APPENDIX A: RECOMMENDATIONS

AUDIT	Licences Audit 2017-18	DATE:	November 2017	AUDITOR:	D Vince

CO No	Rec No	Risk (of non implementation)	Recommendation	Action to be taken	Officer Responsible	Implementation Date	Priority
1 & 3	1	Legislative – non-compliance with the relevant legislation Financial – Loss of income Reputational – information available to the public is out of date	A review should be undertaken in respect of licences processes operating under the licensing act 2003	<u>Licensing Act in General</u> Copies of licences issued should be retained <u>Premises Licences</u> -A review of current premises licences and debtors should be undertaken to ensure that all annual payments have been raised -The debtor report issued to Licence's should be issued at least 28 days prior to the debt invoice being raised, amendments to this report by licences should be undertaken promptly and reported back with the relevant licence application reference within this timescale. -Debtors invoices (included annual invoices) raised in connection with Licences should clearly demonstrate the licence application reference <u>Personal Licences:</u> -A review of personal licence information of the councils website should be undertaken to ensure that it is up to date with current practices and additional information is provided in relation to notifiable offences <u>Temporary Event Notices</u> -The website and online forms should be updated to provide definition on what is a premises user -A process should be established to monitor the	Environmental Health Manager	April 2018	N

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N= Necessary - Could cause limited loss of assets or information or adverse publicity or embarrassment. Necessary for sound internal control and confidence in the system to exist and should be pursued in the short term, ideally within 6 months.

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				number of events operated by a premises user. In this connection the TENs submitted via Cotswolds Markets should be reviewed in order to ensure compliance with this requirement.			
1	2	Financial – Loss of income Operational – lack of transparency	A review of street trading processes should be undertaken to give consideration to prime sites.	A proximity check should be demonstrated for street traders operating close to prime site.		January 2018	N
1	3	Health and Safety – faulty equipment not identified	A review of taxi/private hire licences should be undertaken in particular the receipt of LOLER certificates	-the 6 monthly LOLER certificates needs to be provided to the council on a regular basis. -the safeguarding policy requirements should be implemented (see safeguarding audit 2016/17) -Payments receipted should be at the current fee rate		April 2018	N
1	4	Financial – possible loss of income and possibility that fees charged do not cover the service	A review of the animal boarding application process should be undertaken in particular verification of fees through home visits, prompt renewal of licences and a cost review of the service	-The website information should be updated to provide details on the home visits undertaken by the EHOs and the change in the veterinary procedures. -To update the home visit check sheet to include confirmation of the number of units to ensure the correct fee has been received -To check that all animal licences are renewed at the beginning of each year and undertake the appropriate enforcement action for non-renewals - A review of the fees to ensure full cost of the service including the home visits has been taken		September 2018	N

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				into consideration.			
1	5	Operational – processing times of licences in correctly stated .	Data entry within uniform should accurately reflect the licence process	-The receipt date of the application for all licence types should be correctly reflected within the Uniform system -All consultees should be listed for each licence type -In respect of animal boarding visit dates and officer details should be recorded within Uniform -Outstanding balances should be reviewed to ensure that these are not error entry lines -the trading times of a Street trader should be correctly entered into Uniform.		January 2018	N
1	6	Financial – possible loss of income	A regular reconciliation is undertaken between licences and the general ledger to ensure non-payments, part payments and miscoding errors are identified.	A staged approach will be adopted to the reconciliation process. Initially annual licence's will be checked against the general ledger and then further licences will be added once the format of the reconciliation process and officers understanding of the general ledger have been established.	Environmental Health Manager	April 2018	N
2	7	Legislative and operational – possibility of premises are not abiding to the licensing objective and conditions	A risk assessment of licensed premises has not been carried out – this is required in order to establish a pro-active approach to enforcement	-A programme of inspections for licenced premises will be carried out in the 2018 calendar year. -Based on the inspections, a risk assessment will then be performed and entered into the uniform system.	Environmental Health Manager	April 2019	N
2	8	Legislative and operational – possibility of	Service requests such as noise complaints that can be associated with a licenced	Agreed	Environmental Health Manager	April 2018	N

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		premises are not abiding to the licensing objective and conditions	premises should be dealt with through the licencing module.				
2	9	Legislative and operational – possibility of premises are not abiding to the licensing objective and conditions	An online facility for the public to report licensable complaints should be provided.	Agreed	Environmental Health Manager	June 2018	N

NB: The implementation of recommendations are reported to audit committee and any non-implementation by the agreed date may result in the committee requesting an update from the responsible officer

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