

DBAQ – Desk Based Assessment Questionnaire

Operator:

Operator Licence no:

DVSA ref:

It is important that you take time to carefully read the guidance and instruction document provided before completing this form.

Answer all the questions giving detailed explanations and evidence of all the required maintenance and traffic systems in place to ensure compliance.

Provide a brief overview of the type of work undertaken.	
Briefly explain the type of work you undertake and the vehicles and trailers operated, include any specialist vehicles. HGV example: General haulage, Bulk tippers, Hazchem, STGO Heavy Haulage with Low loaders. PSV example: Private Hire, Regular Service, Special Regular Service.	
Explain the working environment your vehicles are typically subject to (HGV only). Example: Light work, heavy haulage, off road site work, quarry.	

1. Legal Entity	
1	State the legal entity of the business and give the registered address and correspondence address if different.
2	State the names of, - All directors in the case of a company, - All partners in the case of a partnership. Give the direct email address for the director or partner responsible for overseeing the transport operations.

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2. Documents Included

1	REO use only	
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3. Operating Centre

1	Name <u>all</u> current operating centres on this licence and give the full address for each.	
2	State the number of vehicles and trailers used at each of the centres named.	
3	Give details of the approach roads, site access and large vehicle parking arrangements at each of the named centres. Include images to support the given descriptions.	

4. Inspection / Maintenance Records

First Use Inspections - (Initial roadworthiness safety inspections, this is separate to the planned periodic safety inspections and maintenance.)

1	Do you hire vehicles or trailers on short term contracts? Do you offer trailer traction services? Do not include those on long term hire that are specified on your operator's licence.	
2	Explain how you ensure initial roadworthiness of all vehicles and trailers you operate and state what records are kept. Example: A full 'First use' safety inspection process for newly purchased vehicles, a vehicle returning to service following a period of 'VOR', or a hire company roadworthiness certification system, or the most recent trailer inspection record where traction services are offered, etc...	

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3	How is the 'First Use Inspection' system managed to ensure vehicles and trailers are not used without confirmation of roadworthiness? Include copies of First Use Inspection records to demonstrate system in use.	
Inspection Records		
4	State the inspection frequencies for <u>all</u> vehicles and trailers including those at different intervals based on age or use.	
5	Give details of when and how inspection records are returned.	
6	Give details of how records are reviewed and what checks are made when received from the maintenance provider.	
7	State who is authorised and responsible for reviewing the records and returning vehicles back into service following inspection and maintenance.	
8	What is the retention period for inspection records?	
Forward Planning		
9	Give details of the maintenance planning system in use, explain what type of system is used and what items are covered.	
10	State the period that the forward planning projects. Include working copies to demonstrate the described systems in use covering the requested sample period and the projected planning.	
11	Give details of how the system is kept up to date and who is responsible for managing and monitoring it.	
Vehicle Off Road (VOR)		
12	Give details of the (V.O.R) system in place.	

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13	Explain how this is recorded monitored and managed. Include working records to demonstrate system use.	
14	Explain how VOR is communicated to staff and drivers so vehicles/trailers are prevented from being used.	
Staff Training		
15	Give details of what specific training is given to staff with responsibilities and involvement with the systems described in this section.	
16	Give details of how those staff are kept up to date with changes.	
17	Explain how the training covered in this section is recorded. Include copies of active training logs.	
Monitoring		
18	Give details of internal audit procedures that covers the records and systems in this section. Include working examples of internal audit records.	
Safety Recall Management		
19	Give details of the manufacturers safety recall management system in place. Explain how vehicles and trailers subject to manufacturers safety recall are processed to ensure prompt action and ensure vehicles are not operated with safety critical component recalls.	
Incident Reporting – PSV Operators Only		



20	PSV112 Give details of the incident reporting system in place. Explain how incidents are investigated and recorded, how they are managed and reported to the DVSA.	
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5. Driver Defect Reporting

Daily Vehicle Checks & Defect Reporting

1	Give details of who conducts vehicle daily walk around checks at the operating centre.	
2	Is a daily walk around check recorded if no defects are identified? Give details of how the system operates and include a one week sample for each of the vehicles requested.	
3	Give details of how defects are reported when found during daily walk around checks.	
4	Explain who defects are reported to and how defect severity is assessed when at the operating centre.	
5	Give details of how defects are reported when found during driving duty or when the vehicle is away from the operating centre.	
6	Explain who defects are reported to and how defect severity is assessed remotely. Give details of the defect rectification processed and what documentation and records are produced.	



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7	Do the staff dealing with reported defects have the authority to remove vehicles from service and approve repairs?	
8	Explain what system is in place to communicate with the Transport Manager (TM) when staff have no operational authority and when any part of these systems are not directly managed by the TM.	
9	How are defect records kept and for how long?	
Training		
10	Give details of the specific training given to drivers to ensure they are fully aware of their responsibilities regarding vehicle checks and defect reporting.	
11	Explain what specific training is given to staff with <u>any</u> responsibility and involvement with the defect reporting and rectification process.	
12	Give details of how drivers and other responsible staff are kept up to date with changes to systems explained in this section.	
13	Explain how the training covered in this section is recorded. Include active training logs.	
Monitoring		
14	Give details of how daily walk around checks are monitored to ensure that meaningful checks are conducted. Explain the QA system in use and include working records to support the described process.	



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15	Explain what checks are done to ensure correct records completion & that the full defect rectification process is followed. Give details of how compliance is monitored.	
16	Give details of internal audit procedures that covers the records and systems covered in this section.	
17	Give details of how driver non-compliance is addressed, this question is extended to any responsible staff that also fail to follow process. Include records that support the process explained.	

6. Inspection Facilities & Maintenance Arrangements

Maintenance Arrangements

1	State <u>all</u> current maintenance providers and give details of your maintenance arrangements. Include copies of all contracts. <u>Note:</u> a mobile mechanic carrying out inspections and maintenance at your operating centre is not in-house maintenance and requires a maintenance contract.	
2	Give details of the equipment and facilities for each maintenance providers stated. Include images to support the given descriptions.	
3	Give details on how you ensure maintenance staff are adequately qualified and competent. Explain how they keep up to date with modern vehicle design and systems.	

Brake Performance Measuring

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4	Explain how brake performance is tested. Give details of what methods are used, how they are recorded and what is supplied to support brake performance test results.	
5	State how often brake performance testing is conducted. Include all brake test printouts for the requested vehicles and trailers for the whole of the stated sample period.	
Monitoring & Management		
6	Give details of how you monitor the maintenance systems in order to ensure they are properly managed and used and are robust.	
7	Explain how you monitor your maintenance providers performance.	
8	Give details of what measures are taken following an annual test failure and give details of what reports are produced. Include reports for all annual test failures.	
9	Give details of what measures are taken following the receipt of a prohibition notice and give details of what reports are produced. Include reports for all prohibition notices.	
10	Give details of internal audit procedures that covers the systems covered in this section. Include audit records that support the explanation.	

7. Vehicle Emissions

1	Give details of the systems used to monitor vehicle emissions systems and how you ensure manufacturers requirements are met at all times and that no unauthorised equipment is fitted.	
2	How do you monitor fuel and AdBlue usage, and who is responsible for managing and recording this?	

8. Wheel & Tyre Management

Wheel Security & Fitment

1	Give details of wheel fixing torque and retorque procedures when wheels have been removed.	
2	Give details of how this is recorded and monitored to ensure the full refitment process is followed. Include samples of working records.	
3	Give details of training given to staff involved and responsible for monitoring this process and how this is recorded.	
4	What training given to in-house staff or drivers who are expected to conduct wheel changes, explain how this training is recorded. Include working copies of training logs.	

Tyre Management

5	Give details of the tyre management systems in place explaining what factors are considered and how these are monitored and recorded. Include records/registers.	
6	Explain who is responsible for monitoring the tyre management systems.	
7	Give details of specific training of staff involved and responsible for tyre management, explain how this training is recorded.	

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9. HGV Only – Load Security– Give detailed explanations and provide evidence of all systems in place to ensure compliance.

1	Give details of the systems in place to maintain the safe loading of vehicles and how load planning is managed and monitored.	
2	Explain what risk assessments are in place to ensure HSE requirements are met, include examples.	
3	Give details of how sufficient securing of loads is managed and explain how you ensure that correct load securing equipment is made available.	
4	Give details of supervision or quality checks that are conducted to ensure safe loading and load securing is to consistent standards.	
5	Explain how loading securing equipment is maintained.	
6	Give details of how the systems and checks explained in this section are documented and recorded. Include copies of records to demonstrate system in use.	
7	Give details of the training given to drivers and staff responsible for safe loading of vehicles and the securing of loads and how this training is recorded. Explain how staff and drivers are kept up to date with changes and how this is recorded.	

9. PSV Only – Public Service Vehicle Accessibility Regulations (PSVAR)

1	Give details of the systems in place to ensure that PSVAR compliant vehicles are used on local and scheduled services. Explain how this is monitored and recorded.	
2	Give details of the specific checks made to ensure that a vehicles accessibility equipment is maintained correctly and complies to the relevant schedule.	
3	Explain how you ensure this equipment is part of the inspection and maintenance regime and there are no signs of changes that have not been given official approval.	
4	Give details of Disability Related Training given to drivers and all relevant staff to ensure they are fully aware of their responsibilities in relation to disability awareness and assistance requirements. Explain what subjects are covered and how this is delivered and recorded.	
5	Give details of how drivers and staff are kept up to date with changes and how this is managed and recorded.	

10. Security Requirements – Give detailed explanations and provide evidence of all systems in place to ensure compliance.

Important Note: Do not give specific site security information.

Only a generalised overview is required, such as - manned security gate, 24 hr CCTV, vehicle keys kept in a key safe when not in use, keys are signed out by drivers etc...

1	What measures are in place at the operating centre site to ensure security?	
2	Explain what measures you implement to safeguard vehicles against theft or unauthorised use.	

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3	What measures are in place to ensure vehicles are checked for potential concealed items or vehicle tampering during use.	
4	Explain what pre-employment checks are conducted on new staff and drivers. Give details of the systems specific to the checking and recording of agency workers and agency drivers.	
5	Explain the company security plan, which may be in the form of a risk assessment.	
6	Give details of how a good security culture is promoted through staff within your organisation.	

11. Driver Documents– Give detailed explanations and provide evidence of all systems in place to ensure compliance.

Driving Licences

1	Give details of how driving licences are checked and how often they are carried out explain whether reviews are physical licence checks or DVLA electronic checks. (Provide evidence of current and previous licence checks)	
2	Give details of what policy is in place and what checks are done to ensure licence compliance is met and details are up to date.	
3	Give details of how driver non-compliance is addressed and documented.	
4	Give details of how these systems are managed and recorded. Include working records to demonstrate the systems in use.	
5	Explain your process in place for reporting driver convictions to the Traffic Commissioner.	

Driver CPC

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6	Give details of systems used to ensure driver CPC is current and how forward planning of required training is managed.	
7	Give details of the systems in place to record drivers CPC cards expiry/renewal dates and how this is monitored and managed.	
8	Give details of how driver CPC training is recorded. Include working copies of training logs.	
PSV Only		
9	If applicable give details of any policies in place regarding Disclosure and Barring Service (DBS) checks on drivers and explain how this is recorded and managed.	

12. Driver Training Records - Give detailed explanations and provide evidence of all systems in place to ensure compliance.

1	Give details of the induction training given to drivers at the start of their employment, explaining what subjects are covered and who conducts the training.	
2	Give details of how drivers are kept up to date with changes and how ongoing training is delivered.	
3	Explain how training is delivered, planned and recorded. Include working copies of training records.	

13. Drivers Hours /Record Keeping - Give detailed explanations and provide evidence of all systems in place to ensure compliance.

1	Give details of the system in place to ensure drivers have sufficient analogue charts, logbooks or printer rolls and explain how this is managed.	
2	Give details of how you ensure drivers return analogue charts, logbooks, manual records and printouts within the required time frame. Explain how this is monitored and managed.	



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3	Give details of how records are stored and retained.	
4	Give details of the frequency that driver cards and Vehicle Units (VU) are downloaded. Explain how this is monitored and managed.	
5	Give details of the systems you have in place to check tachograph and driving records. Explain how checks are conducted and if external analysis companies are used, describe how this is managed and reported.	
6	Explain what reports are produced and how they are assessed to monitor missing mileage and unknown events.	
7	Give details of action taken following analysis of tachograph records where driver infringements & compliance issues are identified. Explain any retraining procedures and how this is managed and recorded.	
8	Give details of how repeated non-compliance for tachograph infringements is handled. Explain disciplinary procedures and how this is managed and recorded.	
9	Give details of formal disciplinary procedures set out within driver's contracts of employment.	
10	Give details of how journeys and drivers duties are planned and managed to ensure drivers hours and working time directive compliance.	
11	Explain who is responsible for scheduling of planned routes and give details of the training given to fulfil this job role.	



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12	Give details of the systems in place to manage agency/casual/part time/self-employed drivers, explain who is responsible for checking driving and working time at previous/other work placements, and how this is managed and recorded. Where this is carried out by the agency or driver, is there a clear contract of responsibility in place? Include a copy of the contract where applicable.	
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14. Working Time Directive - Give detailed explanations and provide evidence of all systems in place to ensure compliance.

1	Explain what collective workforce agreements and opt outs are in place.	
2	Give details of how drivers duties are planned and managed to ensure working time directive compliance.	
3	Give details of how you ensure working time records are accurately recorded. Explain what is included i.e. other work, holidays, sick, maternity, paternity, and how this is managed.	
4	Give details of the systems you have in place to check working time records.	
5	Give details of the system in place to address driver non-compliance. Explain how appropriate action is taken following infringement of working time and how disciplinary action is handled and recorded.	
6	Give details of how working time records are kept and how long records are retained.	
7	Give details of the systems in place to manage agency/casual/part time/self employed drivers, explain who is responsible for checking driving and working time at previous/other work placements, and how this is managed and recorded. Where this is carried out by the	



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	agency or driver, is there a clear contract of responsibility in place? Include a copy of the contract where applicable.	
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15. Compliance & Annual Test History - Give detailed explanations and provide evidence of all systems in place to ensure compliance.

1	Give details of what action is taken following the receipt of a prohibition notice, offence notice or fixed penalty notice, explain what process is followed to establish any shortcomings. Include all reports produced.	
2	Give details of what action is taken following an annual test failure, explain what process is followed to establish any shortcomings. Include all reports produced.	

16. Previous Public Inquiry / Enforcement History

1	Give details of the conditions or undertakings on your licence and how they are complied with.	
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17. Transport Manager (TM) / Responsible Person (RP) - Give detailed explanations and provide evidence of all systems in place to ensure compliance.

1	State the names of the TM's that are associated with this licence.	
2	Is the TM employed or an external contractor?	
3	Give details of any TM commitments to other operator licences.	
4	Give details of the level of authority the TM holds and where they sit in the management structure. (RP in the case of a Restricted Licence.)	
5	State the number of hours input by the TM dedicated to TM duties. (RP in the case of a Restricted Licence.)	



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6	State the date that each transport managers CPC was issued.	
7	When did the TM last attend a refresher course? Provide copies of refresher training certificates.	
8	Give details on how the TM keeps up to date with current changes and maintains their Continuing Professional Development (CPD). (RP in the case of a restricted Licence)	

Official Declaration

Read each section carefully and initial each one in the box provided to acknowledge that you understand and accept each statement.

This form will not be accepted without all sections of this declaration completed properly.

- I confirm that I am the ***Transport Manager *Responsible Person** for this operating licence. (*Delete as appropriate.)
- I confirm that I have effective and continuous control, sufficient to enable me to monitor and manage compliance.
- I confirm that the information given on this form is accurate and a true reflection of the systems and processes used to manage and maintain compliance within this licence.
- I understand that false declarations or information may result in action being taken against both the operator and the Transport Manager.

Initial

Print Name:		Job Title:	
Signed:		Date:	

Important Note: A Responsible Person can **only** be a director in the company, or one of the partners of a partnership,
or the owner named on the licence where it is issued to a sole trader.

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