

Quality Assurance, Auditing & Sanctions

RTITB, as the Driver CPC Consortium lead, is responsible for ensuring quality across the consortium, as well as being responsible for ensuring all criterion is being met. In order to protect the approval status of the whole consortium, RTITB robustly monitors all members in the following ways;

Office Based Reporting & Risk Analysis

RTITB runs reports from MDRS data. The reports include (but are not limited to) analysis of driver feedback scores, late registration of courses, late uploads of courses, courses, with queries, and analysis of assessment results. The reports are then analysed to identify any members who are potentially failing to meet certain areas of criteria, and to identify those centres that are performing well and are in compliance. Further audits or sanctions may be applied as a result of any non-compliances identified in this process.

Sampling of Training Records

Courses uploaded to MDRS will be chosen by the system for the member to provide copies of the course training records to the MDRS team. Courses will be selected by the system in two different ways; at random, and based on information provided during upload. Upon receipt of the documentation, the MDRS team will examine the records to ensure they have been fully completed and accurately uploaded to MDRS. Further audits or sanctions may be applied as a result of any non-compliances identified in this process.

Administration Audits

The audit will include (but is not limited to) a series of questions relating to policies and procedures, training records, risk assessments, and instructor qualifications. Members will be contacted to let them know that the audit is required and a date will be arranged for this to be completed. The administration audit will also offer the member the opportunity to provide feedback to RTITB. A full outcome report will be emailed to the Senior Business Contact. This report will detail any findings, including actions required and the level of any sanction which is being applied as a result. The outcome report will clearly identify the timescale within which the actions must be taken. If the member does not complete the actions in the specified timescale, this may affect the member's Driver CPC Consortium membership.

Unannounced Audits

RTITB has a UK wide network of auditors who routinely conduct unannounced visits, 7 days a week. The unannounced visits are looking at areas including (but not limited to) the following;

- Premises suitability
- ID checking
- Delivery techniques
- Course Duration
- Driver feedback
- Document completion

A full report will be emailed to the Senior Business Contact. This report will detail all findings of the audit. It will include aspects in which the member is performing well, areas for general improvement, any actions required and the level of any sanction which is being applied as a result. The outcome report will clearly identify the timescale within which the actions must be taken. If the member does not complete the actions in the specified timescale, this may affect the member's Driver CPC Consortium membership.

RTITB will generally apply sanctions in line with the sanction table shown below. There may be exceptional circumstances where a sanction outside of the table is required and RTITB reserves the right to take action as it sees fit, to protect the approval of the consortium.

If a member is unhappy with any aspect of an audit, they should refer to the complaints and appeals procedure. We have a clear 7-level sanction system for failure to comply with this criterion which is detailed in the table below. Please note: follow up audits are non-refundable, chargeable events. They are invoiced to the member at the point they are ordered by the auditor (i.e. before they are undertaken) and are charged at £340 +VAT. Failure to pay the invoice will mean the audit cannot go ahead which may result in membership removal.

Level	Outcome	Reason
0	Full Compliance	Member is fully compliant with criteria.
1	Action Plan	Non-compliance with criteria but currently no threat to integrity of Driver CPC delivery/RTITB Driver CPC Consortium.
2	Action Plan and follow up audit required	Non-compliance with criteria and threat to integrity of Driver CPC delivery/RTITB Driver CPC Consortium. Follow up visit required to ensure threat to integrity has been resolved.
3	Action Plan and suspension of MDRS access (follow up audit may/may not be required depending on circumstances)	Integrity of Driver CPC/RTITB Driver CPC Consortium compromised due to administrative issues. Delivery appears to be uncompromised.
4	Action plan and re-attendance of Driver CPC Consortium Online Induction required (Follow up audit will be required in all instances)	Integrity of Driver CPC/RTITB Driver CPC Consortium compromised due to delivery issues.
5	Suspension of membership (follow up audit will be required in all instances)	Integrity of Driver CPC delivery/RTITB Driver CPC Consortium seriously compromised.
6	Withdrawal of membership	Irretrievable breakdown in management and quality assurance of Driver CPC delivery/RTITB Driver CPC Consortium membership.

Members will also be audited by DVSA and JAUPPT on an unannounced basis. JAUPPT will audit RTITB to ensure members have the relevant policies, risk assessments, etc. in place. DVSA and JAUPPT email reports to RTITB following audit completion, this process can sometimes take up to 4 weeks for us to receive the report. RTITB will then thoroughly review the DVSA and JAUPPT audit reports and notify the members of any rectification actions that are required as a result. There will be occasions where DVSA and JAUPPT's reports result in RTITB sanctioning a member as a result of the non-compliances identified by DVS