

Section One - Operator Licence

1.1 Correct legal entity

Legal entities include Private Limited Companies (Ltd), Public Limited Companies (PLC), Limited Liability Companies (LLC), Partnerships, Sole Traders, charities, voluntary groups and public authorities.

Your Operator Licence must be held under the correct entity, which must match the entity that the company is trading under. Any changes that are made to the legal entity of your business must be notified to the Traffic Commissioner within 28 days of a change or changes taking place. Changing the entity of your business model will require an application for a new Operator Licence

You must hold at least one valid Operator Licence that has been issued by the Traffic Commissioner. You must have correct processes in place for the current operator licence that you hold to operate vehicles in your business.

The Operator Licence has a 'continuation date' printed on it. To be valid, the Operator Licence must be renewed before the continuation date.

1.1 Enter the following details in your audit template

- Operator Licence name and any Trading Names (if different)
- Name of Registered Company at Companies House (if Limited Company)
- Operator Licence Number including the start date and continuation date.
- Correspondence Address (this is where you would normally receive postal correspondence and should be the same as the one on the Operator Licence)
- *Sole Trader* - record the name of the Owner
- *Partnership* - record the names of the Partners
- *Limited Company* - record the name(s) of the Directors

Sole Traders - record your Unique Tax Reference (UTR) number and the date started trading.

Limited Liability Partnerships (LLP) or Limited Companies, record the date of the agreement.

5. Enter details of the person responsible for the company's compliance (the nominated Transport manager or designated responsible person).

1.2 Appropriate Licence

In this section of your audit template, you must be able to show clearly the nature of your business and that the Operator Licence(s) you hold are correct for the transport operations that you undertake.

For example,

- Standard National Operator Licence, you can move your own goods and a third party's goods within the UK.
- Transporting your own goods internationally can be undertaken under a Standard National Operator Licence (referred to as 'own account movements') however you would not be able to transport a third party's goods abroad on a standard national licence.

For standard national licence operations:

- For own account movements of goods internationally, evidence of 'own account' would be required to be recorded
- Vehicles over 2500kg used on international journeys for the purpose of hire and reward must be specified on a Standard International Operator Licence

In point 1.2 section you need to enter the following details in your audit template

1. Describe the nature of your business.
2. Add photographic evidence of collection and delivery notes.
3. Address details of where documentation is held.
4. Process of the filing of documentation either physical or electronic (Photo evidence can be used).
5. Name of the person responsible for ensuring the correct amount of community licences is held.
6. The process of keeping documentation for vehicles travelling internationally.
7. Records of vehicles that travel outside of the EU and what arrangements are in place for this type of travel.
8. If you have vehicles from 2.5 tonnes GVW undertaking international travel what processes are used to monitor them in line with HGVs.
9. Evidence to show your operator licence requirements are maintained managed and controlled. For example, carrying out spot checks etc with the date of the check who carried out the check review date.

1.3 Operating centres

In this section of the audit, you will need to give details about the operating centre and where authorised vehicles are normally kept when they are not being used.

If you are only operating light good vehicles with a GVW between 2.5 and 3.5 tonnes you are not required to have an operating centre.

When you make an application for an operator's licence you are required to give the address of the proposed centre and the vehicles and trailers that will be kept there. You need to ensure that the operating centre is authorised to use before operating, you need to ensure that the correct operating centre/s are listed on the operator licence and any that have been used in the past two years as part of your transport business. Even if they are closed permanently.

In point 1.3 section you need to enter the following details in your audit template

1. You need to have a full process in place that details all the operating centres that are authorised this needs to include how the site/s are utilised and how compliance is monitored at each site/s who is the person who is responsible for compliance and if you are renting the site that you are operating from that you have written permission from the land/site owner that you are carrying out your transport operation from there.

2. document the operator licence number and site address, and record the proof from the property owner that the operation is allowed

3. Name the person responsible for monitoring compliance of authorised sites

4. confirm that vehicles leave the operating centre in a forward gear

5. confirm that the site has adequate parking facilities for both vehicles and trailers

1.4 Conditions or undertakings on the licence

Any conditions or undertakings on the licence must be fully understood by all relevant personnel within the organisation, the operator must demonstrate a good understanding and knowledge of any restrictions by those required to act upon and maintain them. The transport manager/responsible person must be able to demonstrate that the undertakings of the licence are being complied with, this must be supported by documentary evidence.

In point 1.4 section you need to enter the following details in your audit template

1. Detail the evidence given to support compliance of the conditions which are attached to the operator licence
2. Detail any environmental conditions such as restrictions on days, no engine idling, or washing of vehicles prohibited
3. Detail how compliance with the undertakings is monitored
4. Detail any waste carrier licence number and the type of waste licence held
5. Detail waste licence renewal date (renew every 3 years)
6. Document how the process is monitored and name the person responsible for compliance

1.5 Notifiable changes

The operator must have processes in place to ensure that any notifiable changes in circumstances relating to their transport operation are reported to the traffic commissioner within 28 days. The process must be documented, responsibilities clearly communicated and effective management control clearly demonstrated

In point 1.5 section you need to enter the following details in your audit template

1. Confirm that a policy is in place and the extent of what it covers, i.e., reporting of driver & director convictions, transport manager changes, and financial standing, give the name of the person in control of the policy and the policy expiry date
2. Detail who is responsible for notifying the traffic commissioner of any changes
3. Check that any changes have been carried out within 28 days and if not detail why

1.6 Authorised vehicles and trailers

The operator and the transport manager must clearly understand the maximum number of vehicles and trailers authorised on the licence. A management system must be in place to ensure the number of vehicles used does not exceed the authorised number, the operator/transport manager must have a robust system in place to deal with changes to the licence such as replacement vehicles

In point 1.6 section you need to enter the following details in your audit template

1. Evidence of a fleet list, documenting all vehicles and trailers authorised at each operating centre
2. Detail who is responsible for updating the fleet list and the date it was last updated
3. List how vehicles are identified, i.e, registration number, vim number,
4. Detail who is responsible for ensuring that the number of vehicles and trailers authorised is not exceeded
5. Detail vehicles and trailers in possession and the margin available

1.7 Vehicles and trailers specified

A process must be in place for specifying current vehicles and trailers on the licence along with a process for dealing with changes. The operator must add vehicles to the licence as soon as they enter service, this includes any vehicles on short-term hire, the operator must ensure that they have licence discs for each vehicle and that the discs are displayed, there must also be a process in place to deal with withdrawing and returning licence disc when a vehicle is removed from the licence.

In point 1.7 section you need to enter the following details in your audit template

1. Detail who is responsible for adding and removing vehicles from the operator licence and the return of the licence disc within the timescale
2. Give an example of a vehicle being specified on a licence prior to use
3. Detail the process used to ensure effective management of identity discs, how they are logged, stored, checked, and returned
4. Name the person responsible for compliance with the above