



Third-Party Examiner Auditing

CDL Drive Schools

3-17-2025

Revision History

Effective Date of SOP: 3/17/2025	SOP Number: SOP F.09
Functional Area Name: Drive Schools	Division Name: CDL
Last Review Date: 2/21/2025	Last Reviewer: Amanda Casebier, CDL Supervisor
Next Review Date: 2/21/2026	Next Reviewer: CDL Supervisor
Executive Approval Date: 3/17/2025	Approved By: Alyson Sorenson, CDL Manager

Overview

This standard operating procedure (SOP) covers the process of conducting annual audits of Third-Party Examiners

Purpose

This SOP provides CDL Auditors with a step-by-step overview of how conduct co-score and records audits of Third-Party Examiners

Policy Statement

These procedures apply to all CDL Auditors and Third-Party Examiners in the state of Oklahoma

Compliance

OAC 670:15-31 – Commercial Driver License Third-Party Examiners

Systems

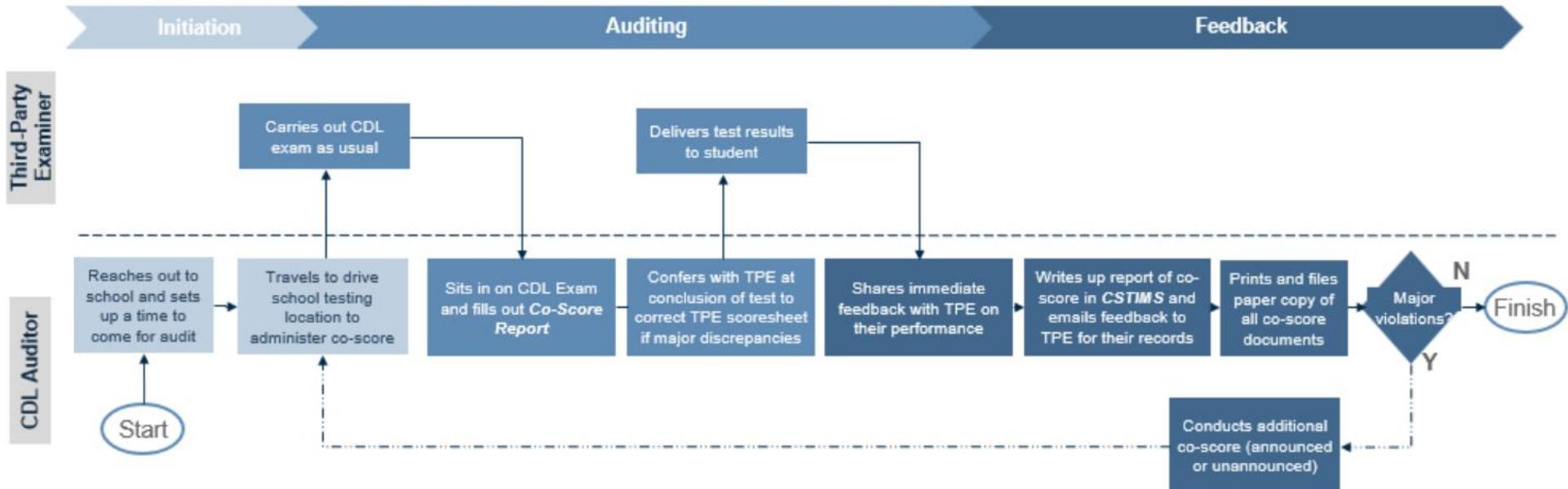
System	Function
SOK Shared Drive	Internal shared drive used by CDL employees to share files. CDL team used the CDL Admin Folder.
Commercial Skills Test Information Management System (CSTIMS)	American Associated of Motor Vehicle Administrators (AAMVA)-sponsored tool to

	track CDL schools, instructors TPEs, and student test results
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Roles

Role	Responsibilities
CDL Drive School	State-certified school that offers CDL training services for people in Oklahoma.
CDL Auditor	CDL team member who carries out most day-to-day functions related to CDL School, Instructors, and TPEs, including certification, renewal, and auditing.
CDL Supervisor	CDL team supervisor who is available to assist with CDL auditor functions as needed and may be called on to answer questions, settle disputes, or handle non-compliance escalation.
Third-Party Examiner (TPE)	Individual who is certified by SOK to conduct CDL tests for students. Often also an instructor for a CDL school.

Process Map - Designated Examiner Co-Score – Overt - Announced



Note: This process map shows an overt, announced co-score, just one of many audit types/methods used by CDL Auditors

Procedures

Process #1: Third-Party Examiner Co-Score

Purpose: To audit Third-Party Examiner exam practices for compliance with Oklahoma Code and best practices.

Background:

A co-score is the most common type of audit performed by CDL Auditors. Co-scores are used to periodically determine a TPE or TPE-in-training's continued proficiency and regulatory compliance with scoring and administrative procedures

Co-scores are to be conducted at least once every two years per state requirement, but CDL Auditors should try to get to each TPE every year. For newly certified TPEs, it best to do an initial co-score within 3-6 months of certification to ensure they are off to a good start.

Co scores can either be announced or unannounced. Unannounced co-scores can be either overt or covert. Covert observations may develop into overt ones if the CDL Auditor witnesses an infraction and feels the need to reveal themselves on the spot.

Process Step-by-Step:

1. First, a CDL Auditor will reach out to a TPE to set up a time to come out for a co-score.

Note: The CDL auditor can view a TPE's upcoming test schedule in CSTIMS and used that to coordinate a time.

2. The CDL Auditor will travel to a testing site to conduct the co-score.
3. The TPE will perform their drive test as usual, with the CDL Auditor sitting in the backseat of the car and co-scoring via the AAMVA Audit Checklist.

Note: When conducting co-scores with TPE trainees, the fact that they are in training should not be disclosed to the applicant. Auditors will refer to trainees as Third-Party Examiners while in their presence; letting the customer believe that the test was conducted by a trainee could lessen the reliability and validity of the test in their eyes.

Note: If conducting a covert co-score, an auditor will observe the exam from a distance and fill out the parts of the co-score form that are applicable

4. Before the TPE delivers the results of the test to the customer, the CDL Auditor should confer with the TPE to make sure there are no major discrepancies in the scoring.

Note: Should the auditor's scoresheet reflect several major infractions missed or a dangerous act, the TPE will change their scoresheet at the direction of the auditor to reflect a more representative score before the TPE presents results to the customer.

5. The TPE then delivers test results to the customer.
6. As the test wraps up, auditors are to share immediate verbal feedback with the TPE on their performance administering the test.

7. After the co-score is completed, CDL Auditors are to write up a full report of the co-score and upload it to CSTIMS ([See Appendix B](#)). Additionally, the auditor will email thorough feedback to the TPE in a timely manner.

Note: The CSTIMS report can be used as a template for this email, but the email should be vetted to ensure its content is appropriate to deliver as feedback.

8. All co-score materials, including the written report, should be printed by the auditor and filed in the TPE's paper file.

Note: If there was a major violation missed or a major discrepancy between the CDL Auditor and TPEs scoring of the test, the auditor may want to schedule another check ride (announced or unannounced) soon after to continue to monitor a TPE for non-compliant practices.

Process #2: Designated Yearly Records Audit

Purpose: To check the records that TPEs are keeping on their exams to ensure compliance with Oklahoma Code and best practices.

Description:

Another important annual CDL Auditor function is a records audit of all TPEs. CDL Auditors should conduct a records audit for each TPE every year. For newly certified TPEs, it best to do an initial records audit within 3-6 months of certification to ensure they are off to a good start.

The most important document in the records audit is the TPE Records Audit Form. TPEs are required to keep a whole series of records related to classes and exams on file at their drive school. The TPE records audit and corresponding form are there to verify that TPEs are maintaining these practices.

In addition to the general records required on page one of the audit, the auditor should ask for records on six randomly selected former customers to ensure the TPE is keeping records on every person they train. Randomly selected customers are usually two from the current year, two from the previous year, and two from the year before that.

CDL Auditors should coordinate with TPEs to find a time and place to perform a records audit. However, the TPE does not have to be present for a records audit to occur – a TPE can go through what the TPE has on file at their drive school without the TPE there.

After a CDL Auditor completes a records audit, the records audit form is to be uploaded to CSTIMS and the SOK shared drive, and a paper copy stored with their file.

If a TPE is out of compliance with record-keeping requirements, this may trigger disciplinary protocols.

Appendix

Appendix A: TPE Co-Score Report Example



Third-Party Examiner Co-Score Report

Applicant: Eric Smith
 License Number: TH082591714
 Examiner: James Pugh
 Date: 8-2-24

Introduction			
Did the examiner check the applicant's documents?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Did the examiner check the vehicle lights, GVWR, and tag numbers?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Remind the applicant that the light check was not part of their pre-trip?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Filled out top portion of score sheet correctly?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Made sure vehicle was safe to use?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Notes: Did not introduce me			

Vehicle Inspection			
Read all instructions to the applicant? Mark which form: A <input checked="" type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Showed the diagram to the applicant, if doing a partial inspection?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Advised the applicant about the 40-minute time limit?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Followed applicant around the vehicle?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Probed the applicant?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Prevent the applicant from doing anything dangerous?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Did the examiner mark the item after the applicant properly inspected it?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Did the examiner mark out things that the vehicle did not have? Example: Non-existent vehicle	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

Appendix B: TPE Records Audit Example

 <h3 style="margin: 0;">Third Party Examiner Records Audit</h3>			
Auditor	Myra Pearson	Date	8-2-24
TPE Name	James Page	TPE Badge #	8895
School Name	Pioneer Tech		
School Address	2101 N Ash Ave, Oklahoma City		
Records to be maintained per OAC 260:135-5-183 (a) (1-10)			
RECORD CHECK	YES	NO	N/A
<i>Is the school certificate present?</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Is the TPE currently employed by the school?</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Is the TPE certificate present?</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Current and previous TPE employed by the school for the immediately preceding 3 years?</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Are the score sheets in the TPE files?</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Are the class rosters for classes conducted in the TPE files?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Is there a certificate of completion for online training in the TPE files?</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Is there a completion letter for SDE instructor in the TPE files?</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>A copy of the CLP and base license present?</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>A copy of the DL-18 present?</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Is the TPE keeping all correspondence between the school and the Department?</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>If testing the public, is there a copy of the receipt in their file?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

References

1. List of links relevant to CDL Auditing
 - a. [Oklahoma Administrative Code](#)
2. List of forms relevant to CDL Auditing
 - a. AAMVA Audit Checklist
 - b. Co-Score Report
 - c. Records Audits Form