

# Bus Lane Adjudication Service Joint Committee

## Agenda

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**Date:** Tuesday 16th July 2019  
**Time:** 12.10 pm or on the rise of the PATROL Adjudication Joint Committee  
**Venue:** The Bishop Partridge Hall, Church House, Dean's Yard, London SW1P 3NZ

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1. **Appointment of Chairman and Vice Chairman**

To appoint a Chairman and Vice Chairman until the next meeting of the Joint Committee.

2. **Apologies for Absence**

To receive apologies for absence.

3. **Declarations of Interest**

To provide an opportunity for Members and Officers to declare any disclosable pecuniary and non-pecuniary interests and for Members to declare if they have pre-determined any item on the agenda.

4. **Minutes of the Meeting held on 10 July 2018** (Pages 1 - 8)

To approve the minutes of the Bus Lane Adjudication Service Joint Committee held on 10 July 2018.

5. **Minutes of the Meeting of the Executive Sub Committee held on 29 January 2019** (Pages 9 - 14)

To note the minutes of the Bus Lane Adjudication Service Joint Committee Executive Sub Committee held on 29 January 2019.

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6. **Chairman's Update**

To provide the Joint Committee with a general update since the last meeting.

7. **Chief Adjudicator's Update**

To receive a report from the Chief Adjudicator.

8. **Draft Annual Return 2018/19** (Pages 15 - 30)

To approve the draft annual return and support documentation.

9. **Draft Reserves Policy 2019/20** (Pages 31 - 34)

To approve the updated Reserves Policy.

**Items Common to PATROL and Bus Lane Adjudication Service Joint Committee**

10. **Establishment of Executive Sub Committee**

To establish and Executive Sub Committee and appoint members for the period until the annual meeting of the Joint Committee in July 2020.

11. **Report of the PATROL and BLASJC Resources Working Group**

To report on matters discussed at the PATROL and BLASJC Resources Working Group which met on 2 April and 18 June 2019.

12. **General Progress and Service Standards**

To provide general information in respect of appeals activity and tribunal initiatives.

13. **Public Policy Update**

To note the Public Affairs report for the period since the last annual meeting.

14. **Appointments to the Advisory Board**

To note the new Chair and appointments to the Advisory Board for the period until the annual meeting of the Joint Committee in July 2020.

15. **Risk Management and Business Continuity**

To note the latest review of the Risk Register.

16. **Review of Governance**

To review the governance matters and documentation.

Minutes of a meeting of the

## **Bus Lane Adjudication Service Joint Committee**

held on Tuesday, 10th July, 2018 at The Bishop Partridge Hall, Church House, Dean's Yard, London SW19 3NZ

### **PRESENT**

Councillor Tony Page (Reading Borough Council) in the Chair

### **Councillors**

Mark Shelford	BATHNES Council
Carol Thirkill	Bradford City Council
Steve Pearce	Bristol City Council
Saoirse Horan	Brighton and Hove City Council
Graham Burgess	Hampshire County Council
Jeannette Clifford	West Berkshire Council
Martin King	Wychavon District Council

### **In attendance:**

Marc Samways	Hampshire County council (Chair of the Advisory Board)
Graham Addicott OBE	Vice Chair PATROL Advisory Board
Louise Hutchinson	Director PATROL
Andy Diamond	PATROL
Caroline Sheppard OBE	Traffic Penalty Tribunal
Stephen Knapp	Traffic Penalty Tribunal
Iain Worrall	Traffic Penalty Tribunal
Patrick Duckworth	Traffic Penalty Tribunal
George Broughton	Cheshire East Council
Cherry Foreman	Cheshire East Council

### **1 APPOINTMENT OF CHAIRMAN AND VICE CHAIRMAN**

Consideration was given to the appointment of a Chairman and Vice-Chairman for the meeting.

### **RESOLVED**

That Councillor Tony Page (Reading Borough Council) be appointed Chairman for the meeting, and Councillor Graham Burgess (Hampshire County Council) be appointed Vice-Chairman.

**2 APOLOGIES FOR ABSENCE**

Apologies for absence were reported as follows:

Coventry City Council  
Hertfordshire County Council  
Luton Borough Council  
Solihull Metropolitan Borough Council  
Stockton Council  
York City Council

**3 DECLARATIONS OF INTEREST**

There were no declarations of interest.

**4 MINUTES OF THE MEETING HELD ON 11 JULY 2017**

**RESOLVED**

That the minutes of the meeting held on 11 July 2017 be approved as a correct record subject to the addition of Councillor Jeanette Clifford (West Berkshire Council) to the list of those attending.

**5 MINUTES OF THE MEETING OF THE EXECUTIVE SUB COMMITTEE HELD ON 30 JANUARY 2018**

**RESOLVED**

That the minutes of the Bus Lane Adjudication Service Joint Committee Executive Sub-Committee held on 30 January 2018 be noted.

**6 CHAIRMAN'S UPDATE**

The Chair reported that Oldham Metropolitan Borough Council and Working Borough Council with Surrey County Council had joined the BLASJC since the 2017 annual meeting.

**7 REPORT OF THE PATROL AND BLASJC RESOURCES WORKING GROUP**

The Committee considered the report of the PATROL and BLASJC Working Group meetings held on 20 March and 5 June 2018. The majority of the matters considered at those meetings were now reported in more detail elsewhere on this agenda.

**RESOLVED**

That the report be noted.

## 8 MEMBERS' EXPENSES POLICY

The Committee considered a revised policy for meeting Members travel costs. This followed member representation in the light of Local Authorities facing ever increasing budgetary pressures. In order to promote engagement with the Joint Committees it was proposed that PATROL would meet some of the travel costs associated with Members attending meetings outside the Annual Meeting.

The Committee welcomed the proposals and it was agreed that the procedure for making a claim, and how it could be tailored to take into account both road and rail travel costs, would be circulated to Members direct and that they could then liaise with PATROL direct should any further clarification be required.

### **RESOLVED**

That the revised Travel Expenses Policy be approved and that it be reviewed on an annual basis.

## 9 PUBLIC AFFAIRS OVERVIEW

Consideration was given to a detailed overview of public affairs activity in 2017/18 and on that planned for the coming year. It could be seen that an enormous amount of work went on in lobbying the relevant bodies, and with involvement and discussions on a wide range of topics including pavement parking, moving traffic powers, littering from vehicles, clean air zones, the parking code of practice, and legislation and enforcement in general.

The report included copies of Patrol's responses to recent consultations such as the DoTs 'Accessibility Action Plan', and that on 'Reducing Litter: Penalties for Environmental Offences'. Statutory Guidance Notes were also included, and copies of published articles concerning PATROL and work with which it was involved.

In considering ongoing work in respect of Moving Traffic Powers it was reported that the next steps would be to identify suitable local authorities to collate the impact of the lack of these on local traffic management. With regard to the problems of pavement parking, and the adverse impact on local communities, it was suggested that consideration be given to the interaction of planning regulations and parking provision for a future workshop session. Also, BATHNES Council was trialling new pavement parking measures and the results would be shared with PATROL when available.

**RESOLVED**

That the report be noted and that the Resources Working Group and Sub-Committee monitor the activity and report to meetings of the Executive Sub-Committee.

**10 DRAFT ANNUAL RETURN 2017/18**

The draft Annual Return and its supporting documents were considered.

**RESOLVED**

1. That the outturn position against the 2017/18 budget, shown at Appendix 1 of the report, be noted.
2. That approval be given for the surplus of income over expenditure of £26,162 to be added to the Joint Committee's reserves.
3. That the Executive Sub-Committee review the basis for defraying expenses following budget monitoring at the half-year point at their meeting in October 2018.
4. That approval be given to the 2017/18 draft Annual Return, and that the balance sheet, cash flow and audit timetable, shown as appendices 2, 3 and 4 of the report, be noted.
5. That the Annual Internal Audit Report 2017/18, shown as Appendix 5 of the report, be noted.
6. That approval be given to the revised Financial Regulations for 2018/19, shown as Appendix 6 of the report.
7. That approval be given to the revised Scheme of Financial Delegation, shown as Appendix 7 of the report.
8. That approval be given to the Code of Corporate Governance, shown as Appendix 8 of the report.

**11 RISK MANAGEMENT FRAMEWORK**

The Committee considered the current assessment of risk. It was reported that there was one change since previously reported which related to a marginal adjustment to the Financial Resilience (CR2) score in the light of new appeal streams which had not yet had chance to stabilise with resulting fluctuations in income or costs.

**RESOLVED**

That the current assessment of risk be noted.

## 12 REVIEW OF GOVERNANCE DOCUMENTATION

Consideration was given to the governance documentation and arrangements for its review. At its meeting last July, the Committee agreed to carry out a fundamental review of the arrangements with a view to providing greater flexibility for the Joint Committee particularly with regard to expanding the services it could provide, including to the private sector. Once finalise a revised draft agreement would be drawn up and circulated amongst the member authorities with an explanatory briefing note.

Delegations to the Chief Adjudicator and the Director were set out and these clarified the role and independence of the Adjudicators.

It was proposed that the cycle of meetings for the coming year be as follows:

30 October 2018  
29 January 2019  
16 July 2019

### RESOLVED

1. That the update in relation to the review of the Main Agreement be noted.
2. That the completion of the second term Service Level Agreement with the Host Authority, Cheshire East Council, be noted.
3. That the unchanged Schemes of Delegation to the Chief Adjudicator and the Director, be noted.
4. That approval be given to the updated Memorandum of Understanding between the Adjudicators and the Joint Committee, as shown in Appendix 3 of the report and that approval be given to the updated Memorandum of Understanding between the Adjudicators and the Joint Committee, as shown in Appendix 3 of the report and that the Joint Committee appoints persons to fulfil the function of the proper officer under the relevant regulations
5. That the proposed cycle of meetings for 2018/19, as reported above, be noted.

## 13 ESTABLISHMENT OF EXECUTIVE SUB COMMITTEE

This report set out arrangements for each Joint Committee to establish an Executive Sub-Committee, and its Terms of Reference for the coming year. It was reported that new clause had been inserted that Chairs elected to the Joint Committee today would assume the same positions in the Executive Sub-Committee. All new members were encouraged to join.

**RESOLVED**

1. That each Joint Committees establish an Executive Sub-Committee to act on behalf of the Committee until the annual meeting in July 2019, in accordance with paragraph 2 and the Appendix to this report, and that members of the Executive Sub-Committee be appointed for the forthcoming year.
2. That the first meeting of the Executive Sub Committees be held on 30 October 2018 in London.

**14 TERMS OF REFERENCE FOR THE RESOURCES WORKING GROUP AND SUB COMMITTEE**

The Committee was asked to approve the Terms of Reference for the Resources Working Group and Sub-Committee.

**RESOLVED**

That the draft Terms of Reference be approved.

**15 APPOINTMENTS TO THE ADVISORY BOARD**

Members considered the Terms of Reference for the Advisory Board. The current local authority shire member, Marc Samways (Hampshire County Council), was due to retire this year and it was proposed that he be re-nominated for a further 4-year period. The Chairman thanked him, and also Graham Addicott OBE the Vice-Chair of the Advisory Board, for their continuing support.

**RESOLVED**

1. That the Terms of Reference and composition of the Advisory Board, as set out in the Appendix to the report, be approved.
2. That Marc Samways be re appointed to the Advisory Board for the four-year period to July 2022.

**16 GENERAL PROGRESS REPORT**

For the benefit of new members this provided some background to the Traffic Penalty Tribunal and the development of the FOAM system with details of hearing volumes, the velocity of appeal closure and support provided to appellants who chose to use an off line method. The information provided included year on year trends for comparison.

It was reported that a recent satisfaction survey had found 83% of users said they had found the system easy to understand; as part of the continuing development of the system however, and with the approval of local authorities, revised guidance was due to be issued on how to submit

an appeal. In addition, a survey was planned of those users not availing themselves of the online system in order to ascertain their user experience.

**RESOLVED**

That the progress report be noted.

The meeting commenced at 12.30 pm and concluded at 12.40 pm

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Minutes of a meeting of the  
**Bus Lane Adjudication Service Joint Committee Executive Sub Committee**  
 held on Tuesday, 29th January, 2019 at Bishop Partridge Hall, Church House, Dean's  
 Yard, Westminster, London SW1P 3NZ

**PRESENT**

Cllr Graham Burgess (Hampshire County Council) in the Chair  
 Cllr Mark Shelford – Bath & North East Somerset Council  
 Cllr David Chadwick – Bolton Metropolitan Borough Council  
 Cllr Saoirse Horan – Brighton & Hove City Council  
 Cllr Jamie Macrae - Cheshire East Council  
 Cllr Phil Bibby – Hertfordshire County Council  
 Cllr Peter Davis – Oldham Metropolitan Borough Council  
 Cllr Alan Kerr – South Tyneside Council  
 Cllr Lee Wanger – Stoke on Trent City Council  
 Cllr Vera Waters – Walsall Metropolitan Borough Council  
 Cllr Peter Dew – City of York Council

**Officers in attendance**

Graham Addicott OBE - PATROL Advisory Board (Vice Chair)  
 George Broughton - PATROL Advisory Board  
 Paul Nicholls - PATROL Advisory Board  
 Caroline Sheppard OBE - Traffic Penalty Tribunal  
 Iain Worrall - Traffic Penalty Tribunal  
 Louise Hutchinson - PATROL  
 Andy Diamond - PATROL  
 Sarah Baxter - Cheshire East Council

**31 APOLOGIES FOR ABSENCE**

Apologies for Absence were received from: -

Cllr Tony Page - Reading Borough Council  
 Cllr Jeanette Clifford - West Berkshire Council  
 Cllr Carol Thirkill – City of Bradford Council

**32 DECLARATIONS OF INTEREST**

There were no declarations of interest.

**33 MINUTES OF THE MEETING HELD ON 30 OCTOBER 2018**

**RESOLVED**

That the minutes of the meeting held on 30 October 2018 be approved as a correct record.

**34 CHAIR'S UPDATE**

It was confirmed that the Bus Conference would take place on 14 March 2019.

**35 CHIEF ADJUDICATOR'S UPDATE**

The Chief Adjudicator gave a presentation to Members that she had given at a recent international conference she had attended.

**RESOLVED**

That the presentation be noted.

**36 BUDGET MONITORING 2018/19**

The Director of PATROL introduced the report presenting the income, expenditure and reserves monitoring information for the year to 30 November 2018.

The Tribunal was operated on a self-financing basis with income obtained from defraying expenses amongst the Joint Committee member authorities.

The Joint Committee's income was derived from a pre-estimate of the number of penalty charge notices (PCNs) each council would issue. Corrections were applied at the six and twelve month points once the actual number of PCNs issued was known.

As at 30th November 2018 bus lane income was higher than budget by £138,402. This reflected the reduced charging which took effect from 1st April 2018. Of the £138,402 positive variance, £78,947 related to the 2017/18 audit certificate adjustment.

**RESOLVED**

That the income and expenditure position at 30 November 2018 be noted.

**37 RESERVES POLICY**

Consideration was given to a report enabling the Joint-committee to review the Reserves Policy Statement for 2019/20, in order to comply with Financial Regulations.

**RESOLVED**

1. That the Reserves Policy Statement for 2019/20 and the total approved reserve level for 2019/20 of £231,304 be approved. This represented 49.2% of the overall annual bus lane budget and compares to £254,028 for 2018/19 which represented 57.2%.

2. That the balances of any surplus from 2019/20 being carried forward to 2020/21 be approved.

3. That the delegation of authority to the Chair and the Vice Chair for authorising the withdrawal of funds from general reserves to meet budgetary deficits be approved.

**38 REVENUE BUDGET FOR 2019/20**

Consideration was given to a report on the budget estimates for 2019/20.

**RESOLVED**

That the revenue budget estimates for 2019/20 as detailed in Appendix One be adopted.

**39 DEFRAYING THE EXPENSES OF THE JOINT COMMITTEE 2019/20**

Consideration was given to a report on Defraying the expenses of the Joint Committee 2019/20.

**RESOLVED**

1. That the rate of 30 pence per PCN be retained and reviewed at the meeting in October 2019 in the light of six-months income and expenditure information.

2. There would be no annual charge or cost per case payable.

3. That the impact by member authority of reducing the basis for defraying expenses from 35 to 30 pence in 2018/19 (Appendix 1) be noted.

4. That the operation of a digital by design appeal platform which had brought about significant savings in officer time, printing and postage for member authorities as well as an intuitive appeal system for appellants be noted.

5. Invoicing would be undertaken on a quarterly basis on estimated figures and subsequently adjusted to actual figures at the September and March points.

6. That it be noted that the decision to provide a transcription from the audio recording of proceedings rested with the Adjudicator. Where this had been agreed to, the Joint Committee agreed that the incidental costs of making a transcription from the audio recordings of the proceedings at a hearing was to be charged to the requesting party except when, in the view of the Adjudicator, a disability of the requesting party would make it desirable for that person to receive such a transcript.

**40 ADJUDICATOR APPOINTMENT RENEWAL**

Consideration was given to a report in respect of the renewal of the appointment of Caroline Sheppard OBE as Adjudicator and Chief Adjudicator to 22 May 2020.

**RESOLVED**

1. That the renewal of the appointment of Caroline Sheppard OBE to 22nd May 2020 as:

Bus Lane Adjudicator under the provisions of Regulation 11 of the Bus Lane Contraventions (Penalty Charges, Adjudication and Enforcement) (England) Regulations 2005.

2. The renewal of Caroline Sheppard OBE as Chief Adjudicator to 22nd May 2020.

**41 TRAFFIC PENALTY TRIBUNAL GENERAL PROGRESS REPORT**

Consideration was given to a report providing a summary of the Traffic Penalty Tribunal appeals activity for the period April to November 2019.

Appendix 1 of the report providing an overview of appeals activity for the period 1 April 2018 to 30 November 2018.

A summary of tribunal initiatives was set out in the report including: -

**RESOLVED**

That the matters reported be noted.

**42 PATROL AND BLASJC RESOURCES WORKING GROUP AND SUB COMMITTEE**

Consideration was given to a report on the PATROL and BLASJC Resources Working Group meeting held 8 January 2019.

The July 2018 meetings of the Joint Committees had resolved that the Resources Sub Committee and Working Group would oversee a number of initiatives and report to the Joint Committees and their Executive Sub Committees. The last meeting had taken place on 8 January 2019, where a number of items had been considered, including Public Affairs, Financial Reports and Member workshops.

**RESOLVED**

1. That the matters discussed at the meeting held 8 January 2019 be noted.

2. That the Resources Sub Committee and Working Group oversee matters highlighted in the report and appendix report back to the next meeting of the Joint Committee in July 2019.

#### **43 ANNUAL INVESTMENT STRATEGY**

Consideration was given to a report on investments during 2018/19, requesting the Joint Committee to approve the annual investment strategy for 2019/20.

##### **RESOLVED**

That the Annual Investment Strategy 2019/20 be approved.

#### **44 APPOINTMENT OF AUDITORS 2019/2022**

Consideration was given to a report in respect of the appointment of external auditors for the period 2018/19 to 2020/21.

From 1 April 2015, the implementation of the Local Audit and Accountability Act 2014 meant that joint committees were no longer be required to have their accounts separately prepared and audited. The Joint Committees decided to continue with this practice in the interests of transparency.

BDO LLP had provided the external audit function in accordance with the requirements of the Small Bodies Annual Return which was utilised for bodies with an annual turnover of less than £6.5 million.

The combination of internal audit and external audit provided assurance to the Joint Committee of the appropriateness of accountancy processes undertaken on their behalf.

External audit charges had remained relatively constant with the total cost of external audit for both PATROL and the Bus Lane Adjudication Service during 2017/18 being £3,800 (PATROL: £2,800 and BLASJC £1,000).

##### **RESOLVED**

That BDO LLP be appointed as external auditors for the period covering 2018/19 to 2020/21 accounts.

#### **45 RISK MANAGEMENT REPORT**

Consideration was given to a report presenting a Risk Management Framework for approval.

The Risk Management Framework report, which was appended at Appendix 1, provided a summary of the most significant threats facing the Joint Committees, which may prevent or assist with the achievement of its objectives.

**RESOLVED**

That the Risk Management Framework, as set out at Appendix 1, be noted.

**46 DATE OF NEXT MEETING**

It was reported that the next meeting would take place as follows: -

16 July 2019 Church House, Westminster followed by the PARC (Parking Annual Reports by Councils) Awards at the House of Commons.

It was noted that those Members not standing would be more than welcome to attend the Awards at the House of Commons.

The meeting commenced at 12.45 pm and concluded at 12.50 pm

## BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE

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**Date of Meeting:** 16<sup>th</sup> July 2019  
**Report of:** The Director  
**Subject/Title:** Draft Annual Return 2018/19

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### 1.0 Report Summary

1.1 This report presents the draft annual return for the year 2018/19

### 2.0 Recommendations

That the Joint Committee:

- a) Notes the outturn position against the 2018/19 budget included within the report. (Appendix 1)
- b) Approves the surplus of income over expenditure of £118,486 being added to the Joint Committee's reserves.
- c) Determines that the Executive Sub Committee review the basis for defraying expenses following budget monitoring at the half-year point at their meeting in October 2019.
- d) Approves the 2018/19 draft Annual Return (Appendix 2), balance sheet (Appendix 3) and cash flow (Appendix 4) and finally draft BDO return.
- e) Notes the Annual Internal Audit Report 2018/19 – (Appendix 5 – seen in PATROL papers)
- f) Approves the revised Scheme of Financial Delegation (Appendix 6 - seen in PATROL papers)
- g) Approves the revised Scheme of Financial Delegation (Appendix 7 – seen in PATROL papers)
- h) Approves the Code of Corporate Governance (Appendix 8 – seen in PATROL papers)

### 3.0 Reasons for Recommendations

3.1 To finalise accounts for 2018/19.

### 4.0 Financial Implications

4.1 As outlined in the report

**5.0 Legal Implications**

5.1 None

**6.0 Risk Management**

6.1 None

**7.0 Background and Options**

7.1 From 1 April 2015, the implementation of the Local Audit and Accountability Act 2014 meant that joint committees are no longer be required to have their accounts separately prepared and audited. The Joint Committees decided to continue with this practice in the interests of transparency.

7.2 BDO LLP have provided the external audit function in accordance with the requirements of the Small Bodies Annual Return which is utilised for bodies with an annual turnover of less than £6.5 million.

7.3 The combination of internal audit and external audit provides assurance to the Joint Committee of the appropriateness of accountancy processes undertaken on their behalf.

**8.0 Outturn Position against the 2018/19 budget**

**Introduction**

8.1 The Bus Lane Adjudication Service Joint Committee is operated on a self-financing basis with income obtained by defraying expenses amongst member authorities.

8.2 At the meeting of Executive Sub-Committee held on 30<sup>th</sup> January 2018 it was agreed to adopt the revenue budget estimates for 2018/19. The outturn position to 31<sup>st</sup> March 2019 is enclosed at Appendix 1.

8.3 The Joint Committee's income is derived from a pre-estimate of the number of penalty charge notices (PCNs) each council will issue. Corrections are applied at the 6 month and 12 month points once the actual number of PCNs issued is known.

8.4 Income was higher than budgeted by £181,153 (43.13%). Two new authorities began enforcement during the period (the budget is prudent in that we do not allow for new authorities' income). In addition, there was an increase across many authorities in the number of PCNs issued.

8.5 Expenditure, which is the recharge from PATROL for adjudication services, is in excess of the forecast by £12,939 (2.74%). This is due to the costs relating to Bus Lanes increasing as proportion of total costs.

8.6 This resulted in an overall surplus of £118,482 for the financial year 2018/19 against a budgeted transfer from the BLASJC Reserves of £53,932. This results in a positive variance of £171,418.

## 9.0 Reviewing the basis for defraying expenses

9.1 The Joint Committee reviewed the basis for defraying expenses at the January 2019 meeting and agreed a charge of 30 pence per PCN. The recommendation of the Resources Working Group and Sub Committee is to review this at the October 2019 meeting taking into account the half-year figures for 2019/20.

## 10.0 External Audit

10.1 The external audit timetable is as follows:

Stage	Date
Draft annual return submitted to BLASJC for approval	16 <sup>th</sup> July 2019
Submission of Annual Return and Supporting Documents to external auditor	31 <sup>st</sup> July 2019
External Audit Opinion reported to Joint Committee	29 <sup>th</sup> October 2019

## 11.0 Internal Audit Report 2017/1

11.1 Internal audit is provided by the Host Authority. The internal audit report for 2018/19 is enclosed at Appendix 5 (as seen in the PATROL report).

	2014/15	2015/16	2016/17	2017/18	2018/19
Low	11	6	3	0	<b>None</b>
Med	12	11	7	1	<b>None</b>
High	2	2	1	0	<b>None</b>
<b>TOTAL</b>	<b>25</b>	<b>19</b>	<b>11</b>	<b>1</b>	<b>None</b>

The level of assurance is confirmed as '**Good**' which is the highest level of assurance.

There are **No** audit recommendations.

## 12.0 Financial Regulations

12.1 This has been updated to allow for the establishment of a Petty Cash system and introduction of a contracts register (Appendix 6 – as seen in the PATROL report).

## 13.0 Scheme of Financial Delegation 2019/20

13.1 This has been updated to allow for one additional bank signatory, and the establishment of a Petty Cash system and responsibilities for data security (Appendix 7 – as seen in the PATROL report).

**12.0 Code of Corporate Governance**

A copy of the Code of Corporate Governance is enclosed at Appendix 8 (as seen in the PATROL report).

**13.0 Access to Information**

The background papers relating to this report can be inspected by contacting the report writer:

Name: Louise Hutchinson

Designation: Director

Tel No: 01625 445566

Email: [lhutchinson@patrol-uk.info](mailto:lhutchinson@patrol-uk.info)

## Appendix 1:

BUS LANE Outturn to 31/03/2019

	Year to Date				Full Year			
	31/03/2019	31/03/2019	31/03/2019	31/03/2019	2018/19	2018/19	2018/19	2017/18
	Actual	Budget	Var to Budget	Var to Budget	Forecast Outturn	Full Year Budget	Var to Budget	Prior Year Result
<b>Income</b>								
Bus Lane Income	601,153	420,000	181,153	43.13%	601,153	420,000	181,153	452,702
Interest	3,204	0	3,204	-	3,204	0	3,204	0
<b>Total Income</b>	<b>604,357</b>	<b>420,000</b>	<b>184,357</b>	<b>43.89%</b>	<b>604,357</b>	<b>420,000</b>	<b>184,357</b>	452,702
<b>Expenditure:</b>								
Supplies and Services Recharge	485,871	472,932	-12,939	-2.74%	485,871	472,932	-12,939	426,540
Bad Debt Provision	0	0	0	-	0	0	0	0
<b>Total Expenditure</b>	<b>485,871</b>	<b>472,932</b>	<b>-12,939</b>	<b>-2.74%</b>	<b>485,871</b>	<b>472,932</b>	<b>-12,939</b>	426,540
<b>Surplus / (Deficit)</b>	<b>118,486</b>	<b>-52,932</b>	<b>171,418</b>	<b>-323.85%</b>	<b>118,486</b>	<b>-52,932</b>	<b>171,418</b>	<b>26,162</b>

## Appendix 2:

BUS LANES 31.03.2019

		BDO Return		
		31st March 2017	31st March 2018	31st March 2019
1	Balances Brought forward	286,690	394,252	420,414
2	(+) Income from local taxation and/or levy			
3	(+) Total other receipts	527,744	452,702	604,357
4	(-) Staff costs			
5	(-) Loan interest/capital repayments			
6	(-) All other payments	420,182	426,540	485,871
7	<b>(=) Balances carried forward</b>	<b>394,252</b>	<b>420,414</b>	<b>538,900</b>
8	Total cash and short term investments	446,228	455,602	672,169
9	Total fixed assets and long term assets			
10	Total borrowings			

## Appendix 3:

### BALANCE SHEET - BUS LANES

	Apr-18 p1	May-18 p2	Jun-18 p3	Jul-18 p4	Aug-18 p5	Sep-18 p6	Oct-18 p7	Nov-18 p8	Dec-18 p9	Jan-19 p10	Feb-19 p11	Mar-19 p12
<b>Current Assets</b>												
LA Debtors	125,323	57,691	18,952	189,449	102,853	108,740	123,872	113,556	6,245	103,883	-5,046	-37,801
Other Debtors										-17,074		
VAT												
Cash and Bank	479,942	460,600	500,134	456,804	495,863	496,001	553,251	570,814	587,241	567,405	677,571	672,169
<b>Total</b>	<b>605,266</b>	<b>518,291</b>	<b>519,086</b>	<b>646,253</b>	<b>598,717</b>	<b>604,741</b>	<b>677,123</b>	<b>684,370</b>	<b>593,486</b>	<b>654,215</b>	<b>672,525</b>	<b>634,368</b>
<b>Current Liabilities</b>												
Trade Creditors	83,902	31,132	64,930	46,481	39,117	73,531	39,743	83,623	46,764	36,107	88,832	97,868
Other Public Bodies												
Other Creditors	75,798	36,230		79,166	31,529	-15,858	50,579	31,744	-1,600	81,184	41,401	-2,400
<b>Total</b>	<b>159,700</b>	<b>67,361</b>	<b>64,930</b>	<b>125,647</b>	<b>70,645</b>	<b>57,673</b>	<b>90,322</b>	<b>115,367</b>	<b>45,164</b>	<b>117,290</b>	<b>130,233</b>	<b>95,468</b>
<b>Net Current Liabilities</b>	<b>445,565</b>	<b>450,930</b>	<b>454,156</b>	<b>520,606</b>	<b>528,071</b>	<b>547,068</b>	<b>586,800</b>	<b>569,003</b>	<b>548,323</b>	<b>536,924</b>	<b>542,292</b>	<b>538,901</b>
Long Term (Liabilities)/Assets												
<b>NET ASSETS</b>	<b>445,565</b>	<b>450,930</b>	<b>454,156</b>	<b>520,606</b>	<b>528,071</b>	<b>547,068</b>	<b>586,800</b>	<b>569,003</b>	<b>548,323</b>	<b>536,924</b>	<b>542,292</b>	<b>538,901</b>
<b>Financed By:</b>												
Pension Reserve												
Reserves BF	420,414	420,414	420,414	420,414	420,414	420,414	420,414	420,414	420,414	420,414	420,414	420,414
Current Year Surplus	25,151	30,516	33,742	100,192	107,657	126,654	166,386	148,589	127,908	116,510	121,878	118,486
<b>TOTAL NET WORTH</b>	<b>445,565</b>	<b>450,930</b>	<b>454,156</b>	<b>520,606</b>	<b>528,071</b>	<b>547,068</b>	<b>586,800</b>	<b>569,003</b>	<b>548,323</b>	<b>536,924</b>	<b>542,292</b>	<b>538,901</b>
<i>check</i>	<i>0</i>											

## Appendix 4:

### CASH FLOW - BUS LANES

	p1	p2	p3	p4	p5	p6	p7	p8	p9	p10	p11	p12
<b>Opening Cash Balance</b>	<b>455,602</b>	<b>479,942</b>	<b>460,600</b>	<b>500,134</b>	<b>456,804</b>	<b>495,863</b>	<b>496,001</b>	<b>553,251</b>	<b>570,814</b>	<b>587,241</b>	<b>567,405</b>	<b>677,571</b>
Decrease / (Increase) in LA Debtors	-80,897	67,632	38,739	-170,497	86,595	-5,887	-15,132	10,316	107,311	-97,638	108,929	32,755
Decrease / (Increase) in Other Debtors	0	0	0	0	0	0	0	0	0	17,074	-17,074	0
Decrease / (Increase) in VAT Debtor	0	0	0	0	0	0	0	0	0	0	0	0
Increase / (Decrease) in Trade Creditors	4,287	-52,770	33,798	-18,449	-7,364	34,414	-33,788	43,880	-36,859	-10,657	52,725	9,036
Increase / (Decrease) in other Public Body Credi	0	0	0	0	0	0	0	0	0	0	0	0
Increase / (Decrease) in Other Creditors	75,798	-39,569	-36,230	79,166	-47,637	-47,387	66,437	-18,836	-33,344	82,784	-39,783	-43,801
Movement on Reserves	25,151	5,365	3,226	66,450	7,465	18,997	39,732	-17,797	-20,681	-11,398	5,368	-3,392
<b>Closing Cash Balance</b>	<b>479,942</b>	<b>460,600</b>	<b>500,134</b>	<b>456,804</b>	<b>495,863</b>	<b>496,001</b>	<b>553,251</b>	<b>570,814</b>	<b>587,241</b>	<b>567,405</b>	<b>677,571</b>	<b>672,169</b>
	0	0	0	0	0	0	0	0	0	0	0	0

## Joint Committees

# Return for the financial year ended 31 March 2019

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The return on pages 2 to 5 is made up of four sections:

- Sections 1 and 2 are completed by the person nominated by the Joint Committee
- Section 3 is completed by BDO LLP as the reviewer appointed by the Joint Committee.
- Section 4 is completed by the Joint Committee's internal audit provider.

### Completing your return

Guidance notes, including a completion checklist, are provided on page 6 and at relevant points in the return. Also our extranet contains useful advice for you to refer to, see below.

Complete all sections highlighted in red. Do not leave any red box blank. Incomplete or incorrect returns require additional work and so may incur additional costs.

Send the return, together with your bank reconciliation as at 31 March 2019, an explanation of any significant year on year variances in the accounting statements and any additional information requested, to us, BDO LLP, by the due date.

We will identify and ask for any additional documents needed for our work. Therefore, unless requested, do not send any original financial records.

Once we have completed our work, the completed return will be returned to the Joint Committee.

It should not be necessary for you to contact us for guidance.

Section 1 – Governance statement 2018/19

We acknowledge as the members of

Enter name of reporting body here:

BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE  
ENTER JOINT COMMITTEE NAME

Our responsibility for ensuring that there is a sound system of internal control, including the preparation of the accounting statements. We confirm, to the best of our knowledge and belief, with respect to the accounting statements for the year ended 31 March 2019, that:

	Agreed		'Yes'
	Yes	No*	Means that the body:
1 We approved the accounting statements prepared in accordance with the guidance notes within this Return.	✓		Prepared its accounting statements and approved them.
2 We maintained an adequate system of internal control, including measures designed to prevent and detect fraud and corruption and reviewed its effectiveness.	✓		Made proper arrangements and accepted responsibility for safeguarding the public money and resources in its charge
3 We took all reasonable steps to assure ourselves that there are no matters of actual or potential non-compliance with generally accepted good practice that could have a significant financial effect on the ability of the body to conduct its business or on its finances and have reported our financial results to our host authority for inclusion in their accounts.	✓		Has only done what it has the legal power to do and has complied with general accepted good practice
4 We carried out an assessment of the risks facing the body and took appropriate steps to manage those risks, including the introduction of internal controls and/or external insurance cover where required.	✓		Considered the financial and other risks it faces and has dealt with them properly.
5 We maintained throughout the year an adequate and effective system of internal audit of the body's accounting records and control systems.	✓		Arranged for a competent person, independent of the financial controls and procedures, to give an objective view on whether internal controls meet the needs of the body.
6 We took appropriated action on all matters raised during the year in reports from internal audit and external reviews.	✓		Responded to matters brought to its attention by internal and external reviewers.
7 We considered whether any litigation, liabilities or commitments, events or transactions, occurring either during tor after the year-end, have a financial impact on the body and where appropriate have included them in the accounting statements.	✓		Disclosed everything it should have about its business activity during the yea including events taking place after the year-end if relevant.

The governance statement is approved by the Joint Committee and recorded as minute reference

MINUTE REFERENCE

Date DD/MM/YYYY

Signed by:

Chair SIGNATURE REQUIRED

Signed by:

Clerk SIGNATURE REQUIRED

\*Note: Please provide explanations on a separate sheet for each 'No' response. Describe how the joint committee will address the weaknesses identified.

Section 2 – Accounting Statements 2018/19 for

Enter name of reporting body here:

BUS LAKE ADJUDICATION SERVICE JOINT COMMITTEE  
ENTER JOINT COMMITTEE NAME

	Year ending		Notes and guidance Please round all figures to nearest £1. Do not leave any boxes blank and reports £0 or Nil balances. All figures must agree to underlying financial records.
	31 March 2018 £	31 March 2019 £	
1 Balances brought forward	394,252	420,414	Total balances and reserves at the beginning of the year as recorded in the body's financial records. Value must agree to Box 7 of previous year.
2 (+) Income from local taxation and/or levy	—	—	Total amount of local tax and/or levy received or receivable in the year including funding from a sponsoring body. Excluding any grants received.
3 (+) Total other receipts	452,702	604,357	Total income or receipts as recorded in the cashbook less the taxation and/or levy (line 2). Include any grants received here.
4 (-) Staff costs	—	—	Total expenditure or payments made to and on behalf of all employees. Include salaries and wages, PAYE and NI (employees and employers)), pension contributions and employment expenses.
5 (-) Loan Interest/capital repayments	—	—	Total expenditure or payments of capital and interest made during the year on the body's borrowings (if any).
6 (-) All other payments	426,540	485,871	Total expenditure or payments as recorded in the cashbook less staff costs (line 4) and loan interest/capital repayments (line 5).
7 (=) Balances carried forward	420,414	538,900	Total balances and reserves at the end of the year. Must equal (1+2+3) – (4+5+6)
8 Total cash and short term investments	455,602	672,169	The sum of all current and deposit bank accounts, cash holdings and short term investments held as at 31 March – <b>to agree with bank reconciliation.</b>
9 Total fixed assets plus other long term investments and assets			The original Asset and Investment Register value of all fixed assets, plus other long term assets owned by the body as at 31 March
10 Total borrowings			The outstanding capital balance as at 31 March of all loans from third parties (including PWLB)

I certify that for the year ended 31 March 2019 the accounting statements in the return present fairly the financial position of the Joint Committee and its income and expenditure, or properly present receipts and payments, as the case may be.

Signed by Responsible Financial Officer:

SIGNATURE REQUIRED

Date

26/06/2019

I confirm that these accounting statements were approved by the Joint Committee on:

DD/MM/YYYY

and recorded as minute reference:

MINUTE REFERENCE

Signed by Chair of meeting approving these accounting statements:

SIGNATURE REQUIRED

### Section 3 – External Report 2018/19 Certificate

We present the findings from our review of the return for the year ended 31 March 2019 in respect of:

Enter name of reporting body here:

BUS LANE ADDICTION SERVICE JOINT COMMITTEE  
ENTER JOINT COMMITTEE NAME

Respective responsibilities of the Joint Committee and the reviewer

The Joint Committee has taken on the responsibility of ensuring that its financial management is adequate and effective and that it has a sound system of internal control. The Joint Committee prepares a return which:

- summarises the accounting records for the year ended 31 March 2019; and
- confirms and provides assurance on various governance matters in accordance with generally accepted good practice

This report has been produced in accordance with the terms of our engagement letter dated [date] ("the Engagement Letter") and in accordance with the International Standard on Related Services 4400 applicable to agreed-upon-procedures engagements as published by IAASB.

We have performed the following work in respect of the return prepared by the Joint Committee:

- agreed to bank reconciliation to the annual return and the bank statements
- agreed the Annual return figures back to the trial balance
- ensured the trial balance and accounting statements adds up
- agreed the precept to the funding body
- agreed any loans to the PWLB or whoever the loan is with
- checked the comparative figures to the prior year accounts
- undertake an analytical review of the figures and investigated any variances in excess of 10%
- agree that the accounting statements and annual governance statement have been signed and dated as required.
- investigated any NO answers to the Annual Governance Statement
- investigated any NO answers in the Internal auditor report

[No exceptions were found / Apart from the following exceptions, noted below, no exceptions were found.]

We have not subject the information contained in our report to checking or verification procedures except to the extent expressly stated above and this engagement does not constitute an audit or a review and, as such, no assurance is expressed. Had we performed additional procedures, an audit or a review, other matters might have come to light that would have been reported.

You were responsible for determining whether the agreed upon procedures we performed were sufficient for your purposes and we cannot, and do not, make any representations regarding the sufficiency of these procedures for your purposes.

Our report is prepared solely for the confidential use of the joint committee. Our report must not be used for any purpose other than for which it was prepared or be reproduced or referred to in any other document or made available to any third party without the written permission of BDO LLP.

We accept no liability to any other party who is shown or gains access to this report.

Reviewer signature

BDO LLP

Section 4 – Annual internal audit report 2018/19 to

Enter name of reporting body here:

BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE

The Joint Committee's internal audit service provider, acting independently and on the basis of an assessment of risk, carried out a selective assessment of compliance with relevant procedures and controls expected to be in operation during the financial year ended 31 March 2019.

Internal audit has been carried out in accordance with the Joint Committee's needs and planned coverage.

On the basis of the findings in the areas examined, the internal audit conclusions are summarised in this table. Set out below are the objectives of internal control and alongside are the internal audit conclusions on whether, in all significant respects, the control objectives were being achieved throughout the financial year to a standard adequate to meet the needs of the Joint Committee.

Internal control objective	Agreed? Please choose one of the following		
	Yes	No*	Not covered**
A. Appropriate accounting records have been kept properly throughout the year.	✓		
B. The Joint Committee's financial regulations have been met, payments were approved and VAT was appropriately accounted for.	✓		
C. The Joint Committee assessed the significant risks to achieving its objectives and reviewed the adequacy of arrangements to manage these.	✓		
D. The annual taxation or levy or funding requirements resulted from an adequate budgetary process; progress against the budget was regularly monitored; and reserves were appropriate.	✓		
E. Expected income was fully received, based on correct prices, properly recorded and promptly banked; and VAT was appropriately accounted for.	✓		
F. Petty cash payments were properly supported by receipts, all petty cash expenditure was approved and VAT appropriately accounted for.	*✓		
G. Salaries to employees and allowances to members were paid in accordance with the body approvals, and PAYE and NI requirements were properly applied.	✓		
H. Asset and investments registers were complete and accurate and properly maintained.	✓		
I. Periodic and year-end bank account reconciliations were properly carried out.	✓		
J. Accounting statements prepared during the year were prepared on the correct accounting basis, agreed to the cash book, were supported by an adequate audit trail from underlying records, and, where appropriate, debtors and creditors were properly recorded.	✓		

For any other risk areas identified by the Joint committee (list and other risk areas below or on separate sheets if needed) adequate controls existed:

\* SEE INTERNAL AUDIT REPORT - APPENDIX A FOR MORE DETAILS.

Name of person who carried out the internal audit:

JOSIE GRIFFITHS

Signature of person who carried out the internal audit:

SIGNATURE REQUIRED

Date: 26/06/19

\*Note: If the response is 'no' please state the implications and action being taken to address any weakness in control identified (add separate sheets if needed).

\*\*Note: If the response is 'not covered' please state when the most recent internal audit work was done in this area and when it is next planned, or, if coverage is not required, internal audit must explain why not (add separate sheets if needed).

## Guidance notes on completing the 2018/2019 return

1. Make sure that your return is complete (i.e. no empty red boxes), and is properly signed and dated. Avoid making any amendments to the completed return. But, if this is unavoidable, make sure the amendments are drawn to the attention of and approved by the body, properly initialled and an explanation provided to us. Returns containing unapproved or unexplained amendments will be returned and may incur additional costs.
2. Use the checklist provided below. Use a second pair of eyes, perhaps a member of the committee or the Chair, to review your return for completeness before sending it to us.
3. Do not send us any information not specifically asked for. Doing so is not helpful. However, you must notify us of any change of Clerk, Responsible Financial Officer or Chair.
4. Make sure that the copy of the bank reconciliation or letter confirming the balance held on your behalf which you send with the return covers all your bank balances. If the joint committee holds any short-term investments, note their value on the bank reconciliation. We must be able to agree your bank reconciliation to Box 8 on the Accounting statements. You must provide an explanation for any difference between Box 7 and Box 8.
5. Explain fully significant variances in the accounting statements on page 3. Do not just send in a copy of your detailed accounting records instead of this explanation. We want to know that you understand the reasons for all variances. Include a complete analysis to support your explanation.
6. If we have to review unsolicited information, or receive an incomplete bank reconciliation, or you do not fully explain variances, this may incur additional costs for which we will make a charge.
7. Make sure that your accounting statements add up the balance carried forward from the previous year (Box 7 of 2018) equals the balance brought forward in the current year (Box 1 of 2019).
8. Do not complete section 3. We will complete it at the conclusion of our work.

Completion checklist – 'No' answers mean you may not have met requirements		Done?
All sections	All red boxed have been completed?	✓
	All information has been sent with this return?	✓
Section 1	For any statement to which the response is 'no', an explanation is provided?	✓
Section 2	Approval by the body confirmed by the signature of Chair of meeting approving the accounting standards?	✓
	An explanation of significant variations from last year to this year is provided?	✓
	Bank reconciliation as at 31 March 2019 agrees to Box 8?	✓
	An explanation of any difference between Box 7 and Box 8 is provided?	✓
Section 4	All red boxed completed by internal audit and explanations provided?	✓

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## BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE

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**Date of Meeting:** 16 July 2019  
**Report of:** The Director in consultation with the PATROL and BLASJC Resources Working Group and Sub Committee.  
**Subject/Title:** Reserves Policy Statement

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### 1.0 Report Summary

1.1 To propose a Reserves Policy Statement for the Joint Committee for 2019/20.

### 2.0 Recommendation

2.1 To approve the Reserves Policy Statement for 2019/20 and the total approved reserve level for 2019/20 of £235,227. This represents 50.0% of the overall annual bus lane budget and compares to £254,028 for 2018/19 which represented 57.2%.

2.2 To approve the balances of any surplus from 2019/20 being carried forward to 2020/21.

2.3 To approve the delegation of authority to the Chair and the Vice Chair for authorising the withdrawal of funds from general reserves to meet budgetary deficits.

### 3.0 Reasons for Recommendations

3.1 Compliance with Financial Regulations

### 4.0 Financial Implications

4.1 The Reserves Policy Statement contributes to the self-financing objectives of the Joint Committee.

### 5.0 Legal Implications

5.1 The Reserves Policy Statement will enable contractual obligations to be met.

### 6.0 Risk Management

6.1 The Reserves Policy Statement forms part of the Risk Management Strategy

## 7.0 Background and Options

- 7.1 BLASJC has built up a body of reserves which ensures the continuation of service should there be an unexpected downturn of income or unforeseen expenditure. The availability of reserves is central to maintaining its ability to self-finance and reduce the likelihood of having to call on additional resources mid-year and it was agreed at the October 2018 that there should be a formal process for determining the level of approved reserves from time to time'
- 7.2 At the meeting in October 2018 the Executive Sub Committee approved the figure of £254,028 for approved reserves 2018/19. This was determined on the basis of BLASJC making a contribution to the PATROL overall reserve relative to its contribution to total income.

The PATROL reserve comprises the following elements:

- a) General Reserve
- b) Technology Reserve
- c) Property Reserve.

The contribution of £235,227 represents 11.0 % of the PATROL overall approved reserve (compared to 13.2% for 2018/19) and 50.0% of the BLASJC overall budget for 2019/20 (compared to 57.2% for 2018/19).

	Existing Method 19/20:	Proposed Method 19/20:
Approved Reserve	£254,028	£235,227
BLASJC Free Reserves	£319,969	£338,770
% of Total Budget	54.0%	50.0%

**It is recommended that for 2019/20 the BLASJC sets an approved reserve level of £235,227 (50%) as a contribution towards the PATROL Combined Reserve (including General, Technology and Property reserves). This will be reviewed on at least an annual basis.**

- 7.3 It is anticipated that BLASJC reserve (including the approved reserve for 2019/20 of £235,227) will reach £573,997 at the 31<sup>st</sup> March 2020 and therefore sufficient reserves will be in place to accommodate the recommended approved reserve of £235,227 for 2019/20. This will leave budgeted BLASJC Free Reserves at 31<sup>st</sup> March of £338,770 to meet any budgetary deficits in 2019/20.
- 7.4 The Bus Lane Adjudication Service Joint Committee will monitor income and expenditure during 2019/20 to keep the Reserves Policy Statement under

review. Any additional balances will be taken into account in setting the budgets and approving the basis for defraying expenses.

**8.0 Access to Information**

The background papers relating to this report can be inspected by contacting the report writer:

Name: Louise Hutchinson

Designation: Director

Tel No: 01625 445566 Email: [lhutchinson@patrol-uk.info](mailto:lhutchinson@patrol-uk.info)

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