

GMCTF Quality Framework 2010+

Achieving quality standards

Introduction

This quality framework has been created and developed by the Greater Manchester Community Transport Operators' Forum (GMCTF) – a company limited by Guarantee (no 580124) and Registered Charity (no 1120427).

The quality standards contained within the framework are an addition to the GMCTF's existing annual collection of Monitoring & Evaluation data, designed to evaluate the impact of Community Transport Operators (CTOs) in Greater Manchester. Quality standards have been chosen which:

- Support the development of a professional and accountable community transport (CT) sector
- Are appropriate to the legal and practical framework of the CT sector
- Encompass the good practice guidance from the Charity Commission publication *'The Hallmarks of an Effective Charity'*¹
- Incur a minimal extra administrative burden and are not dependent on operators having any one particular software package
- Are provided at no extra cost to paid-up GMCTF members

Membership levels & compliance requirements

CTOs are required to participate in the annual Monitoring & Evaluation (M&E) data collection exercise in order to become a member of the GMCTF. Data will provide evidence that they meet with or exceed the indicators set out.

Membership of the GMCTF is available to CT operators in two tiers.

Basic membership

CTOs which comply with minimum requirement of the Monitoring & Evaluation framework, and which are working towards full compliance with Quality Standards.

Full membership

CTOs which can supply evidence to prove compliance with all standards contained within the Framework. Such organisations will be awarded accredited status.

¹ see: <http://www.charitycommission.gov.uk/publications/cc10.asp>
or download at <http://www.charitycommission.gov.uk/Library/publications/pdfs/cc10text.pdf>

Implementation

Implementation of these requirements began in April 2010. It is envisaged that full implementation will be phased over an eighteen month period, accompanied by practical support where required to enable operators to attain.

Explanatory information

Structure of the framework

Activities & processes (designed to cover every aspect of CT operations) are divided into eight main **categories**.

Each category is divided into subsets, which have attached:

- a set of quality indicators
- the evidence required to prove attainment of the indicator(s).

The final column references the quality indicator to the relevant indicator in the Charity Commission “Hallmarks”.

Those standards which relate to legal duties are **emboldened**, and the relevant Charity Commission Hallmark in the last column **highlighted**.

Marking

All quality indicators are considered essential. However, failure to comply with a legal duty is regarded much more seriously and will require immediate rectification to maintain accreditation.

Accreditation will not be awarded to an organisation that cannot provide evidence of complete compliance.

Further Information

For further details of assessment and compliance arrangements, please see “Quality Framework – assessment & compliance”.

Main quality area	Subset <i>(BOLD type indicates legal duty or related area)</i>	Proposed quality indicator(s)	Proposed quality evidence required	CC hallmark number <i>(L) = legal requirement</i>
1. Requirements of Forum	Legal status	Incorporation as either a Company Limited by Guarantee or as an Industrial & Provident Society	Check with relevant regulator - Companies House Webcheck; IPS register web check	n/a
		Charitable/not-for profit status	Charity register/IPS register web check	n/a
2. Governance & legal requirements	Independence	Independent of other bodies	Governing Body make up reflects independence, not interests of other organisations (such as statutory authorities). Sight of Conflicts of Interest Policy as evidence of independence	1(L)
	Compliance with legislation	Organisation identifies and complies with relevant legislation and takes professional advice where necessary	Company Secretary (or Governing Body in case of there being none) can demonstrate knowledge of relevant legislation Sight of "contingency" list of professional advisors.	2 (L)
	Management	Required officer posts filled	Check with relevant governing document	2
		Minutes present & up-to-date	Sight of documents	2
		Register of members present & up-to-date	Sight of documents	2
		Register of directors present, up-to-date and in accordance with governing documents	<ul style="list-style-type: none"> ▪ Check with relevant regulator ▪ Sight of documents 	2
		Risk analysis/register completed and up to date <i>(contained in business plan)</i>	Sight of documents	1,5
		Appropriate arrangements & levels of delegation in place	Clear delineation, via job descriptions, of relative roles of staff & Governing Body	2
			Working groups/sub-groups of Governing Body in place where appropriate	
	Governing Body	Governing Body properly constituted in accordance with the governing document	Sight of list of current Governing Body (numerical check) Sight of copies of minutes etc referring to appointment process	2 (L)
		Governing Body are eligible to serve	Sight of signed Governing Body Declaration Sight of specific eligibility criteria within Governing Document Evidence of CRB/ISA checks completed, if relevant	2 (L)
		Comprehensive Conflicts of Interest Policy present	Sight of comprehensive policy Evidence of conflicts register at Governing Body meetings	2 (L)

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3. Community Engagement	Skills of Governing Body	Skills audit of Governing Body completed	Sight of completed skills audits	2
		New members of Governing Body undergo an induction programme	Sight of signed induction programme	2
		Governing Body meets to schedule required by Governing Documents and oversee/review planning, policies and financial reporting	Sight of sample of minutes	3, 5
		Members of Governing Body are aware of risks to the organisation and have plans in place to deal with eventualities	Sight of risk register	3,5
	Purpose	All activities fall within scope of charitable aims	Sight of Governing Documents	3,6 (L)
		Governing document follows ICOM/Cooperatives UK model rules or charitable aims clearly reflect activities	Sight of Governing Documents	1
		Core aims reflect governing document	Core aims in business plan re-state and/or amplify governing document	1,6
		Involvement by & with local community	<ul style="list-style-type: none"> ▪ Clear definition of community served in governing documents and aims & objectives ▪ Organisation should be member of, and participate actively in, local CVS/GMCVO/GMCTF ▪ Staff/Governing Body participate in management of other community organisations ▪ Regular programme of open meetings/forums (at least biannual) 	2
		Core aims and resulting services are based on known community needs	<ul style="list-style-type: none"> ▪ Evidence that consultation about, and feedback on, services and planned services has been sought (<i>to be contained in business plan</i>) 	1,4,6
		User involvement	<ul style="list-style-type: none"> ▪ User evaluation carried out at least annually ▪ Needs analysis/review carried out at least annually ▪ User focus groups/forums/events ▪ Users exercise any legal rights to attend, vote and speak at AGM 	4,6
	Willingness to learn & share good practice	Paid-up member of GMCT Forum attending at least one members' meeting per year	4	

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4. Finance	Reporting	Report & accounts up to date and verified by Certified/Chartered accountant	Sight of Annual Report & certified copy of latest year's accounts	5,6	
		Accounts submitted to relevant regulator	Check with relevant regulator	6	
		Annual Return submitted to relevant regulator	Check with relevant regulator	2,6	
		Turnover figure for last financial year available	Verifiable (i.e. with auditable source) figure supplied	6	
		Breakdown of income (grants, contracts & self-generated) available	Verifiable (i.e. with auditable source) figures supplied	6	
		Annual Report & accounts in the legally required format for organisation size/type submitted to Charity Commissioners in a timely manner	Charity register web check	2,6 (L)	
		Tax, payroll, N.I.. and other liabilities dealt with & paid in a timely manner	Sight of up to date HMRC documentation or detail of agent		
	Planning	Current business & continuity plan in place	To include as a minimum:		4,5
			Background information		
			Planning/market assumptions made		
			Overall objectives		
			Detailed one-year action plan & outputs		
			Outline three-year plan		
			Risk analysis		
Risk mitigation/contingency plans					
Detailed budget					
Financial projections					
Proposed income sources					
	Vehicle replacement policy	Sight of clearly-delineated vehicle replacement policy	5		
	Reserves policy	Evidence of clearly-delineated reserves policy	5		
	Succession/continuity strategy	Sight of documents	2		
5. Operations					
	Management	One staff member to hold up-to-date Certificate of Professional Competence in Road Passenger Transport	Sight of certificate	2,3	
	Vehicle management	Auditable system of preventative	▪ Sight of auditable records	3	

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		maintenance & safety inspections meeting or exceeding legal requirements	<ul style="list-style-type: none"> Signed up to the agreed elements of the GM VMS systems & support or equivalent 	
			<i>See "Vehicle Management" Quality Area at the end of document</i>	
		All vehicle checks, records (<i>service history, permits, MoT, licensing, insurance, breakdown, defect reporting system etc</i>) up to date	<ul style="list-style-type: none"> Sight of auditable records Sight of the agreed elements of the auditable GM VMS systems & procedure records - or equivalent 	3
	Driver training	One staff member to be qualified MiDAS DAT trainer, or:	Sight of certificate	3
		Auditable arrangements for training provision by qualified DAT	Name & address of trainer/sight of certificate	3
		Number of drivers trained	Sight of MiDAS training record	
	Other training	If available, to be to accredited standards, clearly described & documented	<ul style="list-style-type: none"> Details of accreditation (if relevant) Sight of auditable training records 	3
	Employment, staffing & volunteers	Accurate & up to date recording of staff & volunteers	Sight of auditable records (including evidence of systematic & regular checking of driver records/licences)	3
		Staff development	Evidence of annual staff reviews/appraisals	3
		Tax, N.I.. records & payments up to date	Sight of auditable records	2
		All staff have current contracts	Verification of signed copies	3
	Safeguarding	Protection for children/vulnerable adults	Sight of CRB & ISA vetting policies & procedures Sight of CRB/ISA records for relevant staff members	3 (L)
	Policies & procedures	Children & vulnerable adults protection policies in place	<ul style="list-style-type: none"> Sight of written policy Evidence of up-to-date CRB checking if required 	2,3
		Health & Safety policy in place	Sight of written policy	2,3
		Equal Opportunities Policy in place	Sight of written policy	2,3
		Volunteering Policy in place	Sight of written policy	3
		Environmental Policy in place	Sight of written policy	3
		Customer care policy in place	Clear mechanisms for customer comments or complaints	6
		Disciplinary procedure in place	Sight of written procedure	3
		Grievance procedure in place	Sight of written procedure	3
	Administration	Telephone contact	Working telephone number or answering machine message out of hours.	4
		Electronic contact	Working email address	4

Main quality area	Subset <i>(BOLD type indicates legal duty or related area)</i>	Proposed quality indicator(s)	Proposed quality evidence required	CC hallmark number <i>(L) = legal requirement</i>
		Public liability insurance in place and current	Sight of certificate	3
		Employer's liability insurance in place and current	Sight of certificate	3
		Vehicle insurance in place and current	Sight of certificate(s)	3
6. Equality & diversity		Web site (if applicable) accessible	Web pages accessible to screen readers etc	3
		Alternative methods of producing/providing information for those not connected to the Web	Sight of relevant materials	3
		Clear and understandable: booking procedure & rates Membership information	Clear & unambiguous printed and electronic information describing rates and booking procedure Sight of membership pack for groups & individuals <i>(if relevant)</i> . <ul style="list-style-type: none"> ▪ New materials produced to RNIB accessibility standards ▪ Written in plain language ▪ Other formats/translations available 	3
		Staff and volunteers are aware of equality and diversity issues	Evidence of training offered and training taken up	3,6
		Organisation demonstrates awareness of the local community profile	Monitoring statistics included in user surveys	3,6
		Organisation strives to reflect the diversity of the local community	Evidence that steps have been taken to recruit Governing Body, staff and volunteers from the local community	3,6
7. Reporting	Usage statistics	Total fleet mileage recorded (km)	View of auditable records	
		Overall trips - individuals	View of auditable records	
		Overall trips - Contracts	View of auditable records	
		Overall trips - PTE contracts	View of auditable records	
		Overall trips – groups	View of auditable records	
		Shopmobility hires (if applicable)	View of auditable records	
	Vehicle resources	Schedule of fleet present (age, type, mileage, capacity)	Sight of auditable records checked against fleet	
		Schedule of other equipment present	Sight of auditable records checked against resources	
8. Vehicle Management				
	Vehicle management	Auditable system of preventative maintenance & safety inspections meeting or exceeding legal requirements	Sight of auditable records Signed up to the agreed elements of the VMS systems & support - imported to this framework - or equivalent	

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	Daily Walk round checks	All vehicle check records up to date	<ul style="list-style-type: none"> ▪ Sight of auditable records ▪ Sight of the agreed elements of the auditable GM VMS systems & procedure records imported to this framework - or equivalent ▪ Documentary evidence of spot checks to ensure compliance 	
	Driver Licensing	Auditable system to ensure that all drivers are appropriately licensed	Sight of signed off pro-forma check sheet and copy licenses Sight of verification checks through DVLA –Spot check or non production checks	
	Safety inspections	Planned inspection regime through VMS software system or wall chart by agreed frequency	Sight of auditable fully completed records matching planned events	
	MOT and Failure monitoring	Auditable system for monitoring MOT failure rates	Sight of records on MOT pass and fail rates by vehicle and by fleet	
	Servicing	Planned servicing regime based on mileage or time through the VMS software system or wall chart	Sight of auditable fully completed service records matching planned events	
	Drivers Hours Regulations	Auditable record system for managing legal compliance with drivers hours regulations	Auditable tachograph records and drivers hours records for a minimum 12 month period	
	Nil Defect reporting system	Auditable system for reporting defects from drivers daily walk round check through to signed off rectification	Audit record of drivers reported defects against inspections and service reports retained for a rolling 15 month period	
	Maintenance Providers Internal/External	A signed maintenance agreement is in place between operator and maintenance supplier (s) covering all legal and operational requirements	Sight of signed maintenance agreement and record of maintenance provider facilities and qualification inspection carried out by the operator	
	Audit	A system of documented audits on all vehicle related functions carried out at an agreed frequency	Records of internal and/or external audits to be verified against actual event s and base records on vehicle maintenance	
	Insurance	Certificated insurance policies must be held on Motor Vehicle, Public and employer liability	Sight of valid insurance certificates	
	Accident/Incident Management	Auditable procedures and systems for Accident/Incident management	Evidence of a Accident/Incident management procedure and auditable accident/Incident report and records retained for a minimum 3 years	
	Smoking	Auditable procedures and systems for ensuring legal compliance relating to vehicles	<ul style="list-style-type: none"> ▪ Auditable evidence of staff awareness of procedures ▪ Sight of No smoking signs on vehicles – legal compliance 	
	Mobile Phone Use	Auditable procedures and systems for ensuring legal compliance	<ul style="list-style-type: none"> ▪ Auditable evidence of staff awareness of procedures ▪ Suitable signage placed on vehicles –legal compliance 	

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	Use of Company Vehicles	Auditable procedures for ensuring proper use of company vehicles	<ul style="list-style-type: none"> Demonstrable evidence of staff awareness of procedures on use of vehicles Evidence of ad hoc checks 	
	Health and Safety – Road Risk Management	Auditable systems and procedures for ensuring Legal obligations on Road related Health and Safety issues are met	<ul style="list-style-type: none"> Evidence of awareness of staff Evidence of training for key staff Documentary evidence of vehicle related risk assessments 	
	Training	Planned training programmes in place to ensure all staff are trained to the standards required to be competent in their respective job functions	Auditable documentary evidence of training completed and against planned objectives	
	Vehicle Breakdown	Auditable system and procedure for managing vehicle breakdown including spare vehicle provision and passenger management	<ul style="list-style-type: none"> Documentary evidence supporting compliance with breakdown procedures Sight of written evidence of staff awareness of the procedure 	
	Vehicle Fuelling	Auditable system and procedure for ensuring vehicles are fuelled to minimise service disruption	<ul style="list-style-type: none"> Sight of evidence showing staff awareness of procedure Evidence of ad-hoc checks to ensure compliance 	
	Medical issue reporting	Procedure in place to ensure medical issues relating to Radio Risk are reported and appropriate action taken	Evidence to show staff awareness of procedure	
	Vehicle Replacement	Procedure to manage replacement vehicles in the event of breakdown	Evidence of awareness and training on procedure	
	Controlled Substance/Alcohol	Procedures to ensure that drivers do not drive under the influence of controlled substances and/or alcohol	<ul style="list-style-type: none"> Evidence of staff training to manage subject area Evidence of operators ability to test as required Evidence of staff awareness of the requirements under the procedure 	
	Management	One staff member to hold up-to-date Certificate of Professional Competence in Road Passenger Transport	Sight of certificate	3