

09.12.09	<b>Section 3 Vehicle Testing Scheme</b>
	<b>Operating Instructions</b>
	<b>36 – VTS Review</b>

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A VTS Review is an office based activity to consider whether any specific action is required in relation to a VTS when something has occurred to indicate that the risk may have changed.

### 36.1 Trigger

A VTS Review is carried out when any of the following occurs:

- A Desk Based Assessment has an unsatisfactory outcome. This is an automated trigger (see [36.2](#)).
- There has been a significant change in the [Key Metrics](#) of a VTS with a **green** RAG status. This is an automated trigger (see [36.3](#))
- There is intelligence about a VTS and the Regional Investigation Team (RIT) is managing the investigation. This is a manual process (see [36.4](#) & [36.6](#))
- Disciplinary action is instigated. This is a manual process (see [36.5](#) & [36.6](#))
- A VTS Plan has to be suspended when a VTS is dormant and the AE-VTS link has been suspended.

### 36.2 Unsatisfactory Desk Based Assessment

All [Desk Based Assessments](#) and their outcomes are recorded on MOT Computerisation. When the outcome is recorded as unsatisfactory, MOT Computerisation automatically adds a VTS Review activity (DBA Outcome) to the VTS plan. The activity will then be listed as a pending activity on the next Activity Schedule (refer to section 15.1 – [Requesting the Activity Schedule report](#)).

The AM/SVE should conduct a VTS Review to decide on any next course of action.

#### 36.2.1 Conducting the VTS Review (DBA outcome)

The purpose of the VTS review is to consider whether to take action regarding unsatisfactory aspects flagged up from the DBA.

The SVE should view the relevant DBA record on MOT Computerisation to look at the reasons why the DB assessor has referred the DBA to the Area Office (see [36.2.1.1](#)).

Against the reasons given for referral, the AM/SVE should consider all other information known about the VTS before deciding whether the elements highlighted during the DBA require following up.

- The DBA provides the assessor with a 'snapshot' view of

the VTS and there may be perfectly valid reasons not known to them why the apparently unsatisfactory elements highlighted during the DBA are actually of little concern e.g. The VTS is a main dealer and the low failure rates highlighted by the DBA are normal given the nature of the business.

- Equally however, the reasons for referral may highlight issues that the AM/SVE cannot account for from his knowledge of the VTSs, in which case he should consider whether follow up action is warranted.
- It is also possible that a DBA referral may derive from the inability of the RP to account for anomalies in Scheme Performance data and/or answer the scripted questions. Where this exposes or supports existing concerns about the control at the VTS, or the RP has a significant role within the MOT Testing Scheme (AEDM/SM) and his inability to answer questions is therefore of some concern, the AM/SVE may wish to follow up the DBA referral.
- In other cases however, the AM/SVE may be able to assess from his knowledge of the VTS that the RP interviewed does not normally have any MOT responsibilities at the VTS and the unsatisfactory DBA outcome was likely due to a coincidence of timing with the AEDM/SM's absence.

Whilst these last two cases would not warrant a visit as follow up action, it may be appropriate to deal with them by way of a written reminder of the AE's responsibility to ensure that persons left in charge of MOT testing must be sufficiently conversant with the fundamentals of the MOT Testing Scheme. The [SL1-082 DBA Follow Up Standard Letter](#) may be used for following up such referrals that are only of minor concern (e.g No QC index on Performance Report).

Further guidance based on the most common reasons for referral from DBAs is provided in Appendix 5.6 – [Guidance for VTS Review following DBA Referral](#).

The VTS Review outcome must be recorded as **No change** or **Plan change** as appropriate to the action taken (see [36.7](#))

**Note:** If the reason for referral is not clear from the DBA record on MOT Computerisation the SVE should contact the Contact Centre manager for clarification.

### 36.2.1.1 Viewing the DBA Record

The DBA 'Reasons for referral to Area' will be recorded at question 1.14 on the assessment record. To access the DBA record on MOT Computerisation; follow the menu thread: Enforcement > View Assessment.

- Use the **'Find Assessment'** facility to bring up the 'List of Assessments Found' screen.
- Select the **radio button against the correct DBA** and click the 'Display Full Assessment' button to bring up the 'Full Details of Assessment Selected'.
- Click the **'View Questions'** button to bring up the 'Assessment – Question Details' screen.

### 36.3 Significant change in VTS key metrics

When a significant change in VTS [Key Metrics](#) has occurred at a VTS with a **green** RAG status, MOT Computerisation automatically adds a VTS Review (Monitor) activity to the VTS Plan. The activity will then be listed as a pending activity on the next fully updated Activity Schedule (refer to section 15.1 – [Requesting the Activity Schedule report](#)).

The AM/SVE must conduct a VTS Review to decide on any next course of action.

#### 36.3.1 Conducting the VTS Review (Monitor)

The AS will not provide any details about the significant change in VTS key metrics that triggered the VTS Review. The AM/SVE must initially establish whether any significant change is still shown in the Key Metrics for the current month. In order to do so a [VTS Visit Preparation report](#) must be ordered.

If this report shows no continuing significant change in Key Metrics no further investigation is necessary and the VTS Review outcome must be recorded as **No Change** (see [36.7](#)).

Where a significant change is still shown in the latest key metrics see the following sections.

##### 36.3.1.1 Assessing continuing significant change

The AM/SVE should review the VTS file and the VTS Visit Preparation Report and use any local knowledge to decide whether the significant change requires any follow up action.

No follow up investigation is required if it is clear from the information available that something has occurred at the VTS that accounts for the significant change, the new VTS key metrics remain within reasonable limits for the VTS and there is no change to risk e.g. the seasonally adjusted number of tests/day has increased but the VTS Visit Preparation report shows that correspondingly, the AE took on an additional NT. The increased number of tests remains within the maximum capacity for the

VTS, therefore the significant change is accounted for and acceptable.

The VTS Review outcome must be recorded as **No Change** (see [36.7](#)).

### 36.3.1.2 Investigate using Site Assessment

If there is a continuing change which cannot be accounted for, a Site Assessment must be conducted. This will provide the opportunity for the VE to look into any apparent unaccountable change in key metrics and reassess the VTS risk. If the VTS plan shows that the next planned activity is a Site Assessment, the planned date may be brought forward. Alternatively, a Site Assessment can be added to the plan, and if a DBA activity has a planned date within 3 months of the added SA, it must be cancelled. (refer to Section 37.3 – [Updating a VTS Plan](#)).

The VTS Review outcome must be recorded as **Plan Changed** (see [36.7](#)).

**Note 1:** Where the existing final Site Assessment is not the next activity on the plan it must **not** be rescheduled ahead of the next activity **nor** must the existing Site Assessment be cancelled when a new one is added. All plans **must** end in a Site Assessment. Use the function View Activity to see the plan.

**Note 2:** When the Site Assessment has been carried out and recorded on MOT Computerisation, the VTS risk score will be re-calculated and new plan generated if the current plan is completed or the risk score has increased such that the VTS now falls into a higher risk segment. If the current plan is not completed and the VTS remains in the green segment, it will continue with the current plan

## 36.4 The Regional Investigation Team takes on investigation

When a VTS with an active Intelligence Marker is referred to a Level 1 meeting and it is decided that the Regional Investigation Team (RIT) will conduct investigations at the VTS, the VTS plan may be suspended in order not to compromise the RIT investigation.

In order to do this a VTS Review must first be manually added (see [36.6](#)). The VTS Review outcome must then be recorded as **Suspended for level 1 review** (see [36.7](#)).

The SVE should review the progress of the RIT investigations at each monthly Level 1 meeting. When the investigation is completed, the VTS plan must be unsuspending using the function [Update VTS Plan](#). Refer to Section 37.7 – [Unsuspending a VTS Plan](#).

## 36.5 Disciplinary action is instigated

When a contemplated disciplinary letter is issued to an AE, the relevant VTS plan must be suspended.

**Note 1:** This action will be taken by the CRT team for all cases dealt with by them.

In order to do this a VTS Review must first be manually added (see [36.6](#)). The VTS Review outcome must then be recorded as **Suspended for Disciplinary Action** (see [36.7](#)).

When a decision has been made about the outcome of the disciplinary action the VTS plan must be unsuspending using the function [Update VTS Plan](#). Refer to Section 37.7 – [Unsuspending a VTS Plan](#).

**Note 2:** Unsuspending the VTS plan must always be carried out by the Area Office, including cases dealt with by the CRT team when they (i.e. the Area Office) receive the e-mailed copy of the outcome letter sent by the CRT team.

## 36.6 Manually adding a VTS Review onto MOT Computerisation

Reviews triggered by RIT investigations and Disciplinary Action must first be manually added as a VTS Review using the function [Update VTS Plan](#). This also applies if a VTS Plan has to be suspended where an AE-VTS link has been suspended.

The User will be required to complete the following details about the activity to be added:

- **Description** – select VTS Review from the drop down selection list
- **Scheduled month** – enter the current month
- **Assigned to** – this is an optional field, but if completed should be the User ID of the SVE

**Note:** It is not possible to add a VTS Review activity if there is another open VTS Review activity on the VTS plan.

The details will be confirmed by the 'Update VTS Plan – Activity Recorded' screen. Select the **Complete Activity** button at the bottom of the screen to link directly to the screen 'Complete Activity – Enter Details' to record the outcome (see [36.7](#)).

## 36.7 Recording VTS Review Outcomes onto MOT Computerisation

All VTS Review outcomes must be recorded on MOT Computerisation using function [Complete Activity](#) in order to show them as 'Complete' on the VTS Plan which will then remove

them from the Activity Schedule.

### **All outcomes**

Any one of the following 5 outcomes can be selected from the drop down options list irrespective of the reason why the review was added however guidance from the relevant sections above must be followed:

- No Change\*
- Plan Changed\*
- Suspended for Disciplinary Action
- Suspended for Level 1 Review
- Suspended for Other Reason

\* This outcome results in the VTS [Key Metrics](#) baseline being automatically updated with the last 3 months average as the new baseline.

#### **36.7.1 Recording Comments**

The Complete Activity function has a provision to link to the [Record Comments](#) function. It is recommended that concise and objective notes relating to the activity are always recorded. Additional comments can be subsequently made and can be viewed using the function View Activity.

#### **36.8 General information about VTS Review activities**

- MOT Computerisation will not allow a VTS Review activity to be created automatically or manually if there is already an open VTS Review activity on the VTS plan.
- If a VTS Review is not manually completed the activity will remain open and will be listed as overdue on the Activity Schedules.

#### **36.9 Activity Code**

A VTS Review activity should be booked using the Activity Code **MOTREV**.

#### **36.10 References**

- [Suspended Action Plans](#)\*
- [Summary of Suspended Action Plans](#)\*

\* These reports are delivered automatically to the Central Group Mailbox each month accessible by AM and AO(1) only, but they may also be requested by these roles.

