed;
- safe, secure and legal loading;
- safe and secure parking (both at your company's base and away from it);
- refuelling safely;
- driver behaviour;
- company procedures and administration;
- route knowledge; and
- completing border formalities.

You may also wish to include the correct procedures to be followed:

- in the event of sudden emergencies;
- when stopped and checked by enforcement staff (which now includes VOSA Examiners who, in their own marked cars and uniform, have the power to stop certain vehicles);
- for overnight stops;
- on ferry/Eurotunnel crossings; and
- when travelling abroad.

Remember: training programmes are not just for new drivers. You should organise refresher courses for each driver, ideally every year. You should also arrange special training for drivers who change vehicle type or who are given a different type of transport operation.

Safety first

Road users and pedestrians expect a lot from a professional driver, and safety is vital. Therefore, you should pay specific attention to defensive and anticipatory driving.

Customer satisfaction

Customer satisfaction depends greatly on the driver's competence, attitude and ability to deal with all kinds of people, each with their own needs. The degree of customer service needed depends on the type of transport operation, but it is vital that you familiarise your drivers with the importance of the 'ambassadorial' approach.

It is important that the person carrying out and/or managing driver training also has a good reputation in respect of road safety, defensive driving style, customer service and courtesy. This person should lead in these areas by good example and, whether or not they are an experienced driver, they must be respected by their colleagues and the trainees.

You can use your own staff to provide in-house training. Alternatively, VOSA and many other organisations supply excellent training courses for drivers and management in all areas of goods and passenger carrying transport operations.

Driver handbook (or manual)

We recommend that you produce a driver handbook (or manual) which should:

- explain clearly and in detail how a driver is expected to carry out all of his/her duties;

- be easy to use; and
- give clear, practical work instructions, with special attention given to safety procedures.

It is good practice to involve your drivers in the preparation and championing of the handbook so that they are happy to use it. You should update the handbook regularly to make sure it stays relevant and does not become so out of date that drivers ignore it.

Contents of the driver handbook (manual)

We recommend that your driver handbook includes information on the following:

- **The vehicle:** daily inspection and general use of the vehicle, use of vehicle documents and advice on reporting defects.
- **Tachograph:** use of instrument, keeping records and returning record sheets, downloading driver smart cards.
- **The driver:** championing the transport company, maintaining customer satisfaction and how the driver is expected to act in various situations (e.g. at a roadside enforcement or roadworthiness check).
- **Driving:** instructions on safe and reliable driving techniques, driving hours and breaks, plus advice on complying with maximum speed limits relevant to the type of vehicle and road, and driving at low speeds in adverse weather/road conditions.
- **Management:** procedures to follow when specific incidents occur (e.g. accidents), form filling, record book completion and general administration (e.g. reporting illness).

You should make sure that all new recruits receive a personal copy of the handbook and that they are made familiar with it during initial training. To encourage your drivers to read and use the handbook, we recommend that you include a test on the contents as part of your training programme. You could also arrange quarterly meetings to discuss specific subjects taken from the handbook.

We recommend that you ask your drivers to sign for receipt of their handbook, and to say that they are familiar with its contents and will act in accordance with the instructions. This way, if a driver regularly disobeys the instructions, you could discuss the handbook during that driver's performance evaluation.

Driver performance evaluations

It is important to monitor the performance of your employed drivers because it helps maintain a good working relationship. As long as performance evaluations are carried out properly, they can have a positive effect on driver motivation. This should help to improve the road safety performance of the drivers and lower the accident rate of your company's vehicles.

Performance evaluations should not only take place at the end of a driver's probationary period to determine whether or not a permanent position should be confirmed. You should also carry out a performance evaluation at least once a year. Evaluations can also take place at the request of a driver or if a problem arises relating to a driver.

Such problems are often work related, but they can sometimes be connected to a problem in the driver's private life that is affecting his/her performance and therefore needs discussing.

Sanctions and rewards

The management of your company may consider setting up a system to acknowledge performance that is above or below the expected standard. For example, your company may set up an annual road safety award, or they may choose to recognise good or poor daily performance (e.g. a driver's accident record, or a driver's failure to stick to hours/records regulations or company handbook rules).

A record of any sanction or reward should be kept in a driver's personnel file. The aim of sanctions and rewards is to motivate and improve morale by showing that the employer cares about and notices good and bad performance. However, financial rewards should never mean that a driver can earn more money by breaking the law.

Remember:

- Any sanction/reward system should be explained to all staff **before** it is introduced.
- Rewards to staff can be given either collectively or individually, but sanctions (or penalties) should only be imposed **individually**.
- Payments relating to distances travelled and/or the amount of goods carried must not be made if they could endanger road safety or encourage infringement of the drivers' hours rules.

Saving fuel and protecting the environment

There are a number of government-recognised organisations that offer help and assistance in considering fuel consumption and protection of the environment.

Freight Best Practice is the new name for the Transport Energy Best Practice programme. Freight Best Practice is funded by the Department for Transport and managed by Faber Maunsell Ltd to promote operational efficiency within freight operations in England. Freight Best Practice offers free information for the freight industry, covering topics such as saving fuel, developing skills, equipment and systems, operational efficiency and performance management. The Freight Best Practice programme produces a guide entitled *Preventative maintenance for efficient road freight operations*, available to download free of charge from www.freightbestpractice.org.uk.

The Energy Saving Trust works to cut greenhouse gases and air pollution in the road transport sector. The trust promotes cleaner, lower-carbon vehicles and fuels, eco-friendly driving techniques and low-carbon transport alternatives.

FuelChamp provides a range of driver development and fuel efficiency advice services aimed at reducing the impact which the road haulage and passenger transport industry has on the environment. The FuelChamp service package includes the DfT-approved SAFED (Safe and Fuel Efficient Driving) programme, which has demonstrated average fuel savings of more than 10 per cent; a corresponding saving in fuel and reduction in carbon and CO₂ emissions; and a reduction in gear changes of 37 per cent. It is expected that SAFED, soon to be accredited, will qualify as a training module under the EU Training Directive requirements to be implemented in 2008 for buses and coaches and 2009 for LGV drivers.

Using agency drivers

When you need to use an agency to supply drivers, it is important to list all the conditions of the drivers' temporary employment in a binding contract with the agency. These conditions should include issuing instructions to the driver, using the vehicle and any equipment or property, and returning tachograph record sheets. You should also make sure you are happy that proper arrangements are in place at the agency for checking driver's licences and for you to personally check the supplied drivers' current

driving licences and driver smart cards (including access to the card to ensure adequate availability to conduct the duties you wish to assign to the driver).

Employment agencies are required to meet minimum standards of conduct established under the Employment Agencies Act 1973 and associated Regulations. The Conduct of Employment Agencies and Employment Businesses Regulations 2003 seek to protect those using the job finding services provided by employment agencies. The Regulations can be found on the Department of Trade and Industry (DTI) website at www.dti.gov.uk/employment/employment_agencies/index.html.

The DTI's Employment Agency Standards (EAS) Inspectorate is responsible for enforcing the legislation. EAS inspectors investigate relevant complaints concerning the conduct of employment agencies and visit agencies' premises, where applicable, to inspect their records. Anyone who has experienced a problem with an employment agency should contact the EAS helpline. The helpline number is 0845 955 5105.

There have been problems within the industry around the use of agency drivers. One problem is the failure of the agency (and the driver) to tell operators about recent work carried out by the driver that could result in a breach of drivers' hours regulations and adversely affect road safety.

Another problem is in securing the return of charts to the operator when agency drivers have been employed for driving duties – in future, this could also include the provision of digital data downloaded from driver smart cards.

Both of these issues should be written into any contractual agreement with an agency. The contract should also provide for you (as the operator) to request relevant information from the agency driver and to check the driver's tachograph record sheets and/or driver smart card to ensure that the driver has had sufficient rest and is able to legally carry out the required duties for you.

There should be contractual arrangements in place to secure the return of the record sheets and any printouts of data within the required period. Even with that arrangement, a situation might arise where

the original tachograph record sheets are not returned to the operator within the required time.

Therefore, we recommend that:

1. You (the operator) make a photocopy of the chart(s) of agency drivers and/or take a download record of the driver smart card.
2. The driver retain the original(s) in order to comply with Article 15(7) of EC Regulation 3821/85.
3. You (the operator) then seek to obtain the return of the chart from the driver or agency within the required period.

If the original tachograph record sheet cannot be produced, we suggest that (in the case of agency drivers), provided that the employer (the operator) can produce a photocopy and has taken all reasonable steps to try to get the original returned, this could provide evidence of 'reasonable excuse' under section 97A of the Transport Act 1968.

Section 99ZA of the Transport Act 1968 (in reference to the Inspection of Records and Other Documents and Data Relating to Recording Equipment) states:

- (1) An officer may, on production if so required of his authority, require any person to produce, and permit him to inspect, remove, retain and copy:
 - (a) if that person is the owner of a vehicle to which section 97 applies, any document of that person which the officer may reasonably require to inspect for the purpose of ascertaining whether the provisions of this Part of this Act have been complied with;
 - (b) any record sheet or hard copy of electronically stored data which that person is required by the Community Recording Equipment Regulation to retain or to be able to produce;
 - (c) any book, register or other document required by the applicable Community Rules or which the officer may reasonably require to inspect for the purpose of ascertaining whether the requirements of the applicable Community Rules have been complied with.

99ZD Offence of failing to comply with requirements or obstructing an officer

- (1) A person commits an offence if he:
- (a) fails without reasonable excuse to comply with any requirement imposed on him by an officer under any of sections 99ZA to 99ZC of this Act; or
 - (b) obstructs an officer in the exercise of his powers under section 99ZB or 99ZF of this Act.
- (2) A person guilty of an offence under subsection (1) of this section is liable on summary conviction to a fine not exceeding level 5 on the standard scale [currently maximum of £5,000].

Although section 99ZD makes no mention of a 'reasonable excuse', VOSA would, in cases involving agency drivers, treat each case on its merits. If you can produce a photocopy record and the Examiner can be satisfied that all reasonable steps have been taken to secure the return of the original record sheet, we may consider it inappropriate to prosecute you for failing to produce the original record(s).

We have produced a suggested procedure that can be followed when you employ temporary drivers, whether through an agency or not. We have also produced a questionnaire and declaration in conjunction with Warwickshire Police and the Trade Associations in 2002. It has since been approved by the Traffic Commissioners.¹¹

Using sub-contracted operators

It is part of any transport business's responsibility to make sure that all sub-contracted operators are fully licensed to operate their own vehicles and drivers. Quite often, sub-contractors are one vehicle owner-drivers who, partly because they do not like turning down opportunities, are vulnerable to overworking and cutting corners. This problem is not helped by a tendency for operators to give their more difficult journeys to these sub-contractors and, in some cases, to then shut their eyes to the consequences of possible offences being committed.

To avoid these problems, before sub-contracting work to another operator, you should make adequate enquiries about the sub-contracted operator's legality, suitability and reliability. You can do this by requesting that the sub-contracted operator sends you relevant references and details of their Operator's Licence. We also recommend that you draw up and sign a suitable contract.¹²

Finally, always treat the sub-contracted operator with the same respect you would expect yourself.

Working Time Regulations (application)

The Working Time Regulations 1998 were introduced in order to implement the EC Working Time Directive (93/104/EC) across Great Britain. The regulations set out minimum health and safety requirements for the organisation of working time. Non-mobile workers have to comply with all the provisions under those 1998 Working Time Regulations (as amended).

Then in March 2005, the Road Transport Directive (RTD) (2002/15/EC) came into effect for employee drivers and crew members when the Road Transport (Working Time) Regulations 2005 were introduced. However, these 2005 regulations will not come into effect for genuine self-employed drivers (as defined under the RTD) until **23 March 2009**.



How does the law affect me?

The 2005 Regulations (implementing the RTD) apply to employed drivers and crew of vehicles being used 'in scope' of the EC Drivers' Hours Regulations (3820/85/EEC or 561/06/EC) or the European Agreement Concerning the Work of Crews of Vehicles Engaged in International Road Transport (AETR).

The purpose of the RTD was to establish minimum requirements relating to the organisation of working time. In this way, the RTD will improve the health and safety of people performing mobile road transport activities, improve road safety and align conditions of competition.

¹¹ A sample questionnaire and declaration can be found in Annex 7A of this Guide.

¹² You can check the validity of an Operator's Licence with the Traffic Area Office. Alternatively, contact a VOSA Examiner if there are doubts over the validity of an Operator's Licence, or carry out a check at www.transportoffice.gov.uk.



How do the Road Transport

Drivers and crew of vehicles that are 'in scope' under EC Regulation 3820/85 (or 561/2006) or the AETR benefit from the provisions concerning paid annual leave and the right to health assessments for night workers.

Health assessments must be offered before a driver starts working nights and then on a regular basis. In addition, drivers must be requested to complete a questionnaire relevant to the type of night driving work to be carried out. If the answers in the questionnaire cast any doubts on a driver's fitness to carry out such night work, he/she must be asked to attend a medical examination.

The definition of self-employed drivers as it applies to the RTD is very narrow.¹³



How does the law affect me as a

To be a self-employed driver in the context of this directive, the driver **must meet all the criteria under the new regulations. For example, he/she must not be tied to one employer, he/she must have an amount of control over his/her own work and he/she must rely on profits directly from the work undertaken to provide an income.**

This means that drivers working for one operator but who are not on the PAYE (pay as you earn) system would probably not qualify as self-employed under this definition. This is because they are usually not free to work for others. Agency drivers are also unlikely to qualify as self-employed because they are usually paid by the hour and have no share of the profits from the work.

However, sub-contracted operators (i.e. sole trader owner-drivers with their own Operator's Licence) may be considered self-employed and may therefore be exempt from the RTD until 2009.

Other 'mobile workers' (i.e. employed drivers **exempt** from the EC Drivers' Hours Regulations (3820/85/EC or 561/2006/EC) but subject to the UK domestic regulations) can also now benefit from some of the provisions contained in the 1998 Working Time Regulations.



How do the Working Time

Mobile workers under domestic rules are subject to the 'working time limits' (maximum average 48 hours per week). Although they are excluded from the 'night work limits', mobile workers are entitled to 'adequate rest' (i.e. regular rest periods that are long and continuous enough that their (and anybody else's) health is not damaged).

There is an 'opt-out' for drivers in these regulations in relation to the average 48-hour weekly limit. The opt-out allows an employee to agree, in writing, to work longer hours. However, there is **no such opt-out in the RTD.**

Keeping records of employees' working time under the RTD

Records are normally kept by the employer. However, they will need to be kept by the agency if the driver has a contractual relationship with them (or is paid by them) rather than with the hirer.

¹³ See Annex 6A of this Guide for a summary of the RTD and Annex 6B for the RTD's definition of a self-employed driver.



How does the law affect me?

The 2005 Regulations state that employers must:

- be responsible for recording the working time of mobile workers;
- keep the records for **at least two years after the end of the period covered**; and
- upon request, give mobile workers copies of the records of hours worked.

In consequence of the introduction of the RTD and the subsequent Road Transport (Working Time) Regulations 2005, which allow the use of tachograph records to monitor working time, drivers now have to use the cross-hammers mode for 'other work' and only use the hatched box symbol for Periods of Availability (POAs) (when known in advance).

Alcohol and drugs

You may think that it is obvious to all staff that consuming alcohol or taking drugs before driving could have a catastrophic effect on the whole transport business. Nevertheless, it is very important for management to set out in clear terms to all employees the consequences of such actions and the sanctions (including possible dismissal) that will be imposed on anybody found to be using these substances.

We recommend that you introduce random alcohol and drug testing and develop such a policy in consultation with the workforce/trade union. When setting your policy for alcohol testing you should decide whether to use the UK legal limit or the lower limit considered safe in most European countries.

Drivers who start work early in the day are particularly at risk of having excess alcohol left in their system from the night before.

Driver fatigue

It is a concern of all responsible operators that one of their goods or passenger carrying vehicles could be involved in a fatal accident caused by an employed driver falling asleep at the wheel. Of course, sensible operators will do everything they can to avoid such disasters by implementing the monitoring systems detailed earlier in this Guide (see section 2) about drivers' hours and record keeping.

It is your responsibility as operator to be satisfied that your drivers are properly rested when they start work and that they do not become tired in the course of their driving duties.

There are several factors that may affect why drivers become too tired to drive safely. You may find it helpful to read the recent comprehensive study carried out by the Sleep Research Centre at Loughborough University, headed by Professor J. A. Horne.¹⁴

¹⁴ The study is summarised in Annex 4 of this Guide.

Section 4:

Vehicles (use, loading, etc)

Keeping your paperwork in order is essential for the efficient running of any transport business. This section offers best practice advice on keeping records on your vehicles.

Vehicle monitoring

We recommend that it is good practice to set up a filing system with a folder for each individual vehicle. The folder should contain all documents related to that vehicle such as plating and test certificates, registration document, tachograph calibration/two-year inspection certificates, etc.

We also recommend that you set up a forward planning system (manual or electronic) to store bring-forward dates about tests, tachograph inspection, Vehicle Excise Duty (VED) renewal, vehicle servicing, etc.¹⁵

You should also make sure that Operator's Licence discs on passenger vehicles are being used correctly. Discs should always be displayed on the windscreen of passenger vehicles whenever they are being used as Public Service Vehicles.

Driver defect reports

We recommend that you put a robust system in place to allow drivers to report immediately (both verbally and in writing) any defects relating to the vehicle, including problems relating to the functioning of the tachograph or speed limiter.

Your system should include a procedure to prioritise action on such reports, depending on the seriousness of the defect. For example, if there is a danger to road safety your procedure should enable the defect to be corrected as a matter of urgency. It also follows that when a very urgent repair or component replacement is needed, there should be a procedure to allow the vehicle to be taken off the road immediately –

preferably without disrupting the business (e.g. the facility to hire in a similar vehicle at short notice). This would allow the repair or replacement of the vehicle to be carried out by, and at the premises of, your transport business, or by an outside company at its premises.

You must write a report of the fault and of the correction made and keep this report with the other documents relating to that vehicle. We suggest you keep these records for at least 15 months. You might also want to consider asking drivers, when they carry out their pre-driving checks, to complete and sign a written report, or make out a nil report as appropriate.¹⁶



¹⁵ You can find more information on forward planning systems in *A Guide to Maintaining Roadworthiness*. You can order copies of the guide by visiting www.transportoffice.gov.uk

¹⁶ More details about defect reports can be found in *A Guide to Maintaining Roadworthiness*.

Load details (consignor, type, weight)

There are some types of journey (e.g. international) and some types of load (e.g. Hazchem) that, by regulation, require the driver to carry a considerable amount of information about the load. However, even when it is not mandatory, it is advisable for some details to be carried by the driver, especially details relating to the type and weight of the load, the name(s) and address(es) of consignors, passenger lists, pick-up points and delivery places. Carrying these details will save time for the driver and your transport business if an incident happens during a journey, or if the vehicle is subject to an enforcement check.

We recommend that you keep all the relevant details described above either in a register, as loose sheets or in electronic form, and that you have a system in place to keep that information safe and easily available for inspection.

Load safety

It is important that you make sure your vehicles are loaded properly and that drivers and all other staff involved in the loading of vehicles are fully trained. Insecure loads are an obvious danger to the general public, and overloading may make the vehicle difficult to control and therefore dangerous to road safety. Overloaded vehicles

may also damage road surfaces, buildings, bridges and other structures.

There are codes of practice about loading vehicles safely and weighing vehicles. Extracts of the codes are contained in this Guide,¹⁷ but we recommend that you keep copies of these codes for your managers, drivers and loaders to read.¹⁸

Severe weather warnings (high winds)

Large vehicles are at risk of being blown over when they are operating in conditions beyond their capability. This can cause severe road accidents resulting in serious injuries and death to not only the crew of your vehicle but also to other road users. With the possibility that climate change may make such severe weather conditions more common in the future, operators should be aware of any issued warnings in respect of high winds, etc., and act accordingly.

Such warnings are usually given well in advance by the Highways Agency, weather forecasters, police and the trade associations. To avoid the imminent danger, suggested measures include delaying vehicles before they leave base or, if they are already on the road, informing the driver of the problem so that the vehicle can be sheltered in a safe place such as a motorway service station.



¹⁷ See Annexes 3A and 3B of this Guide.

¹⁸ Copies of the codes can be ordered from www.tso.co.uk.

Section 5:

Compliance checks

Throughout this Guide we have referred to the possibility that your driver and vehicle (while on the road) may be subject to compliance checks by various enforcement agencies. But there are other driver and vehicle checks that may be made in an enforcement agency's office or at your business premises. This section explains most of the major compliance checks you may come across.

Roadside and port checks

Most enforcement agencies employ staff who carry out checks on vehicles and drivers at the roadside or at ports. Some of these checks involve staff from more than one agency. Several times a year, multi-agency road checks take place simultaneously at numerous sites nationwide.

The following list of government agencies explains their main duties and powers affecting road transport businesses. **Your driver may be checked on the road at any time by staff from any one of these agencies.**

Enforcement body	Scope/duties carried out
Vehicle and Operator Services Agency (VOSA)	<ul style="list-style-type: none"> • Checks on mechanical condition (including exhaust emissions), loading (including Hazchem and overloading), tachographs, speed limiters (using special testing instruments), drivers' hours and record keeping. VOSA has the power to prohibit a non-compliant vehicle and (from 2007) to issue a fixed penalty or prosecute a driver and/or operator. • Checks on licensing (Driver's, Operator's and Vehicle Excise), plating and testing, Certificate of Initial Fitness (COIF), permits and authorisations and on all mandatory documents carried by the driver. VOSA has the power to prosecute (or report for prosecution) a driver or operator, and to impound a goods vehicle (with its load) operating other than under the authorisation of an Operator's Licence. • VOSA's Examiners in England and Wales now have powers to stop vehicles. This is often used in conjunction with the automatic number plate recognition (ANPR) equipment. Examiners in distinctive uniforms and marked cars use these powers to stop and direct goods carrying vehicles and passenger carrying vehicles to a place where the vehicle and driver can be checked for compliance in relation to the items mentioned previously.

Enforcement body	Scope/duties carried out
Driver and Vehicle Licensing Agency (DVLA)	<ul style="list-style-type: none"> • Checks on vehicle excise licensing and driver licensing. DVLA has the power to prosecute.
HM Revenue & Customs (HMRC)	<ul style="list-style-type: none"> • Checks on fuel being used and on the load being carried in relation to any duty paid and legality (drugs, etc). • HMRC has the power to seize a non-compliant vehicle and load, and to arrest and prosecute the driver and/or operator/owner.
Local authorities' trading standards departments or environmental health departments	<ul style="list-style-type: none"> • Checks on weight of vehicle and on exhaust emissions. They have the power to prohibit a non-compliant vehicle and/or prosecute the driver and/or operator.
Department for Work and Pensions (DWP)	<ul style="list-style-type: none"> • Checks for fraudulent claims of benefits.
Health and Safety Executive (HSE)	<ul style="list-style-type: none"> • Checks on the type and content of loads, especially related to vehicles about to use tunnels, bridges, ferries and sea or air ports.
Police	<ul style="list-style-type: none"> • Checks on all aspects of a transport operation. They have many powers (including the power to stop, direct and prohibit vehicles and to arrest drivers). • Police officers are usually present to assist at the checks organised by the other listed agencies.

Checks on insecure loads and Hazchem vehicles

These checks can take place at any time and at any place where a vehicle is seen to be, or suspected of being, insecurely loaded. In extreme cases it is obvious that the load is insecure because an item falls off the vehicle, but in many situations a vehicle is seen with insufficient or loose restraints. Sometimes a vehicle is just not the suitable size or type for the goods (or passengers) being carried.

Specific checks are made on vehicles marked as, or suspected of, carrying hazardous goods (Hazchem) to make sure they carry the correct markings, driver testing and licensing paperwork, and emergency items.¹⁹

Checks on overloading

Checks on the train, gross or axle weight of vehicles are carried out at weighbridges or on portable weighpads at sites anywhere in Great Britain. The *Enforcement Weighing of Vehicles Consolidated Code of Practice* gives best practice advice for those carrying out enforcement weight checks to make sure the results produced are reliable. However, alternative methods, equipment and sites exist, so the Code does not prevent an enforcement officer from using alternative methods as long as a court can be satisfied that the results are accurate.²⁰

¹⁹ See Annex 3A of this Guide for a list of 'Dos and don'ts' taken from the code of practice on *Safety of Loads on Vehicles*.

²⁰ See Annex 3B of this Guide.

Graduated fixed penalty and deposit scheme

From 2007, Examiners will be able to issue a fixed penalty notice to a driver of a goods or passenger carrying vehicle who is found to be committing an offence. The powers for this were brought in by the Road Safety Act 2006 with the objective of creating equitable, proportional and efficient roadside enforcement and to eliminate discrimination. Previously, UK-based residents were regularly prosecuted for offences relating to current traffic legislation, whereas non-UK-based residents were mainly dealt with by means of prohibitions only and therefore usually escaped any further sanction.

Graduation of offences

Most offences that are considered suitable to be dealt with using fixed penalties (which include those that are endorsable) are graded in band levels in relation to the degree of seriousness and the potential impact that each may have on road safety. Drivers' hours offences and overloading offences are graduated in relation to the extent of the offending; so, for instance, a person exceeding the daily driving period by 30 minutes would receive a lower-level fixed penalty than one who exceeded the driving period by two hours.

Payment of a fixed penalty (UK address holders)

Any driver who gives a satisfactory UK address and accepts a fixed penalty notice will have 28 days to pay the penalty or to request a court hearing. If a driver fails to notify the VOSA Fixed Penalty Office of an intention to attend court or does not pay the fixed penalty fee within the allocated time limit, the fine will be registered with the local court where the notice was issued and the penalty will be increased by 50 per cent.

This is the same process as for the police's current fixed penalty system. In Scotland, non-payment of a fixed penalty will result in a case being forwarded to the Procurator Fiscal for consideration of prosecution. Payments can be made by debit/credit card, cheque or postal order.

More serious offences, such as those relating to fraud, will not be subject to fixed penalties and will continue to be liable for prosecution through the courts.

Deposits

A key aspect of this scheme is that it allows us to enforce regulations more effectively against drivers who cannot give a 'satisfactory' address in the UK, where it would be possible to serve a summons on the person. The result is that all drivers, regardless of their nationality, will receive the same sanction for the same offence, i.e. a fixed penalty or a court summons.

When a driver is unable to provide a satisfactory UK address, a deposit payment will be required that is equal to the fixed penalty amount. However, if the offence is deemed too serious for the offer of a fixed penalty, the driver will be required to pay a larger deposit against any future court fine. The deposit payments can be made by debit/credit card or cash in sterling or euros only.

The rights of appeal still apply to the driver, and any deposit will be refunded should the driver be found not guilty in court. Any refusal to pay the deposit will result in the vehicle being prohibited from continuing on the journey. These prohibited vehicles could also be immobilised until the deposit payment is received or the case disposed of by a court.

Tally points

All offences will also carry a tally points value, which will be held on the VOSA driver record. The system will operate in a similar way to the current driver's licence endorsable points system, with significant offending being reported to the Traffic Commissioners for consideration of disciplinary action against the driver's vocational licence.

Compliance checks at an operator's premises

The aim of the operator licensing system is to promote road safety through the safe and proper use of commercial goods and passenger carrying vehicles, to ensure fair competition within the industry and to protect the environment around operating centres.

Therefore it follows that, as someone holding an Operator's Licence, you should accept that compliance checks will be made not only on the road but also at your business's premises. Usually, Traffic and Vehicle Examiners employed by VOSA carry out these checks. It is the role of the Examiners to investigate on behalf of the Secretary of State and to support the operator licensing system.

The main checks made at an operator's premises are as follows.

Compliance item	Scope of check
Assessing facilities	Examining the operator's facilities, especially the arrangements for maintaining vehicles, parking vehicles and monitoring the work of the drivers.
Fleet and individual vehicle checks	Checking the roadworthiness of vehicles, including all mechanical aspects (such as emissions, tachograph and speed limiter equipment).
General document checks	Checking all documents, including vehicle maintenance records, driver's licences, plating, testing, speed limiter and tachograph calibration certificates.
Drivers' hours and record keeping checks	Checking all tachograph record sheets (charts), digital data taken and stored by the operator from digital tachographs and driver smart cards, manual record books, duty rosters, timetables, and any other document that can indicate adherence to drivers' hours regulations (including wage books, scheduling sheets and driver work/duty sheets).
Post-collision investigations	After fatal or potentially fatal collisions involving a goods or passenger carrying vehicle, VOSA Examiners will visit the operator of the vehicle to carry out investigations.
Monitoring working time	VOSA Examiners are responsible for investigating allegations by employees about breaches in the working hours and holiday conditions, as set out in the Horizontal Amending Directive (HAD) (2000/34/EC) of the EC Regulations on Working Conditions (93/104/EC) and on various aspects of the Road Transport Directive (RTD) (2002/15/EC).
Environment checks	Checking non-compliance with conditions relating to the use of the operating centre.

Types of operator visit (advisory, investigative and/or compliance)

VOSA has a legal duty to make sure that operators comply with the legislation surrounding the use of goods and passenger carrying vehicles. This relates particularly to goods and passenger carrying vehicle operator licensing, driver licensing, vehicle roadworthiness, drivers' hours of work and record keeping.

VOSA also has an important advisory and training role for transport businesses. In addition to providing seminars for operators and training courses for drivers and engineering staff, VOSA Examiners can be contacted to give advice on any compliance-related subject. Specialist advice is also available by contacting VOSA's helpline on 0870 606 0440.²¹

Advisory visits to new operators

Our Examiners visit, on an advisory basis, all transport businesses that have recently been issued with an Operator's Licence and that are therefore relatively new to the industry. The main purposes of this visit are:

- to educate and advise operators on all aspects of road safety legislation and to check that systems and procedures are in place for making sure the vehicles and drivers are properly monitored²² (the systems and processes are explained either in this Guide or in the VOSA publication *A Guide to Maintaining Roadworthiness*);²³ and

²¹ See Annex 13.

- to decide whether any shortcomings in your systems warrant a return visit, which will be carried out by either a Traffic or Vehicle Examiner (or both) within a few months.

The advice does not end on the day of the visit. You can contact your local VOSA office at any time to ask any transport-related question of Examiners or testing staff.²⁴

Other visits to operators

There are four other distinct categories of VOSA visits to an operator's premises:

- announced Vehicle Examiner visit (fleet and maintenance checks);
- unannounced Vehicle Examiner visit (spot checks);
- announced Traffic Examiner visit (follow-ups); and
- unannounced Traffic Examiner visit (documentation checks, usually in relation to drivers' hours).

Please note that unannounced visits currently make up a good proportion of all checks as these are necessary to give a true picture of fleet condition and/or driver compliance.

Service-level agreement

The levels of service that we supply to operators of heavy goods vehicles, trailers and Public Service Vehicles (PSVs) are set out in a document agreed by VOSA and the trade associations.

The document defines common principles committing both parties to the agreement to high standards of road safety and to ensure that heavy goods vehicles and PSVs achieve verifiable high standards of roadworthiness and compliance with drivers' hours, record keeping, loading and other appropriate road transport legislation.

Communication

We believe that clear and consistent communication with operators is important in maintaining standards and customer service, and we will seek to improve the timeliness and clarity of communication, addressing operators' need for enhanced communication on new requirements and legislation.

Minimum disruption

We recognise that enforcement activities can cause disruption to vehicle schedules. As a result, we will endeavour to keep delays of goods vehicles to a minimum and aim to:

- release buses and coaches carrying passengers or meeting a deadline within 30 minutes of being stopped, unless prohibition on the further movement of the vehicle has been issued or the driver has been cautioned for offences; and
- remove overloading prohibitions within 24 hours and roadworthiness prohibitions within three days of a request being made.

Visiting operators

VOSA recognises that traffic enforcement investigations at an operator's premises can cause some disruption to the regular working of the staff and will endeavour to minimise any resulting inconvenience. During such a visit the Traffic Examiner(s) may need to inspect documents to check whether you and your drivers are complying with the law. These may include charts and other relevant documents relating to drivers' hours, tachographs and speed limiter regulations.

Examiners are also responsible for checking that the Road Transport (Working Time) Regulations 2005 are being complied with and that the relevant agreements are being kept. Also, there may be inspections of documents relating to vehicle and driver licensing and vehicle records, including MOT certificates.

²² The statutory powers of VOSA Examiners are explained in Annex 2 of this Guide.

²³ Details of the checks carried out by Vehicle Examiners at operators' premises and elsewhere are fully explained in *A Guide to Maintaining Roadworthiness*.

²⁴ See Annex 13.

Our Examiners may from time to time require the removal of the tachograph sheets, data and other documents from the premises for inspection at their offices. This is done to avoid inconveniencing you by carrying out lengthy inspections on your premises. In these circumstances, the Examiner will issue a receipt for the tachograph charts and any other documents removed for examination (e.g. time sheets, wage sheets, work schedules, duty rosters, etc) and will allow photocopies to be made.

We will normally return all charts to you within three months, unless a prosecution or other action is to be taken. When this cannot be done, for example where there is a large investigation involving a significant number of drivers, we will inform you of the progress made and when you are likely to hear an outcome. In any case, you will always be informed of the outcome within six months.

Examiners also have an important advisory role to drivers and operators and have a special commitment to visiting new operators. You can use the opportunity to gain information and advice from the Traffic Examiner(s) during a visit, and it would be helpful if you co-operate throughout any investigation.

Quality assurance

We are committed to ensuring the effective management of enforcement and testing standards, training requirements and equipment through quality assurance arrangements.

Your co-operation

It is in your interest to co-operate with Examiners. Any operator who obstructs an Examiner's legitimate work is guilty of an offence, which may result in prosecution and the loss of 'good repute'. All of this may jeopardise your Operator's Licence.

When things go wrong

We aim to provide a high standard of service throughout the organisation but recognise that there are times when things go wrong.

Your complaints will be acknowledged within five days of receipt, and VOSA aims to reply in full within 15 working days, in line with our complaints policy.

All customers have the right to complain if they are unhappy with the service they receive. If you feel you have been unfairly treated, you should complain about the manner of the check and the Examiner's visit to the VOSA Area Manager at your Area Office, or you can complain to VOSA's Head Office in Bristol.²⁵

²⁵ Contact addresses can be found in Annex 13 of this Guide.

Traffic Examiners' checks concerning licences, drivers' hours/records and other documentation



How does the law affect me?

Operators must comply with European and domestic regulations on drivers' hours, drivers' licences and operators' licensing, as appropriate. You must also maintain equipment in working order and keep documentation relating to your drivers and vehicles. Tachograph charts and other records (such as duty rosters) must be kept for at least one year from the date of their use, and operators must carry out sample checks on them as often as necessary to monitor drivers' compliance.

A Traffic Examiner may inspect:

- **documents**, to check you are complying with various regulations at your premises and to see whether you and your drivers are complying with the law. These documents may include charts and other documents relating to drivers' hours, tachograph and speed limiter regulations, plus vehicle and driver licensing related documents and records such as MOT certificates.
- **tachograph charts and downloaded digital data at your premises**. If this is not possible or the Traffic Examiner suspects that an offence has been committed, the Examiner may remove the charts or a copy of the data for later analysis at a VOSA office. In these circumstances, the Examiner will tell you about his/her suspicions and allow you to photocopy the charts for your records. The Examiner will also give you a written receipt listing details of the tachograph charts, data, record books and any other documents removed for further examination (e.g. time sheets, wage sheets and work schedules).

Section 6:

Operator Compliance Risk Score (OCRS)

OCRS is a tool that VOSA has designed to assist our Examiners in the targeting process. It is a mechanism used to calculate which operators are most likely to be non-compliant when checked at the roadside. It will also be used in our offices to prioritise investigations of those operators most likely to be operating outside the law.

We use two methods to calculate an OCRS Index score. The two methods are:

- historical – using recorded data relevant to the operator; and
- predictive – used for operators with no recorded historical data.

How a historical score is calculated

The primary source for calculating a historical score is the data held and continually updated by VOSA. The roadworthiness score includes vehicle defects found at the roadside or at operators' premises and, in respect of those operating goods vehicles only, defects found at annual vehicle tests.

Offences resulting in successful prosecutions and VOSA advisory letters are included in the calculation of the Overall Traffic score. Also, 'clear encounters' are recorded in the data (i.e. when no defects or offences are found at a road check or testing station).

The following data is used in the calculation of a historical score:

- first/annual test data, including any defects resulting in a failure;
- fleet check vehicle inspections, including any prohibitable defects;
- roadside inspections, including any prohibitable defects;
- prosecutions and advisory letters held in VOSA's Prosecution and Legal Services (PLS) records; and
- checks/tests where no defects or offences are found are treated as a clear encounter.

In the future it may be that other factors are included in the OCRS score, such as fixed penalties issued in relation to an operator's vehicle or employed driver and the quality of the vehicle and driver monitoring systems that an operator has in place. However, you will be kept fully informed in respect of any item that will have an effect on your score.

How does the calculation work?

- Each vehicle encounter (roadside inspection, fleet check or test) is entered as one event.
- Each defect or offence is given a point rating, based on the severity of the defect or offence.
- All events with no defects or offences are treated as a clear encounter and carry zero points.
- The scoring mechanism calculates the average number of points per event, and this score is termed the 'Index score'. Similar operators, e.g. GB HGV, have their Index scores compared with each other and ordered by their level of compliance, giving a 'Relative score'.

How is the Relative score allocated?

The Relative score is allocated as follows:

- Operators with all clear encounters, a zero Index score, will have a Relative score of zero.
- The worst 10 per cent of operators with an Index score above zero will have a Relative score of 10.
- The next 10 per cent of operators will have a score of nine.
- This is repeated with every 10 per cent until the 'best' 10 per cent with an Index score above zero will have a Relative score of one.

The Relative score is given a colour code of red, amber or green. The current parameters for roadworthiness are green: 0 to 3; amber: 4 to 8 and red: 9 to 10.

How will the VOSA Examiner know an operator's Relative score?

The scoring process will be run weekly, allowing newly registered operators to be scored and to take into account any new vehicle encounters. The operator's Relative score will be made available to VOSA's Examiners at the roadside, displayed on a hand-held device with the OCRS field highlighted on the initial screen in the relevant colour.

The scores will be shown as R (red), A (amber) or G (green) and as a numeric value of 0 to 10. Operators who have a red or amber score are more likely to be targeted than those with a green score. However, this does not mean that operators with a green score will never be subject to checks. It does mean, though, that these operators will not be targeted on the basis of their OCRS score.

How can operators find out their score?

You can find out your OCRS score by requesting it in writing, quoting your Operator's Licence number. To comply with data protection, the request must be made on your headed notepaper and be signed by a responsible person. The score will only be given when VOSA is satisfied that you, the applicant, have a right to view the data.

The written request should be sent to:

The Vehicle and Operator Services Agency
Datacare Team
Welcombe House
91–92 The Strand
Swansea SA1 2DH

OCRS scores should not be disclosed to a driver at the roadside, unless the driver can prove that they are the sole proprietor or the operator of the vehicle.

How operators can improve their OCRS

You can improve your historical OCRS Index score by having a clear encounter, i.e. a test pass or a roadside check where no prohibitions are issued relating to defects or one where no offences are reported.

However, it should be noted that although you can improve the Index score by improving your performance, this does not guarantee that your overall relative score will be improved, as this is calculated by comparing operators with their peers. If comparable operators improve at the same rate, or better, then your relative score may remain the same or even reduce.

How a predictive score is calculated

As the predictive OCRS is calculated using the past performance of operators with similar characteristics, it is only used where we have no history of that operator.

As soon as we have a history for that operator, their OCRS score will become historical, based on their history of encounters with VOSA. Any operator with a red predictive OCRS score who subsequently has a clear encounter will automatically move to a green historical OCRS score.

Annex 1A:

The role of Traffic Commissioners

Traffic Commissioners are the licensing and regulatory authority for the goods vehicle and bus and coach industries. They carry out their licensing functions independently but they are supported by staff (provided by VOSA).



How does the law affect me?

Traffic Commissioners have the power to take regulatory action against operators ranging from the issue of a warning letter, suspension or curtailment of the licence, to revocation and disqualification.

Any such disciplinary action is likely to be considered at a public inquiry.

Traffic Commissioners are also responsible for considering the conduct of the holders of large goods vehicle and passenger carrying vehicle driving licences. Any action against the licence or any individual will only be taken after you or the individual concerned has had the chance to answer any allegations and put forward your account.

Public inquiries



How does the law affect me?

Traffic Commissioners may call you (as operator) to a public inquiry in relation to any of their statutory functions if they think it is necessary. These inquiries may be arranged if there is evidence of non-compliance with licensing requirements such as a breakdown in the maintenance systems, any breach in the conditions attached to your Operator's Licence, failure to adhere to undertakings given or where offences have been committed or convictions recorded. If convictions have been recorded you must notify the Traffic Commissioner in accordance with your licence conditions.

At a public inquiry, the Traffic Commissioner will listen to evidence given by VOSA Examiners and other witnesses, representations from you as the operator and, if relevant, your drivers or any other employees before they make any decision in respect of

Driver conduct hearings



How does the law affect me?

In relation to applicants for, and holders of, goods and passenger carrying vehicle driver licences, a Traffic Commissioner can 'call in' a driver to a hearing to consider his/her conduct.

Conduct is usually judged on convictions recorded in criminal courts but, in practice, any non-endorsable road transport offences or convictions (such as a breach of drivers' hours) which come to the attention of the Traffic Commissioner may also be taken into account when considering the conduct of the driver.

Appeals



How does the law affect me?

An applicant for, or holder of, an Operator's Licence may appeal to the Transport Tribunal:

- if he/she is unhappy with a decision made on an application for, or to vary, an Operator's Licence; or
- in connection with any disciplinary action taken by the Traffic Commissioner.

Any vocational driver aggrieved by a Traffic Commissioner's decision can appeal to a magistrates' court (in England or Wales) or a sheriff court (in Scotland).

Annex 1B:

Traffic Commissioner guidance for transport managers in the road haulage and bus and coach industries

Traffic Commissioners are concerned with making sure that their approach to all decision making is consistent. The case of transport managers is no exception. As a result, broad guidance is available (in the form of various policy documents) to staff on when to refer a proposed transport manager's case to the Traffic Commissioner for consideration and the circumstances in which a Traffic Commissioner may wish to consider the suitability of a proposed transport manager at a public inquiry.

The relevant factors will include:

- the number of Operator's Licences for which that transport manager will be responsible;
- the amount of time which the transport manager will spend in carrying out his/her duties for the operator;
- the number of operating centres and number of authorised vehicles for which the transport manager is responsible, both on that licence and any other Operator's Licences;
- the geographical location of the transport manager in relation to the Operator's Licence and the operating centres on that licence;
- any other employment or activities in which the proposed transport manager is engaged which may restrict his/her ability to devote sufficient time to the duties of a transport manager on that Operator's Licence; and
- the terms upon which the proposed transport manager is to be employed.

Please note: much of this information is already requested from applicants by VOSA Traffic Area staff.

Conclusion

The above guidance is not definitive but mirrors the concern of Traffic Commissioners to make sure that only people who can fulfil the statutory requirements for having 'continuous and effective responsibility' for the transport operations under an Operator's Licence are given the authority to fulfil those requirements.

Each case must be considered on its individual merits. If the proposed suitability of a transport manager is called into question, that person and the relevant operator will be given an opportunity to state their case at a public inquiry.

Annex 2:

VOSA Examiners (authorisation and powers)



How does the law affect me?

1. Warrants are issued by the Secretary of State for Transport to:

- Traffic Examiners (TEs) who tend to concentrate on driver documentation such as tachograph charts, driver's and Operator's Licences or other vehicle documentation such as plating and testing or insurance certificates; and
- Vehicle Examiners (VEs) who primarily concentrate on vehicle condition, inspection systems and maintenance records.

2. The warrant authorises an Examiner to:

- inspect any goods or passenger carrying vehicle and, for that purpose, detain the vehicle for as long as it takes to carry out the inspection. An Examiner may issue a prohibition notice to a defective vehicle which will be in accordance with VOSA's published *Categorisation of Defects*.²⁶ Also, an Examiner may prohibit a vehicle if the driver has contravened drivers' hours or record keeping regulations;
- ask the driver to divert up to five miles and to direct the vehicle to a suitable place of inspection or weighing;
- in certain circumstances (i.e. when a goods vehicle is being used by a known unlicensed operator), confiscate and impound the vehicle and its load. This is carried out together with the police;
- at any time which is reasonable given the circumstances, enter any premises on which the Examiner has reason to believe that a goods or passenger carrying vehicle is kept and inspect that vehicle;
- investigate an operator's vehicle inspection and maintenance system, including the engineering facilities and vehicle maintenance records;
- inspect tachograph charts, drivers' records such as driver's licences and drivers' hours related documents (e.g. payment records), and to remove those items where an offence is suspected; and
- instigate, on behalf of VOSA and the Secretary of State for Transport, prosecution proceedings in a magistrates' court.

²⁶ Copies are available from www.transportoffice.gov.uk

Powers to stop vehicles (accredited persons)

Some VOSA staff are 'accredited persons'.



How does the law affect me?

Accredited persons, when in uniform, have the power to order vehicles to stop for the purpose of carrying out compliance checks.



Annex 3A:

Load safety

We recommend that you follow the advice in the code of practice on *Safety of Loads on Vehicles* (third edition)²⁷ and that common sense should always prevail. As a responsible operator you should, at the very least, give your drivers and anybody else involved in loading vehicles the following advice from the code:

Do

- Check the weight of the load to be carried.
- Make sure that the vehicle is capable of carrying the size and type of load.
- Remember that the size, type and weight of the load will affect the handling of the vehicle.
- Check the load before moving off and whenever items are added or removed.
- Remember that loads can settle and shift during a journey causing lashings to slacken.
- Check the load at regular intervals and after heavy braking or sudden changes in direction.
- Make sure safe systems of work are devised and followed when loading and unloading vehicles.

Do not

- Overload the vehicle or the axles.
- Load the vehicle too high.
- Reduce the load on the steered axles by positioning the load too far back.
- Move the vehicle with any part of the load not restrained.
- Climb on the vehicle or its load unless it is essential and there is a safe means of access.
- Take risks.

²⁷ The full and latest edition of the code of practice *Safety of Loads on Vehicles* (third edition) can be ordered from The Stationery Office at www.tso.co.uk.

Annex 3B:

Enforcement weighing

The *Enforcement Weighing of Vehicles Consolidated Code of Practice*²⁸ is explained below.

The main aim of check weighing is to enforce GB law concerning weight limits. Weight limits exist to reduce damage to roads and bridges, to protect the environment, to improve road safety and to help ensure fair competition.

Vehicles may be weighed by either a VOSA Examiner on behalf of the Department for Transport (DfT), an authorised officer of a highway authority – normally a Trading Standards Officer (TSO) – or a police officer authorised by a Chief Constable.



How does the law affect me?

These officers have written authority to check and weigh vehicles and, as authorised officers, may require vehicles to be weighed at any time.

Drivers must comply with any lawful instruction given by an authorised officer.



How does the law affect me?

Failure to comply with an authorised officer's instructions will constitute an offence and may lead to prosecution of the offender.

It is the driver's responsibility to inform the authorised officer who requires the vehicle to be weighed of any unusual characteristics of the vehicle or load.

Vehicles that will receive special consideration include vehicles carrying:

- passengers (or a PSV meeting a deadline);
- livestock;
- perishables or loads which rapidly deteriorate;
- high value loads;
- dangerous loads;
- abnormal indivisible loads;
- loads sealed by Customs; and
- fluid loads.

²⁸ The full and latest edition of the *Enforcement Weighing of Vehicles Consolidated Code of Practice* can be ordered from The Stationery Office at www.tso.co.uk or from www.transportoffice.gov.uk

A vehicle may be directed some distance but the following applies.



How does the law affect me?

If a vehicle is directed more than five miles to a weigh site and is found to be **within** the permitted weight limits, certain provisions for payment of expenses may apply. The five mile distance is measured along a practical route on roads suitable for the vehicle.

If the weight recorded is **above** the permitted limit, the driver, or any other person who uses, causes or permits the use of the vehicle (which could include the consignor), may be liable for prosecution.

An authorised officer may prohibit movement of a vehicle if it is overweight. If this happens, a prohibition notice, which may contain particular conditions, will be issued to the driver with immediate effect. A copy of any prohibition notice issued will be sent to the owner or the operator of the vehicle, or the employer.

While a prohibition notice is in force, it is an offence for the vehicle to travel on a road. A prohibition notice must be cleared in writing by an authorised officer before the vehicle can proceed. The vehicle may have to be reweighed to establish that it is within the legal weight limits. An authorised officer has discretion to give a written direction that a prohibited vehicle may be moved to a place where it can be parked or where off-loading of excess weight may safely be carried out. Conditions may be imposed on this movement.

Where a prohibition is issued, it is the responsibility of the driver and his/her employer to make satisfactory arrangements for, and meet the costs of, the off-loading of the excess weight and the security and safe-keeping of any off-loaded goods. Authorised officers will make sure that prohibitions are removed as soon as reasonably practicable.

In the case of operator-licensed vehicles, any prohibitions should be notified to the appropriate Traffic Commissioner.

Annex 4:

Driver sleepiness

A recent comprehensive study was carried out by the Sleep Research Centre at Loughborough University. Professor J. A. Horne headed the Research Centre and we have reproduced some of the relevant findings below.

Although this report was commissioned by the Department for Transport (DfT), the findings and recommendations are those of the authors and do not necessarily represent the views of the DfT or VOSA.

Study (general summary)

- From accident surveys undertaken with many UK police forces we [at the Sleep Research Centre] have found that sleepiness accounts for 15–20% of accidents on monotonous roads, especially motorways. Typically, these accidents involve running off the road or into the back of another vehicle, and are worsened by the high speed of impact (i.e. no braking beforehand). Many of these accidents are work-related (e.g. truck, goods vehicle and company car drivers).
- The body's natural biological clock has a major influence on sleepiness, as these accidents peak around 02:00h–07:00h and 14:00h–16:00h, when daily sleepiness is naturally higher.
- Sleep-related vehicle accidents are more evident in young male drivers in the early morning and among older male drivers during the mid-afternoon, as the afternoon 'dip' tends to become more apparent as one gets older. Of course, young men are more likely to be on the road in the early morning. However, as the effects of sleep loss and sleepiness are more profound in younger than in older people, which young men tend to deny, they are at a much greater risk when driving during the small hours.
- Using a real-car simulator we have been undertaking laboratory studies of falling asleep at the wheel. In the earlier Phases 1 and 2 of this DfT-sponsored research programme we examined the process of falling asleep at the wheel and the extent to which sleepy drivers are aware of their sleepiness. We also evaluated practical methods for the driver to overcome sleepiness. Our methodology has been validated on a real driving track. We have shown that sleep does not occur spontaneously without warning, and is preceded by feelings of increasing sleepiness to the point that drivers who fall asleep would previously have reached the stage of 'fighting-off' sleep when they will try and keep themselves awake, for example, by winding down the window for cold air, turning up the radio, stretching at the wheel, etc. They must be aware of these acts and their sleepiness at the time. Nevertheless, after having fallen asleep at the wheel, drivers are unlikely to recollect having done so, and may even claim that it was an unforeshadowed 'sleep attack'. What many sleepy drivers do not appreciate is that sleep itself can ensue more rapidly than they imagine, and that their driving impairment is worse than they realise. Sleepiness can also cause mild euphoria and increased confidence in one's driving ability.
- Continuing to drive while sleepy, and relying on cold air to the face and turning up the car radio, are of limited benefit – effective for only a matter of minutes – sufficient only to enable the driver to find a safe spot to take a break. The fact that drivers are aware of their sleepiness underlies the decision of the DfT to instigate the erection of permanent signs on most motorways: 'Tiredness can kill – take a break.'
- In taking a break (e.g. 30 minutes), what should the sleepy driver do? We have found that exercise (e.g. brisk walking) is of little use. Short naps (less than 15 minutes) are very effective, as is caffeine (150mg – as in about two cups of coffee or two cans of 'functional energy drinks'). Better still, take this caffeinated drink and then take the nap. Caffeine takes 20–30 minutes to be absorbed and act on the brain; hence there is the opportunity for a nap. Caffeine (200mg) in

the form of a beverage is particularly good for the early morning driver who has had little sleep that night. These findings from Phase 1 and 2, concerning caffeine and naps, have been incorporated into the latest edition of the Highway Code.

Key findings

Our research at the Sleep Research Centre has indicated that:

- 1 Sleep-related vehicle accidents (SRVAs) are more likely to result in serious injury than the 'average' road accident.
- 2 Few accidents we investigated seemed to have alcohol as a contributory cause.
- 3 Men aged 30 years and under are more likely to have an SRVA, and seem to be at a higher risk.
- 4 Drivers from skilled manual occupations are also more likely to have an SRVA, probably because of a higher exposure to driving.
- 5 Driving between 02:00h and 07:00h presents a particular risk for SRVAs, as this is when one's 'body clock' is in a daily trough. There is another, smaller, trough between about 14:00h and 16:00h.
- 6 Low traffic density is probably not a major risk factor for SRVAs. It is the associated factors, such as driving in the early morning, during the 'trough', when traffic density also happens to be low.
- 7 About 40% of SRVAs are probably work related, inasmuch as they involve commercial vehicles (HGVs, light goods vehicles and vans, etc).
- 8 Sleepy drivers are aware of their sleepiness, particularly when they reach the stage of 'fighting sleep' (i.e. doing things to keep themselves awake, such as winding down the window).
- 9 Reaction time devices are of little practical use in detecting driver sleepiness.
- 10 Drivers already chronically, mildly sleepy (e.g. due to chronic levels of sleep disturbance or insufficient sleep) are more vulnerable to any transient, additional sleep loss, and may not so easily perceive this increase in sleepiness.
- 11 Caffeine (150mg) is an effective countermeasure to sleepiness, as is a short (less than 15 minutes) nap or doze. The two combined together (caffeine in the form of a caffeinated drink, then a nap) are particularly effective. The efficacy of these treatments will depend on the magnitude of the sleepiness. Even 'relaxing with the eyes closed' is worthwhile.
- 12 Sleep-related accidents should no longer be viewed as 'accidents' but as road crashes due to easily preventable human error.
- 13 We feel strongly that driver education, linked to greater public awareness of the potential dangers of sleepiness, together with greater employer responsibility with regard to their employees' fitness to drive, present the best approaches for reducing sleep-related crashes.

Annex 5A:

Passenger carrying vehicles: summary of type of use

Compliance needed in relation to licensing and hours regulations very much depends on the type and size of vehicles and on the way in which they are being used at any particular time. We have summarised the requirements below.²⁹

Vehicles adapted to carry not more than eight passengers



How does the law affect me?

You will normally only need a standard PSV Operator's Licence when the vehicle is used for hire or reward and then only when each passenger pays a separate fare (when it would need to display a PSV disc).

The requirement to hold an Operator's Licence will normally only relate to the use of a vehicle on a regular service, which may require registering with the Traffic Commissioner. The driver would be subject to domestic hours regulations but would not need to keep a record in the UK.

The driver does not need to hold a D1 or D category driving licence to drive such a vehicle for hire or reward.

Vehicles adapted to carry more than eight passengers but not more than 12 passengers



How does the law affect me?

An employee driving such a vehicle being operated under a permit by a public utility or services organisation is subject to the UK Domestic Rules.

Vehicles adapted to carry more than eight passengers but not more than 16 passengers



How does the law affect me?

You will normally need a standard PSV Operator's Licence whenever the vehicle is used for hire or reward and you must correctly display a PSV licence disc on the windscreen during any such use. However, up to two vehicles of this size can be used for hire or reward under a **restricted** PSV Operator's Licence by a person or company that is not in the business of carrying passengers in vehicles adapted to carry more than eight passengers (e.g. by a taxi firm).

The driver's licence entitlement would need to be either a category D1 (i.e. **without** a code 101 restriction stating 'not for hire or reward') or a category D. This would normally include drivers of vehicles used by recruitment agencies to transport temporary workers to factories, farms, etc, and vehicles used to take children to schools and commuters to offices, etc.

²⁹ More comprehensive information and advice on the subject can be found in the various guides listed in Annex 12 of this Guide.

From 11 April 2007, the EC Drivers' Hours and Record Keeping Regulations apply to the driving of these vehicles when being used commercially. However, until 31 December 2007, duty rosters and timetables can be used on a national regular passenger service exceeding 50 km on vehicles not equipped with a tachograph that has been fitted in accordance with Community Regulation (EEC) 3821/85. Also, if a vehicle currently not fitted with recording equipment and which was exempt from Community Regulation (EEC) 3820/85 but is no longer so exempt under Regulation (EC) 561/2006 of the European Parliament and Council (i.e. the new Drivers' Hours Regulations), you will have until 31 December 2007 to fit and use a tachograph.

A driver of a vehicle being used on a regular passenger service that does not exceed 50 km is subject to the domestic regulations while actually engaged on that service and no records are needed. Such a service would, in most instances, need to be registered with the Traffic Area Office in, or through, which it runs. Any queries should be made with that office.

Under EC Directive 56/2000, you must fit and use a tachograph on certain goods and passenger vehicles used for a driving test and first registered from 30 September 2003. Recording equipment only needs to be used for the duration of the actual test.³⁰

Voluntary groups, such as those dealing with education, religion and social welfare, may operate passenger carrying vehicles without the need for a PSV Operator's Licence as long as they do so on a non-profit making basis. In some cases, the group will need to apply for a permit issued under sections 19 or 22 of the Transport Act 1985. There are limitations to the use of vehicles under sections 19 and 22 and strict criteria must be met before they can be issued.³¹

Vehicles adapted to carry more than 16 passengers



How does the law affect me?

You will normally need a standard PSV Operator's Licence whenever the vehicle is used for hire or reward and you must correctly display a PSV licence disc on the windscreen during any such use.

The driver's licence entitlement would need to be a Category D.

The EC Drivers' Hours and Record Keeping Regulations apply to the driving of these vehicles and, until 31 December 2007, the use of duty rosters and timetables on a national regular passenger service exceeding 50 km.

Duty rosters (further information)

The operator has to draw up a service timetable and duty roster covering a period of at least the previous 28 days and the driver must carry an extract of the duty roster. Like tachographs and data, the duty rosters have to be kept for at least a year and produced to enforcement officers on request.

The journeys to which this applies are:

- regular national passenger services; and
- regular international passenger services whose route terminals are located within a distance of 50 km as the crow flies from a border between two member states and whose route length does not exceed 100 km.

³⁰ Contact the Driving Standards Agency (DSA) offices or visit its website at www.transportoffice.gov.uk for further information.

³¹ More information on passenger transport provided by voluntary groups can be found in VOSA guide PSV385.

Annex 5B:

Passenger carrying vehicles: definition of a regular service

The EC Regulation on common rules for the International Carriage of Passengers by Coach and Bus (EC Regulation 684/92 as amended by EC Regulation 11/98) says:

1. Regular services are services which provide for the carriage of passengers at specified intervals along specified routes, passengers being taken up and set down at predetermined stopping points. Regular services shall be open to all, subject, where appropriate, to compulsory reservation. The regular nature of the service shall not be affected by any adjustment to the service operating conditions.
2. Services, by whomsoever organised, which provide for the carriage of specified categories of passengers to the exclusion of other passengers, insofar as such services are operated under the conditions specified [in the previous paragraph] shall be deemed to be regular services.

Special regular services shall include:

- (i) the carriage of workers between home and work;
- (ii) carriage to and from the educational institution for school pupils and students;
- (iii) the carriage of soldiers and their families between their state of origin and the area of their barracks.

The fact that a special regular service may be varied according to the needs of users shall not affect its classification as a regular service.

Annex 6A:

Summary of the EC Road Transport Directive (RTD) (2002/15/EC)

The RTD applies to employee drivers of vehicles used 'in scope' of the EC Drivers' Hours Regulations, i.e. Community Regulation (EEC) 3820/85 and, after April 2007, (EC) 561/2006. The legislation that brings the provisions of the

RTD into force in Britain is the Road Transport (Working Time) Regulations 2005.

The following is a list of the main benefits to these drivers/crew members:

<p>Weekly 'working time'</p>	<ul style="list-style-type: none"> • This is restricted to a 48-hour week averaged over the relevant period. • Break periods and 'periods of availability' do not count as working time.
<p>Periods of availability</p>	<ul style="list-style-type: none"> • These include accompanying a vehicle on a ferry crossing and waiting for a vehicle to be loaded or unloaded. • These periods and their approximate duration must be known to the driver in advance (i.e. just before the start of the period in question).
<p>It is possible to work up to 60 hours in a single week</p>	<ul style="list-style-type: none"> • Provided that the average working time does not exceed 48 hours per week, it is possible to work up to 60 hours in a single week. • However, drivers will not be able to 'opt-out' of the average 48-hour weekly limit, even if they want to work longer.
<p>Night workers</p>	<ul style="list-style-type: none"> • Night workers are limited to 10 hours' work in each 24-hour period.
<p>Derogations</p>	<ul style="list-style-type: none"> • Derogations may be permitted from the 10-hour daily limit for night work.³² • The reference period for the 48-hour average week can also be increased from four to six months.
<p>Breaks and rest in respect of 'other work' and 'mixed work'</p> <p>Note: Where mixed driving and working is carried out, the EC Drivers' Hours Regulations on breaks (Regulation (EC) 561/2006) take precedence</p>	<ul style="list-style-type: none"> • Workers must have a break after 6 hours. • A break of 30 minutes is required for 6–9 hours' work (this is interpreted as meaning that a break of at least 15 minutes must be taken at the completion of 6 hours' work). • A break of 45 minutes is required for over 9 hours' work. • Breaks can be divided into 15-minute slots.

Rest periods will mirror those under existing EC Drivers' Hours Regulations (561/2006/EC).

³² The derogations and their extent are yet to be decided.

Annex 6B:

The EC Road Transport Directive (RTD) (2002/15/EC) and self-employed drivers

The RTD will apply to self-employed drivers from **23 March 2009** and, because the definition of a self-employed driver is a narrow one under this Directive, we have given it here in full.

The law states:

‘Self employed driver’ shall mean anyone whose main occupation is to transport passengers or goods by road for hire or reward within the meaning of Community legislation under cover of a Community licence or any other professional authorisation to carry out the aforementioned transport, who is entitled to work for himself and who is not tied to an employer by an employment contract or by any other type of working hierarchical relationship, who is free to organise the relevant working activities, whose income depends directly on the profits made and who has the freedom to, individually or through a co operation between self employed drivers, have commercial relations with several customers.

For the purposes of this Directive, those drivers who do not satisfy these criteria shall be subject to the same obligations and benefit from the same rights as those provided for mobile workers by this Directive.

Annex 7A:

Agency driver questionnaire and declaration

This is a suggested procedure to help you when employing temporary drivers:

- 1 Make sure the temporary driver fully completes and signs the questionnaire and declaration.
- 2 Keep a photocopy of the driving licence on record for **each** period of employment.
- 3 Carefully check licence groups for the class of vehicle intended to be driven.
- 4 Examine any tachograph charts and driver card data for the driver's current week.
- 5 At the end of the shift, make sure a photocopy of the day's chart is taken.
- 6 Follow up all photocopies of the charts for return of the originals and printouts or data to you within the required period.

Sample questionnaire and declaration to be completed by the temporary driver

Name of agency:

Name of driver: Date of birth:

Vehicle reg. no.: Date: Route no.:

Are you on the books of any other company or employment agency? Yes No

If 'Yes', give details:

.....

.....

When did you last finish work? (*enter date and time*):

When did your last weekly rest finish? (*enter date and time*):

Have you worked for any other company or carried out any other employment since your last weekly rest? Yes No

If 'Yes', which days (S/M/T/W/Th/F/Sat) and which company [did you work for] or [what] employment [did] you carried [carry] out?

.....

.....

.....

I understand the requirements of drivers' hours and tachograph legislation.

I understand the UK speed limits for large goods vehicles.

I agree to inform you of any reason why I should not undertake the work required in respect of statutory rest, driving duty, etc.

I agree to access to my driver card while I am working for this transport undertaking.

I agree to return ALL tachograph charts used on [at] work in accordance with the EC Regulations.

I understand the operation of the vehicle and undertake to leave it in the condition in which it was taken out. I will complete a Driver's Inspection Report.

I understand that the answers to the above questions are correct.

Driver's signature: Date:

Form to be completed by the transport manager or supervisor

Start time: Finish time: Total hours:

Above data checked from driver's charts and card Yes No

Driver's licence number:

Photocopy taken Yes No

Driver issued with new chart numbers:

Number of days driver employed:

Photocopy of charts taken at end of employment Yes No

Any other information:

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

Signature of manager/supervisor: Date:

Annex 7B:

Driver's licence checks

DVLA Swansea provides a service that will enable employers to verify a driver's entitlement to drive. This information can normally only be given to the record holder or his/her legal representative. However, a third party enquirer may apply for details providing the application is accompanied by a signed mandate from the licence holder, along with a fee of £5 (please check this amount with DVLA in case of fee increase).

Note: A document purporting to be a driver licence does not necessarily have to be forged for it to be invalid.

Some useful DVLA numbers:

08702 400 009 – For a driver to check details of his/her licence

09061 393 837 – For an employer to check licence entitlement (premium rate line, 49p per minute)

08708 501 074 – For digital smart card enquiries

A company can set up an account with DVLA and register as a user. They would then be able to check on all employees by faxing their requests to DVLA and following them up with a telephone call.

Provided the signed mandate is correct and contains the licence holder's personal details, which must correspond with the operator's and driver's records, the company will be able to confirm any driving details verbally and a printout of the record will be sent by first class mail within five working days.

To open an account with DVLA Swansea, write to the address below expressing your wish to open an account. Please enclose a cheque for £50 (please check this amount with DVLA in case of fee increase) made payable to DVLA. With each request for information, the fee of £5 will be automatically deducted from the account.

Data Subject Enquiries
Driver Customer Services
D4 North, DVLA
Swansea
SA6 7JL

Annex 8:

Speed limiters thresholds

Passenger vehicles with more than 8 passenger seats (bus)

Diesel/LPG/natural gas					
Vehicle size (gross design weight)	C&U reg 36A paragraph	First registered	Use	Date	Stabilised speed not to exceed
Not exceeding 5000	2B & 7	1 January 2005 and after	International National only	1 January 2005 1 January 2008	100 kph 100 kph
	2C & 7	1 October 2001 to 31 December 2004 (Euro III or later engine)	International National only	1 January 2006 1 January 2007	100 kph 100 kph
5001 to 7500	2A & 7	1 January 2005 and after	All	1 January 2005	100 kph
	2C & 7	1 October 2001 to 31 December 2004 (Euro III or later engine)	International National only	1 January 2006 1 January 2007	100 kph 100 kph
7501 to 10,000	2 & 7	1 January 2005 and after	All	1 January 2005	100 kph
	2 & 7	1 October 2001 to 31 December 2004	All	1 January 2005	100 kph
	2 & 7A	1 January 1988 to 30 September 2001	All	Existing requirement	Set speed of 100 kph
10,001 >	2 & 7	1 January 2005 and after	All	1 January 2005	100 kph
	2 & 7A	1 October 2001 to 31 December 2004	All	Existing requirement	Set speed of 100 kph
		1 January 1988 to 30 September 2001			

Passenger vehicles with more than 8 passenger seats (bus)

Petrol					
Vehicle size (gross design weight)	C&U reg 36A paragraph	First registered	Use	Date	Stabilised speed not to exceed
Not exceeding 5000	2B & 7	1 January 2005 and after	International National only	1 January 2005 1 January 2008	100 kph 100 kph
	2C & 7	1 October 2001 to 31 December 2004 (Euro III or later engine)	International National only	Not Required	
5001 to 7500	2A & 7	1 January 2005 and after	All	1 January 2005	100 kph
	2C & 7	1 October 2001 to 31 December 2004 (Euro III or later engine)	International National only	Not required	
7501 to 10,000	2 & 7	1 January 2005 and after	All	1 January 2005	100 kph
	2 & 7	1 October 2001 to 31 December 2004	All	1 January 2005	100 kph
	2 & 7A	1 January 1988 to 30 September 2001	All	Existing requirement	Set speed of 100 kph
10,001 >	2 & 7	1 January 2005 and after	All	1 January 2005	100 kph
	2 & 7A	1 October 2001 to 31 December 2004	All	Existing requirement	Set speed of 100 kph
1 January 1988 to 30 September 2001					

Passenger vehicles with more than 16 passenger seats (coach)

Diesel/LPG/natural gas					
Vehicle size (gross design weight)	C&U reg 36A paragraph	First registered	Use	Date	Stabilised speed not to exceed
7501 to 10,000	1 & 6	1 April 1974 to 31 December 1987	All	Existing requirement	Speed set at 112 kph
10,001 >	1 & 6	1 April 1974 to 31 December	1987	All	Existing requirement

Passenger vehicles with more than 16 passenger seats (coach)

Petrol					
Vehicle size (gross design weight)	C&U reg 36A paragraph	First registered	Use	Date	Stabilised speed not to exceed
7501 to 10,000	1 & 6	1 April 1974 to 31 December	1987	All	Existing requirement
10,001 >	Speed set at 112 kph	1 & 6	1 April 1974 to	31 December 1987	All

Goods vehicles

Diesel/LPG/natural gas					
Vehicle size (gross design weight)	C&U reg 36A paragraph	First registered	Use	Date	Stabilised speed not to exceed
3501 to 7500	1A & 9	1 January 2005 and after	International National only	1 January 2005 1 January 2008	90 kph 90 kph
	1B & 9	1 October 2001 to 31 December 2004 (Euro III or later engine)	International National only	1 January 2006 1 January 2007	90 kph 90 kph
7501 to 12,000	1A & 9	1 January 2005 and after	All	1 January 2005	90 kph
	1B & 8	1 October 2001 to 31 December 2004	All	Existing requirement	90 kph
	1 & 8	1 August 1992 to 30 September	2001	All	Existing requirement
96 kph	12,001 >	2 & 9	1 January 2005 and	after	All
	Existing requirement	90 kph	2 & 9	1 October 2001 to 31 December 2004	All
	Existing requirement	90 kph	2 & 9	1 January 1988 to 30 September 2001	All

Goods vehicles

Petrol					
Vehicle size (gross design weight)	C&U reg 36A paragraph	First registered	Use	Date	Stabilised speed not to exceed
3501 to 7500	1A & 9	1 January 2005 and after	International National only	1 January 2005 1 January 2008	90 kph 90 kph
	1B & 9	1 October 2001 to 31 December 2004 (Euro III or later engine)	International National only	Not required	
7501 to 12,000	1A & 9	1 January 2005 and after	All	1 January 2005	90 kph
	1B & 8	1 October 2001 to 31 December 2004	All	Existing requirement	96 kph
	1 & 8	1 August 1992 to 30 September 2001	All	Existing requirement	96 kph
12,001 >	2 & 9	1 January 2005 and after	All	Existing requirement	90 kph
	2 & 9	1 October 2001 to 31 December 2004	All	Existing requirement	90 kph
	2 & 9	1 January 1988 to 30 September 2001	All	Existing requirement	90 kph

Annex 9:

Vehicle testing (taking your LGV or PCV to a Test Station)

Before presenting your vehicle for test, you should make a booking with your chosen VOSA Test Station (TS). You can choose any TS and the booking can be made by phone, fax or letter direct to the TS or by contacting a central number.³³ You will need to tell the TS the vehicle registration number, vehicle class, number of axles and, for buses or coaches, the number of passenger seats in the vehicle.

Operators/presenters must ensure that the correct vehicle/trailer is presented or that any amendments are reported 24 hours before the test appointment. For 'slot' bookings, operators/presenters need to provide the station with a registration/identification mark at least 24 hours before test appointment (by fax, telephone or email). Operators/presenters must ensure that all outstanding fees are paid in advance – including retest and prohibition fees.

It is necessary, in most cases, to keep a tachograph record when driving a goods or passenger carrying vehicle to the Test Station.

At the Test Station

First, the presenter (driver) must park the vehicle in the designated area.

Vehicle presenters need to arrive at the appointed time (this will minimise the time that customers are on site and maximise the efficiency of our staff). Customers who arrive early may be asked to wait or leave the site and customers who arrive late could, in busy periods, be refused a test.

The appointment letter, plating certificate and last test certificate relating to the vehicle/trailer must be provided upon arrival. A test lane will be designated to the presenter.

He/she should then wait in the vehicle until an inspector directs the vehicle to be moved forwards. The inspector/tester will tell the driver what to do throughout the test, including asking the driver to carry out certain movements with the steering wheel and brake pedal. The driver must inform the inspector if he/she has never been to a Test Station before or does not understand the instructions.

Presenters must comply with our health and safety requirements by wearing a high visibility jacket while on site.

The test

The test consists of four parts:

Stage A: Topside (usually completed outside the test hall)

Stage B: Underside (carried out over the pit)

Stage C: Lights

Stage D: Roller Brake Test.



How does the law affect me?

One of the items included in the test is the functioning of the speed limiter. This test is carried out with a special instrument that, when connected to the tachograph, shows the accuracy of the maximum speed settings.

If the tester suspects that a vehicle submitted for testing is non-compliant, he/she will report the matter to VOSA for further investigation (e.g. vehicles claimed to be exempt from the need to fit or use tachographs).

³³ 0870 60 60 440.

The inspector/tester will inform the driver when the test is finished and direct him/her to a parking area. The driver should then return to the reception room and wait for the completion of the paperwork and for further information about the result of the test and any further action needed.

Failed tests and prohibitions (value points)

VOSA uses a reference table to allocate points to operators when their vehicles fail the annual test or when they have been issued with a prohibition.

Information about the points score is available to operators and Traffic Commissioners, who take it into account when action is considered at public inquiries.³⁴

Voluntary testing

You may take your vehicle, by appointment, for voluntary testing of brakes, headlamp aim and smoke emissions using the equipment used for statutory testing. There is a fee for voluntary testing but it will give you the opportunity to verify that the vehicles you use are roadworthy throughout the year. It is also a good way to monitor maintenance standards.

³⁴ See Annex 13 for the VOSA PSV and Goods Vehicle Centre address, or contact your local VOSA office.

Annex 10:

Countries subject to the EC Regulations and the AETR

The EC Regulations apply when travelling wholly within or between these countries

Austria
 Belgium
 Bulgaria
 Cyprus
 Czech Republic
 Denmark
 Estonia
 Finland
 France
 Germany
 Greece
 Hungary
 Irish Republic
 Italy
 Latvia
 Lithuania
 Luxembourg
 Malta
 The Netherlands
 Poland
 Portugal
 Romania
 Slovak Republic
 Slovenia
 Spain
 Sweden
 United Kingdom

The AETR rules apply to the whole of any journey if any part of it passes through any of these AETR countries

Andorra
 Azerbaijan
 Belarus
 Bosnia and Herzegovina
 Croatia
 Kazakhstan
 Liechtenstein
 Macedonia
 Moldova
 Norway
 Russia
 Switzerland
 Turkey
 Turkmenistan
 Uzbekistan
 Federal Republic of Yugoslavia

Annex 11:

Relevant legislation

The following is a list of relevant Acts and Regulations for reference. It should be noted that many of these Acts and Regulations have been amended several times by various Statutory Instruments, so it is not always very helpful just to read the original. You are advised to seek professional legal advice before acting on any original first edition text of this listed legislation.

- Transport Act 1968 (drivers' hours and record keeping)
- Road Traffic (Foreign Vehicles) Act 1972
- Public Passenger Vehicles Act 1981 (PSV operator licensing)
- Transport Act 1985 (minibus permits)
- EC Regulations 561/06 and 3821/85 (drivers' hours and tachograph regulations)
- Road Vehicles (Construction and Use) Regulations 1986
- Goods Vehicle (Plating and Testing) Regulations 1988
- Road Traffic Act 1988 (important enabling legislation)
- Health and Safety at Work Act 1974
- Work at Height Regulations 2005
- EC Regulation 881/92 (access to the market in the carriage of goods by road in the EC)
- Goods Vehicle (Community Authorisations) Regulations 1992
- Vehicle Excise and Registration Act 1994
- Goods Vehicle (Licensing of Operators) Act 1995
- Goods Vehicle (Licensing of Operators) Regulations 1995
- EC Directive 26/96 (access to the occupation of road transport operator) (as amended by EC Directive 76/98)
- Goods Vehicle Operators (Qualifications) Regulations 1999
- EC Regulations 2135/98 and 1360/2002 (digital tachographs)
- EC Directive 104/93 (Working Time) (as amended by EC Directive 34/2000)
- EC Directive 15/2002 (working time on road transport re. drivers 'in scope' of 3821/85)
- Road Traffic Act 1991
- Road Vehicles Lighting Regulations 1989
- Public Service Vehicles Accessibility Regulations 2000
- Road Vehicles (Authorised Weight) Regulations 1998
- Carriage of Dangerous Goods and Use of Transportable Pressure Equipment Regulations 2004
- Transport Act 2000

Annex 12:

Useful publications

All the following are available from VOSA.

Guides

A Guide to Maintaining Roadworthiness

Drivers' Hours and Tachograph Rules for Goods Vehicles in the UK and Europe (GV262)

Drivers' Hours and Tachograph Rules for Road Passenger Vehicles in the UK and Europe (PSV375)

A Guide to Taking Your Lorry Abroad

A Simplified Guide to Lorry Types and Weights

Goods Vehicle Operator Licensing – Guide for Operators (GV79)

Public Service Vehicle Operator Licensing – Guide for Operators (PSV437)

Passenger Transport Provided by Voluntary Groups Under the Section 19 or 22 System –

Guide for Operators (PSV385)

Local Bus Service Registration – Guide for Operators (PSV353A)

Flexible Registrations – Guide for Operators (PSV358A)

Manuals

Categorisation of Defects – Standards (primarily for use by VOSA Examiners) on the issue of prohibitions for roadworthiness defects on all classes of vehicles

HGV Inspection Manual – Inspection procedures and minimum roadworthiness standards for the statutory testing of vehicles

PSV Inspection Manual – Inspection procedures and minimum roadworthiness standards for the statutory testing of Public Service Vehicles

Codes of practice

Enforcement Weighing of Vehicles (consolidated: applying to the use of axle weighers that can be used conventionally or dynamically)

Safety of Loads on Vehicles (third edition)

Enforcement Checks on 'In Service' Passenger Vehicles

Annex 13:

Useful addresses

Many of these organisations carry out training services.

VOSA HQ

Berkeley House
Croydon Street
Bristol BS5 0DA

Tel: 0300 123 9000
Fax: 0117 954 3212
Email: enquiries@vosa.gov.uk

VOSA Operations

Ellipse
Padley Road
Swansea SA1 8AN

Tel: 0300 123 9000

VOSA website address

www.transportoffice.gov.uk

Website addresses of bodies responsible for trunk roads:

Highways Agency (England)
www.highways.gov.uk
Transport Scotland:
www.transportscotland.gov.uk
Transport Wales:
www.wales.gov.uk

Confederation of Passenger Transport UK

Drury House
34–43 Russell Street
London WC2B 5HA

Tel: 020 7240 3131
Fax: 020 7240 6565
www.cpt-uk.org

Freight Transport Association

Hermes House
St John's Road
Tunbridge Wells
Kent TN4 9UZ

Tel: 01892 552222
Fax: 01892 534989
www.fta.co.uk

Road Haulage Association

Roadway House
35 Monument Hill
Weybridge
Surrey KT13 8RN

Tel: 01932 841515
www.rha.uk.net

GoSkills

Sector Skills Council for Passenger Transport
Concorde House
Trinity Park
Solihull
Birmingham B37 7UQ

Tel: 0121 635 5520
Fax: 0121 635 5521
www.goskills.org

Skills for Logistics

14 Warren Yard
Warren Farm Office Village
Milton Keynes MK12 5NW

Tel: 01908 313360
Fax: 01908 313006
www.skillsforlogistics.org

Society of Operations Engineers

22 Greencoat Place
London SW1P 1PR

Tel: 020 7630 1111
www.soe.org.uk

Freight Best Practice

www.freightbestpractice.org.uk

Hotline Tel: 0845 877 0877

Energy Saving Trust

21 Dartmouth Street
London SW1H 9BP

Tel: 020 7222 0101
www.est.org.uk

FuelChamp

Priory House
60 Station Road
Redhill
Surrey RH1 1PE

Tel: 0800 783 7434
www.fuelchamp.co.uk

Offices of the Traffic Commissioners

Eastern

City House
126–130 Hills Road
Cambridge CB2 1NP

Tel: 01223 531001

North Eastern

Hillcrest House
386 Harehills Lane
Leeds LS9 6NF

Tel: 0113 254 3231

North Western

Suite 4–6
Stone Cross Place
Stone Cross Lane
Golborne
Warrington WA3 2SH

Tel: 01942 295021

South Eastern and Metropolitan

Ivy House
3 Ivy Terrace
Eastbourne BN21 4QT

Tel: 01323 452422

Western

2 Rivergate
Temple Quay
Bristol BS1 6EH

Tel: 0117 900 8523

West Midland

38 George Rd
Edgbaston
Birmingham B15 1PL

Tel: 0121 609 6820

Scottish

The Stamp Office
Waterloo Place
Edinburgh EH1 3EG

Tel: 0131 200 4926

Welsh (Cymru)

38 George Rd
Edgbaston
Birmingham B15 1PL

Tel: 0121 609 6820

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