

First Travel Solutions

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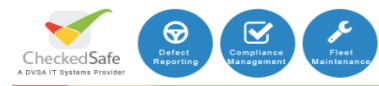
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Taxi Operator Audit

Operator Name

KLM Travel Service

Auditor



Prepared By

Gary Hawthorne

Date

08/06/2019



www.firsttravelsolutions.com

Taxi Operator Compliance Audit

Version - 11a 04/2019

Company Name & Address

KLM Travel Service
31 Calleron St
Hull
HU3 5BH

Main Contact Details (Who should this report be sent to?)

Name: Kevin Marsh
Position: Managing Director
Contact No: 7969433796
E-mail Address: klmtravelservice@outlook.com

Person Providing Information

Name: As Above
Position:

Private Hire Licence Details

Licence Number: 1094
Valid From: 01/07/2018
Valid To: 30/06/2019

Fleet Insurance Details

Insurer: Tradewise Insurance
Policy Number: TWEDIC039445
Valid From: 24/02/2019 Valid To: 23/02/2020

Liability (employee/public) Insurance Details

Insurer: Tradewise
Policy Number: TWCVPT0008528
Valid From: 24/02/2019 Valid To: 23/02/2020
Amount of Cover: £5,000,000

Fleet Details

Number in Fleet: 15

Number of PAYE Employees

Full Time: 0 (Self Employed)
Part Time: 0

Does your company employ Casual/Agency Drivers? (if yes, please state) Yes Casual

Health and Safety Law requires employers and the self-employed to ensure so far as reasonably practicable the health, safety and welfare of all employees and to safeguard others who may be put at risk from their work activities. This includes when they are undertaking work-related driving activities.

Use the following scoring system during this assessment

Satisfactory - Good system/procedure in place which is up to date & can be evidenced in writing or electronically - 2

Mostly Satisfactorily - A system/procedure in place which, if not documented, can be effectively demonstrated by the supplier - 1

Unsatisfactory - No system/procedure in place. or if in place, not working - 0

N/a - Not applicable - If not required or if the owner is the only person driving (e.g. licence checks) - Void

An unsatisfactory assessment must be reported to FTS Compliance immediately

Section: 1. Vehicle Maintenance

<p>1.1. Do you have a policy regarding routine checks of vehicles in your fleet to ensure the vehicles meet the road-worthiness standard requirement of the licence?</p>	<p>Handbook includes all relevant guidance/policy on safety checks. Kevin currently carries out adhoc checks which are now recorded and documented, in addition local Council spot checks for private hire licences.</p>			
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; background-color: #e0e0e0;">Answer</td> <td style="width: 55%; text-align: center;">Satisfactory</td> <td style="width: 30%; background-color: #e0e0e0; text-align: center;">2 pts</td> </tr> </table>	Answer	Satisfactory	2 pts	
Answer	Satisfactory	2 pts		

<p>1.2. Do you have a monitoring system in place to ensure this policy is being adhered to?</p>	<p>Done and recorded see photo of blank check form which Kevin countersigns</p>			
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; background-color: #e0e0e0;">Answer</td> <td style="width: 55%; text-align: center;">Satisfactory</td> <td style="width: 30%; background-color: #e0e0e0; text-align: center;">2 pts</td> </tr> </table>	Answer	Satisfactory	2 pts	
Answer	Satisfactory	2 pts		

<p>1.3. Do you or your drivers keep records of safety checks and repairs? If Yes, How long are the records kept?</p>	<p>Drivers keep these but no copies retained by the operator. However if Kevin requests such info they will provide it</p>			
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; background-color: #e0e0e0;">Answer</td> <td style="width: 55%; text-align: center;">Satisfactory</td> <td style="width: 30%; background-color: #e0e0e0; text-align: center;">2 pts</td> </tr> </table>	Answer	Satisfactory	2 pts	
Answer	Satisfactory	2 pts		

Vehicle History Files checked. Write down fleet numbers or registration numbers – pick at random.

Fleet/Reg. No.	SK12LLW	Make/Model	Ford Mondeo
Fleet/Reg. No.	R9VNS	Make/Model	Mercedes Vito
Fleet/Reg. No.		Make/Model	
Fleet/Reg. No.		Make/Model	
Fleet/Reg. No.		Make/Model	
Fleet/Reg. No.		Make/Model	
Fleet/Reg. No.		Make/Model	

<p>1.4. In the event of a vehicle being taken off the road due to faults found during official checks, would you interview and consider action against the person responsible for the upkeep of the vehicle?</p>	<p>Yes, investigate and take relevant action</p>			
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; background-color: #e0e0e0;">Answer</td> <td style="width: 55%; text-align: center;">Satisfactory</td> <td style="width: 30%; background-color: #e0e0e0; text-align: center;">2 pts</td> </tr> </table>	Answer	Satisfactory	2 pts	
Answer	Satisfactory	2 pts		

<p>1.5. Do wheelchair lifts have regular thorough examinations at least every six months under the Lifting Operations & Lifting Equipment Regulations (LOLER) Guidelines?</p>				
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; background-color: #e0e0e0;">Answer</td> <td style="width: 55%; text-align: center;">N/A</td> <td style="width: 30%; background-color: #e0e0e0; text-align: center;">VOID</td> </tr> </table>	Answer	N/A	VOID	
Answer	N/A	VOID		

1.6. Do wheelchair ramps have regular thorough examinations in line with manufacturer's Guidelines?

Answer	N/A	VOID
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1.7. Do wheelchair Tie-Down & Occupational Restraint Systems (WTORS) have regular thorough examinations in line with the manufacturers guidelines?

Answer	N/A	VOID
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Section 1. Total Score

8

100%

LOW

Risk Level - 0-60% High (Red) - 61-80% Medium (Amber) - 81-100% Low (Green)

Section: 2. Drivers Hours of Work

<p>2.1. What is the longest shift you allow your drivers to work?</p>	<p>Up to 10 hours uses a tracker system to monitor see photo - (uses Life 360)</p>
<p>Answer Satisfactory 2 pts</p>	
<p>2.2. What is the maximum number of shifts any driver will do in a rolling 2 week period?</p>	<p>Less than 10 on average but no more than 10 over the 2 week period</p>
<p>Answer Satisfactory 2 pts</p>	
<p>2.3. What is the minimum rest period between shifts?</p>	<p>Minimum of 14 hours rest period between shifts</p>
<p>Answer Satisfactory 2 pts</p>	
<p>2.4. What is the maximum hours a driver is allowed to work in a 7 day period?</p>	<p>Not more than 50 based on a 10 hour day with a 2 day rest period</p>
<p>Answer Satisfactory 2 pts</p>	
<p>2.5. Do you have a process to monitor driver's hours?</p>	<p>Mobile app (Autocab) for sign on/off duty so that all can be tracked for driving hours other services worked</p>
<p>Answer Satisfactory 2 pts</p>	
<p>2.6. Do you have a policy to manage driver fatigue?</p>	<p>In handbook also Kevin monitors through the app for driving hours</p>
<p>Answer Satisfactory 2 pts</p>	

2.7. Do you have a system to monitor other employment part time drivers may have? (Answer N/a if no part time drivers)	Mobile App - drivers required to log in on all work they do for company and any other employer. Tracks activity and the hours worked			
<table border="1"> <tr> <td style="background-color: #4f81bd; color: white;">Answer</td> <td>Satisfactory</td> <td style="background-color: #008000; color: white;">2 pts</td> </tr> </table>	Answer	Satisfactory	2 pts	
Answer	Satisfactory	2 pts		

2.8. Do you have a limit for the distance drivers may work during the last 1-2 hours of a shift? If Yes, What is the limit? Guidance – No more than 25 miles (outbound) in last hour, 40 in last 2 hours	Local as possible for last 2 hours max 30 miles			
<table border="1"> <tr> <td style="background-color: #4f81bd; color: white;">Answer</td> <td>Satisfactory</td> <td style="background-color: #008000; color: white;">2 pts</td> </tr> </table>	Answer	Satisfactory	2 pts	
Answer	Satisfactory	2 pts		

Section 2. Total Score Risk Level - 0-60% High (Red) - 61-80% Medium (Amber) - 81-100% Low (Green)	16 pts	100%	LOW
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Section: 3. Training

<p>3.1. Are drivers issued with a Drivers Handbook (or manual) which is regularly updated to make sure it stays relevant and does not become so out of date that drivers ignore it? Note: A signed and dated record should be kept of initial and subsequent issues</p>	<p>Handbook done and signed for by drivers covering amongst other areas such as: Customer Service - ensuring clear communication - Discrimination - Driver Responsibilities - Passenger Comfort and Safety - Breakdown/Accident procedure - Lost Property - Seat Belts - Vehicle Standards and checks - Insurance/MOT/Tax/License and reporting of offences - Fatigue and Code of Conduct</p>								
<p>Answer Satisfactory 2 pts</p>									
<p>3.2. Do your drivers hold at least a Level 2 NVQ Certificate in Road Passenger Vehicle Driving (Taxi and Private Hire)</p>	<p>Part of Hull Licensing Conditions</p>								
<p>Answer Satisfactory 2 pts</p>									
<p>3.3. Is there evidence that drivers are given update training/information with regard to changes in regulations & other legislation relating to Taxi operations?</p>	<p>Direct through Hull licensing and via KLM as required</p>								
<p>Answer Satisfactory 2 pts</p>									
<p>3.4. Do drivers receive Safety Training (e.g. Manual Handling) & Safe Driver Skills Training which is recorded in the drivers file?</p>	<p>Guidance within the handbook on certain elements and if any obvious requirements are required then KLM will implement training to meet that requirement</p>								
<p>Answer Satisfactory 2 pts</p>									
<p>3.5. Do drivers of wheelchair access vehicles receive training in relation to the safe movement of wheelchair users into and out of the vehicle and the securing of both passenger and wheelchair? N/a if this type of work is not done.</p>									
<p>Answer N/A VOID</p>									
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="background-color: #003366; color: white; padding: 5px;">Section 3. Total Score</td> <td style="background-color: #FF00FF; color: white; padding: 5px;">8 pts</td> <td style="background-color: #008000; color: white; padding: 5px;">100%</td> <td style="background-color: #008000; color: white; padding: 5px;">LOW</td> </tr> <tr> <td colspan="4" style="background-color: #003366; color: white; padding: 5px;">Risk Level - 0-60% High (Red) - 61-80% Medium (Amber) - 81-100% Low (Green)</td> </tr> </table>		Section 3. Total Score	8 pts	100%	LOW	Risk Level - 0-60% High (Red) - 61-80% Medium (Amber) - 81-100% Low (Green)			
Section 3. Total Score	8 pts	100%	LOW						
Risk Level - 0-60% High (Red) - 61-80% Medium (Amber) - 81-100% Low (Green)									

Section: 4. Driver Licencing and Checks

Driver Files checked. Write down the drivers name – pick at random.			
Name	Nigel Arbon	Name	
Name	Mike Turner	Name	
Name	Gareth Marsh	Name	
Name		Name	
Name		Name	

<p>4.1. Do you have a system in place to ensure that all your drivers have suitable and sufficient levels of insurance cover? Score N/a if the operator is the only person driving.</p>	<p>All copies on file</p>			
<table border="1" style="width: 100%;"> <tr> <td style="width: 15%;">Answer</td> <td style="width: 55%;">Satisfactory</td> <td style="width: 30%; text-align: center;">2 pts</td> </tr> </table>	Answer	Satisfactory	2 pts	
Answer	Satisfactory	2 pts		

<p>4.2. Do you have a system in place to check that all vehicles in the fleet have the correct levels of road tax? Score N/a if the operator is the only person driving.</p>	<p>Checked twice yearly with the MOT and other relevant checks done by Hull Council</p>			
<table border="1" style="width: 100%;"> <tr> <td style="width: 15%;">Answer</td> <td style="width: 55%;">Satisfactory</td> <td style="width: 30%; text-align: center;">2 pts</td> </tr> </table>	Answer	Satisfactory	2 pts	
Answer	Satisfactory	2 pts		

<p>4.3. Are Driver Licences checked on line (copies taken, signed, dated and filed) on a regular basis (half yearly) by a responsible person? Score N/a if the operator is the only person driving.</p>	<p>Drivers having a taxi licence provide DVLA code on application so council track all data</p>			
<table border="1" style="width: 100%;"> <tr> <td style="width: 15%;">Answer</td> <td style="width: 55%;">Satisfactory</td> <td style="width: 30%; text-align: center;">2 pts</td> </tr> </table>	Answer	Satisfactory	2 pts	
Answer	Satisfactory	2 pts		

<p>4.4. Is there a system in place for drivers to inform the company of changes to their licence? Score N/a if the operator is the only person driving.</p>	<p>Contained in handbook but also managed by Hull Council using DVLA driver codes to check online</p>			
<table border="1" style="width: 100%;"> <tr> <td style="width: 15%;">Answer</td> <td style="width: 55%;">Satisfactory</td> <td style="width: 30%; text-align: center;">2 pts</td> </tr> </table>	Answer	Satisfactory	2 pts	
Answer	Satisfactory	2 pts		

<p>4.5. Do you check that all your employees have a Right to Work in the UK? (Passport or Birth Certificate) Score N/a if the operator is the only person driving.</p>	<p>Application form for taxi license has these questions/checks undertaken by licensing authority</p>			
<table border="1" style="width: 100%;"> <tr> <td style="width: 15%;">Answer</td> <td style="width: 55%;">Satisfactory</td> <td style="width: 30%; text-align: center;">2 pts</td> </tr> </table>	Answer	Satisfactory	2 pts	
Answer	Satisfactory	2 pts		

<p>4.6. Do you have a system in place to ensure that drivers are suitable to carry unaccompanied children or vulnerable adults? DBS checks (previously CRB checks)</p>	<p>Enhanced Disclosure of all staff by Hull</p>			
<table border="1" style="width: 100%;"> <tr> <td style="width: 15%;">Answer</td> <td style="width: 55%;">Satisfactory</td> <td style="width: 30%; text-align: center;">2 pts</td> </tr> </table>	Answer	Satisfactory	2 pts	
Answer	Satisfactory	2 pts		

Section 4. Total Score	12 pts	100%	LOW
Risk Level - 0-60% High (Red) - 61-80% Medium (Amber) - 81-100% Low (Green)			

Section: 5. Health & Safety and Other Policies

<p>5.1. Do you record and investigate accidents & passenger incidents?</p>	<p>All reported to Kevin who fully investigates and takes appropriate action</p>
<p>Answer Satisfactory 2 pts</p>	
<p>5.2. Health & Safety - If you have less then 5 employees and do not have a written policy explain your health and safety considerations. If more than 5 employees answer Unsatisfactory if no written policy.</p>	<p>Within Handbook</p>
<p>Answer Satisfactory 2 pts</p>	
<p>5.3. Environmental - There are regulations governing the storage and removal of waste products (tyres, batteries etc.) Explain your environmental considerations if there is no written policy</p>	<p>Nothing managed to require this, however, everything done on line via Apps so minimal paper usage - all drivers are encouraged to be as environmentally aware as practical</p>
<p>Answer Satisfactory 2 pts</p>	
<p>5.4. Does your company have written policies relating to the use of mobile phones, in-vehicle data equipment or satellite navigation systems whilst driving?</p>	<p>In Handbook</p>
<p>Answer Satisfactory 2 pts</p>	
<p>5.5. Do you have a written policy with regard to the use of Drugs and Alcohol? - Explain how would you deal with a driver that you suspected was under the influence of Drugs or Alcohol?</p>	<p>In Handbook</p>
<p>Answer Satisfactory 2 pts</p>	
<p>5.6. Do you have written Risk Assessments relating to the risks to drivers, passengers pedestrians and other road users whilst driving and undertaking other associated activities? If you have less then 5 employees, explain how you manage risks. If more than 5 employees answer Unsatisfactory if no written assessments.</p>	<p>In Handbook</p>
<p>Answer Satisfactory 2 pts</p>	

5.7. Is there a policy regarding drivers who are reported for driving in an unsafe manner?			Investigated and actioned directly by Kevin		
Answer	Satisfactory	2 pts			
5.8. Do you have a policy relating to drivers who have been reported for speeding or other road traffic offences?			As above all vehicles tracked		
Answer	Satisfactory	2 pts			
5.9. Modern Slavery - Do you have a policy/statement regarding Modern Slavery and Human Trafficking?			Nothing in place - have advised to include it in next Handbook update and explained why		
Answer	N/a	VOID			
Section 5. Total Score			16 pts	100%	LOW
Risk Level - 0-60% High (Red) - 61-80% Medium (Amber) - 81-100% Low (Green)					

Section: 6. Customer Service

<p>6.1. In the event of a breakdown, Do you have a procedure to ensure the onward journey of passengers throughout the UK?</p>	<p>All drivers have full breakdown and onward travel cover - 2nd car maybe sent if required</p>
<p>Answer Satisfactory 2 pts</p>	
<p>6.2. Do you carry out assessments on your drivers ability to provide an exemplary service to your customers? (E.g. Mystery Shoppers)</p>	<p>Reliance on feedback - has around 20 corporate contracts and is in contact with these clients to access feedback etc.</p>
<p>Answer Satisfactory 2 pts</p>	
<p>6.3. Do you have a written Code of Conduct that drivers must adhere to?</p>	<p>In Handbook</p>
<p>Answer Satisfactory 2 pts</p>	
<p>6.4. Is there a Dress Code drivers must adhere to?</p>	<p>Uniform Provided</p>
<p>Answer Satisfactory 2 pts</p>	
<p>6.5. Are drivers made aware of their legal responsibilities under the Equality Act 2010?</p>	<p>Yes in Handbook</p>
<p>Answer Satisfactory 2 pts</p>	
<p>6.6. Do you have a procedure for managing lost/left property?</p>	<p>Kept by KLM and client contacted to return property directly</p>
<p>Answer Satisfactory 2 pts</p>	
<p>6.7. Do you have a system in place to monitor vehicle/driver punctuality?</p>	<p>Tracked by App</p>
<p>Answer Satisfactory 2 pts</p>	

6.8. Do you have a robust system to deal with customer complaints?

All complaints fully investigated and action taken where needed to address and improve customer service.

Answer

Satisfactory

2 pts

Section 6. Total Score

16 pts

100%

LOW

Risk Level - 0-60% High (Red) - 61-80% Medium (Amber) - 81-100% Low (Green)

Section: 7. Comments/Recommendations

Comments - Please provide an overview of the operator

The Operator had a few issues on the last audit, this time he had taken all actions on board and have to say has completely flipped his compliance from Medium to now High and no issues to report

Recommendations/Corrective Actions

Section 1: Vehicle Maintenance

8 pts

100%

LOW

No issues

Section 2: Drivers Hours of Work	16 pts	100%	LOW
No issues			

Section 3: Driver Training (Including - Part-time/Casual)	8 pts	100%	LOW
No issues			

Section 4: Driver Licensing & Checks	12 pts	100%	LOW
No issues			

Section 5: Health & Safety and Policies	16 pts	100%	LOW
No issues			

Section 6: Customer Service	16 pts	100%	LOW
No issues			

Signed (Auditor)	Gary Hawthorne
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Date:	08/06/2019
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Section: 9. Operator Response/Sign Off/Resources - To be completed by FRS Compliance

Operator Response

Not required

Taxi Operator Compliance Audit

Version - 11a 04/2019

Compliance Review/Comments

Excellent audit - all previous actions/recommendations taken onboard.

Total Score

76 pts

100%

LOW

Compliance Level - 0-60% High (Red) - 61-80% Medium (Amber) - 81-100% Low (Green)

Signed Off By:

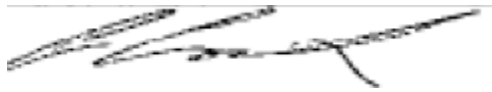
Name:

Carl Crook

Job Title:

Compliance Officer

Signed:



Date:

13/06/2019