



## **Compass Group (UK and Ireland) Ltd**

# **Managing Heavy Goods and Passenger Service Vehicle Operator Licences**

## **Policy and Procedures**

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## Document Control

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## 1.0 Purpose

The purpose of this policy and its associated responsibilities and procedures is to determine Compass Group UK & Irelands ('The Company's) approach and expectations in relation to managing any vehicle operator's licence held, in accordance with regulations and operational standards as laid out by the Traffic Commissioner, the Driver Vehicle Standards Agency and any other relevant authorising bodies.

## 2.0 Scope

This policy and its associated responsibilities and procedures apply to the overall operation of:

- All goods carrying vehicles with a gross vehicle weight (GVW) of 3500kg and above.
- All passenger carrying vehicles with a capacity of 9 or more seats.

Which, by law must operate under an operator licence that has been granted to The Company in the form of either a:

- Restricted operator licence.
- Standard National operator licence.
- Standard International operator licence.

## 3.0 Area of Application

This policy and its associated responsibilities and procedures apply to:

- All directors and transport managers named on any operator's licence held by The Company.
- All individuals employed by The Company, who's role and responsibilities relate to the business operations associated with any operator's licence held by The Company.
- Any maintenance provider who is appointed by The Company to maintain the roadworthiness of its goods and passenger carrying vehicles.
- Any vehicle hire provider who provides goods and/or passenger carrying hire vehicles to The Company.

## 4.0 Relevant Legislation

Goods Vehicles (Licensing of Operators) Act 1995

Goods Vehicles (Licensing of Operators) Regulations 1995

Goods Vehicles (Licensing of Operators) (Fees) Regulations 1995

Public Passenger Vehicles Act 1981

The Public Service Vehicles (Operators' Licences) Regulations 1995

The Drivers' Hours and Tachographs (Temporary Exceptions) Regulations 2021

The Road Transport (Working Times) Regulations 2005

Road Vehicles (Construction and Use) Regulations 1996

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## 5.0 Definitions

**The Company** - Refers to Compass Group UK & Ireland, including its associated business sub-sectors.

**Director** - Refers to any director employed by The Company who is named on an operator licence held by The Company.

**Transport manager** - Refers to any transport manager employed by The Company who is named on an operator licence held by The Company.

**Driver** - Any individual employed by The Company, with a full or part time contract, or through an agency staff provider to carry out operations in association with The Company's logistic driving operations.

**Goods carrying vehicle** - Refers to any vehicle with a maximum gross vehicle weight (GVW) of 3500kg and above, which carries goods or food in relation to The Company's business operations.

**Passenger carrying vehicle** - Refers to any vehicle with a capacity of 9 or more seats which carries people in relation to The Company's business operations.

**GOV.UK** - Refers to any areas of the Official Government UK website which provides information in relations to overall management of an operator licence.

**DfT** - Department for Transport

**OLAT or OLAC** - Operator Licence Awareness (Training) (Course)

**CPC** - Certificate of Professional Conduct

**HGV** - Heavy Goods Vehicle

**PSV** - Public Service Vehicle

**DVSA** - Drive and Vehicle Standards Agency

**DVLA** - Drive and Vehicle Licence Agency

**GWV** - Gross Vehicle Weight

**MOT** - Ministry of Transport

**VED** - Vehicle Excise Duty

**PMI** - Periodic Maintenance Inspection

**VOR** - Vehicle Off Road

**VBT** - Vehicle Brake Test

**LOLER** - Lifting Operations and Lifting Equipment Regulations

**WTD** - Working Time Directive

**EU** - European Union

**RTC** - Road Traffic Collision

**VOL** - Vehicle Operator Licence (online portal)

**OCRS** - Operator Compliance Risk Score

**VMF** - Vehicle Maintenance File

**PPE** - Personal Protective Equipment

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## 6.0 Operator Licence Management

### 6.1 Operator Licence Details

The details listed on all operator licences held by The Company must be correct and up to date at all times. All operations carried out by The Company must be in scope of the details documented on the specific licence which has been granted.

#### 6.1.1 Director Responsibilities

Where a director is named on an operator licence granted to The Company, he/she must:

- Be of good repute.
- Have sufficient knowledge of the UK transport regulatory regime.
- Attend an OLAT (sometimes known as an OLAC) one-day awareness course and subsequent refresher training as appropriate.
- Ensure sufficient business financial standing to support operator licence compliance.
- Where the operator licence stipulates, employ a suitably trained and competent transport manager(s) and monitor their management of the operator licence.
- Declare any convictions they have to the traffic commissioner and the transport manager(s) named on the operator licence.
- Notify the relevant transport manager of any director resignations and new appointments
- Carry out independent periodic audits of the operator licence to 'stress test' transport operations and identify areas of risk, ensuring any issues identified are rectified.
- Include transport compliance reporting as a regular item at Exec board meetings, including OCRS reporting.
- Ensure robust procedures in place to identify, report and investigate operational and road safety incidents.

#### 6.1.2 Transport Manager Responsibilities

Where a transport manager(s) is named on an operator licence granted to The Company, he/she must:

- Be of good repute.
- Hold a valid transport manager CPC qualification, relevant to the operator licence and ensure their training certificate is held on site.
- Apply to the traffic commissioner to approve their transport manager appointment and notify the traffic commissioner of any intended resignation.
- Attend 2-day CPC refresher course every 5 years and hold certificates of training on site.
- Subscribe to a relevant professional transport body, keep up to date with DVSA and GOV.UK guidance and information.
- Allocate sufficient hours per week in line with those set by the traffic commissioner to carry out their duties.

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- Not be named on more than four licences at any one time and must not manage more than a total of 50 vehicles.
- Ensure the type of licence which has been granted is applicable for the business operation and all details held on the licence are correct at all times.
- Advise the traffic commissioner of any criminal convictions related to any of the directors or themselves.
- Ensure vehicle details are correct on the licence, update accordingly and only operate those listed on the licence.
- Ensure the correct operator licence disc and vehicle overall height indicator is displayed in all vehicles.
- Ensure the number of vehicles within operation does not exceed the number granted on the operator licence.
- Ensure all vehicles are parked at the correct operating centre address detailed on the operator licence.
- Add any 'spot hire' vehicles to the operator licence on the 28<sup>th</sup> day of continuous hire.
- Have written permission from the land/property owner to use the premises as an operating centre.
- Take into consideration any excessive noise or visual intrusion around the operating centre(s) and take steps to mitigate any issues, so far as reasonably practicable.
- Have a procedure in place to investigate any complaints in relation to vehicle operations and driver behaviours.
- Hold an up-to-date copy of the operator licence on site.
- Provide regular OCRS and reporting to the directors.

*See Appendices for further information relating to transport manager responsibilities.*

## 6.2 Internal Audits

Given the nature of the business, The Company directors are likely to have limited involvement in matters of day-to-day fleet management and transport compliance. This lack of familiarity can expose both directors and The Company to hidden risk. In order to mitigate risk and ensure compliance, regular independent auditing of all operator licences held by The Company must be carried out.

### 6.2.1 Director Responsibilities

Directors must ensure:

- Full compliance audits of all operator licences held by The Company are carried out at periodic intervals.
- All audits are carried out by an independent transport consultant and records held.

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- All audits are reviewed with the relevant transport manager and any non-conformities, actions or recommendations are closed out.

## 6.2.2 Transport Manager Responsibilities

Transport managers must:

- Arrange to have an audit conducted at the request of any director.
- Be available to meet with the auditor when they visit the operating centre and provide any documentation requested.
- Review the findings of the audit with the director(s) and ensure any non-conformities, actions or recommendations are closed out.

## 7.0 Insurance Policies

### 7.1 Insurance Cover

Adequate insurance cover must be in place to ensure financial protection in the event of an incident which causes damage or injury to and employee, third party, vehicle, property or animal.

#### 7.1.1 Director Responsibilities

Directors must ensure:

- Financial provisions for insurance cover are readily available.
- Valid certificates of insurance are in place which are sufficient to cover The Company's business operations.

#### 7.1.2 Transport Manager Responsibilities

Transport managers must ensure:

- Up to date certificates of insurance are held on site.
- They bring to the attention of the director(s) any concerns or discrepancies which could potentially void insurance cover.

The following insurance cover must be in place:

- Motor Vehicle
- Goods in Transit
- Public Liability
- Employers Liability

Where hire vehicles are utilised, it is the transport managers responsibility to ensure they are adequately insured by either the vehicle supplier or The Company.

### 7.2 Ministry of Transport (MOT) Tests and Vehicle Excise Duty (VED)

In order for relevant insurance policies to be valid, all vehicles operated on the public highway must have a current MOT certificate and VED fees paid.

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### 7.2.1 Transport Managers Responsibilities

Transport managers must ensure:

- All vehicles (and trailers where applicable) have a current MOT certificate.
- All vehicles (and trailers where applicable) have VED in place which is sufficient for the weight/size of the vehicle and that all fees paid are up to date.
- Copies of Mot certificates and confirmation of VED payments are held in the vehicles file.

### 7.3 Vehicle and Goods Security

All vehicles must be kept secure at all times. A secure key safe must be provided on site for the storage of vehicle keys and when vehicles are parked on site, the key box must be used. Drivers must ensure that when carrying out their daily driving duties away from site, vehicles are locked and goods are secure whenever they are away from the vehicle.

## 8.0 Vehicle Maintenance and Operations

### 8.1 Vehicle Walk Around Check and Defect Reporting Procedure

A thorough visual inspection (walk around check) of the vehicle must be carried out at the beginning and end of each daily shift where the vehicle is driven. These must be recorded and any defects must be reported to the transport manager immediately. Any subsequent defect remedial actions must also be recorded. Where a vehicle defect been identified, vehicles must follow the VOR procedure.

#### 8.1.1 Transport Manager Responsibilities

Transport managers must ensure that robust procedures for carrying out vehicle walk around checks and reporting defects are in place. As a minimum this should be supported by:

- Providing a daily vehicle walk around check sheet, or mobile phone app to drivers, which is to the standards documented in the DVSA publication; *Guide to Maintaining Roadworthiness (goods and public service vehicles)*.
- Providing drivers with adequate training to carry out their duties effectively, ensuring they understand the vehicle walk around checks which need to be completed and all documenting and reporting procedures to be followed.
- Ensuring any defects are reported by the driver immediately and that a procedure in place to report any defects should a vehicle develop an issue whilst away from the operating centre.
- Implementing VOR procedures where necessary and ensure vehicles are not made accessible until defects have been rectified.
- Carrying out and recording 'gatehouse checks' to ensure quality, competence and compliance of vehicle daily walk around checks and defect reporting, taking the necessary action where issues have been identified.

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- Keeping completed vehicle walk around check and defect rectification documentation for 15 months.

### 8.1.2 Driver Responsibilities

Drivers must:

- Carry out a thorough vehicle walk around check of their vehicle before the vehicle is driven and again at the end of its daily journey.
- Ensure that a sufficient period of 'other work' is recorded on their tachograph to evidence that allocated time has been given to carry out these checks.
- Report all defects identified to the transport manager immediately. Where no defects have been identified, write 'NIL DEFECTS' on the vehicle walk around check documentation.
- Follow the VOR procedure and not drive a vehicle where any defects have been identified until such time as the vehicle has been declared fit for use by the transport manager.

## 8.2 Vehicle Off Road (VOR) Procedure

Any vehicle which has a defect must be officially taken out of operation until such time as the defect has been rectified and the vehicle is declared fit for use.

### 8.2.1 Transport Manager Responsibilities

Transport managers must ensure that vehicles which have been VOR'd are not accessible to drivers, loaders or other relevant personnel. Transport managers must develop a robust process which must include the following:

- A method for securing vehicle keys so they are not accessible to other individuals.
- A vehicle key sign out/in procedure for individuals who are authorised to repair the vehicle/drive it to a maintenance provider for repair.
- A system where vehicles display clear visual VOR signage.
- A vehicle fit for use sign off procedure post defect rectification and clear communication to all individuals.

## 8.3 Periodic Maintenance Inspections (PMI's)

In order to ensure a vehicles roadworthiness, PMI's must be carried out at frequent intervals and documented in line with the DVSA's publication; *Guide to Maintaining Roadworthiness (goods and public service vehicles)*.

### 8.3.1 Transport Manager Responsibilities

As a minimum, transport managers must:

- Read and fully understand the DVSA's publication; *Guide to Maintaining Roadworthiness (goods and public service vehicles)*, ensuring all PMI's are carried out to the standard prescribed.

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- Enlist a competent maintenance provider and ensure a written contract (GV79: Annex D) is in place between both parties.
- Determine the frequency of vehicle PMI's and ensure these are carried out in line with scheduled dates.
- Ensure completed PMI records are received from the maintenance provider within 24 hours.
- Check the findings of completed and corresponding previous PMI records, ensuring any actions are closed out.
- Attach the drivers defect report for the corresponding day of the inspection to ensure the drivers report is accurate.
- Keep completed PMI records for 15 months.
- Monitor the service quality of the maintenance provider and take appropriate action as necessary.
- where hire vehicles are used, request copies of the previous 6 months of PMI records and have a written agreement in place for subsequent PMI completions.

## 8.4 Wall Planners

All vehicles must have a maintenance plan matrix for at least 6 months' worth of PMI dates and other relevant test dates and vehicle information. The matrix should also detail the previous 6 months of historical records. This must be displayed in the form of a wall planner.

### 8.4.1 Transport Manager Responsibilities

As a minimum, transport managers must ensure that all vehicles are detailed on the wall planner and it is kept up to date and displayed. They must ensure all the following information both historical and planned is included:

- MOT dates
- VED dates
- PMI dates
- VBT dates
- Tachograph calibration dates
- 6 monthly LOLER inspection dates (where applicable)
- Tyre inspection dates
- 12 monthly weight test dates
- Include any dates for inspection/service/maintenance of vehicle ancillary equipment.

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## 8.5 Tyre Maintenance

A robust tyre management system must be in place to ensure the safe management and use of tyres fitted to all vehicles and ensure that they are not at any time operated with unroadworthy tyres.

### 8.5.1 Transport Manager Responsibilities

Transport managers must ensure that:

- Tyre inspections are included and recorded in the driver vehicle walk around checks and vehicle PMI's.
- Vehicles with any tyre defects are taken off road and the defects rectified prior to the vehicle being authorised as fit for road use.
- Drivers are aware of their responsibilities and receive sufficient training in relation to the inspection of safe tyre conditions and reporting defects.
- A reputable tyre supplier is appointed.

Transport managers must also ensure that all tyres:

- Are not more than 10 years old when fitted to any steering axle.
- Are always above the legal tread depth minimum limit.
- Are inflated to the correct pressure.
- Are the correct size and consider the tyre's rim diameter, section width and aspect ratio.
- Are suitable for the operational needs of the vehicle and within the speed and load capacity rating.
- Do not have signs of irregular wear, have any evidence of impact damage, cuts/slashes/bulges or punctures.
- On all steered axles, tyres are the same structure (with the exception of a temporary or spare use tyre).
- On all driven axles, tyres are the same structure (with the exception of a temporary or spare use tyre).
- On a trailer axle, tyres are the same structure (with the exception of a temporary or spare use tyre).
- On a two-axle vehicle where each axle is fitted with single wheels, tyres are fitted as follows:

Structure of tyre on axle 1	Structure of tyre on axle 2
Cross ply	Bias belted
Cross ply	Radial
Bias belted	Radial

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## 8.6 Wheel Re-Torque Procedure

Incorrect or careless torque of wheel nuts is the main cause of wheels becoming detached from commercial vehicles during use. Detached wheels can cause serious injury or death and robust procedures must be in place to prevent this from occurring. Tyres must only be fitted/replaced by a reputable tyre fitting supplier. No other individuals may remove or fit a wheel and/or tyre at any time.

### 8.6.1 Transport Manager Responsibilities

Transport managers must ensure:

- Whenever a wheel is removed and replaced or wheel nuts are loosened, a wheel removal tag is placed on the steering wheel of the vehicle.
- The wheel fixings are retightened to the recommended torque after 30 minutes if the vehicle is stationary or within 40 kilometres (25 miles) to 80 kilometres (50 miles) if the vehicle is driven.
- They agree and document this procedure with the supplier.
- Drivers receive training in relation the re-torque procedure and understand their responsibilities.
- They formally investigate any event where the re-torque procedure has not been followed and take the necessary action to prevent a re-occurrence.

## 8.7 Vehicle Laden Weights and Capacities

Vehicles must not at any time, carry goods in excess of their permissible GVW or people in excess of their maximum passenger carrying capacity. Vehicles must also be loaded with goods in a manner so as to ensure each individual maximum permissible axle weight is not exceeded.

### 8.7.1 Transport Manager Responsibilities

Transport managers must:

- Know the unladen weight and GVW weights of their vehicles and/or maximum passenger carrying capacities.
- Plan loads/public services to ensure they are within the vehicle's weight/maximum passenger carrying capacities.
- if in any doubt, weigh the vehicle at a local weighbridge to ascertain its unladen weight and ensure they calculate the weight of the goods prior to loading.
- Bring to the attention of the directors, any TE160 issued by the DVSA as a result of vehicle overloading.

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### 8.7.2 Driver Responsibilities

Drivers must:

- Know the unladen weight and GVW of their vehicles.
- Understand how to load the vehicle correctly in accordance with individual axle weight capacity.
- Know the maximum passenger carrying capacity of their vehicle and manage the number of individuals boarding the vehicle.
- Raise any concerns in relation to overloading with the transport manager.

## 8.8 Load Security

The securing of a load must be of primary concern. Effective load securing ensures a vehicle's stability and prevents goods from falling onto roads causing danger to other road users. It also contributes to ensuring the safety of individuals who are responsible for loading and unloading vehicles and saves money by ensuring that goods arrive at their destination undamaged. The safe loading of vehicles is the responsibility of all those involved with the loading activity and is only achievable if those individuals have the necessary knowledge and understanding of what is required.

### 8.8.1 Transport Manager Responsibilities

Transport managers must:

- Familiarise themselves with GOV.UK publication; *Load Securing: Vehicle Operator Guidance* and the DfT code of practice; *Safety of Loads on Vehicles*.
- Carry out a risk assessment of the loading and unloading operations and share the findings with all parties involved in vehicle loading and unloading operations.
- Ensure the vehicle is fit for the intended load.
- Select the appropriate load securing method and equipment, ensuring it is adequate in its load restraint capacity.
- Provide sufficient training to drivers and other individuals who are responsible for loading and unloading vehicles.
- If necessary, provide a loading plan.

### 8.8.2 Vehicle Loader Responsibilities

Individuals who are responsible for loading vehicles must:

- Have received sufficient training in the safe loading of vehicles and understand the findings of the loading risk assessment, working in accordance with safety control measures.
- Load the vehicle in a manner to ensure goods remain safe during loading, transit and unloading.

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- Follow any load plan provided.
- If the individual loading the vehicle is not the driver, involve the driver in the loading process if possible.
- Inspect the load restraints provided to ensure they are adequate for the load and fit for use.
- Ensure the load is secure using the restraints provided.

### 8.8.3 Driver Responsibilities

Drivers must:

- If they are not responsible for loading the vehicle, observe the operation wherever possible.
- Check the load is secure and all restraints used are fit for use and in place before closing the vehicle and moving off.
- Drive in a manner so as to ensure the load remains secure.
- Report any load shifts and/or defects with restraint equipment to the transport manager.

## 8.9 Ad-Blue Usage and Emulators

The DVSA take a zero-tolerance approach to the in-proper monitoring and use of ad-blue. In most European countries, the use of ad-blue emulators is forbidden. An ad-blue emulator simulates the Selective Catalytic Reduction (SCR) system behaviour and truck operators can save a lot of money, but with a negative impact on vehicle emissions. The usage of ad-blue in vehicles must be closely monitored to ensure the vehicle drawings are sufficient to support reduced vehicle pollution emissions and environmental hazards.

### 8.9.1 Transport Manager Responsibilities

Transport managers must:

- Ensure vehicles are not fitted with emulators and if they are, the vehicle(s) follows the VOR procedure until such time as they have been removed.
- Monitor ad-blue usage by reviewing diesel and ad-blue purchase receipts.
- Raise any concerns with the appointed maintenance provider/vehicle hire supplier, rectifying where required.

### 8.9.2 Driver Responsibilities

Drivers must:

- Obtain purchase receipts/drawings for all ad-blue and diesel vehicle fuelling and submit these to the transport manager.
- Report any concerns they have with a vehicles ad-blue usage to the transport manager immediately.

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## 8.10 Hire Vehicles

Hire vehicles must be maintained and operated in the same manner as any other vehicle listed on an operator licence.

### 8.10.1 Transport Manager Responsibilities

Transport managers must ensure:

- Vehicles are hired from a reputable supplier.
- An agreement in place with the supplier to ensure only authorised named individuals (at the discretion of the transport manager) are able to hire vehicles from the supplier.
- Tachographs are locked in on hire and locked out and downloaded on de-hire.
- If hired for more than 28 consecutive days, the vehicle details are added to the operator licence.
- Obtain all relevant documentation associated with the vehicle which must include the following:
  - Vehicle rental agreement.
  - Most recent and previous 6 months of PMI records.
  - Current tachograph calibration certificate.
  - Current MOT certificate.
  - Proof of VED fees paid up to date.
  - Most recent and previous 6 months of vehicle brake test inspection records.

## 8.11 Vehicle Brake Tests (VBT's)

All vehicles must have a VBT carried out during every PMI and MOT. The test must be carried out using a roller brake test function. Where applicable, vehicles must be loaded for the test, ideally to at least 65% of its GVW. A vehicle can only be tested unladen due to design limitations or the type of load it normally carries.

### 8.11.1 Transport Manager Responsibilities

Transport managers must:

- Ensure these are carried out whenever a vehicle has a PMI and MOT conducted.
- If any defects are found, follow VOR procedures until such time as the defects have been rectified.
- Attach a copy of the VBT to the PMI/MOT documentation in the vehicle file for 15 months.

## 8.12 PG9 Prohibition Procedure (PG9)

PG9 notices can be a costly business and are often accompanied by a fixed penalty notice and can also affect the OCRS. Consequently, the operator's vehicles are likely to be targeted by

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DVSA for more frequent and thorough roadside checks, potentially making it more likely that further defects will be discovered.

The Company expects vehicles to be maintained in a roadworthy manner and driven in accordance with driver's hours rules at all times to ensure the risk of being issued with a PG9 vehicle prohibition order is mitigated.

#### 8.12.1 Transport Manager Responsibilities

Transport managers must:

- Ensure they understand the procedures for issuing and removing a PG9 prohibition on a vehicle by reading the DVSA publication; *Categorisation of Vehicle Defects*.
- Maintain all vehicles to the expected DVSA standard to ensure roadworthiness.
- Monitor driver's hours and take appropriate documented action where driver hours or WTD rules are breached.
- Where a PG9 is issued, notify the directors named on the licence in writing, immediately and the traffic commissioner as soon as possible but in any event, within 28 days.
- Arrange for the necessary remedial repairs to be carried out on the vehicle.
- Obtain a PG10 removal of prohibition notice to evidence the removal of a prohibition once the defects have been rectified and notify both the directors and the traffic commissioner.
- Ensure drivers know the procedure to follow should a PG9 be issued.
- Formally investigate the issue of a PG9 and put measures in place to prevent a re-occurrence.

#### 8.12.2 Driver Responsibilities

Drivers must:

- Ensure they complete and document their vehicle walk around checks.
- Drive in accordance with driver's hours and WTD rules.
- Inform the transport manager immediately if they are stopped and a roadside check is carried out, regardless of whether this results in the issue of a PG9 prohibition.

#### 8.13 Vehicle History Files (VHF's)

All vehicles operated on behalf of The Company must have a corresponding VHF. This must hold all statutory documentation and maintenance records for the vehicle.

##### 8.13.1 Transport Manager Responsibilities

Transport managers must ensure:

- Records are kept for each vehicle by way of a segregated file or each vehicle having its own VHF.

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- Files contain all records, certificates and other documentation in relation to the maintenance and legal requirements of the vehicle.
- Files are up to date at all times.
- Files are kept for the duration of the ownership or hire of the vehicle and for 15 months thereafter.
- They are kept on site in a secure location.
- It is recommended that for security, documents are also scanned and held electronically.

#### **8.14 Maintenance Contractors**

The Company expects that all vehicle PMIs, maintenance and repairs are outsourced to a reputable provider. No other individual is authorised to maintain, inspect or repair any vehicle.

##### **8.14.1 Transport Manager Responsibilities**

Transport managers must:

- Employ the services of a competent maintenance and inspection provider who has the required testing and maintenance facilities in their workshop(s).
- Ensure a maintenance agreement (GV79: ANNEX D) maintenance contract is in place.
- Hold regular review meetings with providers and document the minutes.
- Investigate any incidents where the maintenance and inspection provider has raised concerns with driver defect reporting.

#### **8.15 Vehicle Operator Licencing (VOL) and Operator Compliance Risk Score (OCRS)**

The Company expects all its appointed transport managers to have access to the VOL and OCRS online systems in order to record and monitor performance of its operator licence management compliance.

##### **8.15.1 Transport Manager Responsibilities**

Transport managers must:

- Use the VOL system to update details held on The Company's operator licence.
- Record and monitor the operator licence compliance score via the OCRS online portal.
- Download and print updated records and findings.
- Report OCRS scores to the directors at regular intervals.

## **9.0 Drivers**

### **9.1 Information and Training**

All drivers must receive information and training to ensure they carry out their role efficiently without compromising either their own or others safety. They must understand their duties and responsibilities in relation to operator licence compliance and its associated responsibilities.

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### 9.1.1 Transport Manager Responsibilities

Full time employed drivers must complete The Company's onboarding process. Drivers employed through an agency are not required to complete this but must be onboarded through any agency agreement process in place.

All drivers whether full time or agency employees must be issued with a driver's handbook to ensure they have a reference source in relation to their role and responsibilities. It must be noted that this does not replace the need to deliver comprehensive information and training.

All drivers must receive information and training to cover the following

- Site safety information
- Daily vehicle checks
- Defect reporting procedures
- VOR procedures
- Tyre maintenance and re-torque procedures
- Road traffic collision (RTC) reporting procedures
- Accident and incident reporting procedures
- Bridge strike prevention and procedures
- PG9 procedures
- Safe loading and unloading of vehicles, overloading of goods and passenger vehicles
- Use of PPE (including inspection, storage and defective equipment)
- Driver fitness, health checks and eyesight testing
- Driver misconduct and complaints procedures
- Smoking in cabs
- Use of hand-held devices and seatbelts
- Vehicle road weight/width limits and speeding
- WTD, additional working and driver's hours rules including rest periods
- Digital tachograph usage (including analogue tachograph usage if applicable)
- Driver continuous professional development (CPC) training
- Disciplinary procedures
- Food safety (not required for PSV drivers or drivers carrying non-food goods)

All drivers must also receive periodic refresher training which must target safety and operational needs, in the form of:

- Refresher training
- Toolbox talks
- Safety conversations

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All training must be recorded and signed for. A training matrix should also be created for all drivers.

## **9.2 Driver Licence and Tachograph Management**

All drivers must hold a current full driving licence which includes the entitlement for the category of vehicle intended to be driven. All drivers must also hold an up-to-date digital tachograph card where applicable in line with driver's hours and tachograph rules.

Any new driver intending to be appointed for driving work on behalf of The Company must not have more than 3 un-spent points on their licence. All drivers who incur any points in relation to a driving offence will be subject to investigation, with appropriate remedial measures implemented. Any driver exceeding 6 unspent points on their licence will be dismissed from HGV and/or PSV driving duties.

### **9.2.1 Transport Manager Responsibilities**

Transport managers must:

- Check driver licences every 3 months to ensure they are in-date, have the correct vehicle category entitlement and the threshold of penalty points has not been exceeded.
- Keep photocopies of licences which have been signed by both the transport manager and the individual driver.
- Take the necessary actions where discrepancies have been identified.

### **9.2.2 Driver Responsibilities**

Drivers must:

- Provide their driving licence details at the request of the transport manager.
- Declare any previous driving convictions and penalty points.

## **9.3 Driver Health Checks**

All drivers when reaching their 45<sup>th</sup> birthday and subsequently every 5 years after, will automatically have their HGV/PSV category on their driving licence revoked by the DVLA until such time as they have undergone a satisfactory health surveillance check and re-applied for their HGV/PSV driving entitlement. When reaching their 65<sup>th</sup> birthday this process will occur annually.

### **9.3.1 Driver Responsibilities**

Drivers must:

- Plan for this and ensure if they wish to continue with their driving duties that they have taken the necessary steps to ensure the continuation of their licence.

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## 9.4 Eyesight Tests

Eyesight tests must be carried out every 3 months in line with industry standard best practice.

### 9.4.1 Transport Manager Responsibilities

Transport managers must obtain confirmation of eyesight test in previous 3 months from driver at:

- The point of onboarding/agency driver hire.
- Thereafter every 3 months.
- Keep copies of results on the driver employee file.

### 9.4.2 Driver Responsibilities

Drivers must:

- Provide transport managers with evidence of up-to-date eye-sight test results.
- Attend any eyesight test at the request of the transport manager.

## 9.5 Personal Protective Equipment (PPE) Issue

A risk assessment must be conducted for all working tasks associated with the business operation(s) and where it has been identified that PPE is required, this must be worn at all times when carrying out the relative working task.

### 9.5.1 Transport Manager Responsibilities

Transport managers must risk assess drivers working activities and issue all relevant PPE where required. As a minimum this must include:

- \*Hi viz tabard.
- \*Steel toe capped shoes.
- Suitable hand protection for re-fuelling vehicles and handling equipment.
- Relevant food safety PPE where required.

\*Agency drivers are expected to provide their own PPE, however, any 'specialist' PPE required (for example, a harness and lanyard if working at height on a vehicle bed) must be provided by the transport manager for the duration of the individuals shift.

Transport managers must also ensure:

- All PPE issued is signed for and where applicable, returned to the transport office at the end of the drivers shift.
- Individuals receive training on how to inspect and store their PPE and a procedure is in place to omit defective equipment from use.
- If PPE falls under legislative inspection requirements (for example LOLER inspections for harness and lanyards) this must be added to a PPE asset register and inspections carried out at the required frequencies and recorded.

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- All faulty PPE is discarded.

### 9.5.2 Individuals Responsibilities

Individuals who are issued with PPE must ensure:

- They know how to inspect their equipment for damage, ensuring all PPE is fit for use and suitable for the intended task.
- They carry out pre-use and post-use checks wherever PPE is used.
- Not use any PPE which is damaged.
- Store their PPE correctly.
- Raise any issues with the transport manager.

## 9.6 Driver Certificate of Professional Competence (CPC) Training

All drivers must hold digital driver training card which demonstrates they have completed 35 hours of CPC training. The 35 hours is a continuous rolling plan and must remain valid at all times.

### 9.6.1 Transport Manager Responsibilities

Transport managers must:

- Check all drivers CPC driver training at onboarding/agency hire.
- Keep a photocopy of all drivers CPC driver training cards on the driver employee file.
- Have a training matrix for all drivers and arrange the necessary refresher training where relevant.

### 9.6.2 Driver Responsibilities

Drivers must:

- Provide evidence of training at the request of the transport manager.
- Ensure training is kept up to date.
- Attend any refresher training at the request of the transport manager.

## 9.7 Tachograph Management, Drivers' Hours and Working Time Directive (WTD)

Where applicable, a tachograph must be inserted into the vehicle to monitor the work activity of each individual. The tachograph used may be analogue or digital and must correspond to the individual who is carrying out their working tasks and driving the vehicle. Where a digital tachograph is used, the transport manager must hold a company tachograph for the purpose of downloading driver data. All drivers must carry out their working activities in accordance with vehicle speed limits, working time directive, drivers' hours and tachograph regulations.

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### 9.7.1 Transport Manager Responsibilities

Transport managers must:

- Ensure drivers have sufficient knowledge in the use of tachographs, vehicle speed limits, drivers' hours and WTD.
- Ensure completed analogue tachographs are returned by the driver every 14 days.
- Download digital tachographs at regular intervals.
- Analyse all tachograph recordings for each individual, ensuring they are carrying out their duties in accordance with the relevant regulations, keeping a record of hours accumulated.
- Plan work to ensure drivers do not have to speed, have sufficient break's and rest days, and do not exceed the daily total number of driving hours authorised, or accumulative WTD hours.
- When using agency staff, have visibility of the individuals previous 2 weeks work to ensure any work carried out on behalf of The Company is in accordance with the relevant regulations.
- Bring any tachograph infringements to the attention of the individual named on the tachograph by way of a documented process which they sign to acknowledge they have read and understood.
- Carry out a formal investigation of any individual who breaches any of these regulations and take appropriate action to prevent a re-occurrence.
- Report any significant breaches to the directors named on the operator licence.
- Ensure blank analogue tachos or digital paper reels are available, issued to each driver and signed for.
- Where a tachograph is required to be used, not allow any individual to drive a vehicle without one.
- Hold all tachograph data and notice of tachograph infringements on file for a minimum of 24 months.

### 9.7.2 Driver Responsibilities

Where either an analogue or digital tachograph is required to be used, drivers must:

- Ensure the tachograph recording device fitted to the vehicle is operating correctly.
- Ensure the tachograph is inserted correctly into the device.
- Operate the tachograph in accordance with the relevant legislation.
- Where analogue tachographs are used, hold all completed tachographs for the previous 14 days. After this period they must be submitted to the transport manager.
- Where a tachograph fails to record data, make manual entries.

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## 9.8 Driving Vehicles

The Company takes a zero- tolerance approach to careless, unsafe driving. Drivers must drive in a safe, profession manner at all times so as not to put themselves or other persons at risk, nor bring The Company into disrepute.

### 9.8.1 Driver Responsibilities

Drivers must:

- Wear a seatbelt at all times where fitted to the vehicle.
- Not use any hand-held device, read/complete documentation, eat or drink whilst driving.
- Not exceed speed limits at any time on the public highway, the premises of operating centres and other third-party sites.
- Know the height, width, overall length and weight of their vehicle.
- Not attempt to access roads or other areas where any height, width or wight restrictions are not suitable for their vehicle.
- Drive the vehicle at a speed which is suitable for the load being carried and road/weather conditions.

The driver of the vehicle is responsible for responding to any intended notice of prosecution such as a speeding fine, improper use of a road or lane and must also pay any fines/accept penalty points.

## 9.9 Bridge Strike Prevention

A bridge strike occurs when a vehicle, its load or equipment collides with a bridge. Most bridge strikes occur where roads pass under railway bridges. Railway bridge strikes have the potential to cause:

- A train derailment with possible catastrophic loss of life.
- Loss of life or injury to the vehicle driver or other road users.
- Traffic delays and congestion.
- Train delays.

Bridge strikes may also occur at bridges over public roads carrying footpaths, canals, and other roads which also has the potential to cause serious injury.

Bridge strikes are entirely preventable and as such, The Company takes a zero-tolerance approach should this occur. Any driver involved in a bridge strike will undergo an investigation by The Company with the outcome of employee dismissal and may also face Police investigations which could lead to a criminal conviction.

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### 9.9.1 Transport Manager Responsibilities

Transport Managers must:

- Ensure drivers receive training and information in relation to bridge strike prevention.
- If planning driving routes, plan accordingly so as to avoid any height restrictions which are not suitable for the vehicle.
- Notify the directors named on the operator licence immediately should a bridge strike occur.
- Where requested, work with the relevant bodies (such as Network Rail/Police) where a bridge strike incident has occurred.

### 9.9.2 Driver Responsibilities

Regardless of whether a route has been planned on behalf of a driver, the driver is in control of the vehicle and the route which he/she decides to take, therefore ultimately it remains the responsibility of the driver to ensure a bridge strike does not occur.

Drivers must ensure they take all necessary precautions so as to ensure a bridge strike does not occur, this as a minimum must include:

- Knowing the overall height of their vehicle.
- Planning routes effectively.
- Being aware of road signage in relation to bridge heights and diverting where necessary.
- Not attempting to 'fit' under a bridge where height restrictions suggest a vehicle may just be under the tolerance.

## 10.0 Annex

### 10.1.1 Qualifying as a Transport Manager

The type of Transport Manager Certificate of Professional Competence (CPC) exam you need to take depends on if you want to work in either:

- Road haulage - for goods vehicle operators, for example HGV or van companies.
- Road passenger transport - for public service vehicle operators, for example bus or coach companies.

*You must pass both types of CPC exam if you want to manage both types of vehicles.*

### 10.1.2 Required Skills

To pass the Transport Manager CPC exam, you need to know about:

- The civil, commercial, social and fiscal laws on road haulage or passenger transport.
- Business and money management.
- Tachograph rules, drivers' hours and WTD.
- Road haulage or passenger vehicle standards.

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- Road safety

### 10.1.3 Taking the Exam

You must take an exam that's approved by one of the following organisations:

- Chartered Institute of Logistics and Transport (CILT)
- City & Guilds
- NOCN Group
- Skills and Education Group (SEG) Awards

The exam is in 2 parts and both of which must be passed:

- multiple-choice questions.
- case study questions.

### 10.1.4 Getting Added to an Operator's Licence

Before you can start working for a vehicle operator as a transport manager, you must apply to be added to the operator licence(s). The application must be approved by the traffic commissioner, who checks whether:

- You're qualified to be a transport manager.
- You'll be working enough hours to manage the vehicles in your fleet.
- Your knowledge is up to date.
- You have any criminal convictions or have been given any penalties for breaking UK or EU laws.

It usually takes 7 weeks for an application to be approved but can take longer. If the traffic commissioner has questions about your eligibility, they'll write to the vehicle operator.

If you are in Northern Ireland, the application will be checked and approved by the Transport Regulation Unit instead of the traffic commissioner.

### 10.1.5 Criminal Convictions

The traffic commissioner will take into account any criminal convictions or penalties you've been given when deciding if you can be a transport manager. Your application may be rejected if you've broken any UK or EU laws on:

- driving licences.
- driver training or qualifications.
- driving time, working hours and rest periods.
- setting up and using recording equipment in vehicles.
- the maximum weight and size of vehicles used to take goods outside the UK.

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- the roadworthiness of commercial vehicles.
- setting up and using speed limiters in vehicles.
- the paperwork needed to take goods or passengers in or out of the EU.
- transporting dangerous goods.
- transporting animals.
- being a transport manager or a vehicle operator.

#### 10.1.6 Application, Approvals and Rejections

You'll get an email from the traffic commissioner to tell you you've been added to the vehicle operator's licence. If the traffic commissioner rejects the application the traffic commissioner will do one of the following:

- Ask you to take more training before working as a transport manager.
- Ban you from working as a transport manager for a set period of time.
- Permanently ban you from working as a transport manager.

If you disagree with the traffic commissioner's decision, you can:

- Ask for a public inquiry if you have not already attended one.
- Appeal to the Upper Tribunal - if there has already been a public inquiry.

#### 10.1.7 Transport Manager Working Hours

There are recommended working hours for all transport managers. They're set by the traffic commissioner and are based on how many vehicles you'll be managing.

Number of vehicles	Hours per week
2 vehicles or less	2 to 4 hours
3 to 5 vehicles	4 to 8 hours
6 to 10 vehicles	8 to 12 hours
11 to 14 vehicles	12 to 20 hours
15 to 29 vehicles	20 to 30 hours
30 to 50 vehicles	30 hours to full time
More than 50 vehicles	Full time and another staff member needed

If you're not going to work the recommended hours, you'll need to explain why when you apply. The traffic commissioner may reject your application to be a transport manager if they think that either:

- Your working hours are not long enough to manage the number of vehicles in the fleet.
- You are working too many hours for different vehicle operators to do your job well  
*You may need to work longer than the recommended hours if the vehicles are pulling trailers.*

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### 10.1.8 Keeping Your Knowledge up to Date

The traffic commissioner may ask you to show how you've been keeping your knowledge up to date if:

- Your qualification is more than 10 years old.
- You have already been added on another operator's licence.
- The vehicle operator is updating their existing operator's licence.

You can prove that you've been keeping up to date by sharing examples of when you have:

- taken refresher training, including online courses.
- attended events and conferences about managing fleets of vehicles.
- shared your knowledge with others, for example by giving presentations.

### 10.1.9 Resignations

If you stop working as a transport manager for a vehicle operator, you need to tell the traffic commissioner in writing, within 28 days.

## 11.0 Appendices

[Driver and Vehicle Standards Agency - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/organisations/driver-and-vehicle-standards-agency)

[Driver and Vehicle Licensing Agency - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/organisations/driver-and-vehicle-licensing-agency)

[Manage your vehicle operator licence - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/topics/vehicle-licensing)

[Guide to maintaining roadworthiness: commercial goods and passenger carrying vehicles \(publishing.service.gov.uk\)](https://www.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/61444/guide-to-maintaining-roadworthiness-commercial-goods-and-passenger-carrying-vehicles.pdf)

[How vehicle defects are categorised in roadside checks and vehicle tests - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/publications/how-vehicle-defects-are-categorised-in-roadside-checks-and-vehicle-tests)

[Understanding your HGV or trailer's brake test report - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/publications/understanding-your-hgv-or-trailer-s-brake-test-report)

[Load securing: vehicle operator guidance - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/publications/load-securing-vehicle-operator-guidance)

[Safety of loads on vehicles: code of practice - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/publications/safety-of-loads-on-vehicles-code-of-practice)

[Careless Torque Costs Lives \(publishing.service.gov.uk\)](https://www.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/61444/careless-torque-costs-lives.pdf)

[Drivers' hours and tachographs: goods vehicles - Guidance - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/publications/drivers-hours-and-tachographs-goods-vehicles-guidance)

[Understanding EU drivers' hours and working time rules - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/publications/understanding-eu-drivers-hours-and-working-time-rules)

[Driver CPC training for qualified drivers: How much training you need to do - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/publications/driver-cpc-training-for-qualified-drivers-how-much-training-you-need-to-do)

[How to prevent vehicles from hitting bridges - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/publications/how-to-prevent-vehicles-from-hitting-bridges)

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