

## Vehicle & Operator Services Agency Operations Manual

08.06.09	<b>Section 3 Vehicle Testing Scheme</b>
	<b>Operating Instructions</b>
	<b>32 – Site Assessment</b>

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## Overview

This activity must only be carried out by trained and validated Vehicle Examiners. The Site Assessment visit has a dual purpose and both of the following aspects must be addressed:

**Check compliance** with the Requirements for Authorisation.

Compliance checks focus on the aspects of a VTS that are directly related to the operation of the MOT Scheme i.e. the MOT bay, MOT equipment and related documentation.

Compliance is measured against the requirements set out in The MOT Testing Guide and Requirements for Authorisation and shortcomings are evaluated using the disciplinary points system.

**Score the VTS against a number of attributes** using pre-defined questions to assess the risk of non-compliance with the MOT Scheme.

These scores will contribute to the final risk score for the VTS.

The assessment of risk encompasses not only the MOT facilities but also extends to the wider premises, all of the main workshop and associated equipment. The theory behind this is that where poor standards are set in one aspect of a facility, there is a risk that the same poor standards will exist in all aspects of that facility.

During the Site Assessment visit, the assessment of risk is based upon investigating what (if any) systems (working practices) are in place to support compliance within the VTS. Any systems or procedures that are identified are then assessed for suitability. Systems and processes do not have to be expensive or complicated, but they must be appropriate for the intended purpose and supported by visible evidence that they work. The investigation of systems and processes avoids mis-interpretation of a snap shot view at the time of a visit e.g. a well presented facility could be the result of a last minute tidy up immediately before a visit; investigating systems and processes would uncover this.

The Site Assessment activity has three stages:

- Pre-visit preparation which includes a Disciplinary Assessment
- An unannounced Site Assessment visit
- Post visit procedures.

## 32.1

### Documentation Required for a Site Assessment

The following documents support the Site Assessment activity:

- [VTS Visit Preparation Report](#)
- VT56 Site Assessment Report – [Part A](#) and Part B (Part B now issued in pad form, although will retain a word version on [List of Forms](#) for DAR reports)
- [VT57 AE and NT Assessment - Pre-defined Questions](#)
- [Site Assessment Report – Risk Scoring \(Appendix 15\)](#)

The VE will need to have all of these documents available when he conducts the Site Assessment visit.

### 32.1.1

#### VT56 Site Assessment Report

The VT56 Site Assessment Report (SAR) is an essential element of the overall risk scoring process.

It has two parts: Part A which is used contemporaneously during the Site Assessment visit and Part B which is used to provide feedback to the AE about the visit. The following is a brief overview of the different sections and links refer to the detailed information about how to use and complete the form.

#### Part A

Part A of the report is broken down into sections to facilitate the objective assessment of the VTS.

- **Section A1** - Used to record mandatory identification details about the VE, the VTS, the AE and key staff interviewed.
- **Section A2** - Used to lead the VE through pre-visit preparation.
- **Section A3** - Section 3 comprises a **disciplinary assessment** that must be carried out for all VTSs as part of the pre-visit preparation. The result of the disciplinary assessment will, in due course, contribute to the risk score (see [32.2.2](#)).
- **Section A4 – A11**: - These sections set out **the compliance checks and pre-defined risk questions** that the VE will ask during the Site Assessment visit. The sections are so divided to guide the VE around the VTS in a generic flow and should be followed in order as far as is possible within the particular layout of the VTS (see [32.3.2](#)).

These sections also provide space for the VE to contemporaneously record the outcome of each compliance check and a numerical risk score for each pre-defined risk

question.

## Part B

This part of the form is used to provide feedback to the AE about the visit.

- **The front page** is used to record:
  - advice and recommendations about risk & minor compliance issues (see [32.3.3.1](#))
  - compliance shortcomings that require remedial action (see [32.3.3.2](#))
- **The back page** comprises:
  - Instruction notes for the AE
  - A standard 'For VOSA use only' section

**Note:** A copy of Part B – Conclusions must always be left at the VTS at the end of the visit.

### 32.1.2 VT57 AE and NT Assessment - Pre-defined Questions

The risk scoring element of a Site Assessment visit includes a practical and theory assessment of the AE representative interviewed and a practical assessment of one NT. These assessments are based on the answers given by the AE representative and NT to a selection of the pre-defined questions listed on form [VT57 AE and NT Assessment - Pre-defined Questions](#).

### 32.1.3 Site Assessment Report – Risk Scoring

[Site Assessment Report – Risk Scoring](#) (SAR-RS) document is designed to help VEs assess risk scores during a Site Assessment visit. The document structure complements the SAR in terms of section layout and question flow. Using this essential reference document will ensure that scores are consistent nationally.

## 32.2 Pre-visit Preparation

There are two elements of pre-visit preparation:

- Reports
- Disciplinary Assessment

### 32.2.1 Pre-visit Preparation – Reports

The questions that the VE will ask during the Site Assessment visit require him to carry out a preparatory analysis of MOT data to gain an overview of the VTS testing performances

before conducting the site visit.

Prior to the visit the VE must generate the [VTS Visit Preparation Report](#) via a Corporate Terminal or Laptop. It should be noted that this report is produced overnight.

**Note 1:** To ensure that current information is obtained for the Site Assessment it is recommended that the report is not requested more than 2 weeks in advance.

The VE should use the report to research the elements of information listed at Section A2 of the SAR. The focus of the VE's preparation will be on significant changes in the [VTS Key Metrics](#) and values that are abnormal to the scheme averages that are worthy of further investigation during the Site Assessment visit. Space is provided within Section A2 of the form to make quick reference notes for use during the Site Assessment visit.

The VE may also generate other reports (listed at paragraph [32.6](#)) if his essential preparation indicates that a deeper analysis of MOT data is required to investigate potential compliance issues.

**Note 2:** Occasionally, it may become apparent during the Site Assessment preparation that there are currently no NTs employed at the VTS. In these circumstances, the scheduled Site Assessment should not be carried out. It is also best practice to change the status of the AE-VTS link to SUSPEND-VOSA. The AE must be notified that this action has been taken and also that when he has another NT, he will need to contact the Area Office to reset the AE-VTS link to ACTIVE in order to test.

The same action must be taken if, despite the pre-visit preparation, it only becomes apparent on arrival at a VTS to conduct a Site Assessment visit that there are temporarily no NTs employed.

### 32.2.2 Pre-visit preparation – Disciplinary Assessment

A Disciplinary Assessment (DA) is an assessment of the AE's disciplinary history at the VTS. The assessment should include 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](#)).

Refer to OI section 17 – [Disciplinary Assessment](#) for specific details of how to make this assessment.

The VE must record the relevant number of warnings for each assessment category (including a nil return) at Section A3.1 and A3.2 of the SAR.

### **32.3 Conducting the Site Assessment Visit**

The VE will need to take an SAR Part A and Part B pad to facilitate the objective assessment of the VTS during the visit and to record the outcome of compliance checks and risk scores contemporaneously. The VE should also have a copy of the [VT57 AE and NT Assessment Pre-defined Questions](#), the [Site Assessment Report – Risk Scoring](#) document and a copy of the VTS Best Practice leaflet available (order from catalogue). He should also have available the Reports used for the pre-visit preparation.

#### **32.3.1 Who to Interview**

As the visit is unannounced it will be found in its normal operating condition. The VE should interview the person left in charge of, or claiming responsibility for, the operation of the MOT Scheme at the VTS at the time of the visit.

Ideally this would be the AEDM, another AEP or the SM but it may be that the person left in charge has no recognised role within the MOT Scheme. It is a clear indicator of risk if the person left in charge is unable to answer questions relating to their role and therefore the scores that person achieves should be regarded as valid.

As a part of the Site Assessment, the VE is also required to assess the competence and integrity of the NTs at the VTS. This assessment will involve an interview with and a practical assessment of one NT. At VTSs with multiple NTs, ideally the assessment will be conducted using the person holding the role of QC at the VTS. If the QC is not available at the time of the visit another NT should be interviewed. The outcome of the assessment will be regarded as indicative of the testing standards at the VTS and will ultimately reflect on the VTS risk score.

If there is no NT available at the time of the Site Assessment visit, for instance due to leave or sick absence (as opposed to no NTs employed which is covered in paragraph [32.2.1](#)), the VE should complete the interview with the Responsible Person and return at another time to interview and assess the NT (see [32.5](#)).

### 32.3.2 Compliance Checks and Risk Assessment

Checking compliance with the Requirements for Authorisation and scoring risk are two distinctly different elements of the visit and the outcomes of each must be recorded separately on the SAR. However, the outcomes of the compliance checks are fundamental to scoring the risk and as such the individual compliance checks and associated risk questions are addressed together at the relevant points during the visit and the separate outcomes recorded contemporaneously within the same section of the SAR.

The flow of the Site Assessment visit should follow the order of the SAR as far as is possible within the layout of the VTS. For ease of reference these operating instructions will also follow that flow.

These operating instructions provide the details for checking compliance with the Requirements for Authorisation during the Site Assessment visit. The detailed reference material for scoring the risk questions is provided in the [SAR-RS document](#). The reference numbers given below correspond with the [SAR](#) and the SAR-RS.

### 32.3.2.1 A4 – Arrival – Initial VTS Appraisal

1

#### Compliance checks

As the VE arrives at the site he should check the presence and condition of mandatory signs and that an appropriate number of MOT Parking Bays are marked and available. There is no requirement to record the outcome of these particular checks in Section A4 of the SAR, but any advice or guidance given on these matters should be recorded on Part B.

#### Risk Scores

A risk score is required against question A4.1.

**Note:** At this point in his visit the VE should also be aware of the requirements of the question at Section A7.10 (Building Maintenance).

### 32.3.2.2 A5 – Responsible Person – Introduction and VTS Device

2

Following his initial external appraisal the VE should enter the VTS and after introducing himself he should establish who the Responsible Person is at that time. If the VE is not known at the site then it is advisable for him to show official identification (warrant). He should explain the purpose and format of the visit to put people at ease and also to provide the Responsible

Person with the opportunity to organise for the QC/NT to be available at a convenient point during the visit.

[Appendix 19](#) provides an aide-memoire of items that are required to be produced, note that some may have security provisions which need to be checked as below.

The VE should then give priority to:

- Tests in progress
- Smart Cards (including password security)
- ET and Fallback documentation (including ET Certificate storage)

### 32.3.2. 2.1 A5.2 – Test(s) in Progress

#### Compliance Checks

It is a serious matter for a vehicle to be registered for test when it is not in the testing premises unless it is on a road test with the NT. VEs can access the VTS Device through '[Enter Test Results by Administration](#)' and see a screen listing incomplete tests i.e. those that are registered but are awaiting result input. Any that are shown should be still on the premises. If such a vehicle cannot be found and no acceptable explanation given to account for the situation, the VE should use the VTS Device '[Abort Test by Administration](#)' function to enter a test result of Aborted. The matter should be thoroughly documented and investigated straightaway, and interviews recorded with the NT concerned or the Responsible Person if the NT is not present.

**Note:** follow [link to withheld information which is likely to prejudice the effective conduct of VOSA's regulatory function under the MOT Testing Scheme](#) (this information has been requested under Freedom of Information and has previously been withheld under section 31(1g & 2d) of the act)

The check of tests in progress also facilitates a check of the VTS Device for function, damage, any signs of interference, connection of unauthorised devices and sited in accordance with the laid down criteria. In addition, the print quality of certificates should be checked i.e. the print cassette may require replacing; the print on a recently produced VT40 can be viewed to check this.

The outcome of these checks should be recorded on the SAR Sections A5.1a and A5.2a – c.

### 32.3.2. A5.3 – Smart Cards

## 2.2

### Compliance checks

Personalised Smart Cards should be retained in the personal possession of the card user (as with a Bank Card) and the VTS Spare Smart Card kept in a reasonably secure location. Breaches of security of Passwords e.g. a Password is written down where it could be readily obtained by another person are covered by [Appendix 8.4.D of the MOT Testing Guide](#). Refer to section 21.7 – [Policy regarding Smart Card Security](#) for breaches of security of Smart Cards i.e. VOSA staff observe that the Smart Card, including the spare(s) is stored/held in a location where unauthorised access can be obtained.

The outcome of the Smart Card compliance checks should be recorded on SAR Section A5.3a.

## 32.3.2. 2.3

### A5.4 – ET and Fallback (including ET Certificate storage)

#### Compliance checks

[Section N, 4.16 of the MOT Testing Guide](#) covers the storage of ET certificates. Failure to notify VOSA of the loss of ET Certificates should be considered under [Appendix 8.4, A2 of the MOT Testing Guide](#)

If a VTS does not have a complete pad(s) of VT20ETs, the number used should be reconciled against the VTS Test Log in the pad and the serial numbers of certificates used subsequently checked against those shown at the end of the VTS Visit Preparation Report. Where certificates are not recorded on the report the VTS must be instructed to record them on MOT Computerisation. Refer to section 8.2.3.1 – [Checking ET Catch Up](#) for more details.

A similar check should be made on handwritten documents completed during Fallback against the requirements of [H5 of the MOT Testing Guide](#).

The outcome of the ET and Fallback documentation checks should be recorded on the SAR Sections A5.4a - b.

## 32.3.2. 3

### A6 – Responsible Person – Customer and Facilities Management

## 32.3.2. 3.1

### Notices and Public Information Leaflets

#### Compliance checks

- The Responsible Person should be asked for the name

of the owner, partners or directors and this information should be checked against the information held on the database and VT9. If the VE identifies that the AE shown on the and VT9 is no longer in control and the Area Office has not been notified, the associated compliance issues take precedence and should be dealt with straight away. The risk scoring element of the Site Assessment visit should be abandoned and the visit should instead be regarded as a Directed Site Visit (refer to section 33 – [MOTDSV](#)).

- The VT26 should be checked to ensure it displays an up to date list of NTs (refer to section 20.1 – [VT26 List of Nominated Testers](#) for details of how a VT26 is updated).
- The Appeals poster should show correct address and telephone number.
- Posters should be *properly* displayed on a notice board with a transparent protective cover. MOT viewing area availability signs and relevant emission posters may also be displayed on the notice board. The notice board should not be used to display information not related to the MOT scheme.

**Note:** Properly displayed means that it can be easily read by vehicle presenters. The notice board will normally be sited in the reception area or where the vehicle presenter pays their MOT fee.

- Provision should also be available for the VTS to display and distribute information leaflets issued by VOSA.

The outcome of these compliance checks should be recorded (where required) on the SAR Sections A6.1a – c.

### 32.3.2. Customer Management 3.2

#### Compliance checks

The VE should check that the VTS has an adequate appointment recording system. There is no requirement to record the outcome of this particular check in Section A6 of the SAR, but any advice or guidance given on this matter should be recorded on Part B.

### 32.3.2. Facilities 3.3

#### Compliance Checks

Access, parking, reception and viewing areas should be checked against the VT01Part D or any photographs taken at authorisation. A check should be made that the viewing area

and access to it is usable.

The outcome of these compliance checks should be recorded on the SAR Sections A6.5a - b.

### 32.3.2. A7 - Responsible Person – Business Management

4

The VE should refer to the MOT data gathered during his pre-visit preparation during this part of the Site Assessment.

This part of the Site Assessment visit would normally be carried out in an office type environment and the VE's assessment of the questions in Section A7 should be based on the Responsible Person's explanation of the systems and processes that are in place for managing various aspects of the business. A number of the questions are flagged for comparison with the NT response to the same question later in the visit ([Section A9 of the SAR](#)). If at that point it becomes apparent from the NT's response, or the VE's own observations in the workshop that there is doubt that the systems and processes described by the Responsible Person actually exist (as opposed to being in place, but not actually used in practice), the VE should review and amend as necessary the risk score given earlier against the Responsible Person questions in Section A7.

**Note:** If the RP asks how he may see the VTS key metrics and MOT Scheme average data about the VTS he should be advised that it is provided on the MOT Scheme Performance report. However, he should be made aware that the VTS key metrics will only be provided on the 'AE' report requested by an AEDM role.

### 32.3.2. Equipment

4.1

#### Compliance checks

- A check should be made on the presence and condition of all MOT test equipment. This includes small tools, tyre tread depth gauge, corrosion assessment tool, handlamps etc.
- Where self-calibration is carried out, VTS personnel may be asked to demonstrate calibration procedures.
- Where VTSs have more than one set of test equipment i.e. multi-bays etc, all equipment and calibration dates must be recorded on the MOT Computerisation database.
- Check equipment database records ([VTS Visit Preparation Report](#)) against dates of certificates and the

equipment on the premises.

**Note 1:** Some VTSs may not have the correct equipment listed on the VTS Device and a significant number will have the default 'VOSA Equipment'. The MOT Computerisation system does not hold all the approved equipment within its database. The MOT Standards Team are currently looking at ways to improve this and simplify the update process. Because of these constraints it will not always be possible to update the VTS Device.

**Note 2:** A Diesel Smoke Meter (DSM) from the list of acceptable equipment will be accepted by MOT Computerisation and allow testing to take place, but will not confirm that it has a built in Temperature Measuring Device (TMD). If a TMD is not built in, then the one in use will be required to be selected and entered with the equipment details. The VE will have to carry out a physical check for its presence and maintenance.

**Note 3:** OPTL equipment is now listed on MOTCOMP and the 6/12 monthly maintenance declarations must be recorded. Where such equipment is not listed, VEs should ask the SM to update the record (refer to section 4.15.4 – [Entering Equipment Details](#) (VOSA)).

The outcome of the checks of calibration certificates against the MOT test equipment and the information held on the VTS Device should be recorded on the SAR Section A7.1a - b. The outcome of the check of the presence and condition of the test equipment should be recorded at Section A7.9a.

### 32.3.2. Vehicle Documents 4.2

#### Compliance checks

There is no requirement to record the outcome of any checks the VE makes in relation to vehicle documentation e.g. the retention of emissions printouts in accordance with the requirements, but any advice or guidance given on such matters should be recorded on the SAR Part B.

### 32.3.2. Documentation - Inspection Manuals and the MOT Testing Guide 4.3

#### Compliance checks

All paper copies of Inspection Manuals and The MOT Testing Guide should be checked for the periodically issued amendment updates and, in the Inspection Manuals, the completion of the amendment record.

**Note:** The definitive and most up to date version of the

Inspection Manuals and The MOT Testing Guide is the electronic version which is readily available on the VTS Device. The electronic version is routinely updated as changes are made to policy and testing standards and procedures. VTS staff may, but are not obliged to print amendments off the VTS Device and, if the VTS routinely use the electronic copy as their source of up to date reference material there is little concern if they do not. The paper copies of the Inspection Manuals and The MOT Testing Guide are only updated periodically. There remains a compliance requirement for the VTS to update the paper copies following the issue of a periodic update. The VE's compliance check should be made against the latest periodic update to the paper copies and not against the current electronic version.

The outcome of the compliance check should be recorded on the SAR Sections A7.4a.

### 32.3.2. Special Notices 4.4

#### **Compliance checks**

Special Notices issued after May 2008 that AEs are required to keep in hard copy must be checked for their presence ([SN2-2008 refers](#)).

**Note:** Special Notices are broadcast to VTSs via the VTS Device. NTs must read and acknowledge that they have read them by a specified date and will be prevented from testing if they have not done so by the specified date. Recipients will receive a reminder 2 days before the cut off date if they have not yet acknowledged the Special Notice. Authorised Examiners are not obliged to keep a paper copy of a Special Notice unless it is specified on the Special Notice. NTs do not need to sign the required paper copies as they have made their acknowledgement on the VTS Device, but AEs may need to sign them, for instance to acknowledge receipt of an enclosure sent separately through the post. Any such requirement will be given in the issuing instructions for the Special Notice.

The outcome of the compliance check should be recorded on the SAR Sections A7.5a.

### 32.3.2. A8 - Responsible Person Questions 5

#### **Risk Scores**

This part of the Site Assessment visit contributes solely to the risk scoring element of the activity. The VE should ask the Responsible Person 5 questions selected from form [VT57 AE and NT Assessment – Pre-defined Questions](#). The questions

are designed to probe knowledge of the MOT Scheme. Reference material may be used but it must be on the Responsible Person's own initiative, it should not be prompted by the VE as this would affect the objective of this Section. As with all risk questions, the scoring criteria is set out in the Site Assessment Report – Risk Scoring document.

The VE should record the VT57 reference number of each question asked and the corresponding risk score at Section A8 of the SAR.

### 32.3.2. **A9 - Nominated Tester – Workshop and MOT Activities** 6

#### **Compliance Checks**

There are no specified compliance checks in this section, but the VE is required to estimate the maximum possible throughput for the VTS by test group i.e. Test Group A covers Classes I and II, Test Group B covers classes III, IV, V and VII. Factors that may influence this value include site layout, access, number, type and class of test bays. The VE should record his estimate for Group A at Section A9.1 of the SAR and for Group B at Section 9.2.

#### **Risk Scores**

This part of the visit provides the VE with the opportunity to assess, by visual observation within the workshop and through interview with a NT, whether systems and processes described by the Responsible Person for managing various aspects of the facility actually work. A risk score must be given against the questions asked of the NT (including when the RP and NT interviewed are the same person). The VE should also be aware at this point that if it becomes clear from the NT's response, or the VE's own observations in the workshop that the systems and processes described by the Responsible Person simply don't exist (as opposed to being in place, but not actually used in practice), the VE should review and amend as necessary the risk score given earlier against the Responsible Person questions in Section A7.

### 32.3.2. **A10 – A11 Nominated Tester (Quality Control) Questions** 7

#### **Compliance checks**

There are no specified compliance checks in these sections, but any advice or guidance given on shortcomings noted or observed during the NT questions (see Risk Scores below) should be recorded on the SAR Part B.

#### **Risk Scores**

The objective of this part of the Site Assessment visit is to assess the competence of the NTs at the VTS. The assessment comprises asking an NT (ideally the QC at VTS with multiple NTs) questions taken from form [VT57 AE and NT Assessment Pre-defined Questions](#). The VE should ask 5 questions for each group of vehicles tested by the VTS (Group A covers Classes I and II, Group B covers classes III, IV, V and VII). At a VTS that tests vehicles in both test groups and there is no single NT qualified to test vehicles in both test groups, the VE may question a different NT for each test group.

Questioning will usually be conducted in the workshop area and the questions are designed to examine the ability of the NT to use his knowledge of the scheme to provide the correct test outcome. Reference material may be used but it must be on the NT's own initiative, it should not be prompted by the VE as this would affect the objective of this Section. The outcome of the assessment will be regarded as indicative of the testing standards at the VTS.

The VE should record the VT57 reference number of each question asked and the corresponding risk score at Section A10 and, if the VTS tests both groups of vehicles, Section A11 of the SAR.

### 32.3.3 Site Assessment Conclusions

Feedback about the outcome of both the compliance and risk elements of the visit may be given on an ongoing basis throughout the visit as the VE makes his assessment of each question or at the end of the visit. Whichever delivery method is used, a summary of the feedback given must be recorded on the SAR Part B – Conclusions. A copy of the form **must always** be left at the VTS.

#### 32.3.3.1 Advice and Recommendations about risk and minor compliance issues

The VE **must** make recommendations about the measures that could be taken to improve the highest scoring attributes and should also make recommendations for any other attribute where a score could be reduced with a simple change.

e.g.

- If there are a large number of questions scored as 3 or above, the VE should focus on the responses which have score 4 or 5 and where changes would improve the risk score.
- If there is a mixture of scores 1 to 5, the VE should focus

on those scoring 4 or 5 and if possible, also those scoring 3 where a simple change would improve the risk score.

- If there is a mixture of scores 1 to 3 the VE should focus on those scoring 3 and also those scoring 2 where a simple change would improve the risk score.
- If all the scores are 1 and 2, the VE should make recommendations on those areas where the score could be lifted from a 2 to a 1 by making a very simple change.

For each risk attribute, the VE must record on the SAR Part B whether he has given feedback on the areas for improvement (a yes/no response). Where the VE response is 'yes'; he must record a summary of the recommendations made, including specific mention of any minor compliance issues that were observed and were contributory to the assessment of risk. Some examples of summary recommendations are provided in Appendix 21 – [Examples of Site Assessment Recommendation and Advice](#).

The VE's recommendations should be made in conjunction with reference to the VOSA leaflet 'VTS Best Practice'. The leaflet sets out the aspirational standards towards which each VTS should strive in order to be assessed as a relatively low risk of non-compliance within the MOT Testing Scheme. A copy of the VTS Best Practice leaflet has been issued to each VTS. If a further copy is required it is a free catalogue item and can be ordered using the Catalogue facility on the VTS Device or by phoning Siemens Service Desk.

### 32.3.3. Compliance shortcomings that require Remedial Action

2

Compliance shortcomings that require remedial action must be brought to the attention of the Responsible Person during the visit and must also be recorded in the relevant section of the SAR Part B. The Responsible Person must sign the front of the SAR Part B, and Note 2 on the reverse of the form must be brought to his attention. A copy of the form must be left with the signatory. For repeated shortcomings not worthy of disciplinary action this will be regarded as a Shortcomings (Advisory Warning) Letter.

If during the visit shortcomings are found that may result in formal disciplinary action, an interview should be conducted (refer to section 40 – [Interview Procedures](#)).

**Note:** Any advice given on MOT Computerisation that can be viewed by the AEDM and system generated advice via alert messages to a VTS user will be considered as advice directly from VOSA when considering disciplinary action.

## 32.4 Post Site Assessment Visit Procedures

The following actions must be taken after the Site Assessment visit:

- Record Site Assessment visit on MOT Computerisation ([32.4.1](#))
- Record Risk Scores on MOT Computerisation ([32.4.2](#))
- Record Disciplinary Assessment on MOT Computerisation ([32.4.3](#))
- Site Assessment documentation management ([32.4.4](#))

### 32.4.1 Recording Visit on MOT Computerisation

The Site Assessment visit must be recorded on MOT Computerisation using [Record VTS Visit](#) on the VE's laptop or a Corporate Terminal.

- **Visit Notes** - This section must record the outcome, and this relates to the compliance element of the Site Assessment visit (Risk scores are dealt with separately – see [32.4.2](#)).

**Note 1:** – The outcome should be recorded as Satisfactory or Shortcomings Found. **No other text must be keyed in.** An 'Unsatisfactory' outcome should not be shown. Any subsequent disciplinary action will be shown as an Event. It should be noted that visit information recorded on MOT Computerisation will be detailed to the VTS when they print the Garage File Information Report.

**Note 2:** The following Record Site Assessment function can be accessed directly from the Record VTS Visit functionality by selecting the 'Record Site Assessment' button. This will take you to the 'Enter Site Assessment – Select Details' screen which will be automatically populated with the VTS site number, the Assessment date and Assessor (VE's) User ID. Check the details are correct and then select the 'Continue' button to open the 'Record Site Assessment – Enter Details' screen which should be completed as set out in the next but one paragraph.

### 32.4.2 Recording Risk Scores on MOT Computerisation

VEs must record Site Assessment risk scores onto MOT Computerisation via the VE's laptop or a Corporate Terminal and this will normally be done by linking from the Record VTS Visit as per Note 2 above.

Whereas the risk scores can be entered as a separate exercise

using the function [Record or Update Site Assessment](#), this can only be done if the VTS Visit has previously been entered (see paragraph [32.4.1](#)). Note the following however:

- **Response Fields** - Risk scores are entered in the 'Response' fields. They can be entered either using the 'Select a Value' drop down options or by tabbing through the fields and using the key board to enter the appropriate number. (If the latter option is used, particular care should be taken with questions 8.1 to 8.5 and 10.1 to 10.5/11.1 to 11.5 to ensure that the risk score and VT57 reference number are entered in the correct fields, see below.)
- Observations for question groups 8, 10 & 11 - Enter the VT57 reference number of each question asked. No other text should be entered.
- **Responses for Questions [A9.1/2](#)** – These are free text boxes. Only the numerical value of the VE's estimate should be entered. This number will be lifted to populate a report and **no other text should be entered**.
- **Assessment Status** – This must be left if an assessment is incomplete for any reason. Ideally, all the risk scores from a Site Assessment should be entered in one go, but it is possible to record partial details and return to complete them at a later time using the same function, by selecting the 'Update Existing' radio button. The status can only be set to 'Finished' however if all of the required responses and observation fields have been completed. This is a critical step as an SA will only be included in the VTS risk score if the Assessment Status is 'Finished'.

**Note 1:** An SA with an assessment status of 'Finished' cannot subsequently be updated. However, if an error is noted in the VTS details on an SA and the Assessment Status has not yet been set as 'Finished' the status of the record should be set to 'Abandoned' using the drop down selection list on the Assessment Status field. This will nullify the incorrect record.

- **Overall Assessment** – This field is shown in error in the User Guide and is not present on the live screen.
- **Local Planning** - The purpose of the Local Planning field is to identify VTSs where the VE knows from his local knowledge that the default segment specific strategy is not appropriate for that particular VTS (e.g MOT55 activities are known to be ineffective at this VTS). The field will default to 'Not Required' as it is expected that for most VTSs the default segment specific strategy will be appropriate. However, if exceptionally the VE considers that the VTS will require a unique VTS activity plan he may set the Local Planning field to 'Required' using the drop

down option. This field will only be activated when the Assessment Status field has been set to Finished.

**Note 2:** It is good practice to record a comment against the SA activity to explain why the Local Planning field has been set to 'Required'. The information will subsequently help the SVE to decide a suitable alternative VTS plan for the VTS.

**Caution:** The processes to Record SA risk scores on MOT Computerisation and Record Disciplinary Assessment on MOT Computerisation **must** be completed before using the [Record Comments](#) function.

- **Record Site Assessment** - When all the details and risk scores from the SA have been entered on MOT Computerisation make a final check that the VTS details are correct. If the 'Assessment Status' field has been set to 'Finished', this record cannot be amended.

**Note 3:** The details will be confirmed by the 'Record Site Assessment – Recorded' screen. This screen also provides a button 'Record Disciplinary Assessment' to take you directly to the screens for recording the results of the Disciplinary Assessment.

### 32.4.3 **Record Disciplinary Assessment on MOT Computerisation**

The pre visit assessments recorded in section A3 of the SAR must be entered onto MOT Computerisation. Refer to section 17.2 – [Recording Disciplinary Assessment on MOT Computerisation](#).

**Note:** It is vital that the Disciplinary Assessment is recorded on MOT Computerisation on the same day as the Site Assessment to ensure the VTS risk score is calculated correctly and the appropriate VTS plan assigned.

### 32.4.4 **Documentation Management**

The original copies of the SAR Part A and Part B must be forwarded to the relevant Admin person as soon as possible for placing on the VTS file. Those likely to result in formal disciplinary action should be marked for the attention of the AM/SVE. A copy of Part B may be taken for the VE's file dependant on local practices.

### 32.5 **Activity Code**

There are two codes for recording Site Assessment activities on journals:

- **MOTSAP** – for time spent on pre-visit preparation (analysis of reports and Disciplinary Assessment)
- **MOTSA** – for conducting a Site Assessment visit.

**Note:** If a return visit is made to interview an NT because he was absent at the initial unannounced Site Assessment visit (see paragraph [32.3.1](#)), it should be booked using activity code MOTSA(cont).

## 32.6

### System Reports

- [VTS Visit Preparation Report](#)
- [MOT Scheme Performance Report](#)
- [Appeals](#)
- [Re-issued Test Documents Log](#)
- [VTS Test Log](#)
- [VTS Assessment Report](#)

