

### Submission of Compliance Information

The Council requires evidence that you are providing a fully compliant operation. Partly this will be done by undertaking unannounced spot checks and monitoring exercises outside schools/day centres and along the length of school transport routes, but it is also necessary for you to submit compliance information on a regular basis. The Council will carry out pre-arranged audits on the information submitted from time to time.

Below is an example of the Excel spreadsheet that needs to be completed by all transport providers. It will enable you to keep track of renewal dates for DBS checks, MOTs, Licencing, and Insurance in a simple way.

Every operator will be emailed one calendar month before the start of each school term with a blank compliance spreadsheet attached. This is a reminder that their individual compliance sheets are to be submitted with all tabs fully completed with all details by the start of the next term.

When complete you are to email the compliance sheet to:

<mailto:transportcompliance@northumberland.gov.uk>

By the beginning of each school term (three in total per academic year).

However, if you are a new contractor and are successful at the mini-competition stage at winning a contract for the first time, then you will be required to supply the following information prior to the commencement of the contract. If it is not supplied within the timescales specified by the County Council, the contract offer may be withdrawn and awarded to another operator.

The details required from all operators are as follows:

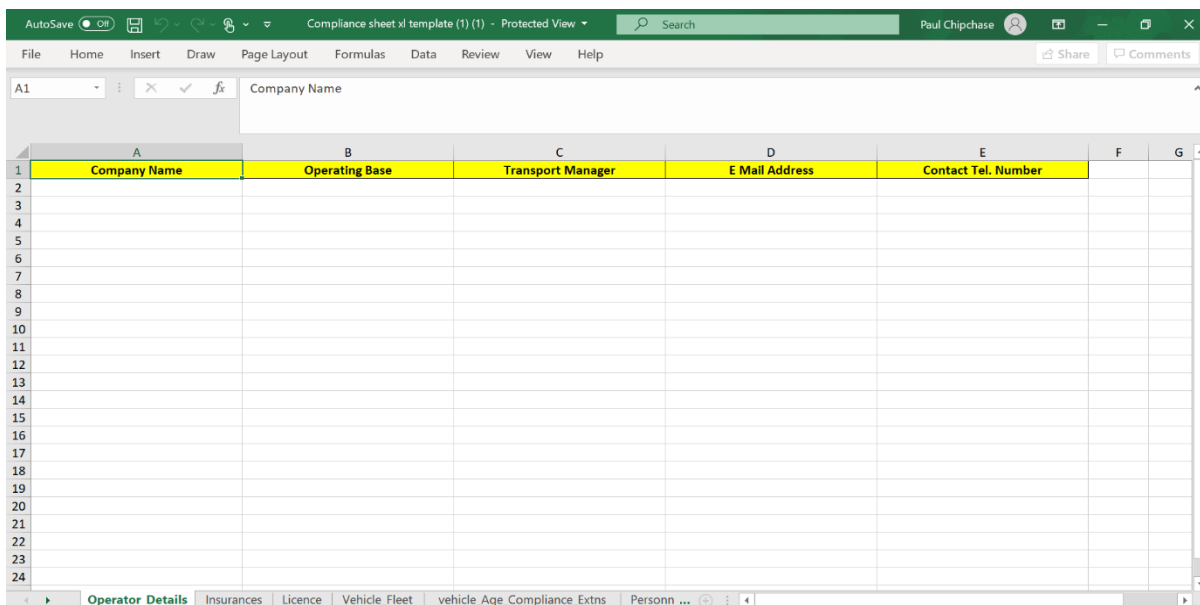
- Operator Details
- Motor and Public Liability Insurance Details
- Operator PSV/Private Hire/Hackney Licence Details
- Vehicle Fleet Details
- Vehicle Age Compliance Extensions
- Personnel (Only personnel identified on the spreadsheet are allowed to work on Northumberland County Council's passenger transport contracts.)
- SEN/Adult/Child Social Care Transport Routes (Vehicle and Personnel Deployed Details)

- Personnel Training Records (As required for transport route contracts)

You can make amendments to the Excel spreadsheet at any time and feel free to submit it as often as you like BUT you must submit the sheet at the beginning of each SCHOOL TERM regardless.

### NOTE

In addition to returning this fully completed Compliance Sheet, transport providers who are contracted to operate Special Educational Needs Transport or Social Services Transport still need to inform us in advance (or at the very latest on the same day) of any changes to the vehicle or personnel deployed on these routes as per the Conditions of Contract that accompanied the award of work for these client groups.



The screenshot shows an Excel spreadsheet in Protected View. The title bar indicates the file is 'Compliance sheet xl template (1) (1)'. The ribbon includes tabs for File, Home, Insert, Draw, Page Layout, Formulas, Data, Review, View, and Help. The formula bar shows 'Company Name' in cell A1. The spreadsheet grid has columns A through G and rows 1 through 24. The header row (row 1) has yellow backgrounds for columns A through E, with labels: 'Company Name', 'Operating Base', 'Transport Manager', 'E Mail Address', and 'Contact Tel. Number'. The rest of the grid is empty. At the bottom, a tab labeled 'Operator\_Details' is selected, with other tabs visible: 'Insurances', 'Licence', 'Vehicle\_Fleet', 'vehicle\_Age\_Compliance\_Extns', and 'Personn ...'.

	A	B	C	D	E	F	G
1	Company Name	Operating Base	Transport Manager	E Mail Address	Contact Tel. Number		
2							
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A1 Name of Motor Insurer

	A	B	C	D	E	
1	Name of Motor Insurer	Policy Number	Fleet/Individual	Name of Policy Holder	Registration No. For Individual Policy	Expiry Date
2						
3						
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Operator\_Details Insurances Licence Vehicle\_Fleet vehicle\_Age\_Compliance\_Extns Personn ...

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A1 Name/s on Licence

	A	B	C	D	E	F
1	Name/s on Licence	Operator Licence Reference Number	PSV or Private Hire/Hackney Licence	(PH Issuing Authority) (PSV Operating Centres)	Number of Discs Issued (PSV)	Expiry Date
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3						
4						
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Operator\_Details Insurances Licence Vehicle\_Fleet vehicle\_Age\_Compliance\_Extns Personn ...

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A1 ✕ ✓ *fx* Vehicle Type (Minibus etc.)

	A	B	C	D	E	F	G	H	I	J
	Vehicle Type (Minibus etc.)	Capacity (Seats)	Date of First Registration	Registration Number	MDT Expiry Date	Road Tax Expiry Date	Taxi Plate/ "00" Licence Number	Taxi Plate/ "00" Licence Expiry Date	Taxi/ "00" Licence Issuing Authority	
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41										

Operator\_Details Insurances Licence **Vehicle Fleet** vehicle\_Age\_Compliance\_Extns Personn ...

The screenshot shows an Excel spreadsheet in Protected View. The title bar indicates the file is 'Compliance sheet xl template (1) (1)'. The ribbon includes 'File', 'Home', 'Insert', 'Draw', 'Page Layout', 'Formulas', 'Data', 'Review', 'View', and 'Help'. The formula bar shows 'Vehicle Reg No'. The spreadsheet grid has columns A through F with the following headers: 'Vehicle Reg No', 'Date first registered', 'Euro Specification', 'NCC Staff who Confirmed Extension', 'Date Approved', and 'Extension Expires'. The rows are numbered 1 through 27. The bottom tab bar shows several sheets: 'Operator\_Details', 'Insurances', 'Licence', 'Vehicle\_Fleet', 'vehicle\_age\_compliance\_extns' (which is the active sheet), and 'Personn ...'.

	A	B	C	D	E	F
	Vehicle Reg No	Date first registered	Euro Specification	NCC Staff who Confirmed Extension	Date Approved	Extension Expires
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A1: Route Number

	A	B	C	D	E	F	G	H
	Route Number	Vehicle Type	Capacity (Seats)	Permanent Vehicle Registration Number	Permanent Driver Name	Permanent PTA Name	Wheelchair Accessible YES/No	Comments
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35								

Insurances | Licence | Vehicle Fleet | Vehicle Age Compliance Extns | Personnel | Sen Routes



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C12

	A	B	C	D	E
1	Staff Name	Type of Training	Location/Training Provider	Training Completed Date	Training Expiry Date
2					
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... Licence Vehicle\_Fleet vehicle\_Age\_Compliance\_Extns Personnel Sen\_Routes **Training**