

JAUPT Appraisal Criteria Centre Application

November 2016

1. Introduction

To be able to assess centre applications for the suitability of Periodic Training many factors have to be taken into account and considered before a recommendation can be made to the Competent Authority.

The Vehicle Drivers (Certificates of Professional Competence) Regulations 2007 is the applicable legislation that covers Great Britain and Northern Ireland for Driver CPC (DCPC).

The Taxi Drivers' Licences Regulations (Northern Ireland) is the applicable legislation that covers Taxi Driver Periodic Training (TDPT).

This document aims to provide those individuals who are responsible for making recommendations for centre application approvals/refusals with information to help them to make sound and valid judgements as to the suitability of a centre to deliver Periodic Training.

2. The Centre Application Form

Relevant application forms, guidance and examples can be downloaded from <https://www.gov.uk>

N.B An organisation wishing to deliver TDPT can only do so if they seek approval as a Driver CPC centre.

Section One – Centre Details

This section will help determine:

- **1.2** The person operationally responsible for Driver CPC including the application. If it is a large organisation you would expect to see a senior manager or director as the responsible contact. There is a risk that a junior manager who does not have authority to apply for approval gains approval without the knowledge and consent of the responsible contact.
- **1.3** The person who will be responsible for the day-to-day communications with JAUPT.
- **1.4** The nature of business helps us to anticipate the types of information that we would expect to see in their Scheme of Control.

In addition, completion of this section helps us to profile centres and produce meaningful statistics when requested by the Competent Authority.

Application for Driver CPC Training Centre Approval

Section 1: Centre Details	
1.1 Proposed centre name:	<input type="text"/> ?
1.1.1 Correspondence address:	<input type="text"/> ?
1.1.2 Website address:	<input type="text"/> ?
1.2 Name of person responsible for Driver CPC:	<input type="text"/> ?
1.2.1 Position (i.e. owner/director):	<input type="text"/> ?
1.2.2 Telephone number:	<input type="text"/> ?
1.2.3 Email address:	<input type="text"/> ?
1.3 Name of primary contact:	<input type="text"/> ?
1.3.1 Position in organisation:	<input type="text"/> ?
1.3.2 Telephone number:	<input type="text"/> ?
1.3.3 Email address:	<input type="text"/> ?

It is imperative that a responsible person's and contact person's details are provided. They can be the same person but for us to proceed with their application this must be provided.

Section Two – Approval Details

This section will help determine:

- **2.2** Which part of the UK the centre is intending on delivering Periodic Training in.
Any training delivered outside of the member state approved for will not count as Periodic Training.
- **2.3** Details on the previous centre approval will allow us to obtain further information with regard to the application to identify any issues which may need to be highlighted or taken into consideration e.g. the centre has been 'ring-fenced', details of previous Quality Assurance Visits, details of corrective actions for Advisory Notices and/or Continuous Improvements
- **2.2.3** Details on Directors/Shareholders involved with other Driver CPC centres may provide us additional information that needs highlighted or taken into consideration when making a recommendation

1.4 Nature of business – Tick all that apply

If you are a consortium lead you must supply the names and addresses of all consortia members linked to this application – please enclose details.

- | | |
|---|---|
| <input type="checkbox"/> Employer | <input type="checkbox"/> Own premises |
| <input type="checkbox"/> Commercial Training Provider | <input type="checkbox"/> Third Party Premises |
| <input type="checkbox"/> Consortium | <input type="checkbox"/> Employees |
| | <input type="checkbox"/> Non-employees |

Section 2: Approval Details

2.1 Please indicate which training you will be delivering

- Driver CPC (DCPC) Only
- Taxi Driver Periodic Training (TDPT) Only
- DCPC & TDP

2.1.1 Please confirm the Member State (GB/NI) for which you are seeking centre approval for the delivery of Periodic Training

- GB Only
- NI Only
- GB and NI

2.2 Has this centre been previously approved? Yes No

2.2.1 If yes, what was the centre number?

AC

2.2.3 If no, has any director/shareholder been involved with another approved Driver CPC centre?

- Yes (see 2.2.4) No (see 3.1)

2.2.4 If Yes - on a separate sheet of paper please provide further details including the person's name, position and the name of the centre previously involved with.

When appraising the application you must ensure that all available intelligence is reviewed in conjunction with the application and used to make an informed recommendation.

Section Three – Registered Details

- **3.1 Without sufficient information it can be difficult to understand and determine:**
 - the type of legal entity the organisation is;
 - the size of the organisation;
 - legal obligations of the organisation
 - information to ensure the organisation is professional and proper

As approvals are not transferrable, it is imperative we are sure who has the approval. It has been known for organisations to view their approval as an asset and try and pass it on to another legal entity; under the DCPC legislation this is not permissible.

- **4.1 The Scheme of Control and Confirmatory Statements (whilst not mandatory) are critical to the application of a centre as they form the basis of the Quality Assurance activities and allow us to raise non-conformance easily. If this is not supplied this would not demonstrate to us how the centre intends to manage the delivery of Periodic Training and therefore detailed questioning would be expected via the additional information process, which may delay the application process.**

Section Five – Publication

If a centre elects to be published on the JAUPT website it offers them two key benefits:

1. Increased publicity – very important for commercial training providers.
2. Validation of being an approved centre

Not every centre wants to be publicised, therefore it's up to the centre to inform us of what they want.

The applicant should tick all the locations they intend to deliver courses in. This should be cross referenced with 2.2. Courses approved in Great Britain only may not be delivered in Northern Ireland and vice versa. If section 2.2

Section 3: Registered Details

3.1 Type of organisation – Tick all that apply

- | | |
|--|---|
| <input type="checkbox"/> Limited Company | <input type="checkbox"/> Charity |
| <input type="checkbox"/> Sole Trader | <input type="checkbox"/> Local Authority |
| <input type="checkbox"/> Partnership | <input type="checkbox"/> Other (please specify) |
| <input type="checkbox"/> LLP (Limited Liability Partnership) | <input type="text"/> |

3.2 If Sole Trader - Proprietor name:

3.3 If Partnership - Partner name(s):

3.4 Name of Registered Company or LLP:

Note: Approval is granted to the legal entity of your organisation and not the person who completes the application form (except in the case of a sole proprietor). There is no provision under the Vehicle Drivers (Certificates of Professional Competence) Regulations 2007 (as amended) for the transfer of an approval to another person or corporate body.

3.5 Companies House registration number:

3.6 Charity number (if applicable):

3.7 VAT No. (if applicable):

3.8 Registered address:

Section 4: Compliance

4.1 As the competent authority for Driver CPC, DVSA/DVA must ensure the quality of approved centres.

Please provide a Scheme of Control, with this application.

This will need to detail the arrangements in place to explain how your organisation will operate in a professional and consistent manner and will satisfy DVSA/DVA that these arrangements are sufficiently robust. Guidance for the Scheme of Control can be found at: www.gov.uk/guidance/set-up-a-driver-cpc-training-centre#apply-for-centre-approval

Failure to comply with the Scheme of Control and Confirmatory Statements may result in your centre approval being suspended or withdrawn.

Section 5: Publication

5.1 Would you like your centre to be publicised on the GOV.UK website?

- Yes No

5.1.1 If yes, please tick the areas in which your organisation will be delivering training:

- | | |
|--|---|
| <input type="checkbox"/> East Midlands | <input type="checkbox"/> South East |
| <input type="checkbox"/> East of England | <input type="checkbox"/> South West |
| <input type="checkbox"/> London | <input type="checkbox"/> Wales |
| <input type="checkbox"/> North East | <input type="checkbox"/> West Midlands |
| <input type="checkbox"/> North West | <input type="checkbox"/> Yorkshire & Humber |
| <input type="checkbox"/> Scotland | <input type="checkbox"/> Northern Ireland |

Section 6: Payment

6.1 Payment of the current fee is accepted via the methods below and should be made within 5 working days of application receipt by JAUPT.

Cheque (Please make cheques payable to DVSA)

Credit / Debit card (A call to the centre will be made by JAUPT to gain this information)

BACS Please use the following bank details for BACS payment:

Bank Name: Nat West
Sort Code: 60-70-80
Account Number: 1000440

Please ensure your remittance advice is included.

Name:

Position:

Date:

and 5.1.1 do not match additional questioning may be asked via the additional information process, which may delay the application approval process.

Section Six – Method of Payment

This section is about payments and where the applicant should send the application to. As long as the centre has paid the appropriate fee this does not have any impact on the appraisal process of the application. This is because the application is not referred for appraisal until the payment has been received and confirmed.

3. Scheme of Control

A Scheme of Control is not mandatory however, in order to assure the Competent Authorities that quality, high standard Periodic Training will be managed and delivered in line with the Vehicle Drivers (Certificates of Professional Competence) Regulations 2007.

The document should give examples of what the centre will do to reduce risk in key areas of providing Driver CPC Periodic Training. These should include but are not exclusive to:

- business operation;
- communication with JAUPT;
- trainer selection;
- course plans;
- driver registration;
- course consistency;
- course evaluation;
- issuing certificates of attendance;
- uploading training records;
- where organisations are in charge of two or more sites (Member T&Cs, withdrawal, internal audits etc)
- management and implementation of corrective action identified via Quality Assurance Visits

The document should include:

- copies of evaluation reports by external or internal assessors;
- quality control monitoring of training provided;
- procedures for telling JAUPT about planned periodic training courses;

- a record of management check

Appraisal Criteria - Centre Application

Section/RefNumber	Questions/Considerations/Checks	Action	Notes
S1 – Centre Details		If this information is not provided you will have to contact the applicant to obtain these details. It is imperative that a responsible person's and contact person's details are provided. They can be the same person but for us to proceed with their application this must be provided.	
2.1	Cross reference this section with Section 1 addresses to ensure that the information corresponds.		If this information does not correspond you will need to contact the centre to clarify. If the centre wishes to deliver in NI and GB the centre will receive two separate approvals.
2.2	<p>Checks to carry out on the previous centre approval:</p> <ul style="list-style-type: none"> • Escalation Intelligence e.g.is this centre currently ring-fenced or has been ring-fenced in the past? Why? • Previous centre Quality Assurance Visits - Advisory Notices/Continuous Improvement. What was raised? Would it be high risk to approve the centre again? Was the corrective action satisfactory? Were there any follow up visits? Why? • Review at least last three course audit reports to view of their performance. - Advisory Notices/Continuous Improvement. What was raised? Are they the same issues over a period of time? Would it be high risk to approve the centre again? Was the corrective action satisfactory? 	Any concerns here should be flagged to the Competent Authority when recommended for approval/refusal. It may be that the concerns are not significant enough to refuse the application but we may want to conduct a centre Quality Assurance Visit sooner within the 12 month KPI.	<p>Other intelligence to consider:</p> <p>Late Uploads Complaints Non Notification of planned training/cancellations Unentitled drivers Logo misuse</p>
2.2.3 and 2.2.4	If yes, further investigations are required both via the CRM and Creditsafe. Creditsafe will provide details on other companies the individual has been involved in, the status of the companies, credit details on the company, information on the directors/shareholders. This information can be used as intelligence to ensure that there is not a cause for concern and the centre applying is a professional outfit i.e. has previously been involved with a severely non-compliant centre and/or has not been involved with other	Any concerns here should be flagged to the Competent Authority when recommended for approval/refusal. It may be that the concerns are not significant enough to refuse the application but we may want to conduct a centre/course Quality Assurance Visit soon after approval.	

	organisations that have entered liquidation/dissolved. This feeds into risk and or know concerns from the Competent Authorities e.g. they want to be aware if an application is submitted by a centre (under a different name) that has previously been withdrawn.		
Section 3	Check that the information supplied on the centre application form is the same information that is recorded with Companies House/Creditsafe. By carrying out this check you are helping to ensure that the applicant is genuine and can gain further insight/information on the performance of the centre and if this is a professional and proper organisation. If the centre has been previously approved, check to ensure there is no changes of their registered details which may impact the application e.g. change of legal entity.	Any changes to the legal entity or ownership of the company should be verified via Companies House/Creditsafe. This will need to be discussed with the centre as there is no provision under the Vehicle Drivers (Certificates of Professional Competence) Regulations 2007 (as amended) for the transfer of an approval to another person or corporate body.	Change of entity or ownership means this would be a new application and as such a new centre number would be allocated.
4.1	<p>The Scheme of Control that is submitted with an application will be proportional in detail and complexity to size and scale of the applying organisations training structure. For example a sole trader who performs all aspects of periodic training from start to finish may have a relatively simple scheme of control as there will unlikely to be other people involved in his/her operation, quite the opposite to a large centre employing lots of trainers and delivering to lots of drivers at different locations.</p> <p>The centre can provide the Scheme of Control information in any format. If the information is unclear or ambiguous you will need to seek further information or clarification from the centre.</p> <p>Policies and procedures can help to give an indication as to the quality standard/material that the centre produces.</p> <p>If this has been written by someone else, we should consider that there is a level of consistency with information required.</p>	<p>A robust check must be undertaken on the document and cross checked to the checked confirmatory statements. The Appraiser should be asking themselves questions such as;</p> <ul style="list-style-type: none"> • How will it be managed? • How will it be recorded? • How often? • How will they be assured this is satisfactory? • How will it be securely carried out? <p>If the Scheme of Control has been written by someone else and additional questions outside of what was raised for the other centre are required, clear justification as to why this has been asked should be provided to the centre stating that you are aware of the circumstances. This will ensure we maintain an honest culture and a high level of customer service.</p>	It should be noted that some centres can obtain off-the-shelf policies and procedures that have been written by someone else so an element of caution should be taken if they are to be used to gauge the quality of training materials produced by the centre (e.g. Health & Safety policy).
Confirmatory Statements	It is important that applicants are aware of the requirements when operating as a centre to deliver Driver CPC courses and these boxes should be ticked according to the profile of the centre. This assures us that centre understands the requirements and has committed to carrying out these key aspects in order to comply.	If any box is not ticked you should seek further details in regard to how the centre intends to carry out certain actions when delivering Driver CPC.	Confirmatory Statements will form part of the QA Visit and enable us to identify the gaps.
Other Information	Website address for any case studies, recommendations, testimonials etc.	This is an opportunity for the centre to provide supporting information to help demonstrate that the centre has the relevant resources to deliver periodic	

	Other relevant information which demonstrates that the company can deliver periodic training in a professional manner.	training in a professional manner. The information could be diverse and therefore needs to be considered on its merit and in context with the other information supplied with the application.	
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