

Appendix 1

Audit Action Plan

Recommendation Details	Expected implementation date for recommendation	Comment	Further Audit Comments
<p>The fields within the licensing module of Uniform need to demonstrate that the driver safeguarding test has been completed;</p>	<p>April 2021</p>	<p>Fields are present in uniform for the receipt of certificates and validation and records are being updated as the licensing review progresses. Going forward from 2021 a quarterly report will be run to identify all outstanding certificates. Reminders will be sent.</p> <p>The impact of covid 19 in 2020 has meant Cheltenham Borough Council who run the safeguarding course have not held them this year. It is hoped that an on-line service provider for a course will become available.</p>	<p><i>Policy amendments made in 2017 resulted in drivers having to undertake safeguarding training. This is asked for, but drivers have up to 6 months to complete the training. The uniform system needs to have a reminder system in place to ensure that certificates are provided and a validation check of the certificate needs to be included in Uniform too.</i></p>
<p>A regular sample check of Hackney/Private Hire (both driver and vehicle) and also operator licences should be undertaken to ensure that all information has been accurately recorded into Uniform; that all documentation requested within the application forms have been imaged and linked to the licence;</p>	<p>Completed</p>	<p>All supporting documentation is now routinely scanned onto applications.</p> <p>A regular sample of random applications is reviewed by the SLO.</p> <p>Existing records are being checked for completion as applications and renewals are processed.</p> <p>Under lockdown for COVID 19 no new driver applications have been processed as this involves a face to face meeting.</p>	<p><i>The audit noted that at times data (such as driver licence details) had not been recorded on Uniform and not all documents submitted to support the licence application had been scanned.</i></p>

<p>and where a licence has been refused sub-licensing committee dates have been included within Uniform.</p>			
<p>Complaints within the service request module of Uniform should be linked to the licensing module. In relation to proactive enforcement, any spot checks should also be recorded against the licence record</p>	<p>September 2021</p> <p>April 2021</p>	<p>The Licensing Team does not have a dedicated enforcement officer. This is being considered as part of the Licensing review.</p> <p>A data field is set up within the licence module to record spot checks and a process is being developed to ensure that any complaints received by either Licensing or Environmental Health are linked to the licence.</p> <p>TBC Licensing is also now signed up to NR3 which is a national database of records relating to matters identified and enforcement action taken with respect to hackney carriage and private hire drivers. Checks of this system will be undertaken prior to issuing new or renewal of driver licences.</p>	<p><i>The SLO confirmed that in respect of monitoring of licensing conditions the current arrangements consist of reactive enforcement through the receipt of complaints, and proactive enforcement in relation to performing spot checks mainly at large events. There are records within the environmental health service request module of Uniform that demonstrate that complaints concerning hackney/private hire licensing are processed. However, in respect of the 4 complaints receipted for year 2019, only one of these had been linked to the actual licence record. In respect of proactive enforcement, a data field is set up within the licence module to record spot checks but this is currently not used. There is therefore a risk that enforcement action is not being taken into account upon receipt of a renewal application</i></p>

<p>The licensing module within Uniform should demonstrate that two officers are involved in the validation/authorisation of a driver, operator and vehicle licences.</p>	<p>Completed</p>	<p>Licence application records within the Uniform system currently demonstrate the check by two officers.</p>	<p><i>Key elements of the hackney/private hire policy are set out as either statements or required evidence within the driver, vehicle and operator application forms. The validation of both new and renewal licence applications including verification checks (eg identity, vehicle, DBS, driver convictions etc), involves two officers. Licence application records within the Uniform system currently only demonstrate the check by one officer and it was agreed with the SLO that his check of the application would be included within the validation screen of Uniform</i></p>
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