

Scheme of Control Guidance Notes

Please note - this is non-statutory guidance and does not constitute legal advice.

A Scheme of Control (SoC) is a document detailing the way in which your organisation minimises risk to provide consistent and good quality periodic training.

Centres will be quality assured at least once within the five-year approval period. During this visit the information you have provided with your application including the SoC will be audited. Therefore, it is important you can demonstrate that you are operating in accordance with the information you have provided.

We require detailed information on key risk areas within your organisation relating to the delivery of training. The key risk areas where we require detailed information are:

1. Organisation Operation: The scale and complexity of the operation has an impact on risk. We will assess the suitability of the control measures/procedures that you tell us about against the nature of business and size of the organisation. You should consider providing information on:

- a) Scale and size of the organisation e.g. an overview including the approximate number of personnel involved with periodic training, training sites, and if training will be delivered to internal employees or third parties or both.
- b) How you will ensure that your organisation complies with our requirements about use of proprietary logos. Guidance can be found at: <https://www.gov.uk/guidance/get-permission-to-use-dvsa-logos#use-driver-cpc-logos>
- c) How you will ensure the retention of records for 6 years and how they will be stored

2. Quality Assurance: Here you need to tell us about any master control systems that you will use to ensure that the various processes related to the periodic training operation have been completed consistently including:

The Quality Assurance and internal audit arrangements in place covering, for example:

- a) How you will ensure and assure the standard and quality of courses delivered e.g. internal audits, audits undertaken by an external consultant etc. To assist you with this you may wish to consider using the centre and course Self-Assessment checklists which can be found at: <http://www.jaupt.org.uk/useful-links/jaupt-processes>
- b) Course evaluation Techniques
- c) Monitoring Customer Satisfaction
- d) Implementing and Identifying Continual Improvements

3. Communication: It is important that you keep JAAPT informed of changes to key staff and their contact details, otherwise we will not be able to contact you with queries relating to your application(s) and you will not be aware of valuable information and changes to periodic training. **Please note all changes must be in writing or via the JAAPT website and made by the responsible contact i.e. the person notified to JAAPT as operationally responsible for Driver CPC periodic training.**

- a. How do you intend to keep us up to date with key changes to and within your organisation e.g. legal status/ownership, centre name, address, contact details etc.
- b. You should also explain what process you follow to plan your periodic training
- c. How you will notify JAAPT of any changes that affect the control and management of the key risk areas within the Soc.
- d. How will you share news, updates (including legislative requirements) and feedback from your own QA processes and visits conducted by JAAPT, DVSA and DVA with your trainers and/or other relevant personnel.

4.Trainer Selection: The trainer(s) used to deliver periodic training must have appropriate qualifications/experience in delivering training and the subject matter being delivered. Here we need to know how you will ensure this is the case.

- a. How many trainers you have
- b. How you will maintain a record of trainers and their skill sets. *You may wish to consider using the example which can be found at:*
<https://www.jaupt.org.uk/useful-links/jaupt-processes>
- c. How you will ensure that your trainers have appropriate qualifications and industry experience
- d. How you will monitor and record Continuing Professional Development (CPD). *You may wish to consider using the example which can be found at:*
<https://www.jaupt.org.uk/useful-links/jaupt-processes>
- e. How you will ensure the trainer(s) undergo CPD to ensure awareness of the legislative requirements for periodic training, industry law and good practice

5. Course Planning: We require details of how you will plan the course to ensure that it is delivered within its approval period, with a competent trainer in a safe and appropriate location.

Please note: Where requirements are not met, DVSA or DVA may seek revocation of uploaded hours. Please tell us:

- a. How you avoid a trainer delivering a course that they are not able to deliver as they do not hold the appropriate subject knowledge
- b. How you will ensure that courses are only delivered within the period of centre and course approval
- c. How you will ensure that you use the JAAPT website to notify us of planned courses and changes to those schedules including cancellations in a timely way. If cancellations take place at short notice or at weekends what contingency do you have in place?
- d. How you will assess the suitability of training venues e.g. what criteria you will use to ensure that they are both adequate and safe

- e. The arrangements in place to notify drivers of course details i.e. joining instructions. Who will be responsible for issuing these? How are they issued and when?
- f. How you will ensure that resources used to deliver training including vehicles (if appropriate), are suitable. If vehicles are being used how you will check they are roadworthy and have valid insurance. Please confirm if vehicles are not being used.

6. Driver Registration: This is about ensuring that the persons attending the training are who they claim to be and that training records properly support uploaded hours. It is the responsibility of the centre to ensure an auditable trail of records. This should cover:

- a. How you will ensure the correct procedure for ID and eligibility checks is carried out by each trainer
- b. How you will record attendance, ID checks and entitlement checks (if appropriate). An example of an Attendance Register can be found at: <https://www.gov.uk/guidance/run-a-driver-cpc-training-course>
- c. What measures you will take in exceptional circumstances including late attendance and failure to produce correct ID documentation and how you will record what action you have taken
- d. For on road training, the driver entitlement checks you will conduct (if appropriate). If you do not deliver on road training, please confirm.

7. Consistent delivery of the course: There is a legal requirement for the course to be delivered in accordance with the course summary that is approved. Adherence to the approved course summary ensures that courses are within syllabus and that they meet the requirements of course duration. Please provide details on:

- a. How the trainer(s) will ensure that a Fair Processing Notice has been provided to the trainees to tell them what data will be collected, how it will be used and who it will be shared with before the start of the day
- b. How you will ensure the courses are delivered at a minimum of Level 2. Further information on Level 2 can be found at: <http://www.jaupt.org.uk/news/2015/11/level-2-guidance>
- c. The measures in place for the trainer to demonstrate that the delivery of the course was to at least the minimum legal requirements e.g. 7 hours
- d. How you will ensure the trainer delivers the course content in accordance with the approved course summary to ensure learning outcomes are met and the content is relevant to the industry sector of the trainees in attendance? You may find the JAAPT course appraisal criteria of use. These can be found at: <http://www.jaupt.org.uk/media/666484/course-application-appraisal-criteria-march-17.pdf>

8. Course evaluation: The trainees should have an opportunity to provide feedback. Good practice will mean the centre assesses the course and trainer to identify areas for improvement. Please provide information on:

- a. How the course is evaluated by the trainee(s)
- b. How the course is evaluated by the trainer

- c. How you will ensure that you make changes, where appropriate, following feedback from a Quality Assurance Visit and how you will monitor the impact of these changes
- d. How transfer of knowledge will be measured to ensure the learning outcomes are achieved
- e. What other processes, if any, you will use to identify areas for improvement of course delivery.
- f. How you will provide us with feedback (root cause, containment and correct action) in response to Quality Assurance visits.

9. Issuing Certificates of Attendance: It is expected that a certificate of attendance is issued to each trainee to demonstrate that they have legitimately completed a full periodic training course. Please tell us:

- a. How and when you will issue certificates of attendance securely to the trainee
- b. How you will confirm each trainee has been issued with a certificate
- c. What (if any) security features will appear on the certificate e.g. signatures / watermarks / embossing

10. Upload processes: Your organisation will be responsible for the safe and secure transfer of data and for compliance with the Data Protection Act. Please explain how you will prevent loss and misuse of personal data and how you will secure the system to prevent fraud. It is critical that any upload made by your organisation is an accurate reflection of training delivered. Please include details of:

- a. How you intend to arrange the safe transfer of records from the course location to the central site and what contingency you have in place (if applicable)
- b. Who will have access to the Online System to upload hours. If it is one person, how will you take measures to ensure the upload is completed in the event of sickness/absence?
- c. How you will control access to the Online Databases e.g. a register of authorised/de-authorised personnel if more than one person has access (as above). *Guidance can be found at: <http://www.jaupt.org.uk/media/560592/a-guide-to-recording-driver-cpc-periodic-training.pdf>* and how you will monitor what is uploaded, when and by who.

11. For Consortia: If you intend to operate as a Consortium i.e. where there are members who deliver the courses that you have approval for and who operate within your control, then we need to consider how you intend to organise and manage the members and the associated risks. We will need to know how you intend to manage non-compliance by your members and how you will inform us of action taken. This should cover:

- a. The approval of members including criteria and conditions of approval
- b. How you will quality assure your members
- c. How you will ensure consistent communication across all members

- d. What arrangements are in place to investigate, suspend or remove members should there be any suspected non-compliance
- e. How you notify JAAPT of any actions taken
- f. How you notify JAAPT of any changes to your members
- g. How you intend to arrange the safe transfer of records from the course to the central site and what contingency you have in place

12. Other processes: There are legislative responsibilities that are not specifically within the remit of periodic training but will have an impact on the professional delivery of training courses. This should cover:

- a. Current insurance cover you hold and maintenance of this
- b. Health & Safety (maintenance and policies)
- c. Additional Learning Support Needs
- d. Current and appropriate policies and procedures
- e. Maintenance of a robust complaints procedure