

## Vehicle & Operator Services Agency Operations Manual

30.06.11	<b>Section 3 Vehicle Testing Scheme</b> <b>Operating Instructions</b> <b>17 – Disciplinary Assessment</b>
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### **17 Disciplinary Assessment - Overview**

A Disciplinary Assessment (DA) is an assessment of the AE's disciplinary history at the VTS. The assessment includes the disciplinary history of a previous AE where continuity exists between the previous and current AE (refer to [Section B3 paragraph 7 of the MOT Testing Guide](#)).

The assessment is made by recording the age of the last two unspent AE Formal Warning and Short Term Cessation (STC) letters in each of the following categories, resulting in six entries at most:

- Letters issued as a result of **incorrect test standards and/or procedures** i.e. Formal Warnings and STCs resulting from any of the following activities:
  - Mystery Shopper checks
  - Re-inspections of recently tested vehicles
  - MOT Compliance Survey re-inspections & VT55Rs

- Statutory Appeals
- Inverted Appeals
- Special Investigations
- Demonstration Tests
- Letters issued as a result of **Scheme Administration shortcomings** or other non-test standard/procedure reasons .i.e. Formal Warnings and STCs resulting from any of the following activities:
  - Site Assessments & VT25s
  - Directed Site Visits & VT50s
  - Failure to notify change in constitution of AE; conviction/repute.

**Note 1:** Formal Warnings and STCs resulting from a combination of incorrect test standards/procedures and Scheme administration issues should only be counted once, as one for test standards and/or procedures.

**Note 2:** The DA is an assessment of the AE’s disciplinary history at the VTS. There is no assessment of the associated NTs disciplinary history.

The results are entered onto MOT Computerisation (see [17.2](#)) and contribute to the VTS risk score. Formal Warnings and STCs that fall into the first category will carry more weight in calculating the risk score than those that fall into the latter category.

## 17.1 When to carry out a Disciplinary Assessment

A Disciplinary Assessment must be carried out when any of the following events occur:

<b>Trigger</b>	<b>Action to be taken</b>
MOTSA	Assess as prep for SA (refer to <a href="#">section 32.2.2</a> ) and record DA in same month as SA is recorded.
FW to AE (VTS has RAG status)	Record DA at time of sending FW letter (refer to <a href="#">section 7.8</a> )
FW to AE (VTS in White segment before first MOTSA)	<a href="#">See paragraph 17.1.2</a>
STC of AE (VTS has RAG status)	Record DA at time of sending STC letter (refer to <a href="#">section 7.9</a> )
<b>Appeal / Review outcomes</b>	
FW or STC revoked	<a href="#">See paragraph 17.1.1</a>

2/5 year cessation commuted to STC or FW

Record DA on receipt of decision if still authorised or after AE-VTS link is re-activated.

STC commuted to FW

Record new DA, but re-categorise to FW.

### 17.1.1 Formal Warning or STC is revoked following a review/appeal

Where a monthly report run has taken place since the Disciplinary Assessment, the increased score may have taken the VTS into a higher risk segment and this needs to be corrected. The action that must be taken depends on the VTS Plan segment of the VTS after the assessment has been added into the risk score:

**Green segment** – The score has had no effect however a further Disciplinary Assessment must be completed to amend the record on MOT Computerisation and trigger the VTS risk score to be recalculated. The green VTS Plan will continue unchanged.

**Red and amber segment** - the revoked Formal Warning or STC may have moved the VTS into this higher segment and must be discounted from the VTS risk score and a new VTS plan generated again. This must be achieved by taking the following action:

- Cancel all open activities on the VTS Plan except the last Site Assessment.
- Update the planned date of the last Site Assessment to a date 3 months after the 'Appeals' decision (formal warning review or STC appeal decision). Refer to [section 37.3- Updating a VTS Plan](#) for details.
- Input the correct Disciplinary Assessment when completing the Site Assessment.

### 17.1.2 Formal warning issued before first MOTSA of white VTS

If a Formal Warning letter is issued before the default Site Assessment has been conducted, a Disciplinary Assessment **must not** be entered onto MOT Computerisation. In these circumstances, the Site Assessment should be conducted immediately. Amendments must be made to the VTS plan (refer to [section 37.3 – Updating a VTS Plan](#) for details) and the Disciplinary Assessment recorded as a part of the Site Assessment. Refer to [section 32.2.2 - Pre-visit preparation –](#)

## [Disciplinary Assessment.](#)

### 17.2 Recording Disciplinary Assessment on MOT Computerisation

If the DA is recorded at the same time as a Site Assessment, users may wish to input the Site Assessment risk scores before the DA in order to make use of a link on MOT Computerisation between the two functions (refer to the note at the end of [section 32.4.2 – Recording Risk Scores on MOT Computerisation](#) for details).

If recorded separately to a MOTSA, a DA is recorded directly onto MOT Computerisation using the function [Record or Update Disciplinary Assessment](#) (refer to section Q4 of the VOSA User Guide).

- **Questions 2.1 to 2.6:** Use the drop down selection list in the Response fields to record separately the 'age' of the most recent current Formal Warning letters in each category: Test Standards (and/or procedures) and Administration. Also record the 'age' of any current Short Term Cessation letters for any reason.

When the DA results have been entered, make a final check that all the details are correct, then the:

- **Assessment Status** field must be set as 'Finished' using the drop down selection list. This is a critical step as a DA will only be included in the VTS risk score if the Assessment Status is 'Finished'.

Finally, select the 'Record Disciplinary Assessment' button to record the DA. The details will be confirmed by the 'Record Disciplinary Assessment – Recorded' screen.

**Note:** A DA with a status of 'Finished' cannot subsequently be updated and if an error has been made a new DA must be completed immediately. Where errors have been detected after a fresh Activity Schedule has become available, the corrective procedure of paragraph [17.1.1](#) must be followed.

### 17.3 Activity Codes

There is no separate code for carrying out a Disciplinary Assessment.

- Conducting a DA when a Formal Warning or STC is issued are covered within the activity codes **MOTAEFWL** and **MOTAECES** respectively.
- Conducting a DA as part of a Site Assessment is covered under the preparation code **MOTSAP**.

