



JAUPT AUDIT REPORT

Centre Name: Complete Tachograph Services	Audit Date: Saturday 10 September 2011
Centre Number: AC00665	Auditor: Pat Harrold
Centre Contact: Jermain Cox	Visit Type: Surveillance

Audit Summary

The trainer/ proprietor had delivered training to this customer last year and was well prepared with professional supporting materials. The ID checks were rigorous and to the letter and on identifying irregularities with an attendee these were dealt with in a professional way without embarrassment to the individual.

The session I observed went extremely well with a strong performance being given by the trainer; demonstrating her knowledge and experience. Information was clear and well put across with group and individual participations encouraged at every opportunity. The trainer is well versed in her knowledge of Daily Walk Round Checks and Safe Loading and the regulations associated with them.

The overall performance was excellent.

Audit Score – out of 15

15

- 12 -15 – fully compliant
- 9 – 11 – mainly compliant
- 1 - 8 – not compliant - follow up audit to be carried out

Audit Findings

Action Point	Minor/major/ obs	Timescale for completion
None		

Audit Matrix

T & C No	T & C Detail	Checked Y/N
I	Training centres must abide by the terms and conditions as stated in the guide to periodic training and comply with the Vehicle Drivers (Certificates of Professional Competence) Regulations 2007 (as amended) (SI No 2007/6051).	Yes
ii	If a training course fails to comply with all or any of these terms and conditions, the competent authority may remove or suspend the approval status of the training centre/relevant course.	Yes
iii	The competent authority reserves the right to revise these terms and conditions at any time with a minimum of three months' notice given in writing.	Yes
iv	Only those centres approved to provide periodic training are entitled to advertise their training provision as 'approved for Driver CPC'. Only approved centres are entitled to use the Driver CPC logo. The Driver CPC logo guidelines are available on the website www.drivercpc-periodictraining.org	Yes
V	Training centres must provide details of a named person who is responsible for this application. This named person should hold the position of the chief executive/person of comparable status of the training centre seeking approval.	Yes
vi	The chief executive (or person of comparable status) of the training centre seeking approval must sign this application signifying his/her acceptance of these terms and conditions on behalf of the training centre. Applications for approval must be made in writing using the application form.	Yes
vii	Training centres must have a specified business address, where training records are kept securely and for a period of at least six years.	Yes
viii	Training centres must provide a single named contact whom JAUPT should contact in relation to this application.	Yes
ix	Training centres may operate more than one site. Each site must have a separate specified address. PO boxes are not acceptable for this purpose.	Yes
X	Where training centres operate at more than one location, the approved centre must ensure that all terms and conditions are met at each location. If any irregularities are identified at any site, the competent authority may remove or suspend the approval status of the training centre and its sites.	Yes
xi	On request, training centres must advise JAUPT of any training course scheduled for delivery. The name of the course and the trainer who will deliver the training should be provided.	Yes
xii	Only courses that have been approved by JAUPT count towards periodic training and must be delivered in accordance with the course approval.	Yes
xiii	The content of courses must be relevant to the syllabus as listed in Annex 2.	Yes
xiv	Training centres must have sufficient IT capability to enable them to access and update the Driver CPC recording & evidencing (R&E) database via a secure website. Fees associated with this process must be paid by credit/debit card or (by prior arrangement with DSA) via a pre-funded account. NOTE: Details of how to set up a pre-funded account are available via www.businesslink.gov.uk/cpctrain where guidance, application forms and terms and conditions can be downloaded.	Yes
xv	Training centres must update the Driver CPC R&E database on courses delivered within five working days of the end date of the course.	Yes
xvi	Training centres must have adequate procedures in place to monitor and securely manage user names and passwords for the Driver CPC R&E database. If any irregularities are identified at any site, the competent authority may remove or suspend the approval status of the training centre and its sites.	Yes
xvii	Training centres must, on completion of a course, issue all drivers with proof of attendance which details the amount of periodic training received during the course. Any fraudulence could result in the removal of approval status of the training centre.	Yes

Audit Matrix

T & C No	T & C Detail	Checked Y/N
xviii	All attendees must complete the course during its period of approval in order for that training to be counted for periodic training purposes.	Yes
xix	If a training centre applies to have a course re-approved within a five-year period of its initial approval period, the course will be subject to the re-approval process.	Yes
xx	If a course approval is allowed to lapse for a period of five years or more, it will be necessary for the training centre to make a new application for approval.	Yes
xxi	The annual course re-approval should take place at least one month before the course expiry date in order for the course to retain its approved status. A reminder will be sent out by JAUPT 60 days before the expiry date of the course to be reapproved.	Yes
xxii	The competent authority or his/her representative reserves the right to visit an approved training centre at any reasonable time without prior notice.	Yes
xxiii	As part of any audit visit, the competent authority or his/her representative shall be entitled to observe any approved training course.	Yes
xxiv	Training centres must maintain an up-to-date list of all trainers engaged to deliver training at each centre. This should be supported by documentary evidence of the trainer's appropriateness to deliver periodic training (including details of those trainers no longer employed). The training centre should maintain records of the courses which each trainer can deliver at each centre. Records should be retained for a period of at least six years.	N/A
xxv	Training centres must continuously hold the appropriate insurance cover for their business.	Yes
xxvi	Each vehicle used for training must have a current MOT (where applicable), valid insurance and be covered by an appropriate maintenance schedule.	N/A
xxvii	All appropriate policies, as identified in Annex 3, section D, must be in place – Quality Assurance, Equal Ops, Data Protection, H & S, Trainer Standards/Development.	Yes
xxviii	Training centres using premises provided by others (eg customers) for training must ensure the training environment – including premises, resources, equipment etc – meets requirements. Trainers should ensure, ahead of the training delivery, that all Directive requirements can be met.	Yes
xxix	Training centres must carry out identity checks in order to verify the identity of each participant on a course. These checks must be carried out before the course commences. This requires a visual check of an acceptable form of identification of either a photo card and counterpart driving licence or a valid passport and 'old style' paper driving licence.	Yes
xxx	Training centres must put in place an auditable process to ensure and confirm, within reason, the identity of the person attending the training course. Failure to have such a process could lead to removal or suspension of their approved status.	Yes
xxxi	Training centres must ensure that any person driving a vehicle as part of a practical training exercise has an appropriate licence authorising him/her to drive a motor vehicle of a class included in the category in respect of which the practical training is to be delivered.	N/A

Detail of audit

Section One – Policies, procedures, management, ID checks

Evidence	Action Point or obs
<p>Centre keep all records in lever arch files in date order, I saw records from: 21/12/09 to 8/5/10 - 15/05/10 to 11/12/10 and 2011 Records from each course were held in plastic sleeves and contained the following:</p> <p>Candidate registration document signed and checked by trainer. DSA payment confirmation. Feedback sheets</p> <p>There was also a CD which contained records of the following: Joining instruction letters to companies Copy of attendees certificates Invoice records</p> <p>Policies/Procedures: I saw the following Quality Procedure/ Policy Data Protection Policy add Fair process Notice dated 25/09/09 Equal Opportunities Policy 25/09/09 Quality Assurance Statement for Training Sites Health and Safety 25/09/09</p> <p>XXV certificate of employers liability GMTM295358XB Expiry 22/09/11</p> <p>Centre approval dates: AC00665 21/10/09 – 19/10/14</p> <p>Course approval dates: CRS1394/665 LGV Driver Essentials 30/11/10 – 29/11/11 CRS2816/665 Daily Walk Round Checks, Defect Reporting & Safe loading 17/12/10 – 16/12/11</p> <p>The trainer is also the proprietor of the company and offers CPC training as an add on to her core business of tachograph analysis.</p> <p>ID checks were carried on the 11 attendees in accordance with jaupt terms and conditions, there was a rigorous check of photocard and counterpart of licence against the attendance register, the trainer identified that one attendee did not have counterpart of driving licence and he was asked to leave.</p> <p>Once training has been agreed the trainer sends out to customer a letter of confirmation. I was able see copies of the following; Letter dated 25/03/10 to Thomas Haulage details of course held on 17/04/10 course CRS1394/665 which gave venue and course details and clearly stated jaupt terms and conditions for ID checks including in bold text that the course was for 7 hours duration. The letter also stated NO LATE ARRIVALS under any circumstances.</p> <p>Letter dated 11/03/10 to Aldermaston Recycling CRS1349/655 Letter dated 11/08/11 to LA Lockhart Plant Hire Ltd. CRS2816/655 Letter dated 10/08/11 to J McArdle Contracts Ltd. CRS2816/655</p> <p>All customers had a separate file</p> <p>I was able to see feedback form from the following courses; 21/09/09 - 11 drivers 10 feedback sheets positive comments score 4/5 22/02/10 - 15 drivers 15 feedback sheets positive comments score 4/5 24/07/10 - 17 drivers 17 feedback sheets positive comments score 4/5 05/01/11 – 7 drivers 7 feedback sheets no comments score 4/5 12/03/11 - 17 drivers 17 feedback sheets no comments score 4/5 04/06/11 – 13 drivers 13 feedback sheets positive comments score 4/5</p>	

<p>11/06/11- 11 drivers 11 feedback sheets No comments score 4/5</p> <p>Attendance certificates are forwarded to the company within 7 working days of course. I saw a copy of attendance certificate and confirm that it meets jaup terms and conditions. I saw copies of certificates for the following attendees:</p> <p>David Coleman 11/06/11 Michael Bagg 04/06/11 Paul Errington 04/06/11 Trevor Follington 04/06/11 Michael Woodley 12/03/11 Joe Caple 12/03/11</p> <p>Procedure for uploading DSA R&E database documented and password has restricted access to the trainer only.</p> <p>There were copies of all centre documentation and course programme details for both programmes in files.</p>	
<p>AUDIT SCORE (OUT OF 5)</p>	<p>5</p>

Section Two – Course Delivery, Accommodation, Training Aids

Evidence	Action Point or obs
<p>Trainer: (1)</p> <p>The company boardroom was used to deliver the training, very businesslike and professional. The room had been prepared for delivery of the course. which included an A4 spiral bound presentation manual containing a full printout of the PowerPoint presentation slides, inserted into the first page was the "Fair Processing Notice".</p> <p>The trainer had a list of the 11 attendees however only 10 were present. On following the centre ID checks procedure the trainer identified that one of the attendees did not have his counterpart of his driving licence the trainer explained that unfortunately he would not be able to attend the training and was asked to leave.</p> <p>The attendee who was missing had not arrived by the official start time of the course, this the trainer explained to the other attendees and gave just a few minutes before starting the course.</p> <p>Following the safely briefing the attendees were told of the purpose of the training and the objectives of the day together with the timings of the course and breaks, the trainer recapped on the previous course from last year. The trainer stated that there was no exam however there was a quiz to ensure that they had understood the objectives of the course.</p> <p>The trainer introduced herself and spoke openly and honestly explaining her knowledge and experience with digital tachographs and what training she had completed in order to deliver the CPC training.</p> <p>The trainer was confident and clearly was at ease delivering this course and knew the course content without needing to refer to notes. There were various styles of questions and all attendees were asked questions individually and were encouraged to participate in all discussions. The trainer had various statistics on infringements and fines for drivers which was very useful. Attendees were advised of websites where they could keep up to date with changes in legislation.</p> <p>The room was well ventilated and air condition, there was noise of aircraft form Heathrow Airport however this did not seem to bother the attendees and they stated they were oblivious to it.</p>	
AUDIT SCORE (OUT OF 5)	5

Section Three – Trainer, Competence, CPD

Evidence	Action Point or obs
<p>Trainers approved to deliver training (1)</p> <p>Jermain Cox: RHA Driver Essential Course Trainer Certificate 03 – 07 August 2009 RHA Daily Walk-Round Checks, Defect Reporting& Safe Loading Seminar 08/10/09 RHA Managing Your Operators Licence Seminar 15/12/09 RHA Daily Walk Around Checks & Safe Loading of Vehicles Seminar 24/11/10 FTA Digisimulator Workshop for Managers Course 09/08/06</p> <p>CPD I saw updates from RHA in personal file. The trainer keeps herself updated with information from RHA and industry websites.</p> <p>The trainer had a wealth of training delivery experience and 6 years experience in analysing digital tachographs.</p> <p>The trainer is planning to complete CPC refresher course shortly with RHA.</p>	
<p>AUDIT SCORE (OUT OF 5)</p>	<p>5</p>

Section Four – Feedback from Course delegates/Comments from Centre**Comments from Delegates**

I was able briefly to speak with a couple of attendees who stated that they were enjoying the course and there was some useful and interesting information from the trainer and she was good at what she did.

Comments from Centre**Action Point
for JAAPT or
DSA**