



Internal Audit Progress Report

Report of the Acting Head of Internal Audit

1.0 Summary

- 1.1 This report seeks to update Members of this Committee with the current performance of the Internal Audit Section and to provide summaries of the key issues raised in final audit reports issued since our last report to this Committee and the current status on the implementation of agreed audit recommendations.

2.0 Background

- 2.1 Each quarter a report is produced for this Committee which details the Internal Audit Section's performance against the current Annual Internal Audit Plan and summarises the results of audit work carried out.

Internal Audit Performance - 2017/18

- 2.2 The 2017/18 Annual Internal Audit Plan presented to the Joint Governance Committee on 28th March 2017 contained 511 days and 34 items of audit work to be undertaken by the Internal Audit Service during the year.
- 2.3 Since approval, the audit plan has been revised to accommodate requests to move audits to different parts of the year and to take account of changes in requirements. The current plan is summarised as:

Period	No of audits planned	No of days planned	% of days planned
Quarter 1 (April – June)	3	82	16.1%
Quarter 2 (July – September)	10	139.5	27.3 %
Quarter 3 (October – December)	9	113	22.1%
Quarter 4 (January – March)	12	176.5	34.5%
	34	511	100%

- 2.4 As at 30th October, 276.5 days (54.1%) of the planned days had been delivered. Attached as **Appendix 1** is a summary of the current status of audits in the plan.

Final Audit Reports

- 2.5 Recommendations made in audit reports are categorised according to their level of priority as follows:

Priority 1	Major issues for the attention of senior management.
Priority 2	Other recommendations for local management action.
Priority 3	Minor matters.

- 2.6 Internal Audit's assurance opinions accord with an assessment of the controls in place and the level of compliance with these controls. During the course of an audit, a large number of controls will be examined for adequacy and compliance. The assurance level given is the best indicator of the system's control adequacy. The assurance levels and their associated explanations are:-

Full Assurance	There is a sound system of control designed to achieve the system objectives and the controls are being consistently applied.
Satisfactory Assurance	While there is a basically sound system, there are weaknesses that put some of the system objectives at risk, and/or there is evidence that the level of non-compliance with some of the controls may put some of the system objectives at risk.
Limited Assurance	Weaknesses in the system of controls are such as to put the system objectives at risk, and/or the level of non-compliance puts the system objectives at risk.
No Assurance	Control is generally weak, leaving the system open to significant error or abuse, and/or significant non-compliance with basic controls leaves the system open to error or abuse.

- 2.7 The report attached as **Appendix 2** provides a summary of key issues raised in all final reports issued since our last report to this Committee. Since the previous Committee, three reports have been finalised; one of these was a Satisfactory Assurance and one was a Limited Assurance, the other report was a gap analysis audit for which no opinion was given. Six P1 recommendations were raised within these reports.

Follow up of Audit Recommendations

- 2.8 In accordance with the Council's Follow-Up Protocol, we have continued following-up the status of implementation of recommendations contained in final audit reports. The Audit App continues to be used to provide updates on the implementation of recommendations.
- 2.9 Follow-up audits are undertaken to ensure that all recommendations raised have been successfully implemented according to the action plans agreed with the service managers. The Follow-up Protocol requires implementation of 80% of all priority 2 and 3 recommendations and 100% of priority 1 recommendations. The current performance in relation to these targets is shown in the tables below:

Analysis of status of recommendations 2014/15

	Total Due	Imp	%	Carried Over (Not Impl'd)	%	FU & Overdue	%	FU & No Response	%	Total % NOT Impl'd	FU Not Due	Total
P1	37	32	86.5%	1	2.7%	4	10.8%	0	0%	13.5%	0	37
P2	131	110	84%	15	11.4%	6	4.6%	0	0%	16%	0	131
P3	31	27	87.1%	3	9.7%	1	3.2%	0	0%	12.9%	0	31
Other	2	1	50%	0	0%	1	50%	0	0%	50%	0	2
Total	201	170	84.6%	19	9.4%	12	6%	0	0%	18.4%	0	201

Analysis of status of recommendations 2015/16

	Total Due	Imp	%	Carried Over (Not Impl'd)	%	FU & Overdue	%	FU & No Response	%	Total % NOT Impl'd	FU Not Due	Total
P1	44	41	93.2%	0	0%	3	6.8%	0	0%	6.8%	1	45
P2	97	67	69.1%	8	8.2%	14	14.4%	8	8.3%	30.9%	2	99
P3	20	14	70%	3	15%	3	15%	0	0%	30%	0	20
Total	161	122	75.8%	11	6.8%	20	12.4%	8	5%	24.2%	3	164

Analysis of status of recommendations 2016/17

	Total Due	Imp	%	Carried Over (Not Impl'd)	%	FU & Overdue	%	FU & No Response	%	Total % NOT Impl'd	FU Not Due	Total
P1	11	6	54.6%	0	0%	1	9.1%	4	36.4%	45.4%	7	18
P2	78	34	43.6%	0	0%	22	28.2%	22	28.2%	56.4%	14	92
P3	11	5	45.5%	0	0%	2	18.2%	4	36.4%	54.5%	1	12
Other	4	4	100%	0	0%	0	0%	0	0%	0%	14	18
Total	104	49	47.1%	0	0%	25	24%	30	28.9%	52.9%	36	140

- 2.10 Attached as **Appendices 3, 4 & 5**, are tables which summarise the current follow-up status of recommendations made in final audit reports from audits contained in the 2014/15, 2015/16 and 2016/17 Audit Plans. The shaded boxes indicate where changes have occurred since our last report.

ADC Taxi Licensing – Fact Finding Report

- 2.11 In our report to the Committee on 26th September, we summarised the findings of a fact finding audit in respect of the Taxi Licensing for Adur District Council and committed to providing a further update at this meeting.
- 2.12 Since the final fact finding report was issued in September, we have confirmed that management have put in place an Action Plan, attached as **Appendix 6**, to address the 25 recommendations made. The Plan confirms the actions to be taken to address the issues raised, assigns responsibilities to specific officers and defines implementation deadlines. Management have confirmed that the Plan is monitored on a regular basis.
- 2.13 We have reviewed the Action Plan and noted that four of the recommendations have been completed and that a further seven, relating to ongoing processes, have been agreed. For the remaining 14 recommendations, we have noted that required actions have been detailed.

3.0 Legal

- 3.1 There are no legal matters arising as a result of this report.

4.0 Financial Implications

- 4.1 There are no financial implications arising from this report.

5.0 Recommendations

- 5.1 Members of the Joint Governance Committee are asked to note the contents of this report.

Local Government Act 1972

Background Papers: None

Contact Officer:

Pat Stothard, Acting Head of Internal Audit
Town Hall, Worthing
01903 221255
pat.stothard@mazars.co.uk

Schedule of Other Matters

1.0 Council Priority

1.1 The report does not seek to meet any particular Council priorities.

2.0 Specific Action Plans

2.1 (A) Matter considered and no issues identified.
(B) Matter considered and no issues identified.

3.0 Sustainability Issues

3.1 Matter considered and no issues identified.

4.0 Equality Issues

4.1 Matter considered and no issues identified.

5.0 Community Safety Issues (SECTION 17)

5.1 Matter considered and no issues identified.

6.0 Human Rights Issues

6.1 Matter considered and no issues identified.

7.0 Reputation

7.1 Matter considered and no issues identified.

8.0 Consultations

8.1 (A) Matter considered and no issues identified.
8.2 (B) Matter considered and no issues identified.

9.0 Risk Assessment

9.1 Matter considered and no issues identified.

10.0 Health & Safety Issues

10.1 Matter considered and no issues identified.

11.0 Procurement Strategy

11.1 Matter considered and no issues identified.

12.0 Partnership Working

12.1 Matter considered and no issues identified.

	Project	Joint	ADC only	WBC only	Field Work complete	Draft Issued	Final Issued	Assurance level	Assurance at previous audit
1	Leaseholder Charges		*		Y	Y			
1	Gas Safety Inspections		*		Y	UR			
1	Housing Repairs		*		Y	Y			
2	Firewall & Cyber Security	*			Y	Y	Y	Satisfactory	No previous audit
2	Compliance with the Data Protection Act	*			Y	UR			
2	Fixed Assets	*			WIP				
2	Contract Management audit - Voluntary & Community contract	*			WIP				
2	Corporate Governance	*			Y	Y			
2	Handyman Service	*			Y	Y			
2	Homelessness	*			WIP				
2	Budget Management	*			Y	Y			
2	Human Resources	*			Y	Y			
2	Debt Management	*			WIP				
3	Treasury Management		*		Y	UR			
3	Rent Collection and Collection of Arrears	*			Y	Y			
3	Cashiering	*			WIP				
3	Payroll	*			WIP				
3	Change Management	*			P				
3	Tax Risk assessments (IR35)	*			P				
3	Local Plans for new homes	*			P				
3	ICT Management & Strategy	*			P				
3	GDPR Readiness/Gap Analysis	*			P				
4	Creditors	*							
4	Debtors	*							
4	Revenues (Council Tax & NDR)	*							
4	Benefits	*							
4	General Ledger	*							
4	Theatres Box Office	*							
4	Estates	*							
4	Capital Accounting	*							
4	Risk Management	*							
4	Compliance with Public Contacts Regulations 2015								
4	Mats - Governance & Management arrangements								
4	Academy Application audit	*							

KEY

P In Planning stage

WIP Work In Progress

UR Under review

Key issues from finalised audits

Appendix 2

Audit Title	Risk Level	Assurance Level & Number of Issues	Summary of key issues raised
Theatres Catering – Income & Stock Control (2016/17)	M	Limited (Three Priority 1 and Four Priority 2 and One Priority 3 recommendations)	The P1 recommendations were raised to address the need for: Explanations to be provided for any discrepancies, over £5, between the value of the z-read and the cash. Detailed monitoring to establish whether any member of staff regularly generates void transactions. Detailed monthly stocktakes to be undertaken in order to accurately identify the level and value of stock held and to provide a means for monitoring profit and losses through catering sales.
Corporate Fraud Service Review (2016/17)	H	No Opinion given (3 Priority 1 and 14 Priority 2 recommendations raised)	This work was RAG/GAP analysis between the current position of the Councils and good practices in countering fraud. The priority 1 recommendations raised related to:- Raising the profile of the in-house counter fraud team with all departments and publicise their stance on fraud, bribery and corruption both internally and externally. Ensuring the JGC take responsibility for ensuring that fraud, bribery and corruption risks are managed and reviewed on a regular basis and the Councils identifying who is responsible for identifying, assessing and managing fraud, bribery and corruption risks and delegating responsibility accordingly. The development and publishing of a Counter Fraud and Corruption Strategy and Response Plan.
Firewall & Cyber Security (2017/18)	M	Satisfactory (One Priority 2 and Four Priority 3 recommendations)	No P1 recommendations raised.

Audit	Joint Audit	Final Report Date	Assurance level	Recs not applicable for follow	Total No of Recs	Other	Number of agreed recs completed	% of recs completed	Recs carried over into	% of recs carried over	Number of recs outstanding	1	2	3	Other	% of recs outstanding	Key auditees	Comments	Comments re Outstanding Priority 1 recs
Director of Digital & Resources																			
Finance																			
Annual Governance Statements	*	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A								No Follow up required	
Budgetary Control	*	Dec-14	Satisfactory		1	0	1	100%										COMPLETE	
General Ledger	*	Mar-15	Satisfactory		3	0			3	100%								All recommendations made in 2014/15 have been reiterated in 15/16 audit so none had been implemented	
Cashiering	*	May-15	Satisfactory		4	0	3	75%	1	25%								15/16 audit has confirmed 3 recommendations from 2014/15 audit have been completed - one (re procedures) is being reiterated in 15/16 report.	
Creditors	*	Apr-15	Satisfactory		2	0	1	50%	1	50%								15/16 audit confirmed P1 recommendation has been completed - one (re duplicate payment reports) is being reiterated in 15/16 report.	
Debtors	*	Feb-15	Satisfactory		2	0	2	100%										COMPLETE	
Insurance	*	Oct-14	Satisfactory		2	0	2	100%										COMPLETE	
Payroll	*	Sep-15	Satisfactory	3	5	0	2	40%	3	60%								15/16 audit has confirmed 2 recommendations from 2014/15 audit have been completed - 3 are being reiterated in 15/16 report.	
Treasury Management	*	May-15	Satisfactory		2	0	2	100%										COMPLETE	
Petty Cash	*	Jan-15	Satisfactory		2	0	1	50%			1	0	1	0	0	50%	A Simmons	Update requested 10/11/17	
Staff Loans	*	Jan-15	Satisfactory		3	0	3	100%										COMPLETE	
Probtly audits - inventories	*	Aug-15	N/A	5	1	1					1	0	0	0	1	100%	S Taylor	1 o/s rec relates to ICT inventory - update provided via Audit App 8/11 outlined actions that need to be taken now ICT has returned from CensSus.	
Probtly - cash floats	*	Oct-14	N/A		1	1	1	100%										COMPLETE	
Business Rates - Forecasting & Income Projection	*	Feb-15	Satisfactory		1	0	1	100%										COMPLETE	
Pension Scheme- local administration	*	Oct-14	Full		0													No Follow up required	
Legal Services																			
Corporate Governance	*	May-15	Satisfactory		6	0	6	100%										COMPLETE	
Business & Technical Services																			
Facilities Management & Security	*	May-15	Satisfactory		15	0	11	73%			4	0	3	1	0	27%	M Hosier/ L Harris	4 recs still outstanding - met HoB&TS on 7/11 update to be provided.	
Health & Safety	*	Sep-15	Limited	3	7	0	7	100%										COMPLETE	
Pool Car Pilot	*	May-15	Satisfactory		5	0	5	100%										COMPLETE	
Term Maintenance Contract Management - Keith Long Electrical	*	Mar-16	Limited		8	0	7	88%			1	1	0	0	0	13%	S Spinner	1 rec still outstanding - met HoB&TS on 7/11 update to be provided.	O/S P1 rec relates to loss of order details within the Recorder system
Construction Contract - MTC Adaptations	*																		
Land Drainage	*	Jul-15	Satisfactory		5	0	4	80%	1	20%								80% complete - no further follow up - one P2 rec had not been addressed	
Shoreham Centre	ADC	Mar-16	Satisfactory	4	1	0	1	100%										COMPLETE	
Digital & Design																			
Risk Management	*	Jun-15	Satisfactory	1	14	0	5	36%	9	64%								Meeting held on 21/1 with CPO - remaining recs were in progress and further FU would be performed as part of 15/16 audit	
People																			
Agency Staff Arrangements	*	Dec-14	Satisfactory		4	0	4	100%										COMPLETE	
Director of Economy																			
Place & Investment																			
External Funding	*	Apr-15	Limited		10	0	10	100%										COMPLETE	

Follow Up of Recommendations 2016/17 Audit Plan

Audit	Joint Audit	Final Report Date	Assurance level	Recs not applicable for follow up	Total No of Recs	Number of agreed recs completed	% of recs completed	Recs carried over into next audit	% of recs carried over	Number of recs outstanding	1	2	3	Other	% of recs outstanding	Key auditees	Comments	Comments re Outstanding Priority 1 recs
Chief Executive																		
Director for Economy																		
Culture																		
Theatres Catering	WBC	Nov-17	Limited		8					8	3	4	1		100%		Follow up will occur automatically through Audit App when recommendations become due	
Place & Investment Adur Markets Management of the Council's Commercial Property Portfolio	ADC *	N/A Feb-17	Satisfactory		10					10	1	7	2		100%	L Dine	Deadline for 3 recs has been revised - updated requested for other 7 outstanding	
Director for Communities																		
Housing																		
Rent Collection and Collection of Arrears Right to Buy	ADC ADC	Jun-17 May-17	Satisfactory Satisfactory	1	3 4	3	100%			4	0	3	1		100%	P Turner M Reeve	COMPLETE Deadlines for 3 O/S recs have been revised following agreement with Head of Service Deadlines for 2 O/S recs have been revised following agreement with Head of Service All recommendations overdue - no update provided - reminder sent 14/11	
Sheltered Accommodation	ADC	Jun-17	Satisfactory		5					5	1	4	0		100%	M Reeve/ S O'Donaghue		
Works to Void Properties	ADC	Jun-17	No		11	3	27%			8	4	4	0		73%	S O'Donaghue		
Wellbeing Voluntary & Community - contract procurement ADC Tax Licensing fact find	* ADC	Feb-17 Sep-17	Limited No Opinion work	7	6 18	6 4	100% 22%			14	0	0	0	14	78%	K Adderson	COMPLETE Action Plan has been created outlining actions to be taken, by whom & when - this is reviewed every 2 weeks	
Leisure South Downs Leisure Trust - Contract Management	WBC	Jun-17	Satisfactory	2	4	4	100%										COMPLETE	
Director for Customer Services																		
Revenues & Benefits																		
WBC Revenues (Council Tax & NDR)	WBC	Aug-17	Satisfactory	1	4	1	25%			3	0	3	0		75%	P Tonking	Deadlines have been revised for all outstanding recs. Implementation status of outstanding rec will be checked in next audit - Jan 18 Recs no longer applicabel following return of Adur NDR to A & W	
WBC Benefits	WBC	Jun-17	Satisfactory		2	1	50%			1	0	1	0		50%	S Gobey		
CenSus - NDR	ADC	Jun-17	Satisfactory	3														
Waste & Cleansing Fleet & Transport Management	*	Feb-17	Satisfactory		4	2	50%			2	1	1	0		50%	T Patching	Update provided - 1 rec complete - 2 OS not yet due	
Building Control & Land Charges Local Land Charges	*	Aug-16	Satisfactory		4	2	50%			2	0	2	0		50%	M Perryman/ G Goacher	2 in progress -deadline & owner updated	
Director of Digital & Resources																		
Finance																		
Medium Term Financial Strategy General Ledger	* *	Nov-16 Jun-17	Full Satisfactory		5					5	0	5	0		100%	J Gamlin	No recommendations to follow up Recs due to be implemented 31/8/17 - update requested 14/11	
Capital Accounting	*	May-17	Satisfactory		1	1	100%				0						COMPLETE	
Treasury Management	*	Apr-17	Satisfactory		1	1	100%										COMPLETE	
Creditors	*	Mar-17	Satisfactory		2					2	0	2	0		100%	Y Stillwell	Update provided confirmed recs will be addressed as part of implementation of new FMS - deadline revised	
Debtors	*	Apr-17	Satisfactory	1	2	1	50%			1	0	1	0		50%	Y Stillwell	Update provided confirmed rec will be addressed as part of implementation of new FMS - deadline revised	
Payroll	*	Apr-17	Satisfactory		9	7	78%			2	0	2	0		22%	G Townsend/ N Hughes/ B Cooke	Update confirmed 7 as actioned - 2 still in progress - current audit to assess if issue still O/S	
Cashiering	*	May-17	Satisfactory		6	2	33%			4	0	3	1		67%	A Simmons	Recs now overdue - 17/18 audit currently in progress will assess whether they have been implemented	
Invest to Save Schemes	*	Nov-16	Satisfactory		7					7	0	7	0		100%	E Thomas	Update provided confirmed that action taken is wuth CFO for review	
Legal Corporate Governance	*	Jun-17	Satisfactory		5	1	20%			4	1	2	1		80%	S Sale/ S Gobey	17/18 annual confirmed these recommendations as still outstanding	

Design & Digital																		
Risk Management	*	May-17	Satisfactory	1	3				3	0	2	1		100%	M Lowe	All recs now overdue update requested 14/11		
Contract Management audit - Mobile Phones	*																	
Business & Technical Services																		
Splashpoint Gym Equipment Fact Finding	WBC	N/A	No Opinion work															
Corporate Planned Maintenance Programme	*	Jun-17	Satisfactory	2	3	1	33%		2	1	1	0		67%		No follow up required		
Project Cost Control - Final Accounts - Project Closure	*	Feb-17	Satisfactory													Update provided through Audit App confirmed 1 rec complete - the other 2 are not due until Dec 17.		
Computer Audits																		
Remote Access protocols/VPN	*	Apr-17	Satisfactory		2	1	50%		1	0	1	0				Update through App confirmed 1 rec as complete and that other in progress.		
Telecomm Management	*	Apr-17	Satisfactory	1	1	1	100%									COMPLETE		
Cross Service Audits																		
Fire Risk Management	*	Jun-17	Satisfactory		10	7	70%		3	0	3	0				Update provided confirmed 7 recs completed - awaiting info from Adur Homes re 3 /s recs.		
Property Management	*																	
Welfare Reform - Support to claimants	*																	
					140	49	35%	0	0%	91	12	58	7	14	65%			

ADC Taxi Licensing Fact Find – Recommendations Action Plan

APPENDIX 6

Ref	Recommendation	Action to be taken	By whom	Implementation date
1.3.1	The draft Handbook should be expanded to include details of regular trade meetings, when consultations should occur and who with, the process for changing the tariff, procedures for dealing with complaints from the public about the conduct of taxi drivers, and the process for updating the Handbook.	Handbook will be updated accordingly. It is a living document and updates can be introduced as required. Formal procedures can be introduced as separate Annexes. Full review scheduled for 12 months' time.	SJ	December 2017
1.3.2	All financial procedures (including procedures for receiving, recording and banking of licence fee income) should be documented. Furthermore, all procedures should be reviewed and updated when Northgate M3 is replaced.	Detailed procedures for recording the receiving of fees is already in place. These will be reviewed and updated on the introduction of a new IT system.	KJA	September 2018 - subject to Digital Timetable
1.3.3	The draft Handbook should be finalised as soon as practicable in order that the Service are working to an approved and finalised set of policies and procedures.	Virtually complete and ready for publication just awaiting a decision on roof sign specification for Private Hire vehicles.	SJ	December 2017
1.3.4	Before the draft Hackney Carriage & Private Hire Licensing Handbook is finalised, representations should be requested and considered from a wide range of local disability groups, women's groups and other organisations with a wider transport interest.	Consultation targeted the public at large covering all members of the public and not just specific groups. Whilst such minority groups need to be engaged when deciding policy the handbook is primarily the tool for setting out the rules and specifications governing drivers & vehicles. Disability groups were consulted but their representations had no bearing on the handbook but was more concerned with future policy. Projects looking at disability training, future policy and legislation may well require targeted consultation therefore will be considered at next review.	TB	November 2018 Handbook for the licensed trade rather than service users, but will be considered at next review.

Ref	Recommendation	Action to be taken	By whom	Implementation date
1.3.5	Consideration should be given to the draft Handbook being reviewed by Legal Services before it is finalised.	It is. All reports concerning applications, policy and handbook are forwarded at the draft stage to senior officers and the council's legal services who routinely make observation, suggestion and amendments.	TB	December 2017
1.3.6	The checklist used for processing driver licence applications should be expanded to include attendance at disability awareness and CSE courses. A separate checklist for processing vehicle licence applications should be adopted.	The driver licence checklist already includes sections on disability awareness and CSE and so does the M3 procedures include these. However, it is not included on the back of the driver's application form but this can be added. Vehicle licence checklist is already on the application form and also on M3 system's procedures.	TB	October 2017 Done.
1.3.7	Arrangements should be effected to ensure that all have attended the CSE course.	A spreadsheet is already in place and record is made on individual's M3 record.	TB	September 2017 In progress Finalise Dec 2017
1.3.8	DBS certificates received from applicants should be handled in accordance with the DBS Code of Practice, and should not be scanned onto M3. IN PLACE	It is not procedure to scan DBS certificates on to the system. Any offences that show are recorded manually against the driver's file and DBS copy taken is destroyed securely as the Code of Practice dictates.	TB	September 2017 Done.
1.3.9	The Council should subscribe to the on-line facility for checking driving licence details provided by the DVLA.	Agree. It would streamline our procedures and provide bang up to date & accurate data including historic offences. The council should make application to be registered. The fee is £3,000 registration then only £1 per search. (Budget £500 pa).	SJ	April 2018 -
1.3.10	When a renewal of a DBS check is due, the new DBS certificate should be viewed before the previous certificate's expiry date, and the certificate number should be recorded on M3.	Ideally yes, however certificates are delayed by the DBS service, sometimes for months particularly if the applicant has resided in the London area in the past.	See 1.3.11	

Ref	Recommendation	Action to be taken	By whom	Implementation date
		The certificate number is recorded on M3 under the DBS pre-req. This is only relevant to current licence holders where it would be unfair to deprive them of their livelihood because the DBS delay return of their certificate. No new licences are issued without a complete DBS. Please see below.		
1.3.11	Consideration should be given to requesting taxi drivers to subscribe to the DBS Update Service Consideration should be given to requesting taxi drivers to subscribe to the DBS Update Service.	Agreed. We do encourage them and would like to make it compulsory. This would eliminate any issues as identified at 1.3.10. (Costing £44.00 + £13.00 to applicant)	TB	January 2018 - Subject to legal advice & possible Committee Consideration
1.3.12	Consideration should be given to requiring existing drivers to undertake disability awareness training.	This could be an item for the handbook review in 2018. It is compulsory for all new drivers to undertake this training currently but forcing existing drivers to do the training may prove controversial, but is to be considered.	SJ	September 2018
1.3.13	A review of the time taken to process licence applications should be conducted in order that any possible improvements in the procedure can be identified in order to reduce the length of time some applications are taken to process.	Agreed.	KJA	September 2018 - Subject to Digital Timetable
1.3.14	Consideration should be given to the setting of service targets, including the time taken to respond to telephone calls and emails. Where targets are set, systems and processes should be put into place for the monitoring and reporting of such. This should include ensuring that the new Taxi Licensing system is capable of recording the time taken to progress each licence application through each stage of the application process and be able to produce performance reports, which	Agreed.	SJ	January 2018

Ref	Recommendation	Action to be taken	By whom	Implementation date
	should be regularly produced and reviewed by management. Where possible performance data should be regularly compared with data from other local authorities.			
1.3.15	Cheque and cash income from licence fees should be banked at least weekly	Since the move to Portland House all revenue paperwork is completed and monies banked every week on a Wednesday.	TB	September 2017 Done, every Wednesday
1.3.16	The new Taxi Licensing system, which will replace Northgate M3, should be capable of producing income reports which can be reconciled with monies for banking.	Agreed.	KJA	September 2018 - Subject to Digital Timetable
1.3.17	The process for changing the hackney carriage tariff should be documented.	It is laid out in the legislation.	TB	October 2017 Formalised. Flow chart
1.3.18	When there is a change to the hackney carriage tariff, the new tariff advertised to the public in accordance with Section 65(2) of the Local Government (Miscellaneous Provisions) Act 1976 should be checked for accuracy. Furthermore, any press releases and written communications should be checked and reviewed by Legal Services before they are issued.	Agreed and checked by Licensing officer and Team Leader for Licensing.	SJ	October 2017 In hand
1.3.19	Any change to the hackney carriage tariff should be notified to each taxi driver in writing at the earliest opportunity (after the end of the 14 day consultation period)) and should advise the effective date for the tariff increase and detail the arrangements for updating meters.	Agreed.	SJ	October 2017 Agreed.
1.3.20	The Licensing Office should retain details of any legal advice received from Legal Services.	It is but agree to also set up a dedicated legal file on Google.	SJ	December 2017

Ref	Recommendation	Action to be taken	By whom	Implementation date
1.3.21	Where a there is an allegation of misconduct by a Council officer, an Investigating Officer should be appointed by the Head of Service in accordance with the Disciplinary Policy. Furthermore all complaints about the Taxi Licensing service should be routed through the Corporate Complaints procedure and should be responded to in accordance with that procedure's guidelines.	Agreed.	JC	September 2017 Agreed
1.3.22	Where a complaint about the Taxi Licensing service is investigated via the Corporate Complaints Procedure, a response should be sent to the complainant before the prescribed deadline.	Agreed.	JC	September 2017 Agreed in hand
1.3.23	Procedures for investigating complaints received from the public about the conduct of taxi drivers should be fully documented.	They are and recorded on individuals M3 file and on the google enforcement file.	TB	October 2017 In hand
1.3.24	Full details of action taken in response to a complaint about an individual taxi driver should be recorded on the M3 system.	They are and recorded on individuals M3 file and on the google enforcement file.	TB	October 2017 in hand
1.3.25	Officers should ensure that all information provided to the Licensing Committee is complete and accurate.	Officers always endeavour to provide accurate, up to date and complete information to members. All committee papers are checked by legal and senior officers prior to publication.	SJ	September 2017 Agreed.