Site Assessment Report – Risk Scoring (Reference Guide)
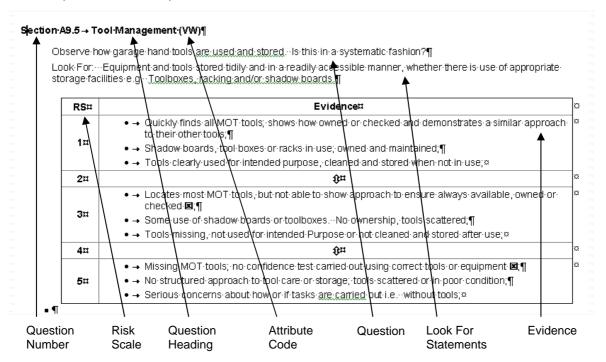
CONTENTS

INTRODUCTION

This Site Assessment Report – Risk Scoring (SAR-RS) guide is a reference document designed to provide support regarding the completion of the risk based questions contained in the VT56 Site Assessment Report (SAR). The SAR is a critical component of the overall VTS scoring process which the VE uses as an aide memoir and to allocate risk scores against specific questions that relate to the VTSs risk of non-compliance.

SECTION A1   How to Use this Document

The document structure compliments the SAR in terms of section layout and question flow. All the risk-based questions and instructions are supported by the risk assessment criteria in the SAR-RS, the VE will use this as a reference guide to ensure accurate and consistent scoring. Note: Not all the questions, within the SAR-RS, require verbal confirmation, if the response would be self evident from visual references the VE can opt to use this evidence to risk score the question.

The example below shows a question taken from the SAR.

| Question Number | Risk Scale | Question Heading | Attribute Code | Question | Look For Statements | Evidence |

Tool Management is item five of Section A9 (Nominated Tester (Quality Controller), Workshop and MOT Activities) and is an example of a very specific element of the Visual Workplace (VW) risk attribute that is assessed and scored during a VTS assessment. The Attribute Code abbreviation appears at the end of each section heading to aid the scoring and feedback process.

The VE uses the SAR, which lists specific questions in the order of the natural flow of an assessment around the VTS (not in attribute order), as an aide memoire.

Moving down the table above in rows, the key features of the detailed maturity matrix that supports the 'Tool Management' question are:

- 'Look for' Statement: the text identifies the specific aspects (of in this case Tool Management) to which the assessor will allocate a risk response;
- 'Evidence': this is the heading for the scale of risk responses that are shown below;
- Risk Scale and supporting text: the scale and supporting text shows the assessor an increasing scale of risk from low risk (risk score 1) on the left, to high risk (risk score 5) on the right. The text reminds the assessor of key examples of behaviours, physical evidence and/ or indications that justify and validate the chosen risk rating.

Note: Evidence criteria shown in the tables which may be an example of non-compliance are identified with a (☒).

Section A9 contains a number of questions that provide the VE with the opportunity to assess whether the systems and processes described for managing the site are effective. If evidence suggests that systems and processes are not effective this will affect the risk score given against the corresponding Responsible Person question.

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Section A1.1   Site Assessment Attributes of Non-Compliance

Attributes of non-compliance are the common factors associated with non-compliant VTSs. These factors fall in to nine categories, as listed in the table below. They are derived from a detailed exploration, development and grouping of common factors and motivators exhibited by non-compliant VTSs. The underlying principle is that if a VTS is found to exhibit these attributes then inferences could reasonably drawn about that VTS in terms of the risk of non-compliance with the MOT Scheme. This approach has been tested and found to be statistically valid.

As part of the Site Assessment visit the VE will be required to make recommendations about how the AE could improve/maintain his risk score. Such recommendations should be recorded at attribute level at Section B2 of the Site Assessment Report. The table below sets out which risk questions are associated with each attribute.

Code	Attribute	Question
AE	AE Competence and Integrity	A8.1-A8.5, A7.11
CB	Customer Base	A7.18
CF	Commercial Factors	A7.12, A7.13, A7.14, A7.15, A7.16, A7.17, A9.10, A9.11
CM	Customer Management	A6.2, A6.3, A6.4
DM	Documentation Management	A5.3, A5.4, A6.1, A7.3, A7.4, A7.5, A9.7, A9.8, A9.9
EM	Equipment Maintenance	A7.2, A7.8, A7.9, A9.6
IF	Infrastructure and Facilities	A4.1, A6.5, A7.10
NT	Nominated Tester Competence and Integrity	A10.1-A10.5 and optionally A11.1-A11.5
VW	Visual Workplace	A7.6, A7.7, A9.3, A9.4, A9.5

Section A1.2   Completing the SAR

This form is divided into two separate parts. Part A is used by the VE as an aide memoire during the visit whilst. Part B is used by the VE to summarise the visit to the Responsible Person.

Part A.

Section 2 is used to make pre-visit preparation notes from MOT Reports.

Section 3 contains a disciplinary assessment that must be carried out as part of the pre-visit preparation. The number of unspent AE Formal Warnings and/or Short Term Cessation letters at the VTS (including a nil assessment) must be recorded by circling the correct number in the column headed 'Number'. If the number exceeds 3, circle 3+. If an error is made put a line through the incorrect number and circle the correct number.
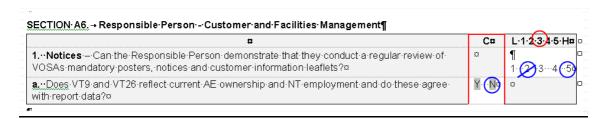
Sections A4-A11 contain risk based questions which must be scored between 1 and 5 (high risk equaling 5) under columns headed L-H. Section A4-A11 also includes compliance reminder questions under columns headed C. These are answered either Y (Yes) or N (No). If the answer is N then a corresponding shortcoming must be noted in Section B3 and / or B4.

Circle answers in the specified columns and if a scoring error is made put a line through the incorrect score and circle the correct score as shown in the example below.

Part B.

Part B should be used to record compliance shortcomings noted during the visit and feedback given about improving risk scores and must be signed by the Responsible Person before leaving site. A copy of Part B must always be left at the VTS.

Both Part A and Part B must be retained on the VTS file at the VOSA Office.

SITE ASSESSMENT REPORT

SECTION A2   Pre-Visit Preparation - Reports

MOT reports combined with information from the VTS and NT Files will enable the VE to gain an overview of the MOT operation at a VTS before conducting a site assessment. The VE may discuss identified anomalies with the Responsible Person.

Use the Notes column to write a brief description against the appropriate reference. E.g. If NT (BLOG0001) has an abnormally high fail rate compared to the national average, in the note column the VE may record "BLOG0001 fail rate at X%".

SECTION A3   Pre-Visit Preparation – Disciplinary Assessment

Section A3.1   Formal Warnings for test standards and/or procedures

What is the number of unspent AE Formal Warnings at this VTS issued as a result of incorrect test standards and/or shortcomings in test procedure?

Look for: Examine the VTS file and look for unspent Formal Warning letters issued to the AE and/or previous AE with continuity resulting from any of the following activities: MS; MSD; VT55; MCS/VT55R; VT19I; VT19; SI; demonstration test.

Section A3.2   Formal Warnings for Scheme Administration or other non-test reasons

What is the number of unspent AE Formal Warnings at this VTS issued as a result of Scheme Administration shortcomings or other non test standard/procedural reasons?

Look for: Examine the VTS file and look for unspent Formal Warning letters issued to the AE and/or previous AE with continuity resulting from any of the following activities: SA/VT25; DSV/DSA/VT50; failure to notify change in constitution of AE; conviction/repute.

Section A3.3   Short Term Cessation letters for test standards and/or procedures

What is the number of unspent AE Short Term Cessation letters at this VTS issued as a result of incorrect test standards and/or shortcomings in test procedure?

Look for: Examine the VTS file and look for unspent Short Term Cessation letters issued to the AE and/or previous AE with continuity resulting from any of the following activities: MS; MSD; VT55; MCS/VT55R; VT19I; VT19; SI; demonstration test.

Section A3.4   Short Term Cessation letters for Scheme Administration or other non-test reasons

What is the number of unspent AE Short Term Cessation letters at this VTS issued as a result of Scheme Administration shortcomings or other non test standard/procedural reasons?

Look for: Examine the VTS file and look for unspent Short Term Cessation letters issued to the AE and/or previous AE with continuity resulting from any of the following activities: SA/VT25; DSV/DSA/VT50; failure to notify change in constitution of AE; conviction/repute.

Note: Formal Warnings and Short Term Cessation letters resulting from a combination of incorrect test standards/procedure and Scheme administration issues should only be counted once as a Formal Warning or Short Term Cessation for test standards and/or procedures.

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SECTION A4   Arrival – Initial VTS Appraisal

Section A4.1   Forecourt Areas (IF)

Are the forecourt and frontage areas of the VTS well maintained and adequate off road parking available? How do you ensure the forecourt areas are appropriately maintained?

Look For: Forecourt and roadway condition and defined roles or procedures to maintain a high standard (in context). Presence and condition of mandatory and other signage.

RS	Evidence
1	- Structured checking, cleaning, defect reporting approach shown; - Maintenance history recorded or upkeep monitored; - Customer parking and all signage exemplary;
2	⇕
3	- Ad-hoc checking, cleaning, defect reporting; - Some evidence of upkeep monitoring; - Customer parking or signage in poor condition ☒;
4	⇕
5	- No checking, cleaning, defect reporting; - No upkeep recorded or evidenced; - Customer parking or signage missing ☒;

SECTION A5   Responsible Person - Introduction and the VTS Device

Section A5.1   Instruction

The VE will ask to see the person holding the role of Responsible Person and explain to them the purpose of the visit. The visit will be conducted with the minimum amount of impact possible on the operation of the site however; in conjunction with the Responsible Person the VE will require access to the VTS Device, MOT Documentation, the NT (who holds the QC Role) and selected areas of the site.

Section A5.2   VTS Device

These are compliance questions and therefore no risk score is attributable.

Section A5.3   Smart Cards (DM)

How are the Smart Cards looked after?

Look For: Evidence that Smart Cards are secure at all times and whether they are used as specified within the MOT scheme rules.

RS	Evidence
1	• Robust Smart Card security policy is described; • Selected Responsible Person shows good understanding and recognition of the policy's importance; • Responsible Person shows as robust an approach for the spare Smart Cards security and accurately describes scheme rules for its use;
2	⇕
3	• Policy described, but not robust; • Responsible Person shows some awareness of policy and its importance, but store their Smart Card and password together; the Smart Card are hidden rather than secure ☒; • Responsible Person shows a casual approach for the spare Smart Card use; loosely describes rules for use; card not held in accordance with the requirements in the MOT Testing Guide (6th Edition);
4	⇕
5	• No credible policy for smart card security; • NTs are unable to locate their Smart Cards quickly or the Smart Cards are not held in a secure fashion (e.g. left by the VTS Device) ☒; • Responsible Person fails to demonstrate an understanding of the spare Smart Card use and the importance of keeping it secure; • Card not held in accordance with the requirements in the MOT Testing Guide (6th Edition) ;

Section A5.4   Fallback and Emergency Testing (ET) Procedures (DM)

Describe the Fallback and ET procedures and show me any relevant documentation issued within the last eighteen months.

Look For: Whether there is a specific 'owner' and approach for the VT20ET scenario or documentation.

RS	Evidence
1	• Responsible Person fluently describes the Fallback and ET approach; • Specific coverage of ET documentation and MOT Data; • Use of MOT Inspection Check List (VT40) form described in detail;
2	⇕
3	• VE retains concerns regarding the description of the Fallback and ET approach; • VE retains concerns regarding specific aspects of documentation detail and management or the MOT Data; • MOT Inspection Check List (VT40) form not confidently or specifically covered;
4	⇕
5	• No credible description of the Fallback and the ET procedure offered; • No credible description of documentation and MOT Data aspects; • No credible coverage of the MOT Inspection Check List (VT40) form;

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SECTION A6   Responsible Person - Customer and Facilities Management

Section A6.1   Notices (DM)

Can the Responsible Person demonstrate that they conduct a regular review of VOSA's mandatory posters, notices and customer information leaflets?

Look For: Notice boards including a separate covered MOT notice board that displays an accurate Certificate of Authorisation (VT9), Fees Poster (VT9A) and List of NTs (VT26) for evidence of professional management and whether a full range of public information leaflets and notices are available.

RS	Evidence
1	• Demonstrates regular review of notice boards; content is clean, tidy and up to date; • Specific focus applied to the VT9, VT9A and VT26; • Specific focus on AE details; • VTS has nationally recognised Quality Assurance accreditation; successful audits evidenced;
2	⇕
3	• Ad-hoc or informal approach to notice boards; variable cleanliness, order and version control; • Ad-hoc or informal approach to VT9, VT9A and VT26; • Some inaccuracies in AE details ⊠; • No system of audit and control evidenced; • Mandatory leaflets are mostly available, storage haphazard;
4	⇕
5	• Notice boards in poor state; no evidence of care or review; • Some of VT9, VT9A and VT26 documentation missing or in poor state ⊠; • Ownership details highly inaccurate or incomplete ⊠; • No likelihood of any credible audit or control system; • Mandatory leaflets missing or in disarray ⊠;

Section A6.2   Booking In and Workload Management (CM)

Show me your booking-in process, can you tell me how you manage your workshop loading to ensure that you achieve your customers' deadlines? Does this system cater for 'tests on demand' (if applicable)?

Look For: A system for effective customer management and workshop or workload planning – including scheduling 'on demand' customers and look for a clear procedure for agreeing the scope of work to be undertaken and any changes to the agreed scope.

RS	Evidence
1	• Hard or soft copy booking log: date, owner, VRN, time, contact details; • Using log to manage work load or waiting times; • Formal approach to agree scope of work and changes should they become necessary;
2	⇕
3	• Ad-hoc or incomplete approach to booking and recording of customer details; • Some use of a log to manage work load or waiting times; • Informal approach to agree scope of work or changes;
4	⇕
5	• No booking log or approach for capturing vehicles or owner details ⊠; • No approach for managing work load or waiting times; • No approach to agree scope of work or changes;

Section A6.3 Vehicle Handover (CM)

Observe, or request an explanation of the system for vehicle collection, delivery and handover. Is it professional and efficient?

Look For: Secure keys and vehicle storage, whether there is a professional approach to receipt, care and hand back of the vehicle e.g. Collection and delivery service or other structured approach.

RS	Evidence
1	• Keys or vehicles logged in or out and secure on site; • Use of seat covers, floor mats, gloves and pre-return procedures; • VE witnesses professional hand over in and out;
2	⇕
3	• Ad-hoc approach to security or logging; • Inconsistent use of covers etc. despite pre-return procedures; • Inconsistencies witnessed by VE during hand over in and out;
4	⇕
5	• Casual approach to keys and vehicle security; • No use of protective covers, or pre-return procedures; • VE witnesses poor hand over in and out;

Section A6.4 Feedback Procedure (CM)

How do you manage customer feedback and or complaints? (If documented then, "Show me"). From where would you obtain a VT17 form?

Look For: A documented, professional, clear and consistent process for handling customer complaints together with a professional and effective handling of complaints to a satisfactory conclusion for all parties.

RS	Evidence
1	• Clear and professional approach documented; • Examples of complaints raised or resolved; • Customer service awards or accreditation shown;
2	⇕
3	• Unclear or ad-hoc approach with limited supporting documentation; • Some evidence of complaints raised or resolved; • Limited evidence of positive customer service;
4	⇕
5	• No credible approach described or documented; • Evidence of complaints (e.g. upheld VT19 or VT19i or non-test related complaints); • No awards or accreditation achieved, or likely;

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Section A6.5   Facilities (IF)

Show me the facilities that you offer to your staff and customers. What do you do to keep them in good order? Do you have any plans for improvements?

Look For: Changes to the premises, which increase or decrease the risk of non-compliance. The quality of the customer waiting or viewing area, customer reception point, office facilities, seating, refreshments, toilets, washrooms, showers together with the feedback mechanism for customers and staff.

RS	Evidence
1	• Recent investment for customers or staff; investment driven by employee or customer feedback; • Cleaning rota or contract in place; standard observed shows it to be effective; • Further improvement plans owned and evidenced;
2	⇕
3	• Some investment for customers or staff; standard marginal; • Basic cleanliness standards variable or lack ownership; • No credible evidence of prioritisation or investment in key areas;
4	⇕
5	• Inappropriate or dirty viewing area or facilities ☒; • Premises changed and not notified ☒; • No feedback opportunities for customers or staff evidenced; • No credible improvement plans evidenced;

SECTION A7   Responsible Person – Business Management

Section A7.1   Review MOT Data

These are compliance questions and therefore no risk score is attributable. Please refer to the data gathered from the appropriate reports used in Section A2 to complete these questions.

Section A7.2   Garage Equipment Calibration (EM)

Show me how you ensure that all garage equipment is routinely calibrated?

Look For: Calibration certificates and equipment history with demonstrable ownership of an effective equipment calibration approach. Use of effective reminder systems as back up for any contractor and MOTC based systems.

RS	Evidence
1	• Evidence of an effective, structured approach; including a reminder system; • Sample documents match the MOT Data records and workshop equipment; • Calibration certification on equipment signed and dated;
2	⇕
3	• An ad-hoc approach that lacks ownership or structure; no formal reminder system; • Unable to match sample documents with MOT Data records or workshop equipment ☒; • Demonstrates the use of calibration certificates, but cannot evidence a complete set;
4	⇕
5	• No recognisable ownership, approach or reminder system; • Unable to match any sample documents with MOT DATA records or workshop equipment ☒; • General lack of calibration certification on equipment or out of date where used ☒;

Section A7.3 Vehicle Documents (DM)

Show me how you ensure that all the documents relating to a specific vehicle are kept together for returning to a customer or for filing.

Look For: A system for retaining and issuing vehicle related documentation including emissions printouts and issuing advisory notices.

RS	Evidence
1	• Specific documented system; owner confidently describes operational approach; • Assures Exhaust Gas Analyser and Diesel Smoke Meter printouts cross match with MOT tests; • Documented evidence of procedure for checking and correcting errors with documentation;
2	⇕
3	• Exhaust Gas Analyser or Diesel Smoke Meter printouts generally match; • Description appears reasonable, but lacks ownership; • No evidence of process or system to assure documents are kept together; • No assurance that the checking and correcting of errors with documentation are addressed;
4	⇕
5	• No system for Exhaust Gas Analyser or Diesel Smoke Meter printouts ☒; • No confidence in cross match with MOT tests; • Relevant person unable to describe operational approach; • No evidence of action if or when errors with documentation arise;

Section A7.4 Documents (DM)

Describe how you would obtain up-to-date information about the MOT Scheme and MOT standards and procedures.

Look For: Whether the VTS device is used as a reference source, is easily accessible, located and used for intended purposes and/or whether the paper copies of MOT Testing Guide (6th Edition) and Inspection Manuals are easily available and amendments made to the electronic copy are printed off and inserted into the appropriate folder pending formal update.

RS	Evidence
1	• VTS device observed in use; • VTS Device easily accessed directly from the MOT Bay; • Responsible Person confidently refers to the VTS device as a source of information; AND • Responsible Person describes a robust system for making temporary and permanent updates to paper copies of the MOT Testing Guide (6th Edition) and Inspection Manuals; • Paper copies of the guides and manuals orderly, up to date with electronic copy, clearly used; • Part of an independently audited Nationally accredited QA system e.g. ISO;
2	⇕
3	• Responsible Person describes and/or uses VTS Device but location of device relative to the MOT Bay introduces risk of not using information i.e. not readily accessible; • Responsible Person describes an informal system for making temporary and permanent updates to paper copies of the guides and manuals, not robust; • Paper copies of the guides and manuals in poor condition, permanent updates complete but temporary amendments to keep in line with electronic copy made inconsistently ☒; • Accreditation based on membership of 'Trade body' QA accreditation;
4	⇕
5	• Responsible Person fails to mention, or only refers to the VTS Device after prompting; • Obstructed or difficult access to the VTS device from the MOT Bay; • No description or evidence of a system for making temporary and permanent amendments to paper copies of The Guide and Manuals; • Paper copies of Guides and Manuals not present or difficult to locate ☒; • Permanent amendments to Guides and Manuals incomplete, temporary amendments not made, clearly not used ☒;

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Section A7.5   Special Notices (DM)

Describe any changes you have made in response to a recent Special Notice.

Look For: Evidence of the change described, and that paper copies of required SNs are readily available, signed if required and logically filed and that the NT understands the system and the contents of selected SNs.

RS	Evidence
1	• Responsible Person describes robust process for ensuring NTs read, understand and acknowledge SNs; • Workshop reality reflects the explanation; • Paper copies of all SNs retained as backup reference and ongoing QA process to keep up to date; • Responsible Person able to explain the content of a recent SN; • SNs part of a nationally accredited QA system;
	⇕
3	• Responsible Person describes informal process inconsistently, not robust; • SNs outstanding against NT(s) name on MOT Comp ☒; • Required paper copies of SNs are appropriately located but disordered or not signed if required ☒; • Premises has not complied with all SN requirements ☒; • Responsible Person unconvincing in their explanation of a recent SN; • SNs are part of an informal QA approach;
4	⇕
5	• No credible system for ensuring understanding of SNs; • SNs only read / acknowledged in response to warning of impending withdrawal of ability to test; • No confidence of compliance with SNs; • Required paper copies of SNs incomplete, disordered, out of date ☒; • Responsible Person unaware of recent SNs; • Poor evidence of any internal QA or audit approach;

Section A7.6   Access (VW)

If not obviously a mess, what routines do you have to ensure that access around the garage remains safe and unobstructed?

Look For: Clearly defined walkways, and vehicle access that are free from obstruction; specifically includes access to the viewing area. Uncluttered work areas that do not encroach on access routes.

RS	Evidence
1	• Shows recent site risk assessment or pro-active safety management policy; • Shows clearly marked walkways or vehicle routes; no hazards or obstructions; • Explains and shows how standards are maintained;
2	⇕
3	• No formal risk assessment or pro-active approach to safety; • Some walkways or access marking; some clutter or obstructions observed ☒; • Unconvincing explanation of standards or maintenance;
4	⇕
5	• Immediate concerns as to safety of the working environment; • Lack of designated areas; significant levels of clutter and obstructions ☒; • No confidence of any focus or management in this area;

Section A7.7   Ownership (VW)

How do you manage and support your staff to take care of and improve their own work areas and working practices?

Look For: Operator driven modifications or improvements, scheduled feedback meetings (in company time), suggestion boxes (that are used), the absence of 'workarounds' i.e. 'Real life' activities reflect written procedures.

RS	Evidence
1	• Staff invited and supported in suggesting or making improvements; • Process is described and examples shown; • Regular or constructive management audits; meeting notes and feedback; • Actual practices match written procedures;
2	⇕
3	• Some evidence of staff suggestions or dialogue driving improvements; • No recognisable processes or evidence of focus; • General lack of written procedures or meeting notes; • Actual observations show inconsistencies versus written procedures;
4	⇕
5	• Staff unhappy or frustrated and disrespectful of working environment; • No processes to raise or follow through improvement ideas; • Few (if any) procedures in place; actual practices do not reflect those that exist;

Section A7.8   Garage Equipment (EM)

Show me how you ensure that you have all the equipment you require to carry out the services you offer and that your staff are able to operate that equipment correctly.

Look For: Equipment in the main workshop i.e. General equipment inventory and whether the equipment is serviceable, equipment operating instructions or training instructions.

RS	Evidence
1	• Equipment present and well maintained, including the VTS Device; • QC process includes equipment training and documentation; • There is a process to carry out regular checks of both VTS equipment and MOT Data; • Process to regularly check the VTS Device;
2	⇕
3	• Most equipment is present and serviceable; no key items missing or broken down; • An informal or occasional VTS equipment check is carried out; • The VTS Device in reasonable condition; • QC process appears ad-hoc; no focus on equipment training or documentation;
4	⇕
5	• Key items missing or in poor state of repair ⊠; • Disregard for equipment maintenance or its care; • VTS device in poor condition; clear disregard for maintenance or its care; • No recognisable QC focus on equipment training or documentation;

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Section A7.9   Garage Equipment Maintenance (EM)

Describe your approach to the maintenance and repair (NOT calibration) of equipment (including workshop equipment)?

Look For: Defined roles and responsibilities for competent persons (potentially a blend of internal responsibilities and external contracts) to regularly check and maintain equipment. Is there time allowed and schedules in place for maintenance duties? Are equipment Operating Instructions available and show signs of use?

RS	Evidence
1	• Routine use and ownership of maintenance check sheets; evidence of signed and dated copies; • Training or competence certificates shown; • Routine equipment defect reporting or rectification; audit trail for repairs available;
2	⇕
3	• Verbal explanation of checking procedures; procedures not documented, but some observed; • Staff appear competent; no documented evidence; • Equipment serviceable; no evidence of processes;
4	⇕
5	• Lack of credible approach, explanation or procedures; • Concerns relating to staff competence and focus on maintenance; • Equipment in generally poor state; no credible explanation given;

Section A7.10   Building Maintenance (IF)

What regular maintenance do you carry out on your buildings? Show me your records.

Look For: Overall condition of the structure and buildings, the frequency of checking or cleaning. That there are defined roles and responsibilities, with time allocated to carry out duties (or external contract).

RS	Evidence
1	• Checking, cleaning, defect reporting approach shown; • Maintenance history recorded or monitored; • Structure and building condition exemplary; • Where a VTS is a tenant and buildings in poor condition, can demonstrate clear paper trail of requests for building maintenance;
2	⇕
3	• Ad-hoc checking, cleaning, defect reporting; • Some evidence of maintenance recorded; • Structure and building condition variable; • Where a VTS is a tenant and buildings in poor condition, can demonstrate limited paper trail of requests for building maintenance;
4	⇕
5	• No checking, cleaning, defect reporting; • No maintenance recorded or evidenced; • Structure and building condition neglected; • Where a VTS is a tenant and buildings in poor condition, cannot demonstrate any history of requests for building maintenance;

Section A7.11 Responsible Person Management of Nominated Tester Performance and Integrity (AE)

Do you measure the performance and integrity of NTs? If yes ask for an explanation of the process.

Look For: Annual Staff Review (ASR) processes linked to the monthly Quality Control (QC) checks and whether there is a NT training plan or external training provider, enabled by a training budget.

RS	Evidence
1	• Shows ASR approach or examples; focus on QC feedback, VT55, VT54, VT19 and VT19i's; • Shows documented issues and how addressed; • 'Investor in People' accredited; • Good understanding and frequent use of MOT Scheme Performance Report to manage NT performance;
2	⇕
3	• Informal ASR approach only with no specific focus on QC feedback, VT55, VT54, VT19 and VT19i's; • Verbal description of issues only; • Minimal required training; no budget or training plans; • No recognised accreditation; • Understands MOT Scheme Performance Report but no evidence of regular use to manage NT performance;
4	⇕
5	• No NT performance review or feedback; • Poor attitude or approach to QC feedback, VT55, VT54, VT19 and VT19i's; • No evidence of NT training, development or investment; • No evidence of use or understanding of MOT Scheme Performance Report to manage NT performance;

Section A7.12 Incentives (CF)

Does the VTS operate sales drives or bonus schemes? Explore significant changes in the VTS key metrics and statistics abnormal to the scheme average from the MOT reports and VTS Test Log, if used.

Look For: Whether NT(s) or other key staff are on contracts with bonus or incentive arrangements that could negatively affect behaviours in respect of the MOT scheme.

RS	Evidence
1	• NT or key staff basic pay is unaffected by MOT scheme or related work; • Statistics within VTS key metrics baseline and/or MOT scheme norms;
2	⇕
3	• NT or key staff pay is supplemented by payment for MOT scheme or related work; • Evidence of sales drives related to MOT item spares; • Statistics outside VTS key metrics baseline and/or MOT scheme norms, plausible explanation provided;
4	⇕
5	• NT or key staff pay is based on MOT throughput e.g. rate per test completed; • Mismatch with the NT response; • Statistics outside VTS key metrics baseline and/or MOT scheme norms, explanation suspect;

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Section A7.13 Staff Retention (CF)

What is the policy to attract and retain experienced NTs and VTS staff?

Look For: The difference between the NT's basic salary and the normal competitive rate for the area together with the ability for the site to recruit and retain staff.

RS	Evidence
1	- Limited staff turnover; NT work force stable for several years; - Attractive pay and conditions; no difficulties in retaining or recruiting NTs; - VE confirms in discussion with randomly selected NT;
2	⇕
3	- Regular staff turnover; no NTs stayed for more than two years; - Pay competitive for area, but other conditions are not; - Using temporary staff to fill full time vacancies; - VEs concerns confirmed in discussion with randomly selected NT;
4	⇕
5	- Regular and frequent staff turnover; no NTs stayed for more than several months; - Poor pay and conditions for area; - Reliance on temporary staff as the norm – staff shortages apparent; - VE confirms serious concerns with NT;

Section A7.14 Pricing Structure (CF)

What is your pricing policy for trade, private and repeat customers?

Look For: A difference in price for different customer groups' e.g. Between trade and public and whether there is evidence of sales advertising e.g. 'Free MOT with service'.

RS	Evidence
1	- No difference between the maximum scheme fees and VTS fees; - No difference in price between different customer groups; - No 'sale now on' offers or adverts;
2	⇕
3	- Test or retest fee significantly reduced e.g. more than a 30% discount offered; - Some customer groups pay different fees; - Regular 'sale now on' offers or signs;
4	⇕
5	- Free test or retests offered with other services; - All customer groups pay different amounts; - Constant 'sale now on' offers or signs;

Section A7.15 Business Relationships (CF)

To what extent are repairs carried out on site? Explore significant changes in the VTS key metrics and failure rates abnormal to the scheme average from the MOT reports. Do you recommend any specific local repair agents?

Look For: Unusual linkage to recommended repair agents.

RS	Evidence
1	• Premises operate a 'no incentives' policy for parts or consumables and evidence of MOT Data audit(s) shown e.g. failure types; • No 'fast fit' services offered; • No evidence of unusual stock levels etc.; • Failure rates within VTS key metrics baseline and/or MOT scheme norms;
2	⇕
3	• Some evidence of beneficial supplier relationships; no audit or monitoring of NT MOT Data; • Some indications of 'fast fit' service offered on site; • Failure rates outside VTS key metrics baseline and/or MOT scheme norms – plausible explanation provided;
4	⇕
5	• Indication of strong relationships with parts or consumables suppliers; • No attempt to audit NTs ⊠; • Significant quantities of service parts or packaging on the premises; • Failure rates outside VTS key metrics baseline and/or MOT scheme norms - explanation suspect;

Section A7.16 Customers (CF)

Do you have any particular customers, trade for example, who represent a substantial proportion of your business?

Look For: Ownership of vehicles on the premises, motor traders obviously presented at a VTS (e.g. In overalls) and the behaviour of presenters or staff on VE arrival (e.g. Sudden unusual removal of vehicles etc).

RS	Evidence
1	• Testing carried out for trade but clear policy of multiple customers to ensure that the VTS retains its independence, auditing or history evidenced; • Responsible Person or NT responses consistent; • Customer or vehicles on site confirm lack of risk;
2	⇕
3	• 50% or less of testing for the trade, only one or two key customers; • Responsible Person or NT responses inconsistent, no action to manage risk; • Customer or vehicles on site indicate moderate risk;
4	⇕
5	• Majority of testing for one major sales or service customer; • Poor attitude to presence of risk; • Customers or vehicles on site represent an obvious risk;

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Section A7.17 Combined Sales and Testing (CF)

What percentage of your business consists of the sale of second hand vehicle?

Look For: The VE assessment may include the age, amount and value of vehicles for sale on premises, the duration of test remaining on sale vehicles, the policy of internal audit to minimise risk of bias.

RS	Evidence
1	• Written or self evident policy to not test or sell their own vehicles; • Vehicles on sale are not of testable age; • Documented internal audit history – no bias;
2	⇕
3	• Routinely test and sell some of their own vehicles; • Routinely sell some older vehicles; significant range of remaining test validity (months) on vehicles including twelve months; • Some awareness or informal audit of potential for bias;
4	⇕
5	• Routinely test and sell their own vehicles; • Routinely sell older vehicles (with less than nine months test remaining); • Dubious claims on vehicle ownership; • Claims not to sell in the face of evidence that they do;

Section A7.18 MOTs from Outside the Catchment Area (CB)

Where are the majority of your customers drawn from?

Look For: Significant amounts of repeat business from private owners' or a high proportion of business from a single or small number of clients outside the area.

RS	Evidence
1	• Where customers from outside catchment area Responsible Person and NT discussion confirm no risk; • Majority of customers are local;
2	⇕
3	• Responsible Person or NT answers not consistent, contradict; • Concern based on vehicles seen on test;
4	⇕
5	• Responsible Person or NT avoid question or appear nervous; • Large distance travelled by vehicles on test;

SECTION A8   Responsible Person Questions (AE)

Select five pre-defined questions from the VT57, risk score the response in column headed L – H and record the question ID in the number column.

If the Responsible Person requests the use of reference material then the VE should note whether relevant and up to date material is quickly located and correctly used, failure to evidence timely location and the correct use of material used should be taken into account by the VE when allocating a risk score.

The questions probe the knowledge of the Responsible Person and their proactive and unprompted use of reference material (if required). Responses are assessed against the following criteria.

RS	Evidence
1	• 80-100% of correct response given in a timely manner;
2	⇕
3	• 40-60% of correct response given in timely manner;
4	⇕
5	• <20% of correct response given in timely manner;

SECTION A9   Nominated Tester (Quality Controller), Workshop and MOT Activities

Section A9.1   VTS Throughput

Estimate the maximum MOT throughput per day for the VTS for all vehicles within test group A. This figure is an assessment of the VTS facility and should not be limited by the current staffing levels. Test Group A includes all vehicles in test classes I and II. Factors that influence this value include site layout and access, number, type and class of test bays, location of the VTS Device(s) and other equipment.

This estimate may later be used by a desk-based assessor to remotely assess whether the VTS throughput is a cause for concern.

Section A9.2   VTS Throughput

Estimate the maximum MOT throughput per day for the VTS for all vehicles within test group B. This figure is an assessment of the VTS facility and should not be limited by the current staffing levels. Test Group B includes all vehicles in test classes III, IV, IVa, V, Va and VII. Factors that influence this value include site layout and access, number, type and class of test bays, location of the VTS Device(s) and other equipment.

This estimate may later be used by a desk-based assessor to remotely assess whether the VTS throughput is a cause for concern.

Section A9.3   Work Planning or Throughput (VW)

Is the workplace layout consistent with the level of throughput recorded on the MOT Reports?

Look For: Clearly defined work areas with a lack of overlap and conflict, that the premises can actually support the average number of tests claimed.

RS	Evidence
1	• Layout consistent with MOT throughput, areas clearly marked up and managed; • Layout enables other services; shown and explained; • Tools or equipment or consumables complete; layout well organised;
2	⇕
3	• Layout raises some doubts about VTS capability matching actual throughput; • Some interference between ongoing garage activities and MOT duties ☒; • Tools or equipment generally complete, but not laid out to support activities;
4	⇕
5	• Clear mismatch between actual MOT volume and realistic VTS capability; • Conflict between MOT and other services; interfering activities or noise, trailing leads or airlines ☒; • Chaotic queuing or waiting; • Sense of workplace stress;

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Section A9.4   Workshop Appearance (VW)

How do you ensure that the workshop areas are kept free from hazards and in a clean and tidy manner?

Look For: A high standard of general housekeeping, the condition of storage facilities for workshop waste, recyclables and the storage facilities for spares or consumables. Whether workshop equipment is free from a build up of dirt and the general prevalence of safe working practices.

RS	Evidence
1	- Shows cleaning schedule with ownership by area; high standards self evident; - Shows waste and recycling approach; effectiveness self evident; - Shows spares and consumables approach; high standards self evident;
2	⇕
3	- No formal approach to cleaning or area ownership; variable tidiness or order; - No formal approach to waste and recycling; variable tidiness or order; - No formal approach to consumables storage; items misplaced or untidy;
4	⇕
5	- Lack of recognisable approach; equipment and premises generally unclean; - Lack of focus; waste or waste containers are untidy or hazardous; - Lack of focus; consumables or parts or materials untidy or hazardous;

Section A9.5   Tool Management (VW)

Observe how garage hand tools are used and stored. Is this in a systematic fashion?

Look For: Equipment and tools stored tidily and in a readily accessible manner, whether there is use of appropriate storage facilities e.g. Toolboxes, racking and/or shadow boards.

RS	Evidence
1	- Quickly finds all MOT tools; shows how owned or checked and demonstrates a similar approach to their other tools; - Shadow boards, tool boxes or racks in use; owned and maintained; - Tools clearly used for intended purpose, cleaned and stored when not in use;
2	⇕
3	- Locates most MOT tools, but not able to show approach to ensure always available, owned or checked ☒; - Some use of shadow boards or toolboxes. No ownership, tools scattered; - Tools missing, not used for intended purpose or not cleaned and stored after use;
4	⇕
5	- Missing MOT tools; no confidence test carried out using correct tools or equipment ☒; - No structured approach to tool care or storage; tools scattered or in poor condition; - Serious concerns about how or if tasks are carried out i.e. without tools;

Section A9.6   Garage Equipment Maintenance (EM)

Describe your approach to the maintenance and repair (NOT calibration) of equipment (including workshop equipment)?

Look For: Defined roles and responsibilities for competent persons (potentially a blend of internal responsibilities and external contracts) to regularly check and maintain equipment. Is there time allowed and schedules in place for maintenance duties? Are equipment Operating Instructions available and show signs of use?

RS	Evidence
1	• Routine use and ownership of maintenance check sheets; evidence of signed and dated copies; • Training or competence certificates shown; • Routine equipment defect reporting or rectification; audit trail for repairs available; • NT confirms or validates that procedures reflect reality;
2	⇕
3	• Verbal explanation of checking procedures; procedures not documented, but some observed; • Staff appear competent; no documented evidence; • Equipment serviceable; no evidence of processes; • NT is unconvincing when describing formal approach;
4	⇕
5	• Lack of credible approach, explanation or procedures; • Concerns relating to staff competence and focus on maintenance; • Equipment in generally poor state; no credible explanation given; • NT unaware of approach or importance;

Section A9.7   Vehicle Documents (DM)

Show me how you ensure that all the documents relating to a specific vehicle are kept together for returning to a customer or for filing?

Look For: A system for retaining and issuing vehicle related documentation including the V5C, emissions printouts and VT32.

RS	Evidence
1	• Specific documented system; owner confidently describes operational approach; • Assures Exhaust Gas Analyser and Diesel Smoke Meter printouts cross match with MOT tests; • Documented evidence of procedure for checking and correcting errors with documentation;
2	⇕
3	• Exhaust Gas Analyser or Diesel Smoke Meter printouts generally match; • Description appears reasonable, but lacks ownership; • No evidence of process or system to assure documents are kept together; • No assurance that errors with documentation are addressed;
4	⇕
5	• No system for Exhaust Gas Analyser or Diesel Smoke Meter printouts ☒; • No confidence in cross match with MOT tests; • Relevant person unable to describe operational approach; • No evidence of action if or when issues arise;

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Section A9.8   Documents (DM)

Describe how you would obtain the most up-to-date information about the MOT Scheme standards and procedures.

Look For: Whether the VTS device is being used as a reference source, is easily accessible, located and used for intended purposes and/or whether the paper copies of MOT Testing Guide (6th Edition) and Inspection Manuals are easily available and amendments made to the electronic copy are printed off and inserted into the appropriate folder pending formal update.

RS	Evidence
1	• VTS device observed in use; • VTS Device easily accessed directly from the MOT Bay; • NT confidently refers to the VTS device as a source of information; AND/OR • NT fully and consistently describes a robust system for making temporary and permanent updates to paper copies of the MOT Testing Guide (6th Edition) and Inspection Manuals; • Paper copies of the guides and manuals orderly, up to date with electronic copy, clearly used; • Part of a Nationally accredited QA system;
2	⇕
3	• NT describes and/or uses VTS Device but access from the MOT Bay inconvenient; • NT inconsistently describes an informal system for making temporary and permanent updates to paper copies of the guides and manuals, not robust; • Paper copies of the guides and manuals in poor condition, permanent updates complete but temporary amendments to keep in line with electronic copy made inconsistently ☒; • 'Trade body' QA accreditation;
4	⇕
5	• NT fails to mention, or only refers to the VTS Device after prompting; • Obstructed or difficult access to the VTS device from the MOT Bay; • No description or evidence of a system for making temporary and permanent amendments to paper copies of The Guide and Manuals; • Paper copies of Guides and Manuals not present or difficult to locate ☒; • Permanent amendments to Guides and Manuals incomplete, temporary amendments not made, clearly not used ☒;

Section A9.9   Special Notices (DM)

Describe any changes you have made in response to a recent Special Notice (SN).

Look For: Evidence of the change(s) described, that paper copies of required SNs are readily available, signed if required and logically filed and that the NT understands the system and the contents of selected SNs.

RS	Evidence
1	• NT describes robust process for ensuring NTs read, understand and acknowledge SNs; • Workshop reality reflects the explanation; • Paper copies of all SNs retained as backup reference and ongoing QA process to keep up to date; • NT able to explain the content of a recent SN; • SNs part of a nationally accredited QA system;
	⇕
3	• NT describes informal process inconsistently, not robust; • SNs outstanding against NTs name on MOT Comp ⊠; • Required paper copies of SNs are appropriately located but disordered or not signed if required ⊠; • SN has not been implemented ⊠; • NT unconvincing in their explanation of a recent SN; • SNs are part of an informal QA approach;
4	⇕
5	• No credible system for ensuring understanding of SNs; • SNs only read / acknowledged in response to warning of impending withdrawal of ability to test; • No confidence of compliance with SNs; • Required paper copies of SNs incomplete, disordered, out of date ⊠; • NT unaware of recent SNs; • Poor evidence of any internal QA or audit approach;

Section A9.10 Staff Retention (CF)

How well does the VTS attract and retain experienced NTs and VTS staff?

Look For: The difference between the NT's basic salary and the normal competitive rate for the area together with the ability for the site to recruit and retain staff.

RS	Evidence
1	• Limited staff turnover; NT work force stable for several years; • Attractive pay and conditions; no difficulties in retaining or recruiting NTs; • VE confirms in discussion with randomly selected NT;
2	⇕
3	• Regular staff turnover; no NTs stayed for more than two years; • Pay competitive for area, but other conditions are not; • Using temporary staff to fill full time vacancies; • VEs concerns confirmed in discussion with randomly selected NT;
4	⇕
5	• Regular and frequent staff turnover; no NTs stayed for more than several months; • Poor pay and conditions for area; • Reliance on temporary staff as the norm – staff shortages apparent; • VE confirms serious concerns with NT;

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Section A9.11 Incentives (CF)

Does the VTS operate sales drives or bonus schemes? Explore statistics abnormal from the scheme average from the MOT reports and VTS Test Log, if used.

Look For: NT(s) or other key staff on contracts with bonus or incentive arrangements that could negatively affect behaviours in respect of the MOT scheme.

RS	Evidence
1	• NT or key staff basic pay is unaffected by MOT scheme or related work; • Statistics within MOT scheme norms;
2	⇕
3	• NT or key staff pay is supplemented by payment for MOT scheme or related work; • Evidence of sales drives related to MOT item spares; • MOT Data statistics outside MOT scheme norms, plausible explanation provided;
4	⇕
5	• NT or key staff pay is based on MOT throughput e.g. rate per test completed; • Mismatch with the Responsible Person response; • MOT Data statistics outside MOT scheme norms, explanation suspect;

SECTION A10 and A11 Nominated Tester (Quality Controller) Questions (NT)

Complete section A10 by selecting five pre-defined questions from the VT57 that are applicable to the vehicle group tested at the VTS. If the VTS tests vehicles in both test groups, then repeat for section A11. The VE may question a different NT for each test group. Risk score the response in column headed L – H and record the question ID in the number column.

If the NT requests the use of reference material then the VE should note whether relevant and up to date material is quickly located and correctly used, failure to evidence timely location and the correct use of material used should be taken into account by the VE when allocating a risk score.

The questions probe the knowledge of the NT (QC) and their proactive and unprompted use of reference material (if required). Responses are assessed against the following criteria;

RS	Evidence
1	• 80-100% of correct response given in a timely manner;
2	⇕
3	• 40-60% of correct response given in timely manner;
4	⇕
5	• <20% of correct response given in timely manner;