

# FTA Consultancy Report

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**FTA Consultancy**

**Operator Licence Compliance Audit Report**

**For**

**Aberdeen City Council**

**April 2018**

Report prepared by:  
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Freight Transport Association

**FTA CONSULTANCY – OPERATOR LICENCE COMPLIANCE AUDIT REPORT  
Aberdeen City Council, Aberdeen, AB25 3RF – April 2018**

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**1.0 EXECUTIVE SUMMARY**

This report is based on the agreed audit requirements as detailed in the proposal dated March 2018 and subsequent agreement for FTA to undertake an audit in respect of Operator Licence Compliance. An on-site audit was undertaken at the Aberdeen City Council Fleet Services Kittybrewster site, on 30<sup>th</sup> April 2018, with details contained within this report.

**1.1 Audit Summary**

The audit has resulted in a total of **21** recommendations categorised by Priority Ratings and Completion Target Date as follows:

Priority Rating	Completion Target Date		
	A	B	C
1	3	0	1
2	6	0	5
3	1	0	5
<b>TOTAL</b>	<b>10</b>	<b>0</b>	<b>11</b>

**1.2 General Comments**

Aberdeen City Council (*hereafter referred to as ‘the Council’*) takes its compliance with its Operator Licence very seriously and it is clear that the Fleet Services department is committed to ensuring that the Council is fulfilling its legal obligations and operating to best practice standards.

Much of the current practice within the Fleet Services department reflects a professional, conscientious and largely compliant approach, including some elements that certainly incorporate ‘best practice’.

However, it is apparent that whilst the Fleet Services department has clearly defined responsibility for the administration, maintenance and operational standards of the vehicle fleet, together with the administration of LGV driving activity, other Departments within the Council have direct responsibility for the management of their staff involved in driving activity, including those driving Council operated LGV vehicles.

The risk (from a compliance perspective) is that this results in a ‘disconnect’ between the Fleet Services department and LGV Drivers employed by the other Council Departments.

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This disconnect places a greater than normal onus on both transport management and the other Departments to mutually support one another's compliance regime, so as to be confident that the Council can demonstrate the integrity and completeness of both its operational mechanisms and associated record keeping systems. It should be noted that the Council must be able to demonstrate that its named Transport Managers have 'effective and continuous control' of its LGV transport activities.

The Council has undoubtedly taken steps to increase the training and consequent professional transport compliance standards within the Council, by such actions as delivering 'Operator Licence Awareness Training' and 'Train the Trainer' training to responsible Department Supervisors. The challenge is to maintain the momentum of these actions and ensure that raised awareness of the need to achieve compliance is understood by all LGV driving staff employed by the Council.

The planning of future inspections and visibility to such essential elements as MOT 'due dates' is significantly hampered by the lack of confidence that Fleet management have in the performance of the Tranman system. The multi layered 'belt and braces' solution that has been developed is cumbersome, time consuming and requires additional resource to support it. A recommendation has been made in respect of the current situation.

The Auditor concluded that a largely compliant and suitably robust transport management regime is currently in place, albeit that it is still being let down by spasmodic occurrences of non-compliance, which given recent history have the potential to lead to adverse consequences for both the Council and its staff.

A number of compliance areas require further attention and the most significant items ("1A" items) are listed below in the order arising within the report (further detail within the main body of the report):

- The Council should satisfy itself that the Tacho-Data system is providing accurate WTD reports, by driver, of average and maximum weekly hours worked during relevant reference periods, to ensure that effective analysis and reporting of working time is facilitated.
- Inspection frequencies must be adhered to at all times. DVSA is now putting emphasis on ensuring that inspections are undertaken at the required frequency. Good practice requires that inspections are undertaken by the due date and it is an absolute requirement that they are undertaken within the relevant ISO week (Monday to Sunday).
- The Council should ensure that 'No Smoking' signs are fitted in all vehicles and that staff do not smoke in the vehicles.

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Application of the recommendations in this audit will enable the Council to be confident about its compliance standards. Essential recommendations are listed earlier in this section. It should not be assumed, however, that the other recommendations are unimportant. Operator compliance is based on a framework of management controls and actions and the recommendations within this report should be seen in this light.

FTA wishes to thank Mr Mark Reilly (Head of Service), Mr Willie Whyte (Fleet Services Manager), and Mr Martin Watt (Acting Fleet Compliance Manager), who assisted the consultant during the audit process and who provided all the relevant transport documentation necessary to complete the audit. Additional supporting information was sourced by Mr Watt from the Roads and Waste Departments and this has been utilised within the preparation of this report. The time constraints surrounding the Audit are such that the Council should take account of any variations within processes applying to transport operations within other Departments, when considering this report and its recommendations.

**NOTES** - The audit findings are itemised by audit section with accompanying comments and, where applicable, recommendations for action. All action items are further summarised in an action plan, for use as a working document (see Appendix 1 attached).

FTA provides a detailed recommended action programme. These are given priority ratings as follows:

<b>1 = Essential</b>	<b>2 = Important</b>	<b>3 = Desirable</b>
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In addition, each recommendation has been given a timetable date for completion as follows which reflects a combination of the practicality of completion and the urgency of the recommendation.

<b>A = Action within 1 month</b>
<b>B = Action within 1 - 2 months</b>
<b>C = Ongoing, but with review at least every 3 months</b>

The ratings assessments are the recommendations of the FTA Consultant and these are subject to confirmation by the client’s management. In the absence of any specific comment(s) to a particular section, then the current arrangements in place can be deemed to be satisfactory.

For the sake of brevity it should be noted that all assertions contained within this report are accepted and reported as fact based upon information viewed by, or statements made to the Auditor by employees of the Council. The constraints of the Audit process are such that not all assertions can be corroborated.

## **2.0 BACKGROUND TO THE AUDIT**

FTA is advised that Aberdeen City Council operates a fleet of vehicles serving the needs of the residents and businesses of Aberdeen. The Council has recently re-structured and the management team are keen to understand their current position in relation to compliance with their Operator Licence.

Following a Public Inquiry held before the Scottish Traffic Commissioner in December 2014, the Council's Operator Licence (serial number OM0021187) currently authorises the operation of 111 vehicles and 4 trailers from 7 operating centres within the Aberdeen City area.

Vehicle inspection and maintenance is undertaken by both internal and external workshops.

Major features of the LGV driving activities are that:

- Dependant on the nature of the Department (Waste, Roads, Grounds, etc) drivers will either be employed specifically to drive, or alternatively undertake spasmodic driving duties during each working day, where driving may be incidental to their main tasks
- The reporting structure is such that Fleet Services management is separated from the direct day to day front line superTacho-Data of staff involved in driving LGV's
- All LGV driving (whether covered by EU or GB Domestic rules) is recorded by use of tachographs
- All Council staff (approximately 165) involved in driving LGV vehicles are DCPC qualified, whatever their activity and irrespective of whether they may qualify as being exempt from DCPC qualification

The Council requested that FTA undertake a full Operator Licence Compliance Audit to identify any shortcomings in respect of transport compliance and to recommend best practice where appropriate, the subject of this report.

It was noted that the Council is not currently the subject of any instruction from the Office of the Traffic Commissioner to undertake an audit, nor has it been called to attend a Public Inquiry since that which took place in December 2014. Please note that this report primarily focuses on current practice, therefore taking account of the changes in management, processes and controls that have occurred since the Public Inquiry.

### **3.0 TERMS OF REFERENCE**

**Audit scope – Using the FTA audit format known to the Traffic Commissioners, to undertake a compliance and management control audit and procedures review at the site resulting in a report and action programme for the site detailing any steps required to ensure legal compliance with the requirements of ‘O’ Licence operation.**

**The compliance and management control audit will involve the following:**

- Establish whether the areas at present covered by the procedures fully reflect current legislation
- Identify any aspects of the present procedures that need updating
- Conduct an audit of the Council’s compliance with these procedures
- Produce a report and action plan as a result of the audit.

**The areas to be covered in the audit are:**

#### **Management of Compliance**

- Investigation as to the extent to which the Operator Licence responsibilities are managed at the various Council locations by the relevant managers
- Is the manager or senior person able to demonstrate “Continuous and Effective Control” of Operator Licence legal compliance?
- Systems for reporting and monitoring compliance

**Management controls of the Operator License including:**

- Operator Licence procedures:
  - Arrangements for ensuring compliance with Operator Licence requirements
  - Arrangements for complying with any special undertakings that may apply
  - Applying for variations or additions to licences
- Keeping records for Operator Licence purposes

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### **Management and enforcement of drivers' hours and records**

- Compliance with the requirements of the Working Time and Agency Workers Directives
- Arrangements for EU tachograph and/or GB Domestic worksheet records analysis including:
  - Procedures for following up driver infringements
  - Action taken to avoid recurrences of infringements
- Compliance with activity timescales – e.g. Downloading/Return of Tachographs
- Record keeping

### **Vehicle maintenance and inspection arrangements**

- Routine Service inspections, planning and execution
- MOT Checks
- Drivers' daily walk round checks
- Driver defect reporting arrangements including rectification of defects reported
- Record keeping

### **Procedures in the Event of a Collision**

- Driver and management procedures including:
  - Action at the scene of an accident
  - Reporting procedures
  - Accident repairs
- Accident records including:
  - Insurance Council details
  - Investigations and follow up action in respect of poor driver performance



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- Claims against the Council/council/organisation
- Prosecutions and summons

**Arrangements for Hiring of Vehicles**

- Management and control including:
  - Arranging hire of a vehicle
  - Checks and documentation on taking delivery of a hired vehicle
  - Returning a hired vehicle

**Driver Training**

- Arrangements for training new drivers
- Refresher training for existing drivers
- Driver CPC training and DQC card management

**Goods Vehicles Management**

- Driving licences
- Loading/unloading and overloading of vehicles
- Offences, investigations and follow up action in respect of:
  - Prohibition notices
  - Road traffic offences
  - Fixed penalties
- General items including:
  - Authorised use of vehicles
  - Vehicle taxation
  - Vehicle notices

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**4.0 ITEMISED AUDIT FEEDBACK**

In this section of the report the summary comment in the box marked “**Arrangements**” refers to the system that is in place for enabling the Council to comply with its legal obligations. The box marked “**Compliance with Arrangements**” indicates the extent to which the arrangements that the Council has put in place are being observed.

**4.1 Management of Compliance**

The extent to which the Operator’s Licence responsibilities of the management of the location are understood, how continuous and effective control is maintained and systems for reporting and monitoring compliance

<b>Arrangements</b>	<b>Satisfactory</b>
<b>Compliance with arrangements</b>	<b>Satisfactory</b>

As the Council is operating under the scope of a Standard National Operator Licence, it is required to employ at least one Management CPC qualified Transport Manager, who is named on the Operator Licence. In the case of Aberdeen City Council there are two named Transport Managers, these being Mr Mark Reilly (Head of Service) and Mr Willie Whyte (Fleet Services Manager).

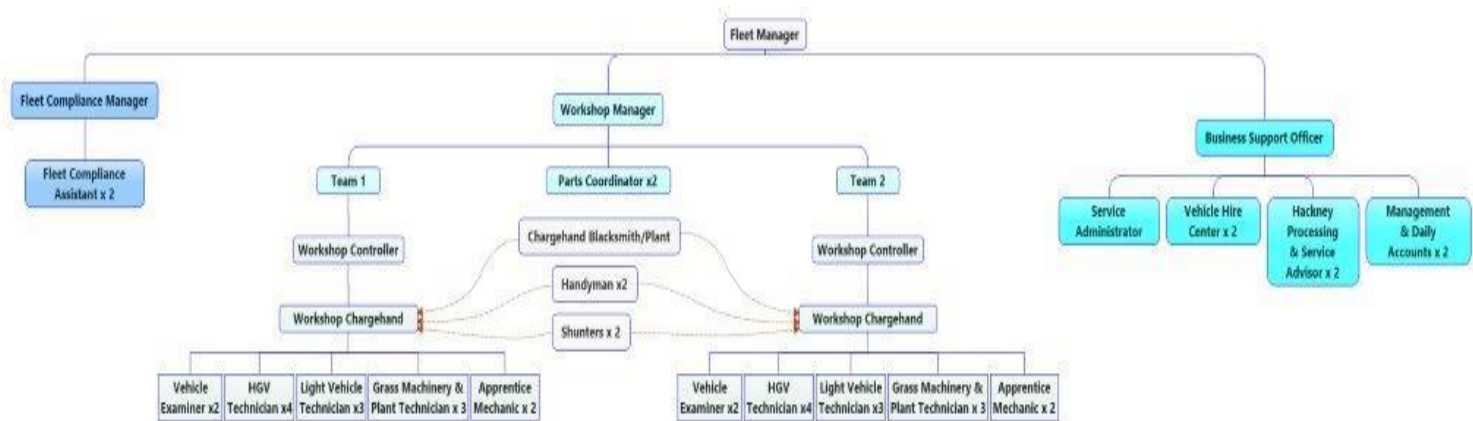
Mr Reilly has in excess of 30 years transport management experience within the waste sector, within both the public and private sector. He advised that he has held a Management CPC qualification since 1981 and has been in his current post since September 2014. He is a Fellow of the Chartered Institute of Logistics and Transport.

Mr Whyte (who reports to Mr Reilly) has been in post since March 2016 and has in excess of 40 years relevant transport industry experience, including periods as a vehicle engineer with the FTA, work within the bus sector, the industrial crane sector and working within the local authority sector within Scotland, this culminating in his current appointment with the Council. He is the holder of a Management CPC qualification, the Auditor viewing his CPC Certificate, issued by the RSA in 1982.

Mr Reilly reports to Mr Rob Polkinghome, who is Director of Operations for the Council, thus demonstrating a clear link between the professional management of transport and senior management of the organisation.

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The structure reporting to Mr Reilly (Head of Service), in respect of his Fleet and transport responsibilities, is set out below. Please note this is the 2016 structure, which is currently under review.



From an administration and compliance perspective Mr Whyte is supported by Mr Martin Watt (Acting Fleet Compliance Manager), who has been in post since August 2015. He has a background within the RAF and the oil industry, is a DCPC qualified LGV Driver and a RoSPA qualified Driver Assessor (one of four employed by the Council).

It was noted that Mr Watt is scheduled to attend an FTA Transport Manager's course in May 2018, this demonstrating continuous professional development (CPD) of key staff within the Fleet department.

Mr Watt's primary responsibilities are the monitoring of driver records, driving data, reviewing analysis and infringements generated via the Tacho-Data system, and liaising with Supervisors within the various Council Departments to ensure that driving records and outputs are dealt with appropriately. This has recently included (process just commenced) an internal audit of transport compliance issues within each Department, this intended to be undertaken at 6 monthly intervals in the future.

A feature of Council activities is that the named Transport Managers and their team do not directly allocate or authorise work to drivers (this is scheduled and managed by other Departmental Management and Supervisors) and therefore it could be argued that there is an operational disconnect between the Transport Manager's ability to exercise 'effective and continuous control' over the driving activity undertaken by Council staff, at the time of issuing work instructions to driving staff.

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However, the use in all LGV vehicles of tachographs to collect driving data, allied to the comprehensive analysis of records undertaken via the Tacho-Data system (in use since 2015) does demonstrate that effective management review of driver activity is subsequently taking place, provided that Departmental Supervisors follow through with an effective progression and conclusion of any driver infringements identified.

The Auditor was advised that the Fleet Manager and his team keep up to date with compliance issues through the Council membership of the FTA, associated weekly updates, review of FTA Vision, attendance at FTA regional meetings, use of the FTA MAC, together with updates from DVSA, viewing the GOV.UK Traffic Commissioners website and the reading of Trade Press. The Transport Management team are also contributors to and participants within the APSE (Association of Public Service Excellence) benchmarking scheme.

The Auditor was advised that a monthly meeting is held between senior Fleet Service Management and the Heads of Department of each department 'customer' (Roads, Waste and Grounds) to review performance and compliance issues.

Additionally, a 'Performance and Compliance – Update' report is submitted quarterly to the Council Health and Safety Committee, the Auditor viewing a copy of the report dated 06/02/18. The content of this report includes data relating to:

- Training and Development
- Recruitment
- Infrastructure
- Driver Licence Checks
- Internal Audits
- Gatehouse Checks - audit of first use (FUVC) checks
- Accidents and Incidents

All the above are relevant to reporting and more importantly progressing a compliant Transport Management regime, together with providing evidence of upward reporting to senior Council Managers.

As advised to the Auditor, the Council are to be commended for initiating and recently delivering a course in Operator Licence Awareness Training, "OLAT" to approximately "5 to 7" Department Supervisors, this further demonstrating continuous professional development (CPD) of key staff involved in supervising front line transport activity. It was additionally reported that one to one training of Department Supervisors had been provided by Fleet Services in how to undertake Drivers Daily Walk Around Checks ("FUVC" checks).

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The Auditor viewed an OCRS Score Report for March 2018.

The OCRS score for March 2018:

Roadworthiness	Green
Traffic	Green

The Auditor also viewed a copy of a Vehicle Test History (VT010 document) Report for the period 01/04/17 to 31/03/18 (details being shown within section 4.4 of this report), and a Vehicle Encounter Report (RTE005), both dated 11/04/18.

No Roadside Encounters were recorded during the above date range.

The Auditor was advised that the OCRS report and other reports detailed above are reviewed every month by the Fleet Manager.

The Council primarily communicates its requirements to its drivers by the issue of a 'Guidance Handbook for Drivers of Light and Heavy Goods Vehicles' which does specify specific elements applying to LGV Drivers. This is backed up by LGV driver focused training such as DCPC modules and Toolbox Talks.

On the basis of the intended organisational structure chart the Auditor was satisfied that there would be enough resource to effectively manage the Transport Management Service, relative to its scale. However, it is understood that there are a number of vacancies yet to be filled.

**Recommendations:**

The Council may wish to consider inviting selected Supervisory Management of the departments to attend the monthly Fleet Department Meeting. This would assist in raising awareness of the importance of compliance issues amongst a wider audience and also assist the Council in demonstrating that it has a professionally trained operational structure that is effectively and continuously in control of all its LGV driving operations.

**Priority Rating: 3C**

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### 4.2 Management Controls of the Operator Licence

Operator Licence procedures including arrangements for ensuring compliance with Operator Licence requirements, for complying with any special undertakings that may apply and for applying for variations or additions to licences.

<b>Arrangements</b>	<b>Minor Improvement Required</b>
<b>Compliance with arrangements</b>	<b>Satisfactory</b>

The Auditor was readily provided with relevant paperwork relating to the Council's Operator Licence (Standard National, OM0021187), copy dated 13/04/17, which has been in force since 11/10/95.

The Auditor also viewed the Operator Licence summary document (public excerpt shown below).

OM0021187

## ABERDEEN CITY COUNCIL

### Licence details (OM0021187)

Business type	Other (e.g. public authority, charity, trust, university)
Trading names	
Responsible people	
Licence type	Standard National
Licence status	Valid
Continuation date	31 Mar 2021
Traffic area	Scotland

### Contact details

Address	CONTRACTING SERVICES DEPARTMENT, 38 POWIS TERRACE, KITTYBREWSTER, ABERDEEN, AB25 3RF, GB
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### Operating centres

Operating centre	Vehicles	Trailers
CRAIGSHAW DRIVE, WEST TULLOS INDUSTRIAL ESTATE, ABERDEEN, AB12 3AL, GB	25	2
BANKHEAD AVENUE, BUCKSBURN, ABERDEEN, AB21 9ET, GB	8	1
THE BUSH ROADS DEPOT, PETERCULTER, AB14 0UX, GB	5	0
38 POWIS TERRACE, KITTYBREWSTER, ABERDEEN, AB25 3RF, GB	48	1
ALTENS EAST RECYCLING AND RESOURCE FACIL, HARENESS PLACE, ALTENS INDUSTRIAL ESTATE, ABERDEEN, AB12 3GX, GB	60	0
S I T A, GREENBANK CRESCENT, EAST TULLOS INDUSTRIAL ESTATE, ABERDEEN, AB12 3BG, GB	2	0
FORMER NOWSA WORKS YARD, GREAT NORTHERN ROAD, Aberdeen, AB24 3LJ, GB	22	0

### Transport Managers

Name	
	MARK ADRIAN REILLY
	WILLIAM WHYTE

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The Licence authorises a total of 111 vehicles and 4 trailers across 7 Operating Centres throughout the area covered by the Council.

The Auditor viewed a 'Vehicle details' document taken from the Vehicle Operator Licensing Self Service system (this was produced whilst the Auditor was on site), which listed a total of 91 specified vehicles and 1 specified trailer.

The Auditor also viewed an internal 'Register to ensure that the Operator Licence quota is not exceeded' control sheet document, together with internal documents for both the Roads and Waste Departments summarising vehicles at operating locations.

Whilst the Auditor could not exactly reconcile the above internal documents with the Vehicle details document (this potentially due to slight date variations), it is clear that Fleet management have taken steps to ensure control of the process of specifying LGV vehicles via the Vehicle Operator Licensing self service system, together with ensuring that authorised limits are not exceeded at individual Operating centres. It was noted that Mr Watt undertakes a weekly depot check which includes the number of vehicles at each site.

Therefore, the Council currently appears to have a margin of 20 vehicles and 3 trailers on its Operator's Licence (based on the 'Vehicle details' entry).

The audit visit was undertaken at the Kittybrewster maintenance facility site which was satisfactory for the operations undertaken. It was not possible to comment as to the suitability of the other authorised Operating centres listed on the Operator Licence.

The Auditor was advised that Council LGV vehicles are always parked overnight at the authorised Operating centre locations.

There are no operating restrictions or special undertakings detailed within the Operator Licence.

The Auditor was advised that Mr Whyte and Mr Watt are authorised to access the DVSA Vehicle Operator Licensing / OCRS systems.

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In respect of vehicle maintenance arrangements, the Auditor viewed the entry on the Vehicle Operator Licensing system detailing the following Safety inspectors:

- Aberdeen City Council (Kittybrewster workshop)
- Volvo Truck & Bus (Aberdeen) – external workshop
- Norscot Truck & Van (Aberdeen) – external workshop
- Mercedes Benz Commercial Vehicles Aberdeen – external workshop;

together with an appropriate signed and dated GV79 format ‘Maintenance contract’ with each of the external providers.

There was no accompanying Schedule, detailing vehicles included within each of the Maintenance contract documents, however it was indicated that the external workshop providers were only used as an overflow resource when the Council workshop did not have the necessary capacity to fulfil scheduled inspections. The exception to this is that Norscot are utilised to prepare and process all LGV MOT’s for the Council, together with inspecting the single trailer.

**Recommendations:**

Maintenance contracts – each agreement should include a Schedule detailing the vehicles and trailers covered by the agreement. A copy of each Agreement should be submitted to the Office of the Traffic Commissioner and any subsequent changes advised in writing, so that it is clear at any given time that inspection arrangements are in force for all vehicles specified on the Operator’s Licence.

**Priority Rating: 2A**

**4.3 Management of drivers’ hours and records**

Compliance with the requirements of the Working Time and Agency Workers Directives

<b>Arrangements</b>	<b>Improvement Required</b>
<b>Compliance with arrangements</b>	<b>Improvement Required</b>

Due to the nature of its operations the Council currently conducts its LGV transport activities under GB Domestic Hours rules, as explained below.

In respect of the provisions of the WTD/RTD, LGV Drivers work as per the standard reference periods and there is therefore no requirement for a Workplace Collective Agreement.



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The Auditor viewed evidence of individual 'opt outs' from the 48 hour weekly average working hours limit, signed by Drivers.

The Auditor was advised that there is very little night work, other than 'Response Squads' and gritting crews who are generally rostered on a 10 hour shift pattern of 5pm to 3am and 5am to 3pm.

The Council is exempt from the need to operate as per the EU Drivers Hours regulations for most of its operations (primarily, with the exception of 'commercial' activity) by virtue of a number of derogations which are listed below and can be found in the FTA Yearbook of Road Transport Law (pages 50 – 53 of the 2018 issue): -

- 10 (*Social Services functions*)
- 15 (*Mobile Libraries, being 'mobile project vehicles'*)
- 16 (*carrying materials, equipment or machinery for the driver's use in the course of the drivers work, within a 50km radius of the vehicles base*)
- 20 (*for vehicles being used in connection with ... road maintenance or control, door to door household refuse collection or disposal ...*)

The common themes that support the above derogations include:

- A direct and close involvement in the exempted activity
- The principle of a Service in the general public interest
- The limited and secondary nature of the transport activity

Discussion did not suggest that driving activities subject to EU Drivers Hours regulations are currently taking place.

The Council's policy is that they record all LGV driving by use of tachographs, with subsequent analysis being undertaken via use of the Tacho-Data system. It was confirmed that Tacho-Data are contracted to undertake their analysis as per GB Domestic Hours Rules and that Drivers set their tachographs to 'out of scope'.

As previously stated, the role of LGV Drivers within the Council varies dependant on which Service they are employed by. Some are specifically employed to drive (e.g. Refuse Department), others undertake driving which can be incidental to their main tasks (e.g. Roads and Grounds). The latter can also be spasmodic, with some staff not undertaking driving duties for several days, or even during a full week.

The Auditor was advised that it is the responsibility of each Department to monitor the activities of its drivers, as described below.

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It is understood that the Tacho-Data system analysis and reporting is configured to include WTD analysis, this based on a combination of data generated via downloading of Driver data from digital tachograph cards, together with manual data (Weekly Timesheets) being separately forwarded by e-mail to Tacho-Data, who then manually input the latter into their system to complete each Drivers record.

All drivers complete the Weekly Timesheet referred to above, these being submitted on a Friday, then reviewed and signed off by Supervisors.

It is understood that there is no requirement for drivers to 'clock in and out'.

Holiday and sickness absence is input at the deemed 8 hours per day, as per the RTD.

Therefore there are records of total hours worked, which it is understood have been maintained on the Tacho-Data system for well in excess of the minimum 2 years required by the regulations.

However, there does not currently appear within the Tacho-Data system to be a mechanism to accurately report, by driver, average and maximum hours worked during relevant reference periods.

The Auditor was advised that the Waste Department occasionally utilise Agency driving staff, records being maintained via the Tacho-Data system as per permanent driving staff. The audit host had no knowledge of any checks being undertaken as to the 'hours capacity' of Agency Drivers prior to utilisation, but did confirm that Driving Licence and DQC Card checks are undertaken.

### **Recommendations:**

The Council should satisfy itself that the Tacho-Data system is providing accurate WTD reports, by driver, of average and maximum weekly hours worked during relevant reference periods, to ensure that effective analysis and reporting of working time is facilitated.

### **Priority Rating: 1A**

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Arrangements for EU Tachograph and/or GB Domestic records analysis including activity timescales, procedures for following up driver infringements and action taken to avoid recurrences of infringements

<b>Arrangements</b>	<b>Improvement Required</b>
<b>Compliance with arrangements</b>	<b>Minor Improvement Required</b>

As stated earlier the Council conducts its LGV transport activities under GB Domestic Hours rules.

Additionally, they record all LGV driving by use of digital tachographs (or in the case of 3 older vehicles, analogue tachographs), with subsequent analysis being undertaken via the Tacho-Data system which has been utilised since 2015, thus providing in excess of the 12 months records required. It was not clear how the process worked in respect of the analogue tachograph charts.

As stated earlier, Tacho-Data are contracted to undertake their analysis as per GB Domestic Hours Rules and drivers set their tachographs to 'out of scope'.

In addition to the digital data downloaded to Tacho-data, their analysis also includes inputting relevant data from the manually completed 'Weekly Timesheets', particularly relating to days (or weeks) where Drivers have not undertaken any driving activity, which in some cases are frequent.

There are three databases maintained by Tacho-Data, one for each Department, being Workshop / Waste / Roads.

Mr Watt maintains a continuous overview of the Tacho-Data system, supporting the Department Supervisors by identifying and assisting them in addressing identified infringements. This overview includes monitoring timely download of Driver and vehicle data, together with reviewing and assisting in the reconciliation of 'missing mileages / instances of driving without card'.

It was noted that success in reconciling the above is patchy, with missing mileage associated with the Roads Department operations rarely being reconciled, whilst in the case of the Waste Department approximately 95% is successfully reconciled.

An important point was noted in that Infringement events are identified centrally (by the Fleet Department) but actioned locally (by Department Supervisors). It was acknowledged that at present there is no reconciliation between infringement reports identified and those completed (i.e. 'closed out' by Driver counselling and management signature).

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The Auditor viewed infringement reports for the activities of Waste Department drivers from January 2017, together with further example overview reports from January to March 2018. The infringement reports reviewed were correctly completed in a timely fashion, including appropriate comment, dated and signature of both the driver and Department Supervisor.

The Auditor also viewed KPI reports for 2017 and YTD 2018 for the Council, created by Tacho-Data, which summarise by month, the total number of infringements, by type, by Department (Workshop / Waste / Roads).

The general level of identified infringements is minimal, the most common being breaching the daily duty limit (11 hours under GB Domestic Rules), and failing to record time taken to undertake first use daily vehicle checks (FUVC) before commencing driving. It was reported that there is a continuing requirement for training to reduce the instances of infringements due to incorrect mode selection.

It was noted that the Fleet management team are in possession of 6 digital 'Company Cards'.

Driver and vehicle data is regularly downloaded (weekly by drivers, at inspection for vehicles), as evidenced to the Auditor by viewing relevant 'traffic light' reports within the Tacho-Data system.

The Council policy in respect of employees undertaking additional work for external employers is that any employee (driver) must apply for consent, which can only be granted by the Head of Human Resources. Any LGV driving undertaken by use of a Digital Tachograph Card would in any event appear within any subsequent analysis of driving activity, albeit retrospectively.

A small number of Council LGV's are equipped with vehicle tracking systems but these do not monitor Driver behaviour or speed. There is currently no detailed examination of overspeed events identified by Tacho-Data, although speeding is not perceived by management to be a major issue.

As previously noted, there is a driver 'Guidance Handbook' which includes advice specific to LGV driving, together with evidence of the provision of relevant DCPC modules such as 'Drivers Hours, Working Time, Analogue and Digital Tachographs' (09/16) and 'Drivers Hours' (11/17), together with Toolbox Talks being delivered to drivers (eg: relating to the correct use of Drivers Card in August 2016, which included signature confirmation of attendance).

**Recommendations:**

Data analysis of the analogue tachograph charts - it was not clear how the process works in respect of the analogue tachograph charts and it is recommended that Council Transport Management review this with Tacho-Data to ensure that a robust process is in place to ensure that driving data recorded via this mechanism is being collated and reported.

**Priority Rating: 2A**

Infringements - it is extremely important that the Council can demonstrate that management are continually reviewing the outcomes from Driver's Hours analysis (which they are), but additionally taking effective management action when infringements are identified. Within this it is recommended to establish a reporting mechanism to identify specific outstanding infringements, together with the current percentage of infringements issued to Departments, but not 'closed out', so that it can be sure that all infringements have been processed accordingly.

**Priority Rating: 2A**

Council Transport Management should ensure compliance to Drivers' Hours Regulations is maintained through a combination of continuing driver training (at least an annual refresher, for all drivers) and if necessary, focus on disciplinary procedures. Evidence of such training should continue to be retained by the Council.

**Priority Rating: 2A**

It is recommended that management initiates a simple monthly random audit system of over speeding events identified via the Tacho-Data system, so that company management can demonstrate they are aware of, and take action, relating to this important compliance issue. Any specific infringements should be the subject of driver counselling and drivers should be made aware that identified repeat infringements could be the subject of disciplinary action.

**Priority Rating: 2A**

**4.4 Vehicle maintenance and inspection arrangements**

Routine Service inspections, planning, execution and records

<b>Arrangements</b>	<b>Improvement Required</b>
<b>Compliance with arrangements</b>	<b>Improvement Required</b>

LGV Vehicle Inspection and Servicing is undertaken primarily by the Council workshop, although supplemented by the use of selected pre-assessed external workshops, as detailed below:

- Volvo Truck & Bus (Aberdeen)
- Norscot Truck & Van (Aberdeen)
- Mercedes Benz Commercial Vehicles Aberdeen

These are used to undertake any scheduled inspections that cannot be catered for within the Council workshop. Norscot is specifically used to undertake pre-MOT inspections of all LGV vehicles, together with inspections of the single LGV trailer operated by the Council.

The position in respect of Maintenance Contracts between the Council and the aforementioned external workshops is previously referred to within section 4.2 of this report.

The Auditor was advised that inspection intervals of 8 weeks for vehicles and 12 weeks for trailers have been confirmed with the Traffic Commissioner, which was evidenced by viewing the Council entry on the Vehicle Operator Licensing website entry.

The Council primarily utilise the electronic ‘Tranman’ fleet management system to administer fleet maintenance, supported by various manual systems (including physical vehicle files). Most notably, Fleet management have identified that due to various ‘glitches’ in the Tranman system (primarily the cancellation of the ‘next scheduled event’, which it has not been possible to eliminate) the system cannot be relied upon to accurately provide visibility to the next scheduled future inspection date.

Therefore, management have developed two back-up systems (a ‘T Card’ manual system and an Outlook PC based system involving manual intervention and data input) to overcome the shortcomings in the Tranman system.

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The former is used to control inspection dates, MOT dates and Tachograph Calibration dates. The latter is used as a cross reference between the former and the Tranman system, in order to plan future inspection dates for the forthcoming 12 months. However, the latter does not provide physical visibility to future scheduled inspections and cannot be printed out.

In itself, this approach has introduced considerable complexity and duplicated effort in controlling what should be a relatively straightforward task.

If the number of vehicles was relatively modest, a simple solution would be to utilise a generic vehicle scheduling wallchart (such as the FTA VC100), which would simply and clearly enable inspection scheduling and easy visual reference to the status of key maintenance events. However, the Auditor recognises that with a total of approximately 1100 Vehicles (both LGV and non-LGV) and Plant the Council require a more sophisticated solution.

The Tranman system (as understood by the Auditor) should normally calculate pre-planned inspection dates for an advance 12-month period together with generating system reports, such as:

- Services Completed
- All Archived Jobs
- Multiple screen reports relating to specific vehicles, including
  - Procurement/Delivery
  - Vehicle Details
  - Operating Details
  - Financial Details
  - Technical Data and Dimensions
  - Tachograph Calibration Dates
  - Disposal Details
  - Notes and Mobile/Tracker details

The Auditor was advised that the Fleet Services department is responsible for advising Departments operating LGV vehicles when inspections are due, and arranging the inspection with the appropriate workshop, Department Supervisors are responsible for submitting the vehicle on the agreed date.

The Auditor selected at random four vehicles and one trailer and then undertook a detailed examination of the vehicle and trailer files, which were neatly presented, comprehensive and included Inspection/Service sheets, MOT records (current MOT Certificates being available for all vehicles reviewed), Plating Certificates, V5 registration documents and Tachograph Calibration Certificates, where appropriate.

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Positive Defect Report (“Daily Vehicle Check and Drivers Defect Report – Large Goods Vehicles”) documents are also filed within vehicle files, these identifying defects which had been identified and actioned between inspections, together with internal audit ‘Job Cards’ which include management signatures to indicate that each inspection had been satisfactorily completed, all paperwork checked and cost elements referenced.

It was noted that the Aberdeen City Council Inspection Sheets are only signed by the Fitter (twice, initially to confirm identification of faults, then secondly, to confirm that faults have been satisfactorily rectified). However, as indicated above, each inspection sheet is accompanied by a ‘Job Card’ which is signed by the Workshop Manager.

The Auditor was also shown a ‘Missed Inspection Sheet’ document which would be placed within a vehicle file to indicate if a vehicle had been declared VOR, which also included reference to the date of inspection prior to going back into service. The Auditor viewed a VOR vehicle in the yard, which had a VOR sticker in the windscreen and also a cover placed over the steering wheel.



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The detail relating to each vehicle/trailer file examined (including the analysis of inspection frequency) is set out below:

SV61DXT		SV09BUW		SW12CPX		SV16HDU		Trailer C345061	
Inspection dates	Interval (days)	Inspection dates	Interval (days)	Inspection dates	Interval (days)	Inspection dates	Interval (days)	Inspection dates	Interval (days)
09-04-18	55	20-02-18	7	06-03-18	50	13-03-18	63	29-03-18	52
13-02-18	60	13-02-18	48	15-01-18	10	09-01-18	36	05-02-18	61
15-12-17	16	27-12-17	55	05-01-18	53	04-12-17	20	06-12-17	56
29-11-17	2	02-11-17	55	13-11-17	41	14-11-17	47	11-10-17	56
27-11-17	33	08-09-17	57	03-10-17	56	28-09-17	64	16-08-17	49
25-10-17	N/A	13-07-17	N/A	08-08-17	N/A	26-07-17	N/A	28-06-17	N/A
Notes		Notes		Notes		Notes		Notes	
8 week interval, Refuse vehicle, mix of Internal and external workshops, Roller brake test at every inspection, all inspection paperwork ultimately signed by Fitter & Manager (please see note below)*, 3 defects recorded during inspections apparently not identified by Driver, positive defects within vehicle file. 13 months records on file, prior records held within same filing location and easily accessible.		8 week interval, 7.5t Tipper vehicle, mix of Internal and external workshops, Roller brake test at every inspection, all inspection paperwork ultimately signed by Fitter & Manager (please see note below)*, 0 defects recorded during inspections apparently not identified by Driver, positive defects within vehicle file. 14 months records on file, prior records held within same filing location and easily accessible.		8 week interval, Refuse vehicle, mix of Internal and external workshops, Roller brake test at every inspection, all inspection paperwork ultimately signed by Fitter & Manager (please see note below)*, except one inspection by Volvo not signed by Manager, 1 defect recorded during inspections apparently not identified by Driver, positive defects within vehicle file. 14 months records on file, prior records held within same filing location and easily accessible.		8 week interval, Gully emptier vehicle, mix of Internal and external workshops, Roller brake test at every inspection, all inspection paperwork ultimately signed by Fitter & Manager (please see note below)*, 0 defects recorded during inspections apparently not identified by Driver, positive defects within vehicle file. 14 months records on file, prior records held within same filing location and easily accessible.		12 week interval agreed with OTC, Roads Trailer, all external workshops (Norscot), Roller brake test at every inspection, all inspection paperwork signed by Fitter & Manager (please see note below)*, 0 defects recorded during inspections apparently not identified by Driver, positive defects within vehicle file. 15 months records on file, prior records held within same filing location and easily accessible.	
MOT	Yes	MOT	Yes	MOT	Yes	MOT	Yes	MOT	Yes
V5	Yes	V5	Yes	V5	Yes	V5	Yes	V5	N/A
VTG7	Yes	VTG7	Yes	VTG7	Yes	VTG7	Yes	VTG7	Yes
Tacho cal	Yes	Tacho cal	Yes	Tacho cal	Yes	Tacho cal	Yes	Tacho cal	N/A
RPC	N/A	RPC	N/A	RPC	N/A	RPC	N/A	RPC	N/A
Interval dates planned		Interval dates planned		Interval dates planned		Interval dates planned		Interval dates planned	
NB: *Aberdeen City Council inspection sheet document is only signed by Fitter, but accompanying Job Card documentation is signed by Management.									

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The Council are to be commended for pursuing a beyond best practice approach for vehicles in respect of roller brake testing, with all vehicles (and the trailer) being tested at every inspection.

The red cells shown in the table above highlight where in 2 instances (out of 30) inspections were undertaken beyond the scheduled ISO week, which is deemed by DVSA to be a serious non-compliance.

The amber cells shown above highlight where in 2 instances inspections were undertaken beyond the exact declared inspection frequency. However, these were each within the appropriate ISO week (any inspection carrying over into the following ISO week is non-compliant).

In respect of tyre changes and wheel nut torquing, the Council utilise external contractor Redpath for on the road repairs and the Auditor viewed one Tyre Tag within a vehicle file, utilised as a control measure to ensure that wheel nuts are re-torqued within the required parameters.

This is backed up by a comprehensive 'Wheel Fitting and Re-Torque' Workshop Control Sheet which details all the key information required to effectively record the satisfactory completion of this important safety event. The sheet is readily available (at the main workshop counter) to all workshop fitters, who enter both initial and re-torque events for every occasion that such action takes place. The sheet provides an immediate visual reminder, should any gaps in completion arise. Each sheet is reviewed and signed by the workshop Foreman/Supervisor.

Wheel nut indicators were fitted to the vehicles viewed within the yard.

### **Recommendations:**

Pre-planning of key maintenance tasks – the current utilisation of three separate systems to undertake key elements of maintenance planning involves considerable complexity and duplicated effort in controlling what should be a relatively straightforward task. The Council are recommended to explore options to either ensure the future reliability of the Tranman system, or replace it with a robust alternative, to include the essential pre-planning of MOT's referred to in the following section. DVSA expect holders of Operator Licenses to be in control of their essential maintenance planning and that they can demonstrate a robust method of achieving this at all times.

### **Priority Rating: 1C**

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Inspection frequencies must be adhered to at all times. DVSA is now putting emphasis on ensuring that inspections are undertaken at the required frequency. Good practice requires that inspections are undertaken by the due date and it is an absolute requirement that they are undertaken within the relevant ISO week (Monday to Sunday).

### **Priority Rating: 1A**

A best practice recommendation would be for the Council to take a copy of each vehicle O Licence disc to retain within the vehicle file.

### **Priority Rating: 3C**

#### Annual MOT Checks

<b>Arrangements</b>	<b>Satisfactory</b>
<b>Compliance with arrangements</b>	<b>Satisfactory</b>

The Vehicle Test History Report (VT010) for the period 01.04.17 to 31.03.18 confirms the following:

<b>Table of Information</b>	<b>Traffic Area</b>
Total number of tests	88
Passes	86
PRS (initial fail)	1
Failures	1
% Initial Pass rate (excludes PRS)	97.73%
Final Pass rate (includes PRS)	98.86%

The National Initial Pass rate for the period was 85.99% and the National Final Pass rate was 90.57%, indicating that the Council is performing well above the national standard.

The Fleet Service Manager indicated that he examines the above Report on a monthly basis.

Following recent events where it was identified that a number of (non-LGV) vehicles had become overdue for MOT, Fleet management have introduced the use of the DVLA Fleet scheme as a further physical check (complementing the T-Card and Outlook database systems referred to earlier) to ensure that vehicles do not miss their due date for MOT examination.

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**Recommendations:**

None

Drivers’ daily walk around checks and defect reporting arrangements including rectification of defects reported and records kept

Arrangements	Minor Improvement Required
<b>Compliance with arrangements</b>	<b>Satisfactory</b>

The Council utilise their own ‘Daily Vehicle Check and Drivers Defect Report – Large Goods Vehicles’ document (these being in duplicate books) to record daily checks and to initiate remedial action arising from the reporting of defects.

Drivers are requested to record ‘Nil Defect’ or record details of any defect identified and hand in the report to their Department Supervisor, who countersigns the document to acknowledge receipt / review. It was also noted that drivers are recording the position in respect of their vehicle at both the beginning and end of each shift (i.e. 07.00hrs and 15.00hrs), which is additionally thorough.

Where a defect is identified the defect is categorised as ‘urgent’ or ‘non-urgent’ by Fleet Services, who also advise what action the driver should take.

Whilst the above document is not signed off to confirm remedial action has been completed, a workshop ‘Job Card’ is raised to cover any work required, once the work is completed it is signed off by workshop management and the ‘Daily Vehicle Check and Drivers Defect Report – Large Goods Vehicles’ document and the completed ‘Job Card’ are filed within the vehicle file.

Department Supervisors maintain a ‘Vehicle Audit Check Register’ which acts as a control sheet to record all First Use Vehicle Checks (‘FUVC’), by vehicle Fleet Number, date, and ‘Yes/No’ defects reported. Additionally, completed ‘Daily Vehicle Check and Drivers Defect Report – Large Goods Vehicles’ duplicate books are retained by Department Supervisors.

Positive Defect Reports were included within the vehicle files reviewed, indicating that these are retained for the required 15-month period (older files are archived in an accessible area within the Kittybrewster site).

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There were just 4 defects apparently not reported prior to inspection, identified during the examination of the 30 inspections referred to earlier. It is emphasised that the analysis of this number only took account of those defects that could reasonably be expected to be identified by drivers during the course of their daily checks. These related to failed or unserviceable lights and tyre issues.

It was not clear if there is a formal cross check between defects identified during inspections, with the 'Daily Vehicle Check and Drivers Defect Report – Large Goods Vehicles' reports for the days preceding an inspection, or a workshop / compliance control sheet to ensure that no defect slips through the potential gap between the departmental 'Vehicle Audit Check Register' and the Fleet workshop.

However, the Auditor viewed evidence of a robust system of random 'Gatehouse Checks' of Driver Daily Checks, these being undertaken either by Department Supervisors or the Fleet Compliance Manager. The output from this process is reported within the 'Performance and Compliance – Update' report referred to within section 4.1. The requirement is for a minimum of 10% of daily checks to be audited through this process, and it is being reported that this is being achieved.

### **Recommendations:**

It is recommended that continuing refresher training is provided to drivers to ensure that they are fully aware of their responsibilities relating to conscientious and accurate Daily Checks and Defect Reporting.

### **Priority Rating: 2C**

Fleet management may wish to satisfy themselves that a robust process is in place to ensure that rectification of defects cannot be overlooked, between the Departmental reporting systems and the Fleet workshop.

### **Priority Rating: 2A**

Fleet management are recommended to initiate sample comparison of completed Inspection Reports with 'Daily Vehicle Check and Drivers Defect Report – Large Goods Vehicles' reports for the days leading up to the actual vehicle inspection in order to highlight any driver inconsistencies in reporting of defects. It should be made clear to drivers (in writing) the importance of accurately undertaking the daily check process and that repeated instances of failure to identify defects may lead to disciplinary action.

### **Priority Rating: 3C**

**4.5 Procedures in the Event of a Collision**

Driver and management procedures including action at the scene of a collision, reporting procedures and repairs

Incident records including investigations and follow up action in respect of poor driver performance, claims against the Council, prosecutions and summons and insurance Council details

<b>Arrangements</b>	<b>Satisfactory</b>
<b>Compliance with arrangements</b>	<b>Satisfactory</b>

Discussion revealed that approximately 90 accidents / incidents involving Council LGV vehicles have been logged during the past 12-month period, this equating to an average of one incident per vehicle per annum.

The Auditor viewed an ‘Accident and Insurance Procedure’ which describes the process for administering the aftermath of an accident and progressing any necessary repairs, this involving liaison with the insurers (Zurich), the National Accident Repair Group and use of the Tranman system.

It is understood that there is currently no detailed trend analysis, although incidents are fully investigated, the Auditor viewing an example ‘Incident – Investigation Report’, which received contributions from the driver, the Department Supervisor and the Fleet Compliance Manager.

Drivers are provided with written instructions within the ‘Guidance Handbook’ referred to earlier.

Any disciplinary action arising from an accident or incident is the responsibility of Departmental Management. The Fleet Service can provide support as required (e.g. Driver assessment, or identification of appropriate training).

At present a small number of Roads Department vehicles are equipped with forward facing cameras. The latest Refuse vehicles are equipped with 360 degree all round cameras, with all Refuse vehicles being equipped with rear facing cameras.

The Council is insured with Zurich Municipal for Motor risks, under Policy Number QLA-14U003-0013-52, the policy expiry date being 31.03.19.

**Recommendations:**

None

**4.6 Arrangements for Hiring of Vehicles**

Management and control including arranging hire of a vehicle, checks and documentation on taking delivery of a hired vehicle, returning a hired vehicle

<b>Arrangements</b>	<b>Satisfactory</b>
<b>Compliance with arrangements</b>	<b>Satisfactory</b>

On those occasions that the Council does hire LGV vehicles, copies of the current Test Certificate, the most recent Inspection Report and a copy of the V5 registration document are requested.

The Council workshop will inspect the vehicle prior to use and will ensure that future inspections are undertaken to match the interval declared on the Council’s Operator Licence.

Fleet Services will allocate a Fleet Number (with ‘H’ prefix) and create a new vehicle file, for the period that the vehicle is on hire.

It is understood that a hired LGV vehicle will always be specified on the O Licence.

A ‘Company Card’ is used to lock data ‘in and out’.

**Recommendations:**

None

**4.7 Driver Training**

Arrangements for training new drivers, refresher training for existing drivers and the Driver CPC/DQC Qualification

<b>Arrangements</b>	<b>Minor Improvement Required</b>
<b>Compliance with arrangements</b>	<b>Minor Improvement Required</b>

The Auditor was advised that new LGV drivers are subject to a formal driving assessment, this being undertaken by one of 4 qualified Driver Assessors (Mr Watt being one of these). The Auditor viewed an example ‘Driver Assessment Report’ completed by Mr Watt, together with an ‘Overview of Driving Assessment Reports’ document, summarising the outcome of a substantial number of drivers, during the second quarter of 2015.

It is understood that this programme has continued since, with a total of 133 Grounds Department drivers (both LGV and non-LGV) being reported as having been assessed in the ‘Performance and Compliance – Update’ report referred to within section 4.1.

Should an apparent problem be identified with an existing driver, the driver could be subject to a formal driving assessment by one of the Council Driving Assessor’s.

It is understood that each service has its own generic induction process which would apply to any new starters, whatever their role. Through discussion, it was not clear about the extent to which there is commonality in the content and approach to LGV driver specific induction training between the various Departments.

As stated earlier, the Council primarily communicates its requirements to its drivers by the issue of a ‘Guidance Handbook for drivers of Light and Heavy Goods Vehicles’ which does specify specific elements applying to LGV drivers. This is backed up by LGV driver focused training such as DCPC modules and Toolbox Talks.

The Auditor viewed a copy of the Guidance Handbook, it was noted that this is not dated or subject to an issue number, although it was believed this had been in circulation in its present form for approximately 2 years. Evidence was provided of drivers signing to acknowledge receipt (but not understanding of content). However, further evidence was separately supplied relating to Toolbox Talks being given to drivers to introduce the Guidance Handbook.



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All LGV qualified drivers (and workshop fitters) employed by the Council are DCPC qualified, whether exempt or not. DCPC training is arranged and funded by the Council, being facilitated by the Fleet management team, who offer a timetable of modules that are selected by Department Supervisors (in conjunction with their departmental Health and Safety Manager) for the drivers who report into them. DCPC modules have historically been provided by external training providers Pooles Training Courses Ltd, of Dundee.

The Auditor viewed evidence of forward planning for the delivery of DCPC modules for example drivers, via a planning spreadsheet covering 2018.

The Fleet Service also provide direct training support to the Department Supervisors, so that they in turn can deliver Toolbox Talks to their drivers in such subjects as Daily vehicle checks (FUVC's).

The Auditor viewed evidence of various 'Toolbox Talks' given to Roads Department LGV drivers, including example subjects such as:

<b><i>Subject</i></b>	<b><i>Date given</i></b>
Vehicle & Equipment refuelling & Manual handling	March 2016
Fleet Handbook & supporting presentation	05/02/16
Fleet Compliance, use of Drivers Card & Highway Code	22/08/16
Fleet Compliance	05/01/15
Fleet Handbook & First Use training	Various during 2016

It was noted that it is intended to develop a Training Centre within the Fleet Services site, to provide central support to Department LGV drivers in such areas as HGV driving, DCPC courses and other relevant training elements.

The Auditor was advised that each Department's Health and Safety Manager maintains their own spreadsheet records of details of drivers Digital Tachograph Cards and DQC Cards (some but not all are also retained by the Fleet Services Department), together with records of training provided. All Driver Licence details are maintained centrally by the Fleet Services Department.

Spot checks are undertaken by Supervisors to establish if drivers are in possession of their DQC cards, this in conjunction with the 'Gatehouse Checks' referred to earlier. However, it was acknowledged that this element of the 'Gatehouse Checks' is inconsistently applied.

**Recommendations:**

DVSA expect LGV drivers to have refresher training on Drivers’ Hours and Records and Drivers Daily Walk Around Checks annually (whether through DCPC training or not). The Council should ensure that this training is delivered annually and that evidence is retained.

**Priority Rating: 2C**

It is recommended that LGV drivers are given readily accessible guidance specifically relating to the duties and responsibilities of LGV drivers (including Drivers Hours, WTD compliance and Drivers Daily Walk Around Checks). This could be provided by issue of a recognised Drivers Handbook such as produced by the FTA. Evidence of such issue should be retained by the Council.

**Priority Rating: 3A**

It is recommended that the scope of ‘Gatehouse Checks’ be expanded to ensure that all random spot checks carried out by Supervisors ensure that LGV drivers are carrying their DQC cards, and that such checks are noted.

**Priority Rating: 2C**

**4.8 Goods Vehicle Management**

Driving Licenses

<b>Arrangements</b>	<b>Satisfactory</b>
<b>Compliance with arrangements</b>	<b>Satisfactory</b>

The Auditor was advised that the Council undertakes Driver Licence checks on a 6-monthly basis via the ‘Driver Hire’ system, which also provides immediate alerts if a Driver’s Licence status changes. The Fleet Services Department is authorised to undertake these checks by each driver, via a mandate signed at 3 yearly intervals.

Licence checks are undertaken as part of the driver recruitment process.

The Auditor viewed both a Driver Licence database and also a spreadsheet report of latest Licence Checks, together with a separate record of endorsements.

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Whilst reference is made to regular eyesight assessments within the Guidance Handbook, it is understood that there are currently no regular eyesight checks of ability to read a number plate at 20.5 metres (other than undertaken at recruitment / induction).

The Guidance Handbook sets out the responsibility of drivers in relation to keeping their Licence details up to date and reporting of driving offences, medical conditions and any roadside inspection or police stops.

It is understood the Council do not currently utilise any EU (on non- UK Licences) or non-EU drivers.

**Recommendations:**

The Council should consider as a ‘best practice’ undertaking simple eyesight checks of drivers (check ability to read a standard Number Plate at 20.5 metres) at recommended 6 monthly intervals, and retaining records of such checks.

**Priority Rating: 3C**

Loading/unloading and overloading of vehicles

<b>Arrangements</b>	<b>Improvement Required</b>
<b>Compliance with arrangements</b>	<b>Improvement Required</b>

The Auditor was advised that Council vehicles carry varied loads, dependent on Service and activity.

The Guidance Handbook sets out the responsibility of drivers relating to overloading and load security, including taking their vehicle for a weighbridge check if they have any concerns.

The Auditor viewed spreadsheet evidence of load weighing being undertaken in respect of Waste activities,

The Auditor was provided with a copy of a PG170 Prohibition Notice for overloading, in connection with vehicle KN17BHA, on 18/01/18.

This was subject to removal after 2 hours.

It was not clear if any further action had been taken by the Police in connection with this incident.

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The Auditor was also provided with a copy of prosecution correspondence in connection with alleged overloading, this relating to vehicle ST64XXG, on 29/02/16.

It was noted that both of the above vehicles were plated at 3,500kgs and therefore do not fall under the scope of the Operator Licensing regime.

**Recommendations:**

The Council should provide continued regular training to its drivers so they understand the importance of safe and compliant loading practices.

**Priority Rating: 2C**

Offences, investigations and follow up action in respect of prohibition notices and road traffic offences

<b>Arrangements</b>	<b>Improvement Required</b>
<b>Compliance with arrangements</b>	<b>Improvement Required</b>

The Auditor was provided with details of the following Prohibition Notices in respect of LGV vehicles received since the Public Inquiry in December 2014.

Drivers Hours Prohibitions (TE160DH)	2
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The Drivers Hours Prohibitions (in May and November 2015) were in respect of exceeding 4.5 hours driving, within the band 0-15 minutes (the former) and failure to record 'other work' (the latter).

It was not clear if the Council had submitted any explanation of either circumstance to the Office of the Traffic Commissioner.

The Auditor was advised that LGV drivers have not been the subject of any speeding penalties whilst on Council duties in the period since the Fleet Compliance Manager took up his post in August 2015.

The Auditor was advised that to the knowledge of the Fleet Compliance Manager no LGV drivers have incurred any Graduated Fixed Penalties in the period since he took up his post in August 2015, albeit that there was uncertainty about the outcome of the two TE160DH Prohibitions detailed above.

As previously mentioned the Auditor was advised that the Council was called to Public Inquiry in December 2014.

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**Recommendations:**

Transport Management are reminded that the Office of the Traffic Commissioner must be advised in writing within 28 days of any enforcement action upon the Council or its drivers. Any offence involving a Council commercial vehicle must be advised in writing to the Office of the Traffic Commissioner. It is recommended that the Council retain and regularly review the document:

<https://www.gov.uk/government/publications/goods-vehicle-operator-licensing-guide-gv74> [see Annex 7: Relevant Convictions],

to aid in ensuring that relevant enforcement actions are identified and reported to the Office of the Traffic Commissioner.

**Priority Rating: 2C**

General items including authorised use of vehicles, vehicle taxation and cab notices

Arrangements	Satisfactory
Compliance with arrangements	Improvement Required

The Council utilises the DVLA Fleet scheme to administer the VED for their fleet.

The Auditor undertook a physical audit of three vehicles available at the operating centre and the following results were noted:

Registration No.	SV12XTT	SV16HDU	SW66OVV
Height Indicator	Yes	Yes	Yes
Plating Certificate	Yes	Yes	Yes
'O'Licence Disc	Yes	Yes	Yes
No Smoking sign	Yes	Yes	No
Use Seatbelts sign	No	No	No
Wheel Nut Indicators	Yes	Yes	Yes

**Recommendations:**

The Council should ensure that 'No Smoking' signs are fitted in all vehicles and that staff do not smoke in the vehicles. - **Priority Rating: 1A**

It is recommended as best practice that 'Use Seatbelt' signs are fitted in all vehicles. - **Priority Rating: 3C**

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[www.fta.co.uk](http://www.fta.co.uk)   

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\*Calls may be recorded for training purposes  
10.16/KP