

2. Taxi Licensing Audit Report Executive Summary

Audit Objective

The main objective of this audit was to review the adequacy and effectiveness of the system of internal controls designed to manage and mitigate financial and non-financial risks relating to Taxi Licensing.

Assurance Opinion		Number of actions	
		Priority	Number
Limited	Weaknesses in the system of internal controls are such as to put the objectives at risk or the level of non-compliance puts the objectives at risk.	High	1
		Medium	3
		Low/Advisory	9
		Total	13

Audit Approach and Scope

The scope of the audit included a review of the following:

- testing of key controls as shown below (note: The Service Lead – Environmental Health & Community Safety, specifically requested a review of areas covering the security of the public (e.g. DBS checks, safeguarding training etc), vehicle records and how allegations regarding drivers are dealt with and recorded.

Key controls tested	Assessment	Actions Raised
Policy & procedures		<ul style="list-style-type: none"> Lack of a comprehensive procedural manual for Licensing Officers to refer to
Governance of the Taxi Licensing Committee		
Issue of licences & checking of supporting documentation		<ul style="list-style-type: none"> Licences found where there was inadequate evidence of the DBS check undertaken DBS checks are not undertaken annually Licences found where supporting evidence for the original application in respect of: driving licence, DAVIS driving licence check, 'Right-to-work', medical assessment, safeguarding & disability awareness training, motor insurance cover, had not been scanned onto Uniform 'DIP'
Income management & reconciliation		<ul style="list-style-type: none"> Independent reconciliation of taxi licence income received against the number of licences issued is not regularly undertaken.
Security of the public (including DBS checks, safeguarding & equalities training)		
Records of vehicles & MOT checks		
Complaints, investigations & enforcement		
Notifiable occupations scheme		<ul style="list-style-type: none"> Lack of notifications from the Police under the notifiable occupations scheme
Environmental considerations		
Performance		

Summary and next steps

There have been changes in management and staff over the last few years, with the current Principal Licensing Officer only starting in his post from November 2022. As samples of current licences were tested they included applications received before November 2022. For some of the areas tested the majority of issues were found in pre-November 2022 cases (i.e. 6 out of 8 of the cases where there was insufficient evidence of the DBS check). The current Principal Officer was unable to comment on the processes/procedures in place prior to his appointment, however, since he has taken over responsibility, there have been obvious system improvements and he has started the process of enhancing controls (including reminding staff that appropriate evidence should be maintained).

This is a final report of the audit findings and incorporates the remedial action agreed with the Principal Licensing Officer and the Service Lead – Environmental Health & Community Safety.