

# **PATROL Adjudication Joint Committee Executive Sub Committee**

## **Agenda**

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**Date:** Wednesday 27th January 2016  
**Time:** 11.30 am  
**Venue:** The Westminster Room, The Local Government Association,  
Local Government House, Smith Square, London, SE1P 3HZ

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1. **Apologies for Absence**

To receive apologies for absence

2. **Declaration 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 items on the agenda

3. **Minutes of the Meeting held on 27 October 2015** (Pages 1 - 8)

To approve the minutes of the PATROL Adjudication Joint Committee Executive Sub Committee held on 27 October 2015

4. **Chair's Update**

To provide an update on developments since the meeting in October 2015

5. **Wales Update**

To receive a verbal report on civil traffic enforcement in Wales

6. **PATROL and BLASJC Resources Working Group and Sub Committee**  
(Pages 9 - 10)

To report on the PATROL and BLASJC resources Working Group and Sub Committee's meetings held on 7 January 2016

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**Contact:** Louise Hutchinson, Head of Service  
Bus Lane Adjudication Service Joint Committee  
Springfield House, Water Lane, Wilmslow, SK9 5BG  
**Tel:** 01625 445565  
**E-Mail:** lhutchinson@patrol-uk.info

7. **Chief Adjudicator's Update**  
To receive a verbal update from the Chief Adjudicator
8. **Budget Monitoring 2015/16** (Pages 11 - 14)  
To note income, expenditure and reserves at 30 November 2015 together with the projected outturn at 31 March 2016
9. **Service Level Agreement between the Joint Committees and Cheshire East Council** (Pages 15 - 30)  
To approve the variations to the service level agreement with the Host Authority for 2016/17
10. **Revenue Budgets for 2016/17** (Pages 31 - 36)  
To establish the Joint Committee's Revenue Budgets for 2016/17
11. **Reserves Policy Statement** (Pages 37 - 40)  
To approve the reserves policy statement for 2016/17
12. **Annual Investment Strategy** (Pages 41 - 42)  
To approve the annual investment strategy 2016/17
13. **Defraying the Expenses of the Joint Committee 2016/17** (Pages 43 - 48)  
To approve the basis for defraying the expenses of the Joint Committee 2016/17
14. **Risk Register** (Pages 49 - 56)  
To note the latest review of the Risk Register
15. **Appointment to the Advisory Board** (Pages 57 - 60)  
To approve the nomination of a new member of the Advisory Board
16. **General Progress and Service Standards** (Pages 61 - 78)  
To provide information in respect of the Tribunal's initiatives and standards
17. **Date of Next Meeting**  
Tuesday 12 July 2016 – Church House Conference Centre, Westminster

Minutes of a meeting of the

**PATROL Adjudication Joint Committee  
Executive Sub Committee**

held on Tuesday, 27th October, 2015 at The Westminster Room, The Local Government Association, Local Government House, Smith Square, London SW1P 3HZ

**PRESENT**

**Councillors**

Jamie Macrae	Cheshire East Council (in the Chair)
Roland Dibbs	Rushmoor Council
Graham Burgess	Hampshire County Council
Gary Jones	East Herts Council
Gary Waller	Epping Forest Council
Geraint Owens	City and County of Swansea
Marje Paling	Gedling Borough Council
Richard Bell	Sunderland City Council
Alan Kerr	South Tyneside Council
Derek Burrows	Bolton Metropolitan Council
Peter Cooper	Carmarthenshire County Council
Simon Cronin	Worcester City Council
Keith Dollemore	Adur District Council
Terry Douris	Hertfordshire County Council
Ken Gregory	Thanet District Council
Stuart Hughes	Devon County Council
Elsie Martlew	Carlisle City Council
Eileen Lintill	Chichester District Council
Nigel Knapton	Hambledon District Council
Tony Page	Reading Borough Council
Peter Robinson	Tameside Metropolitan Borough Council
Ray Nowak	Weymouth and Portland Borough Council

**Officers in attendance**

Kathryn Eldridge	Bath and North East Somerset Council (Chair of Advisory Board)
Graham Addicott OBE	Vice Chair of Advisory Board
Caroline Sheppard	Chief Adjudicator
Stephen Knapp	Deputy Chief Adjudicator
Louise Hutchinson	Director PATROL
Iain Worrall	Traffic Penalty Tribunal
Helen Crozier	Oxfordshire County Council
Robin Chantrill Smith	Thanet District Council
Andy Diamond	PATROL
George Broughton	Cheshire East Council
Julie North	Cheshire East Council
Chris Major	Bath and North East Somerset Council
Jack Creeber	Weymouth and Portland Borough Council

**22 APPOINTMENT OF CHAIRMAN AND VICE-CHAIRMAN OF THE EXECUTIVE SUB-COMMITTEE**

That Councillor Jamie Macrae (Cheshire East Council) be appointed Chairman, Councillor Stuart Hughes (Devon County Council) be appointed as Vice-Chairman, and Councillor Tony Page (Reading Council) be appointed as Assistant Vice-Chairman.

Councillor Macrae took the Chair.

**23 APOLOGIES FOR ABSENCE**

The apologies for absence were reported.

**24 DECLARATIONS OF INTEREST**

None.

**25 MINUTES OF THE MEETING HELD ON 28TH JANUARY 2015**

**RESOLVED**

That the minutes be approved as a correct record.

(Cllr S Hughes requested an update to the Committee in respect of pavement parking at a future meeting).

**26 MINUTES OF THE MEETING HELD ON 23RD JUNE 2015**

**RESOLVED**

That, subject to the addition of Cllr Graham Burgess and Robin Chantrill Smith to the list of those present, the minutes be approved as a correct record.

**27 CHAIR'S UPDATE**

The Chair reported that:-

1. Road User Charging at the Runcorn Bridge was on the horizon in 2016/17, with preparatory meetings commencing shortly. The on-line appeal system would be able to accommodate this and any future jurisdictions
2. The tribunal had coordinated a series of visits for judges from the Social Entitlement Tribunal to discuss the tribunal's ways of working to see what could be taken away for their own

jurisdictions. Caroline Sheppard would touch on this later in the meeting.

3. The staffing restructure was progressing, with interviews for the Communications and Public Affairs Manager being held on 9 November.
4. The next edition of the PATROL newsletter would be circulated over the course of the next week, to take full advantage of the House of Commons Reception later in the afternoon. He was delighted that, in addition to Louise Ellman and David Rutley, four MPs had confirmed their attendance. This is an excellent opportunity to raise the profile of the Joint Committee and provided a good platform for future dialogue.

## **28 PATROL AND BLASJC RESOURCES WORKING GROUP AND SUB-COMMITTEE**

At the June 2015 meeting of the Joint Committee, it had been resolved that the Resources Sub Committee and Working Group would oversee a number of initiatives with resources implications, on its behalf, including the review of the management structure, the introduction of a scheme of delegation from the Chief Executive of Cheshire East Council to the Director and to oversee research and public affairs projects. The meeting had taken place on 21 September 2015.

The Resources Sub Committee had agreed a number of resolutions, details of which were reported.

It was proposed that the Resources Working Group and Sub Committee continue to oversee the above matters and report back to the January 2016 meeting of the Joint Committee Executive Sub Committee.

### **RESOLVED**

1. That the resolutions of the Resources Sub Committee meeting on 21 September 2015 be noted.
2. That the Resources Sub Committee and Working Group continue to oversee the matters highlighted in the report.

## **29 AUDIT COMMISSION SMALL BODIES ANNUAL RETURN FOR THE YEAR ENDED 31ST MARCH 2015**

Consideration was given to a report relating to the findings of the external auditors for 2013/14 and to seek approval of a Scheme of Financial Delegation.

Small relevant bodies with an annual turnover of £6.5 million or less must complete annual return, in accordance with proper practices, summarising their annual activities at the end of each financial year. This requirement for Joint Committees would come to an end following the accounts for 2014/15. The Joint Committee had approved the draft annual return for 2014/15 at its meeting on 23rd June 2015.

The Audit Commission had appointed BDO LLP to audit the annual return of the Joint Committee and the final return and Issues Report were appended to the report. It was noted that the Issues Report made no recommendations

Following an internal audit recommendation, a draft Scheme of Financial Delegation was presented, as appendix 3 to the report. The scheme had been reviewed by the Resources Sub Committee and approval was now sought from the Executive Sub Committee. The Scheme set out the local delegations arising from the Joint Committees' financial governance documents.

### **RESOLVED**

1. That the findings of the external audit for 2014/15, as set out in the annual return (Appendix 1 of the report) be noted and that it be noted that there were no issues arising in the Issues Report (Appendix 2 of the report).
2. That the PATROL and Bus Lane Adjudication Service Scheme of Financial Delegation be approved (Appendix 3 of the report)

### **30 BUDGET MONITORING**

Consideration was given to the income, expenditure and reserves monitoring information for the year to 30<sup>th</sup> September 2015.

At the January 2015 meeting of the PATROL Joint Committee, consideration had been given to reducing the per PCN basis for defraying expenses from 55 pence to either 50 or 45 pence. A cautious approach had been adopted, reducing to 50 pence, with a commitment to review in October 2015. Income was broadly in line with the forecast and expenditure was considerably below forecast at the half year point. A reduction of 5 pence to 45 pence would cost in the region of £100,000 (for the period 1 October 2015 to 31 March 2016). A further reduction to 40 pence would cost £200,000 for the six month period. The recommendation from the Resources Sub Committee was to reduce to 45 pence, with effect from 1 October 2015 and review again in January 2016.

### **RESOLVED**

1. That the income and expenditure and reserves at 30 September be noted.

2. That the recommendation from the Resources Sub Committee to reduce the per PCN basis for defraying expenses to 45 pence with effect from 1 October 2015 and review again in January 2016 be approved.
3. That the 2015/16 income and expenditure position at January 2016 continue to be monitored.
4. That the Resources Working Group and Sub Committee be requested to review the Reserves Policy statement prior to the January 2016 meeting.

### 31 **RISK REGISTER**

Consideration was given to the latest review of the risk register.

It was noted that the Joint Committee was committed to avoiding risks that threatened its ability to undertake its principal objectives in a way which provided quality and value. It would maintain a sufficient level of reserves to support liquidity and absorb short term fluctuations in income and expenditure beyond its control. The Joint Committee had established a Risk Management Strategy, which included the review of the risk register.

#### **RESOLVED**

That the latest review of the risk register be noted.

### 32 **CHIEF ADJUDICATOR UPDATE**

The Chief Adjudicator, Caroline Sheppard, provided her update report on recent activities. She set out the tribunal's vision for the future, centred around the new portal case management system, which was digital by default and was designed for the user experience, including appellants, authorities, adjudicators, and administrators. It had been designed to promote transparency, velocity, proportionality and finality and to be fit for the age of austerity. She thanked the Deputy Chief Adjudicator, Stephen Knapp for his significant contribution to the work in implementing the system. The new system had proved to be completely inspirational.

There had been a good response from the public in respect of phase 1. Appeals and evidence were submitted online by both parties, who may view and comment on each other's evidence. Authorities had a dashboard to manage and follow cases. There was an instant messaging facility, with a more inquisitorial approach. Hearings were requested only after all parties have reviewed the evidence. The system was accessible on smart phones, tablets, laptops and PCS.

Councils not in the scheme had to fill in a form with a tick box to ensure that appeals information was up to date. The benefits to local authorities

were that they were instantly notified of an appeal, which was very helpful to Councils. One click was required where there was no contest, which reduced the amount of postage significantly. The case history displayed a time and date as to when the appellant viewed a decision. Case closure times had greatly improved and were improving all the time.

The anticipated increase in appeals had not materialised and many of the pathfinder authorities had seen a reduction in appeals. It was necessary to understand the reasons for this and the University of Birmingham would be carrying out a user survey to ascertain why. Details of the pathfinder survey were outlined and 42.86% of the authorities had responded to say that they were saving more than two hours. Details of the direct cost savings to the authorities were also outlined and this was expected to improve further with the roll out.

Phase 2a of the delivery would simplify the appellant experience. There would be an improved decision template for adjudicators, improved reporting for the tribunal and authorities and there would be increased autonomy for the tribunal in systems administration.

The phase 2b delivery stage, including, witness statements, costs and reviews and the introduction of SMS messaging would be coming soon. It was anticipated that the phase two roll out pilot would take place in February/March 2016 and the roll out would be from April onwards, the development of phase 2b would be undertaken in parallel. Brighton & Hove and Bristol City Councils had agreed to switch to the new system in the first phase and the other pathfinder authorities would follow. The Pathfinder authorities had agreed to “buddy” local authorities new to on-line working. There would be documentation and video guidance together with a series of regional training events for all authorities, in 2016.

With regard to external opportunities, the Ministry of Justice, Social Entitlement Tribunal were looking at the tribunal to see if the ways of working could be adopted for other courts and tribunals, including the technology and also the business processes. The Chief Adjudicator had been asked to join the working party on “What is a Court?”.

The Chief Adjudicator thanked members of Committee for their support for the introduction of the new system.

With regard to the future and where PATROL was heading, reference was made to the refined digital platform and the aim to make government services digitally compliant. The key drivers for this were Matthew Hancock MP’s three principles for digital reform: empathy, curiosity and openness. One of the barriers to the digital approach was the requirement to send documentation by first class post, rather than using a digital service and the Chief Adjudicator had been invited to the Cabinet office to discuss this issue.

The Chief Adjudicator referred to the recently screened TV programme, Parking Wars, which she considered helped to raise awareness of adjudication.

She also referred to the process when an appeal went for judicial review and how this was defended. The tribunal's policy now was to prepare a legal defence, with a neutral position, ensuring that judges had all the information required to put the case into context.

### **33 WALES UPDATE**

Councillor Cooper provided an update on civil enforcement in Wales. Moving traffic enforcement in Cardiff had been introduced in addition to bus lane enforcement. Councils in Wales continue to consider the options how the number of councils might be reduced.

### **34 GENERAL PROGRESS AND SERVICE STANDARDS**

Consideration was given to the six month appeal summary report.

The Joint Committee had a set of performance standards, which were reported against. Consideration was given to the report, which provided an overview of appeals activity for the six months to 30 September 2015, including appeals handled in both the legacy case management system and the on-line portal and case management system, BECK (Best Evidence Cloud Knowledge).

### **RESOLVED**

That the six month summary of appeals activity be noted.

### **35 PARKING ANNUAL REPORTS**

Consideration was given to a report updating the Joint Committee on the PATROL Annual Report Award, the introduction of a toolkit to assist local authorities in producing a report and confirming the arrangements for submissions for the 2014/15 award.

PATROL had introduced the PATROL Annual Report Award to coincide with the implementation of the Traffic Management in 2008. The aim was to raise public awareness and understanding of the objectives of civil parking enforcement.

PATROL had surveyed a sample of local authority officers and members and a key finding was that a toolkit or template would assist them in producing their report and would also lead to a more consistent approach in the reporting of service and enforcement statistics, together with financial information. The toolkit would be launched at a reception hosted by David Rutley MP, at the House of Commons later in the day, which would also see the overall winners and shortlisted councils would be

recognised for their 2013/14 reports. Details of the shortlisted councils were reported.

The awards ceremony would recognise those local authorities who had proactively sought to publish information about their traffic management objectives to raise public awareness and understanding of civil parking enforcement.

### **RESOLVED**

1. That the shortlist for 2013/14 awards be noted.
2. That the introduction of a civil enforcement reporting toolkit be noted.
3. That the arrangements for 2014/15 submissions be noted.

### **36 DATES OF NEXT MEETINGS**

The next meetings would take place on:-

Wednesday 27<sup>th</sup> January 2016      Westminster Suite, LGA.

Tuesday 12<sup>th</sup> July 2016              Hoare Memorial Hall, Church House  
Conference Centre.

The meeting commenced at 11.30am and concluded at 12.50pm

Councillor Jamie Macrae

## **PATROL ADJUDICATION JOINT COMMITTEE & BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE EXECUTIVE SUB COMMITTEES**

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**Date of Meeting:** 27<sup>th</sup> January 2016  
**Report of:** The Director  
**Subject/Title:** Report of the PATROL and BLASJC Resources Sub Committee and Working Group meeting held 7 January 2016.

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### **1.0 Report Summary**

1.1 To report on the PATROL and BLASJC Resources Sub Committee and Working Group meeting held 7 January 2016.

### **2.0 Recommendations**

2.1 To note the resolutions of the Resources Sub Committee meeting on 7 January 2016.

2.2 To approve the Resources Sub Committee and Working Group overseeing matters highlighted in the report and reporting back to the next meeting of the Joint Committees or their Executive Sub Committees.

### **3.0 Reasons for Recommendations**

3.1 To update the Joint Committee Executive Sub Committees

### **4.0 Financial Implications**

4.1 A financial summary was considered by the Resources Sub Committee and Working Group.

### **5.0 Legal Implications**

5.1 None

### **6.0 Risk Management**

6.1 None

### **7.0 Background and Options**

7.1 The June 2015 meeting of the Joint Committee resolved that the Resources Sub Committee and Working Group would oversee a number of initiatives with resources implications on its behalf including: the review of the management structure; the introduction of a scheme of delegation from the Chief Executive

of Cheshire East Council to the Director and oversee research and public affairs projects.

7.2 The last meeting took place on 7<sup>th</sup> January 2016 chaired by Councillor Macrae.

7.3 The Resources Sub Committee:

- Agreed to report to the Joint Committee Executive Sub Committees on the outcome of a public affairs workshop held that day.
- Noted the follow up activity to the PATROL Annual Report Toolkit launch at the House of Commons.
- Noted the outcome of the recent Private Member's Bill on Pavement Parking
- Reviewed financial papers being presented to the Executive Sub Committees at their meetings on 27<sup>th</sup> January 2016.
- Noted the commencement dates for the Finance and Central Services Manager and Communications and Public Affairs Manager; progress with the remainder of the staffing restructure and received a report of urgent business in relation to a HR matter.
- Noted the progress with the new portal and case management system which will be piloted with a small group of councils in March 2016 and then rolled out to councils.
- Noted the progress with University of Birmingham research to understand appellant actions at the point of receiving a Notice of Rejection of Representations.

7.4 It is proposed that the Resources Working Group and Sub Committee continue to oversee the above matters and report back to the July 2016 meetings of the Joint Committee Executive Sub Committees.

### **8.0 Recommendation**

8.1 To note the resolutions of the Resources Sub Committee meeting on 7<sup>th</sup> January 2016.

8.2 To approve the Resources Sub Committee and Working Group overseeing matters highlighted in the report and reporting back to the next meeting of the Joint Committees or their Executive Sub Committees.

### **9.0 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

## **PATROL ADJUDICATION JOINT COMMITTEE EXECUTIVE SUB COMMITTEE**

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<b>Date of Meeting</b>	27 <sup>th</sup> January 2016
<b>Report of:</b>	The Director in consultation with the PATROL and BLASJC Resources Working Group and Sub Committee.
<b>Subject/Title:</b>	Budget Monitoring 2015/16

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### **1.0 Report Summary**

- 1.1 To present income, expenditure and reserves monitoring information for the year to 31<sup>st</sup> October 2015 with the projected outturn for 2015/16 at 31<sup>st</sup> March 2016.

### **2.0 Recommendation**

- 2.1 To note the income and expenditure and reserves at 31 October 2015 together with the projected outturn for 2015/16 at 31<sup>st</sup> March 2016.

### **3.0 Reasons for Recommendations**

- 3.1 Compliance with Financial Regulations

### **4.0 Financial Implications**

- 4.1 Set out in the report.

### **5.0 Legal Implications**

- 5.1 None

### **6.0 Risk Management**

- 6.1 Budget monitoring forms part of the Risk Register.

### **7.0 Background and Options**

- 7.1 The budget was approved for the year 2015/16 at the meeting of the Executive Sub Committee held 28th January 2015.
- 7.2 This report provides the Committee with the expenditure position at 31<sup>st</sup> October 2015 and projected outturn.
- 7.3 The Tribunal is operated on a self-financing basis with income obtained from defraying expenses amongst the Joint Committee member authorities.

- 7.4 The revenue budget estimate was established by the Joint Committee for 2015/16 on the basis that this would reflect the councils who were already members of the Joint Committee
- 7.5 The Joint Committee forecasting model takes account of recent income trends (i.e. within the last 12 months).
- 7.6 Additional income is derived from a recharge to the Bus Lane Adjudication Service Joint Committee and the provision of adjudication for appeals arising from road user charging enforcement at the Dartford River Crossing.
- 7.7 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.
- 7.8 Should it be the case that there is a need for greater expenditure than that provided for in the approved budget, then there is a recommendation to authorise the Director to incur additional expenditure, provided such expenditure does not exceed the income for the current year.
- 7.9 Should it be the case that the revenue account falls into deficit then the surplus from previous years is available.
- 7.10 Should there be greater income than expenditure in the year then there is a recommendation that this be transferred into the succeeding year as reserves.

### **8.0 Expenditure**

- 8.1 At 31 October 2015, expenditure has been less than forecast with a favourable variance of £415,860. This is the result of lower than anticipated appeals. When comparing the seven month period April to October 2015 with the same period in 2014, there has been a reduction of 13% for parking, 28% for bus lanes and Dart Charge appeals have been lower than forecast.
- 8.2 All budget lines are showing a favourable variance excepting IT which has an unfavourable variance of £4,994. This relates to the consolidation of servers to a single location with a view to reducing on-going costs.

### **9.0 Income**

- 9.1 There has been an overachievement on parking income at 30th November 2015 of £153,631 and road user charging (Dartford River Crossing) income of £133,567. The recharge for bus lane adjudication service costs shows an unfavourable variance of £40,712.

### **10.0 Cash Flow**

- 10.1 The Accounts and Audit Regulations require a cash flow statement to be prepared. The invoicing quarterly in advance broadly addresses the

balancing of cash flow. At 30<sup>th</sup> November 2015 taking into account Parking income, Road User Charging Income and the recharge to the Bus Lane Adjudication Service Joint Committee, there is a surplus of £840,364, of which £462,731 is ring-fenced to road user charging.

**11.0 Outturn**

- 11.1 The forecast outturn for 2015/16 at 31<sup>st</sup> March 2016 is for an overall surplus of £1,086,737 of which £548,876 is ring-fenced to road user charging (Dartford River Crossing)

**12.0 Reserves**

- 12.1 Should the forecast outturn materialise at the end of the financial year. This will be added to the existing reserves of £2,430,906 (see below):

**Financial year 2014/15**

Approved Reserves at 31 March 2015:	£1,957,027
Free reserves at 31 March 2015	£ 457,439
Minus Road User Charging Reserve at 31 March 2015	£ 16,440
Total PATROL reserves at 31 March 2015	£2,430,906

**Financial year 2015/16**

Forecast surplus for 2015/16	£ 1,086,737
Minus drawdown from Technology Reserve	£ 100,000

Forecast total PATROL reserve at 31<sup>st</sup> March 2016 £3,417,643

Minus

Forecast Ring-fenced Road User Charging Reserve £ 565,316

Forecast total reserve at 31 March 2016 £2,852,327

- 12.2 The utilisation of these reserves in 2016/17 will be subject to a reserve policy statement reported separately.

**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)

PATROL Outturn to 30.11.15							
	30.11.15	30.11.15	30.11.15	2015/16	2015/16	2015/16	2014/15
	Actual	Budget	Var to Budget	Forecast Outturn	Full Year Budget	Var to Budget	OUTTURN
<b>Income</b>							
Penalty Charge Notice	1,461,638	1,308,007	153,631	2,109,775	1,962,011	147,764	2,415,908
Other Income	119		119				61,699
Bank Interest	6,858	8,000	(1,142)	10,287	12,000	-1,713	2,962
RUCA Income	976,900	843,333	133,567	1,465,350	1,265,000	200,350	152,710
Recharge for Bus Lane Adjudication Costs	243,111	283,823	(40,712)	364,667	425,734	-61,067	452,607
<b>Total Income</b>	<b>2,688,626</b>	<b>2,443,163</b>	<b>245,462</b>	<b>3,950,079</b>	<b>3,664,745</b>	<b>285,334</b>	<b>3,085,885</b>
<b>Expenditure:</b>							
Adjudicators	667,098	1,046,247	379,149	964,935	1,591,159	626,224	1,124,751
Staff	538,827	589,874	51,046	815,579	896,657	81,078	805,001
Premises / Accommodation	107,224	107,921	697	161,495	161,881	386	152,960
Transport	36,074	49,062	12,989	57,675	66,169	8,494	76,065
Supplies and Services	249,871	272,716	22,845	378,993	429,139	50,146	481,405
IT	217,889	218,384	495	326,165	327,576	1,411	211,893
Services Management and Support	31,328	33,000	1,672	49,500	49,500	0	47,666
Audit Fees	5,148	6,000	852	9,000	9,000	0	4,290
Contingency	-5,198	0	5,198	100,000	100,000	0	5,197
<b>Total Expenditure</b>	<b>1,848,262</b>	<b>2,323,204</b>	<b>474,942</b>	<b>2,863,342</b>	<b>3,631,081</b>	<b>767,739</b>	<b>2,909,229</b>
<b>Surplus / (Deficit)</b>	<b>840,364</b>	<b>119,960</b>	<b>720,404</b>	<b>1,086,737</b>	<b>33,664</b>	<b>-482,405</b>	<b>176,655</b>
Breakdown of Surplus	840,363.54			1,086,737			
<b>PARKING SURPLUS</b>	<b>377,633</b>			<b>537,861</b>			
<b>Highways England 15-16 (RUCA)</b>	<b>462,731</b>			<b>548,876</b>			
<b>TOTAL</b>	<b>840,364</b>			<b>1,086,737</b>			

## **PATROL ADJUDICATION JOINT COMMITTEE & BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE EXECUTIVE SUB COMMITTEES**

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**Date of Meeting:** 27<sup>th</sup> January 2016  
**Report of:** The Director  
**Subject/Title:** Service Level Agreement with Cheshire East Council  
2016/17

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### **1.0 Report Summary**

- 1.1 To present the Service Level Agreement (SLA) with Cheshire East Council (CEC) (The Host Authority) for 2016/17

### **2.0 Recommendations**

- 2.1 It is recommended that the variations to the SLA for 2016/17 are approved and CEC is reimbursed for its services.

### **3.0 Reasons for Recommendations**

- 3.1 To comply with the SLA.

### **4.0 Financial Implications**

- 4.1 Set out in the report

### **5.0 Legal Implications**

- 5.1 The SLA has been prepared by the parties in accordance with the provisions of paragraph 3 of Schedule 6 of the PATROLAJC Agreement and paragraph 3 of Schedule 6 of the BLASJC Agreement. The SLA is not intended to be legally binding.

### **6.0 Risk Management**

- 6.1 Contributes to an appropriate governance framework.

### **7.0 Background and Options**

- 7.1 Schedule 6 of the PATROL and Bus Lane Adjudication Service agreement makes reference to the development of a non-binding service level agreement (SLA) between the Joint Committee and the Lead Authority for the provision of services. The SLA (Appendix 1) was presented for approval at the June 2014 meeting and formally adopted on 27 August 2014.

7.2 Schedule 7 of the SLA makes provision for annual service reviews and variations over the five year period. Any proposed variations to this SLA will be presented to the PATROLAJC in the January preceding the financial year to which the SLA applies.

7.3 The charge for 2015/16 was £47,880 in 2015/16.

A review of services has been undertaken in relation to Schedule 2 to the SLA for 2016/17. The charge for 2016/17 will be reported at the meeting on 27<sup>th</sup> January 2016.

Additional services from CEC Democratic Services in relation to printing and postage of Joint Committee papers fall outside the scope of this SLA.

### **8.0 Recommendations**

8.1 It is recommended that the variations to the SLA for 2016/17 are approved and CEC is reimbursed for its services.

### **9.0 Access to Information**

9.1 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)

DATED 3<sup>rd</sup> December 2014

PARKING AND TRAFFIC REGULATIONS OUTSIDE  
LONDON ADJUDICATION JOINT COMMITTEE

and

CHESHIRE EAST COUNCIL

and

BUS LANE ADJUDICATION SERVICE JOINT  
COMMITTEE

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SERVICE LEVEL AGREEMENT

relating to services to be provided to the Parking and  
Traffic Regulations Outside London Adjudication Joint Committee  
and the Bus Lane Adjudication Service Joint Committee

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N A B A R R O

125 London Wall  
London EC2Y 5AL

Tel: +44 (0)20 7524 6000

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SERVICE LEVEL AGREEMENT

DATE

PARTIES

- (1) PARKING AND TRAFFIC REGULATIONS OUTSIDE LONDON ADJUDICATION JOINT COMMITTEE of Springfield House, Water Lane, Wilmslow, Cheshire, SK9 5BG ("PATROLAJC");
- (2) BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE of Springfield House, Water Lane, Wilmslow, Cheshire, SK9 5BG ("BLASJC"); and
- (3) CHESHIRE EAST COUNCIL of Westfields, Middlewich Road, Sandbach, CW11 1HZ (the "Lead Authority").

RECITALS

- (A) Local authorities who are enforcement authorities for the purposes of Part 6 of the Traffic Management Act 2004 (the "2004 Act") in relation to road traffic contraventions have entered into arrangements for the discharge of functions relating to adjudication and adjudicators conferred on them under section 81 of the 2004 Act and regulations made under the 2004 Act through a joint committee known as PATROLAJC by an agreement dated 3 December 2014 (the "PATROLAJC Agreement").
- (B) Local authorities who are approved local authorities for the purposes of section 144 of the Transport Act 2000 (the "2000 Act") in relation to bus lane contraventions have entered into arrangements for the discharge of functions relating to adjudication and adjudicators conferred on them under the 2000 Act and regulations made under the 2000 Act through a joint committee known as the Bus Lane Adjudication Service Joint Committee (the "BLASJC") by an agreement dated 3 December 2014 (the "BLASJC Agreement").
- (C) The functions of the PATROLAJC are as set out in Schedule 3 of the PATROLAJC Agreement and the functions of the BLASJC are as set out in Schedule 3 of the BLASJC Agreement.
- (D) Pursuant to the PATROLAJC Agreement, Cheshire East Council is with effect from 1 April 2013 appointed as the Lead Authority of the PATROLAJC to provide such goods and services as may from time to time be required and pursuant to the BLASJC Agreement, Cheshire East Council is with effect from 1 April 2013 appointed as the Lead Authority of the BLASJC to provide such goods and services as may from time to time be required.
- (E) The PATROLAJC wishes to receive goods and services from Cheshire East Council. The BLASJC wishes the PATROLAJC to procure goods and services from Cheshire East Council on its behalf as from time to time may be required. Cheshire East Council has agreed to provide goods and services to the PATROLAJC and the BLASJC in accordance with the PATROLAJC Agreement and the BLASJC Agreement.

- (F) This SLA is not intended to be legally binding. This SLA has been prepared by the parties in accordance with the provisions of paragraph 3 of Schedule 6 of the PATROLAJC Agreement and paragraph 3 of Schedule 6 of the BLASJC Agreement.

**1. DEFINITIONS**

For the purpose of this SLA, the following terms and expressions shall have the following meanings:

**"Adjudicators"**

means those persons engaged by the PATROLAJC and/or the BLASJC as adjudicators for the purpose of the independent and impartial tribunal for the determination of appeals made to them;

**"Advisory Board"**

means the advisory board established pursuant to the PATROLAJC Standing Orders and/or the advisory board established pursuant to the BLASJC Standing Orders;

**"BLASJC Standing Orders"**

means the standing orders of the BLASJC provided for pursuant to the BLASJC Agreement.

**"PATROLAJC Standing Orders"**

means the standing orders of the PATROLAJC provided for pursuant to the PATROLAJC Agreement; and

**"Delegations"**

has the meaning set out in **clause 5.1**;

**"Financial Regulations"**

means the financial regulations provided for pursuant to the PATROLAJC Agreement and the financial regulations provided for pursuant to the BLASJC Agreement;

**"Head of Service"**

means the person appointed by the PATROLAJC as the head of service;

**"Liaison Officer"**

means an officer of the Lead Authority and the person appointed as the representative of the Lead Authority pursuant to **clause 3.2**;

**"Memorandum of Understanding"**

means the memorandum of understanding entered into between the Adjudicators and the PATROLAJC and the BLASJC dated 21 November 2012, as may be updated from time to time;

**"PATROLAJC's Representative"**

means the person appointed as the representative of the PATROLAJC pursuant to clause 3.1;

**"SLA"**

means this service level agreement.

**2. TERM**

This SLA will commence on 1 April 2013 and will expire on 31 March 2018, unless terminated earlier in accordance with clause 11. This SLA shall be reviewed on an annual basis in accordance with clause 7.

**3. REPRESENTATIVES**

- 3.1 PATROLAJC's representative for the purpose of this SLA shall be the Head of Service or such other person as may be notified from time to time to the Lead Authority.
- 3.2 The Lead Authority's representative for the purpose of this SLA shall be the Liaison Officer, for whom the name and contact details shall be notified from time to time to the PATROLAJC.
- 3.3 The PATROLAJC and the Lead Authority shall ensure that their respective representatives are authorised to take all necessary actions pursuant to this SLA.
- 3.4 The Lead Authority's representative for the purpose of this SLA shall be invited to the meetings of the PATROLAJC and to the meetings of the Advisory Board.

**4. SERVICES**

- 4.1 Without prejudice to the right of the PATROLAJC and the BLASJC from time to time to perform or procure any of the services otherwise than in accordance with this SLA, the Lead Authority will provide the services set out in **Schedule 1** as from time to time may be required by the PATROLAJC and/or the BLASJC in order to support Adjudicators on behalf of the PATROLAJC and the BLASJC and to enable the PATROLAJC and the BLASJC to fulfil its functions.
- 4.2 The Lead Authority acknowledges that the PATROLAJC, the BLASJC and the Adjudicators have entered into the Memorandum of Understanding and that the services provided by the Lead Authority are intended to reflect and strengthen these arrangements.

**5. DELEGATION OF FUNCTIONS**

- 5.1 The parties to this SLA shall work together, acting reasonably, to agree in writing the functions that shall be delegated by the Lead Authority to the Head of Service and the extent to which those functions shall be delegated (the "**Delegations**") before 31 March 2015.

- 5.2 Following the agreement in writing of the Delegations, the PATROLAJC and the BLASJC authorise the Lead Authority to delegate to the Head of Service in accordance with the Delegations.
- 5.3 From the date of this SLA until the Delegations are agreed in writing between the parties, the PATROLAJC and the BLASJC authorise the Lead Authority to delegate to the Head of Service in accordance with any current and approved scheme of delegation and any delegations arising from the Financial Regulations, unless otherwise agreed by the parties.

**6. COSTS**

- 6.1 Pursuant to the PATROLAJC Agreement and the BLASJC Agreement, the Lead Authority is entitled to reimbursement by the participating authorities of costs and expenses properly incurred by it in undertaking its role as Lead Authority.
- 6.2 The estimated cost of providing services pursuant to this SLA in the year from 1 April 2014 to 31 March 2015 is £52,750.00. A breakdown of such total estimated cost is set out in **Schedule 2**. The Lead Authority shall notify the PATROLAJC of the estimated cost of providing services pursuant to this SLA for subsequent years on or before 1 December in the preceding year.
- 6.3 The estimated cost of providing services pursuant to this SLA (as notified in accordance with **clause 6.2**) will be reviewed by the PATROLAJC's Representative and the Liaison Officer as follows:
  - 6.3.1 every six months from 1 April 2014 to 31 March 2015; and
  - 6.3.2 annually thereafter,and adjustments to the estimated cost will be agreed at those review meetings.
- 6.4 Costs payable pursuant to this **clause 7** shall be paid by the PATROLAJC (in respect of services provided to the PATROLAJC and to the BLASJC) to the Lead Authority within 30 days of receipt of an invoice from the Lead Authority to the PATROLAJC.
- 6.5 On or before 1 April in each year, the PATROLAJC and the Lead Authority will agree the frequency of submission of invoices and method of payment of costs for the coming year.
- 6.6 Payments of costs to the Lead Authority by the PATROLAJC is subject to audit of the services provided and costs incurred.

**7. SERVICE REVIEWS AND SERVICE VARIATIONS**

- 7.1 The PATROLAJC's Representative and the Liaison Officer (and such other representatives from the PATROLAJC, the BLASJC and the Lead Authority as they may invite) shall attend regular service review meetings at such frequency and times to be agreed between them to review the scope and nature of services provided pursuant to this SLA, the provision of service by the Lead Authority and working arrangements.
- 7.2 On or before 31 October in each year, the Lead Authority will provide to the PATROLAJC a report summarising the services provided in the previous year in a format to be agreed between the PATROLAJC's Representative and the Liaison Officer.

- 7.3 On or before 31 October in each year, the Lead Authority and the PATROLAJC will undertake an annual review of services to consider whether any variations are required to this SLA (including the services to be provided pursuant to it).
- 7.4 Any proposed variations to this SLA will be presented to the PATROLAJC in the January preceding the financial year to which the SLA applies and will be discussed between the PATROLAJC and the Lead Authority and, if agreed (both parties acting reasonably), implemented in accordance with **clause 9**.

**8. DISPUTES**

- 8.1 Any dispute relating to this SLA and/or the services provided by the Lead Authority pursuant to this SLA will be dealt with as swiftly as possible and initially between the PATROLAJC's Representative and the Liaison Officer.
- 8.2 If a dispute is not resolved satisfactorily between the PATROLAJC's Representative and the Liaison Officer within 14 days of receipt, it will be escalated to the chair of the Joint Committees' Advisory Board who will make recommendations to the PATROLAJC.

**9. VARIATIONS**

Any variations to this SLA can only be made with agreement of both the PATROLAJC and the Lead Authority and must be signed by both parties.

**10. NOT USED**

**11. TERMINATION**

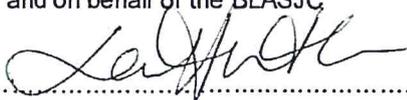
- 11.1 This SLA will terminate on the earlier of:
  - 11.1.1 the date on which the resignation of the Lead Authority takes effect pursuant to the PATROLAJC Agreement; and
  - 11.1.2 the date specified in a notice issued by the PATROLAJC to the Lead Authority to terminate this SLA, provided that the PATROLAJC shall provide at least 6 months' notice of termination.

Signed for and on behalf of the PATROLAJC

✓ .....   
(Signature)

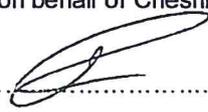
..... 03/12/14  
(Date)

Signed for and on behalf of the BLASJC

✓ .....   
(Signature)

..... 03/12/14  
(Date)

Signed for and on behalf of Cheshire East Council:

.....   
(Signature)

..... 3/12/14  
(Date)

## Schedule 1

## Services

	Service
<b>1. LEGAL AND DEMOCRATIC</b>	
1.1	Where required and instructed by the PATROLAJC negotiate and enter into lease(s) on behalf of the PATROLAJC and/or the BLASJC.
1.2	As required, provide legal advice on contract / procurement issues and employment tribunal proceedings.
1.3	On receipt of instructions from the Head of Service, issue engrossed Memorandums of Participation to local authorities who wish to join the PATROLAJC and/or the BLASJC.
1.4	Take minutes for up to four PATROLAJC meetings and up to four BLASJC meetings per annum and provide meeting administration as required.
1.5	Provide meeting administration services for meetings of up to four executive sub-committees of the PATROLAJC and of up to four executive sub-committees of the BLASJC.
1.6	Provide advice on the Freedom of Information Act 2000, the Environmental Information Regulations 2004, the Data Protection Act 1998, the Equality Act 2010 and such other legislation as may be relevant to the PATROLAJC and/or the BLASJC.
<b>2. FINANCE</b>	
2.1	Undertake the role of PATROLAJC Treasurer and the BLASJC Treasurer including but not limited to review:
2.1.1	final accounts prepared by the PATROLAJC Finance Team and the BLASJC Finance Team in June each year and sign the BDO Small Bodies External Audit Annual Return;
2.1.2	the Financial Regulations each year;
2.1.3	the Treasury Management statement each year,
	and to provide ad hoc financial advice where so instructed by the PATROLAJC.
2.2	As required, provide procurement advice.
2.3	As required, provide an internal audit service to provide assurance to BDO Small Bodies External Audit.
2.4	Advise on, provide and maintain appropriate insurance as agreed from time to time between the parties to the SLA.

	<b>Service</b>
<b>3. HUMAN RESOURCES</b>	
3.1	Where required, enter into contracts of employment on behalf of the PATROLAJC.
3.2	Provide ad hoc human resources advice and support where required.
3.3	Provide payroll services for salaried staff.
3.4	Provide access to the Lead Authority's IT systems as required by the PATROLAJC for HR purposes.
<b>4. LIAISON OFFICER</b>	
4.1	Identify an officer to act as the Liaison Officer.
4.2	The Liaison Officer will be invited to attend PATROLAJC meetings and meetings of the Advisory Board.
<b>5. SPECIFIC PROJECT WORK</b>	
5.1	Contribute to review of the PATROLAJC Scheme of Delegation and the BLASJC Scheme of Delegation.
5.2	Contribute to review of the PATROLAJC Standing Orders and the BLASJC Standing Orders.
5.3	Contribute to review of governance arrangements to support arm's length nature of the PATROLAJC, the BLASJC and Traffic Penalty Tribunal with a view to supporting business growth.
5.4	Such other projects as may be agreed between the Lead Authority and the PATROLAJC.

## Schedule 2

Schedule of estimated charges for support services provided by the Lead Authority to PATROL for the year from 1 April 2014 to 31 March 2015

Support Service	(£)CHARGE
<p><b>HR Support</b></p> <p>7,650.00</p> <p>1) Ongoing / ad-hoc support on the following areas to be provided to the Head of Service and PATROL management team – primarily provided by telephone/email:</p> <ul style="list-style-type: none"> <li>• Staffing Reductions, Redundancy and Redeployment</li> <li>• Restructuring, including telephone advice and guidance on reviewing organisational structures, design of jobs and job descriptions, job evaluation and gradings</li> <li>• Local advice on national issues</li> <li>• Pay Policies (advice as required)</li> <li>• Advice on Conditions of Service</li> <li>• Advice on Disciplinary, Capability (Performance) and Grievance cases</li> <li>• Dignity at Work (harassment/bullying) cases</li> <li>• Attendance Management</li> <li>• Ill Health Capability</li> <li>• Statutory transfers (TUPE)</li> <li>• Trade union networks. Links/support with trade union representatives at regional and local levels</li> <li>• Provision of model letters and documentation on casework and other HR issues and advice as required via the HR Intranet / toolkits.</li> <li>• Advice and Guidance on recruitment and retention</li> <li>• Interpretation of MCC &amp; CEC policies, processes and practices</li> <li>• Advice on ACAS/CIPD best practice</li> <li>• OHU &amp; EAP Services – linked to CEC Shared Services</li> <li>• Quarterly meeting with HR Business Partner to review resource/business plans.</li> <li>• Access to online training modules and corporate training delivery programme (inc 1 employment law update pa)</li> <li>• Up to 6 scheduled meetings on site with the Senior HR Officer p.a.</li> </ul> <p>2) <u>Additional Payments (prices TBC):</u></p> <ul style="list-style-type: none"> <li>• Job Analysis / Evaluation</li> <li>• Mediation</li> <li>• Investigations (appointing Investigating Officers)</li> <li>• Complex case management (disciplinary, grievance, dignity at work cases)</li> <li>• Direct restructuring support</li> <li>• Employment Tribunal claims/cases</li> </ul>	
<p><b>Audit Support</b></p> <p>£4,500.00</p> <p>As a minimum, CEC Internal Audit will undertake the necessary work required to complete the Small Bodies Annual Return (SMAR), plus an additional 5 days worth of non-allocated work to be used for consultancy and advice, and/or specific areas of work which may arise during the year, for example, via the SMAR work, External Audit, or at the request of the PATROL committees.</p> <p>An additional three year plan of audit/assurance work would be separate from the</p>	

above and would be subject to discussion with PATROL.	
<p><b>Democratic Services Support</b></p> <ul style="list-style-type: none"> <li>• On behalf of the Lead Officer act as Secretary to PATROL Committees Sub-committees and working groups, assuring that these bodies operate at maximum effectiveness. Assume up to 4 meetings per year half a day preparation full day travelling and attendance and half day follow up. Total of 10 hours per meeting.</li> <li>• Production of Agendas and Minutes.</li> <li>• Advertising of Meetings.</li> <li>• Assist the Lead Officer in the development of modern technology enabled and efficient processes regarding the formal decision making structures of PATROL.</li> </ul>	£7,650.00
<p><b>Legal</b></p> <p>Charge for day-to-day Legal Services support to PATROL.</p> <p>Legal Services will also charge on an ad hoc basis for any contract/corporate and employment work, for example, advising on contract/procurement matters and employment tribunal proceeding.</p>	£7,650.00
<p><b>Finance</b></p> <p>Ongoing / ad-hoc support on the following areas to be provided to the Head of Service and PATROL management team – primarily provided by telephone/email:</p> <ul style="list-style-type: none"> <li>• Advice on Investment Strategy &amp; General Banking Arrangements;</li> <li>• Advice on Reserves Policy Statement</li> <li>• Ad-hoc advice on general financial management</li> </ul> <p>VAT Administration</p> <ul style="list-style-type: none"> <li>• Quarterly VAT claim</li> <li>• VAT advice, and Resolution of issues</li> </ul> <p>Insurance Charges covering the following:-</p> <ul style="list-style-type: none"> <li>• Employers' Liability</li> <li>• Public Liability</li> <li>• Officials Indemnity</li> <li>• Fidelity Guarantee</li> </ul>	£7,650.00
<p><b>Strategic Commissioning – Hosting of PATROL</b></p> <p>Service charge for the Strategic Commissioning service hosting PATROL. The charge is based on support being provided by a combination of the following Officers:</p> <ul style="list-style-type: none"> <li>• George Broughton – Strategic Commissioning Manager; and</li> <li>• The Strategic Commissioning Team.</li> </ul>	£7,650.00
<b>TOTAL</b>	<b>£42,750.00</b>

<p><b>In addition, a retainer of £10,000 is to be included to cover support and advice provided by the following services. This support/advice is expected to be on an ad-hoc basis:</b></p>
<p><b>Support Service provided on ad-hoc basis:</b></p>
<p><b>Assets</b></p> <p>Support to be provided to PATROL on an ad-hoc basis.</p>
<p><b>FOI</b></p> <p>PATROL to handle requests and would only be seeking advice from CEC on an ad hoc basis. Resource requirements expected to be no more than a couple of phone calls and the reviewing of a response letters a month, if not bi-monthly.</p>
<p><b>Procurement</b></p> <p>Advice to be provided to PATROL on an ad-hoc basis.</p>
<p><b>IT Support</b></p> <p>No routine service support to be provided. Technical support to be provided on an ad-hoc basis</p>
<p><b>Health &amp; Safety Support</b></p> <p>Support to be provided on an ad-hoc basis.</p>
<p><b>TOTAL CHARGE    £52,750.00</b></p>

The above charges relate to the Lead Authority's financial year 2014/15. Annual charges will increase in line with the December CPI figure.

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## **PATROL ADJUDICATION JOINT COMMITTEE EXECUTIVE SUB COMMITTEE**

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**Date of Meeting:** 27<sup>th</sup> January 2016  
**Report of:** The Director in consultation with the PATROL and BLASJC  
Resources Working Group and Sub Committee  
**Subject/Title:** Budget 2016/17

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### **1.0 Report Summary**

1.1 To request the Committee to adopt the revenue budget estimates for 2016/17

### **2.0 Recommendation**

2.1 To agree to adopt the Revenue Budget for 2016/17 as detailed in the report.

### **3.0 Reasons for Recommendations**

3.1 Joint Committee Financial Regulations

### **4.0 Financial Implications**

4.1 Set out in the report

### **5.0 Legal Implications**

5.1 Requirement to approve budget before 31 January 2016

### **6.0 Risk Management**

6.1 Budget setting contributes to the Risk Management Strategy.

### **7.0 Background and Options**

7.1 In accordance with the Joint Committee's agreement, it is necessary to establish a budget estimate for the forthcoming year. An assessment has been made of the likely service take up during 2016/17 and therefore the Adjudicators, administrative support and accommodation needed. The adjudication service is operated on a self-financing basis with income obtained from contributions by PATROL member authorities.

## 7.2 Income assumptions

Table 1 provides an income summary since 2005/06

Year	Budgeted Income	Achieved Income	Variance
2005/06	2,209,439	2,059,439	(150,000)
2006/07	2,315,226	1,994,832	(320,394)
2007/08	2,428,502	2,360,402	(68,100)
2008/09	2,439,499	2,344,568	(94,931)
2009/10	2,441,432	2,712,373	270,941
2010/11	2,560,993	2,464,288	(96,705)
2011/12	2,782,500	2,831,333	48,833
2012/13	2,576,410	2,624,178	47,768
2013/14	3,091,564	3,260,847	169,283
2014/15	3,300,457 <sup>1</sup>	3,085,885	(214,572)
2015/16	3,664,745		

Note<sup>1</sup> excludes contribution from reserves

- 7.3 The Joint Committee has determined that member authorities will defray the expenses of the Joint Committee by way of a contribution based on the number of penalty charge notices they issue.
- 7.4 For 2016/17, the forecasting model focuses on trends from the past 12 month's income.
- 7.5 Additional income to the PATROL budget arises from a recharge to the Bus Lane Adjudication Service Joint Committee for the purposes of integrated adjudication services.
- 7.6 During 2016/17, additional income derives from charges to the Secretary of State for Transport in respect of adjudication of appeals arising from the enforcement of road user charging at the Dartford River Crossing. This forecast is based on information from the first twelve months of operation.
- 7.7 A modest amount of bank interest has been included in the income projection based on the Annual Investment Strategy reported elsewhere.
- 7.8 The Joint Committee approves a Reserves Policy Statement each January and for 2016/17, the level of reserves contributing to the budget for 2016/17 will depend on the basis for charging.
- 7.9 Some alterations have been made to the presentation of the budget, principally around the presentation of adjudication expenses. The Adjudicators' budget line now includes only salaries, fees, national insurance, expenses and training costs. Travel expenses and supplies and services expenditure has been transferred to their respective budget lines. To assist comparison, the 2015/16 budget has been restated using the same method.

## 8.0 Expenditure

8.1 An assessment has been made of the revenue budget that will be needed to meet the demands on the service during 2016/17.

8.2 Appeals activity for the first seven months of 2015/16 has indicated that parking appeal numbers have reduced by approximately 13% compared to the same period 2014/15 whilst bus lane appeal numbers have reduced by 28%. Appeal numbers for road user charging in 2015/16 have been lower than forecast.

8.3 In preparing the budget for 2016/17, account has been taken of the key objectives for 2016/17:

- To build upon the flexible and scalable user appeal platform.
- To manage the transition from legacy to new system.
- Support all councils to join the on line portal during 2016/17
- To raise awareness of the right to appeal and the benefits of the on-line portal.
- To gain understanding of the appellant experience through independent research.
- To build upon the Annual Report Award toolkit launch to improve public information and develop an evidence base upon which to base the Joint Committee public affairs activity.

8.4 The following provides a summary of anticipated expenditure in 2016/17

### 8.5 Adjudicators

The reduction in adjudication costs is, in part, due to reduced appeals forecasts compared to those when budgeting for 2015/16 and the transfer of travel costs, IT and supplies and services to their respective budget lines. The budget assumes a 1% inflationary increase in salaries and fees.

### 8.6 Staffing

A 1% inflationary increase has also been assumed. The staffing budget includes the new management structure, together with additional staffing to support the transition from the legacy appeals system to new on-line appeal system by all councils. Increases to the budgeted staffing budget compared to 2015/16 also arise from the employer pension contribution rate being 25% whereas previous years have assumed a contribution of 15% based on the pension arrangements with Manchester City Council. A number of previously temporary staff have been offered permanent appointments as part of the staffing review.

### 8.7 Premises

2016/17 will be the fourth year of the five year lease at Springfield House. The increase of £15,000 in budgeted costs compared to 2015/16 reflects increases to the service charge, rates, electricity and parking.

### 8.8 Travel

Travel costs have been reviewed to include all transport cost: adjudicators; staff; hearing centre supervisors together with officers' and councillors' attendance at additional Joint Committee meetings. There is a reduction in travel costs which can be attributed to the replacement of the regional adjudicator structure with the appointment of the Deputy Chief Adjudicator in 2015. Further savings will be achieved in 2017/18 when the staff relocation assistance (arising from the office move from Manchester to Wilmslow) comes to an end.

### 8.9 Supplies and Services

Supplies and services is broadly in line with the 2015/16 budget and includes provision for PATROL initiatives including the annual report award, public affairs support and a comprehensive review of the PATROL web site.

### 8.10 IT Costs

The review of IT costs has commenced with the removal of servers from Docklands and consolidation in a local data centre and a further rationalisation of infrastructure. This together with other changes has resulted in a reduction in the overall IT budget of £70,000. Further savings will be made following the close down of the legacy case management systems at the end of the financial year.

### 8.11 Service Management & Support

For 2016/17, it is anticipated that the Service Level Agreement charges with Cheshire East Council as Host Authority will remain broadly in line with those for 2015/16.

### 8.12 Audit

Audit Fees have been reduced from £9,000 to £5,100 to reflect the reliance on internal audit following the removal of the requirement for Joint Committees to have externally audited accounts.

### 8.14 Contingency

A contingency of £100,000 has been included for use in the event of unforeseen circumstances.

## 9.0 Summary of movement in income and expenditure

	2016/17	2015/16	Variance	% Change
Income	£3,670,344 <sup>1</sup>	£3,664,745	£5,599	0.15% increase
Expenditure	£3,560,880	£3,631,081	(£70,201)	1.93% decrease

Note <sup>1</sup> This excludes the contribution from reserves of £54,595 (see below).

## 10.0 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)

Table 2: PATROL Budget 2016/17

	BUDGET 2016/17	BUDGET 2015/16	BUDGET 16/17 VS 15/16	OUTURN 2014/15	BUDGET 2014/15	FORECAST OUTURN 2015-16
Parking Income @£0.45	1,882,923	1,962,011	(79,088)	2,415,908	2,324,928	2,109,775
RUCA Income @ £0.45	1,350,000	1,265,000	85,000	152,710	500,000	1,465,350
Internal Recharge Bus Lanes	425,421	425,734	(313)	452,607	463,529	364,667
Bank Interest	12,000	12,000	0	2,962	12,000	10,287
Other Income	0	0	0	61,699	0	
Contribution from/to Reserves	54,595	0	54,595		109,272	
<b>Total Income</b>	<b>3,724,939</b>	<b>3,664,745</b>	<b>60,194</b>	<b>3,085,886</b>	<b>3,409,729</b>	<b>3,950,079</b>
Contingency	100,000	100,000	0	0	100,000	100,000
Audit	5,100	9,000	3,900	4,290	9,000	9,000
Adjudicators	1,282,182	1,400,583	118,401	1,011,298	1,100,875	964,935
Employees	937,330	864,842	(72,488)	784,364	883,952	815,579
Premises	176,450	161,881	(14,569)	152,960	163,734	161,495
Travel	106,180	114,784	8,604	111,518	96,658	57,675
Supplies & Services	618,023	569,615	(48,408)	563,781	656,255	378,993
IT	290,615	360,876	70,261	233,354	354,255	326,165
Services Management & Support	45,000	49,500	4,500	47,666	45,000	49,500
<b>Total Expense</b>	<b>3,560,880</b>	<b>3,631,081</b>	<b>70,201</b>	<b>2,909,231</b>	<b>3,409,729</b>	<b>2,863,342</b>
<b>Surplus / (Deficit)</b>	<b>164,059</b>	<b>33,664</b>	<b>(10,007)</b>	<b>176,655</b>	<b>0</b>	<b>1,086,737</b>

Note: The forecast surplus of £164,059 relates to Road User Charging Appeals (RUCA)

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## **PATROL ADJUDICATION JOINT COMMITTEE EXECUTIVE SUB-COMMITTEE**

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**Date of Meeting:** 27<sup>th</sup> January 2016  
**Report of:** The Lead Officer in consultation with the PATROL and BLASJC Resources Working Group and Sub Committee.  
**Subject/Title:** Reserves Policy Statement

---

### **1.0 Report Summary**

1.1 To review the Reserves Policy Statement for the Joint Committee for 2016/17

### **2.0 Recommendation**

2.1 To approve the Reserves Policy Statement for 2016/17 and the total approved reserve level for 2016/17 of £1,458,161.

2.2 To approve the balances of any surplus from 2015/16 being carried forward to 2016/17

2.3 To approve the delegation of authority to the Chair and the Vice Chair for authorising the withdrawal of funds from 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**

7.2 PATROL 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. At 31<sup>st</sup> March 2015, the level of reserves was £2,430,906 of which £1,957,027 was approved reserves for 2015/16 and £457,439 was free reserves and £16,440 was ring fenced to Road User Charging Appeals (RUCA).

- 7.3 For 2016/17, it is recommended that the Reserves Policy Statement will be made up of three elements:

General Reserves  
Property Reserves  
IT Reserve

#### 7.4 **The General Reserve**

The General Reserve aims to mitigate the risk arising from:

- a) Reduction in income as a result of individual enforcement authority issues.
- b) Reduction in income as a result of issues affecting civil enforcement across all or a majority of enforcement authorities
- c) Unanticipated costs associated with legal action
- d) Unanticipated expenditure due to unforeseen circumstances
- e) Overrun on expenditure
- f) Meeting contractual obligations in the event of closure.

**It is recommended that the General Reserve for 2016/17 is £1,101,042.** This compares with £1,707,027 for 2015/16..

#### 7.5 **The Property Reserve**

This provides an indemnity to the Host Authority in relation to any outstanding rent associated with the current lease that they have entered into on behalf of the Joint Committee. For 2016/17 there remains two years of lease costs prior to the end of the five year lease. For this reason, provision is made in reserves for one additional year beyond that budgeted in the 2016/17 budget.

**It is recommended that the Property Reserve for 2016/17 is £107,119.** This compares to £0 in 2015/16 because there was a break clause in the lease.

#### 7.6 **Technology Reserve**

The Joint Committee made provision for a technology reserve of £250,000 for 2015/16 of which £100,000 has been utilised to date.

**For 2016/17 it is recommended that the same level of reserve of £250,000 is retained to support the roll out of the new portal to all authorities.**

- 7.7. **It is recommended that the total approved reserve level for 2016/17 is £1,458,161.** This compares with a total approved reserve level for 2015/16 of £1,957,027.
- 7.8 The Joint Committee will monitor income and expenditure during 2016/17 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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## **PATROL ADJUDICATION JOINT COMMITTEE EXECUTIVE SUB COMMITTEE**

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<b>Date of Meeting:</b>	27th January 2016
<b>Report of:</b>	The Director in consultation with the PATROL and BLASJC Resources Working Group and Sub Committee
<b>Subject/Title:</b>	Annual Investment Strategy

---

### **1.0 Report Summary**

- 1.1 To report on investments during 2015/16 and request the Joint Committee to approve the annual investment strategy for 2016/17.

### **2.0 Recommendation**

- 2.1 To approve the Annual Investment Strategy 2016/17

### **3.0 Reasons for Recommendations**

- 3.1 Joint Committee Financial Regulations

### **4.0 Financial Implications**

- 4.1 Set out in the report

### **5.0 Legal Implications**

- 5.1 None

### **6.0 Risk Management**

- 6.1 The Annual Investment Strategy is informed by the Joint Committee's Risk Management Strategy.

### **7.0 Background and Options**

- 7.1 The Joint Committee or its Executive Sub Committee is responsible for approving the Joint Committee's Annual Investment Strategy.
- 7.2 The Director will prepare an Annual Investment Strategy in consultation with the Joint Committee's Treasurer (the Host Authority's Section 151 Officer)
- 7.3 The Annual Investment Strategy will be informed by the Joint Committee's Risk Management Strategy. The Joint Committee has determined:

*“We will avoid risks that threaten our ability to undertake our principal objectives in a way which provides quality and value. We will maintain a sufficient level of reserves to support liquidity and absorb short term fluctuations in income and expenditure beyond our control*

7.4 Amounts are invested so that there is an investment maturing each month. Therefore, if required, cash flow issues can be addressed. Deposits include three month, one month and the transfer of overnight balances from the current account, leaving a residual balance of £30,000.

7.5 During the year to date there has been an average of £3,000 interest per quarter.

### **8.0 Annual Investment Strategy 2016/17**

8.1 Investments will only be made with UK, low risk banks in the form of placing in fixed term deposit accounts and will be spread over at least two banks to reduce risk. The banks are currently Santander, Lloyds and HSBC.

### **9.0 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)

## **PATROL ADJUDICATION JOINT COMMITTEE EXECUTIVE SUB COMMITTEE**

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<b>Date of Meeting:</b>	27 <sup>th</sup> January 2016
<b>Report of:</b>	Director in consultation with the PATROL and BLASJC Resources Working Group and Sub Committee
<b>Subject/Title:</b>	Defraying the expenses of the Joint Committee 2016/17

---

### **1.0 Report Summary**

1.1 To establish the basis for defraying expenses during 2016/17.

### **2.0 Recommendation**

2.1 The Joint Committee reviews the options set out in the report for defraying its expenses in proportion to the number of penalty charge notices (PCNs) issued in 2016/17.

2.2 There will be no annual charge, nor cost per case.

2.3 To note that the Joint Committee has approved the principle of introducing a cost per case charge in-year where a council chooses not to engage with the appeal portal once it is available to all councils. This will be preceded by a report to the Joint Committee or its Executive Sub Committee.

2.4 Invoicing will be undertaken on a quarterly basis on estimated figures and subsequently adjusted.

2.5 To note that the decision to provide a transcription from the audio recording of proceedings rests with the Adjudicator. Where this has been agreed to, the Joint Committee agree that the incidental costs of making a transcription from the audio recordings of the proceedings at a hearing is 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.

### **3.0 Reasons for Recommendations**

3.1 Compliance with Financial Regulations

### **4.0 Financial Implications**

4.1 Detailed in the report

**5.0 Legal Implications**

5.1 In accordance with the PATROL Adjudication Joint Committee Agreement

**6.0 Risk Management**

6.1 Identified within the Risk Register

**7.0 Background and Options**

7.1 The Joint Committee provides the means to appeal to an independent adjudicator in respect of civil traffic enforcement in England (outside London) and Wales and road user charging.

7.2 The PATROL agreement provides for the adjudication service to be operated on a self-financing basis with expenses defrayed by member authorities. Where authorities are working in partnership, it is practice to charge those enforcement authorities who manage the enforcement income stream. Table 1 provides an overview of the Joint Committee’s basis for defraying expenses since inception.

Table 1 History of defraying the expenses of the Joint Committee

<b>Year</b>	<b>Per PCN</b>	<b>Annual</b>	<b>Case</b>
1991/2001	70 pence	£500	£10
2001/2003	70 pence	£500	£0
2003/2005	65 pence	£250	£0
2005/06	60 pence	£0	£0
2006/07	55 pence	£0	£0
2007/08	55 pence	£0	£0
2008/09	60 pence	£0	£0
2009/10	60/65 pence	£0	£0
2010/11	65 pence	£0	£0
2011/12	65 pence	£0	£0
2012/13	60 pence	£0	£0
2013/14	60 pence	£0	£0
2014/15	55 pence	£0	£0
2015/16	50/45 pence	£0	£0

7.3 During this period the Joint Committee has introduced a Reserves Policy Statement and a summary of the reserves position is set out below:

**PATROL Reserves (based on November 2015 monitoring)**

**Financial year 2014/15**

Approved Reserves at 31 March 2015:	£1,957,027
Free reserves at 31 March 2015	£ 457,439
Road User Charging Reserve at 31 March 2015	£ 16,440
Total PATROL reserves at 31 March 2015	£ 2,430,906

**Financial year 2015/16**

Forecast surplus for 2015/16	£1,086,737
Minus Drawdown from Technology Reserve	£ 100,000
Forecast total PATROL reserves at 31 March 2016	£ 3,417,643

Minus	
Total Road User Charging Reserve @ 31.03.16	£ 565,316

Forecast PATROL reserve at 31 March 2016	£ 2,852,327
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**Financial year 2016/17**

Proposed PATROL reserve for 2016/17 (see separate report of PATROL Reserve Policy Statement 2016/17)	£1,458,161
--	------------

Minus	
Anticipated contribution from PATROL reserves 2016/17 Based on defraying expenses with a 45 pence contribution	£ 54,595

Residual anticipated PATROL free reserves 2016/17 (on the assumption of a 45p charge per PCN)	£1,339,571
--	------------

7.4 In considering establishing the basis for defraying expenses in 2016/17, the following options were considered.

- (i) Maintain the current contribution based upon 45 pence per PCN which is forecast to result in a contribution from PATROL's free reserves of £54,595 (see Table 2). This would result in PATROL's forecast free reserves being £1,339,571.

- (ii) Reduce the contribution to 40 pence per PCN which is forecast to require a contribution of £263,808 from PATROL's free reserves, with £1,130,358 remaining (see Table 3).
- (iii) Maintain the current contribution of 45 pence (as in option i) and review the position in July and October 2016

- 7.5 The PATROL Joint Committee provides access to independent adjudication through the Traffic Penalty Tribunal for appeals arising from penalty charges notices issued under road user charging regulations at the Dartford River Crossing. This arrangement is underpinned by a Memorandum of Understanding between the Joint Committee and the Secretary of State for Transport.
- 7.6 Enforcement commenced on 30 November 2014. Road User Charging appeals (RUCA) accrued a small ring-fenced surplus in 2014/15 of £16,440. During 2015/16, whilst it is forecast that income will have been higher than anticipated, appeals activity has been lower. It is forecast that at 31 March 2016, there will be a cumulative specific RUCA surplus of £565,316.
- 7.7 The current contribution under the Memorandum of Understanding between the Joint Committee and the Secretary of State for Transport is 55 per PCN to 31 March 2016.
- 7.8 It is forecast that reducing the RUCA contribution from 55 pence to 45 pence per PCN would result in the accrual of an additional RUCA ring-fenced surplus of £164,059 by 31 March 2017.
- 7.9 It is forecast that reducing the RUCA contribution from 55 pence to 40 pence would result in an additional RUCA ring-fenced surplus of £14,059 by 31 March 2017.
- 7.10 There is the potential to reduce to 45 pence and review in July and October 2016 when the final outturn for 2016/17 is known and the half way point in 2016/17 budget monitoring is available.

### **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)

Table 2: Budget and reserve implications where the basis for defraying expenses is 45 pence.

	BUDGET 2016/17	BUDGET 2015/16	BUDGET 16/17 VS 15/16	OUTURN 2014/15	BUDGET 2014/15	FORECAST OUTURN 2015-16
Parking Income @£0.45	1,882,923	1,962,011	(79,088)	2,415,908	2,324,928	2,109,775
RUCA Income @ £0.45	1,350,000	1,265,000	85,000	152,710	500,000	1,465,350
Internal Recharge Bus Lanes	425,421	425,734	(313)	452,607	463,529	364,667
Bank Interest	12,000	12,000	0	2,962	12,000	10,287
Other Income	0	0	0	61,699	0	
Contribution from/to Reserves	54,595	0	54,595		109,272	
<b>Total Income</b>	<b>3,724,939</b>	<b>3,664,745</b>	<b>60,194</b>	<b>3,085,886</b>	<b>3,409,729</b>	<b>3,950,079</b>
Contingency	100,000	100,000	0	0	100,000	100,000
Audit	5,100	9,000	3,900	4,290	9,000	9,000
Adjudicators	1,282,182	1,400,583	118,401	1,011,298	1,100,875	964,935
Employees	937,330	864,842	(72,488)	784,364	883,952	815,579
Premises	176,450	161,881	(14,569)	152,960	163,734	161,495
Travel	106,180	114,784	8,604	111,518	96,658	57,675
Supplies & Services	618,023	569,615	(48,408)	563,781	656,255	378,993
IT	290,615	360,876	70,261	233,354	354,255	326,165
Services Management & Support	45,000	49,500	4,500	47,666	45,000	49,500
<b>Total Expense</b>	<b>3,560,880</b>	<b>3,631,081</b>	<b>70,201</b>	<b>2,909,231</b>	<b>3,409,729</b>	<b>2,863,342</b>
<b>Surplus / (Deficit)</b>	<b>164,059</b>	<b>33,664</b>	<b>(10,007)</b>	<b>176,655</b>	<b>0</b>	<b>1,086,737</b>

Forecast surplus of £164,059 relates to RUCA

Table 3 Budget and reserve implications where the basis for defraying expenses is 40 pence.

	BUDGET 2016/17	BUDGET 2015/16	BUDGET 16/17 VS 15/16	OUTURN 2014/15	BUDGET 2014/15	FORECAST OUTURN 2015-16
Parking Income @£0.40	1,673,709	1,962,011	(288,302)	2,415,908	2,324,928	2,109,775
RUCA Income @ £0.40	1,200,000	1,265,000	(65,000)	152,710	500,000	1,465,350
Internal Recharge Bus Lanes	425,421	425,734	(313)	452,607	463,529	364,667
Bank Interest	12,000	12,000	0	2,962	12,000	10,287
Other Income	0	0	0	61,699	0	0
Contribution from/to Reserves	263,808	0	263,808		109,272	
<b>Total Income</b>	<b>3,574,938</b>	<b>3,664,745</b>	<b>(89,807)</b>	<b>3,085,886</b>	<b>3,409,729</b>	<b>3,950,079</b>
Contingency	100,000	100,000	0	0	100,000	100,000
Audit	5,100	9,000	3,900	4,290	9,000	9,000
Adjudicators	1,282,182	1,400,583	118,401	1,011,298	1,100,875	964,935
Employees	937,330	864,842	(72,488)	784,364	883,952	815,579
Premises	176,450	161,881	(14,569)	152,960	163,734	161,495
Travel	106,180	114,784	8,604	111,518	96,658	57,675
Supplies & Services	618,023	569,615	(48,408)	563,781	656,255	378,993
IT	290,615	360,876	70,261	233,354	354,255	326,165
Services Management & Support	45,000	49,500	4,500	47,666	45,000	49,500
<b>Total Expense</b>	<b>3,560,880</b>	<b>3,631,081</b>	<b>70,201</b>	<b>2,909,231</b>	<b>3,409,729</b>	<b>2,863,342</b>
<b>Surplus / (Deficit)</b>	<b>14,058</b>	<b>33,664</b>	<b>(160,008)</b>	<b>176,655</b>	<b>0</b>	<b>1,086,737</b>

Forecast surplus of £14,058 relates to RUCA

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## **PATROL ADJUDICATION JOINT COMMITTEE & BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE EXECUTIVE SUB COMMITTEES**

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**Date of Meeting:** 27<sup>th</sup> January 2016  
**Report of:** The Director on behalf of the Advisory Board  
**Subject/Title:** Risk Register

---

### **1.0 Report Summary**

1.1 To present the latest review of the risk register

### **2.0 Recommendation**

2.1 To note the latest review of the risk register

### **3.0 Reasons for Recommendations**

3.1 Compliance with the Joint Committee's Risk Management Strategy

### **4.0 Financial Implications**

4.1 None at this time

### **5.0 Legal Implications**

5.1 None at this time

### **6.0 Risk Management**

6.1 The risk register forms part of the Risk Management Strategy

### **7.0 Background and Options**

7.1 The Joint Committee is committed to avoiding risks that threaten its ability to undertake its principal objectives in a way which provides quality and value. It will maintain a sufficient level of reserves to support liquidity and absorb short term fluctuations in income and expenditure beyond its control.

7.2 The Joint Committee has established a Risk Management Strategy which includes the review of the risk register.

### **8.0 Recommendation**

The Joint Committee is asked to note the current review of the risk register.

**9.0 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)

RISK REGISTER  
JANUARY 2016

Rank	Risk Description	Consequence Description	Risk Impact	Likelihood	Score	Key Controls In Place	Assurances	Response	Previously Reported Status	Current Status	Further Actions to be taken to Manage Risk Better	Lead
1.	Unforeseen significant fluctuations in income and assurance on service charge income	Inability to meet financial obligations	4	2	8	Audit figures on which to base forecasts. Historical data on which to base forecasts. Reserve policy in place Bad debt policy	Internal & External Audit Reports Committee Reports	Treat			Continued forecasting, budget monitoring and cashflow analysis. Monitor new jurisdictions.	D
2.	Inability of IT to support needs of organisation and technology users (including data protection)	Reduced effectiveness and efficiency for tribunal, councils and appellants.	3	3	9	Robust hosting and support arrangements in place. In-house IT team providing first line support. Registered with the Information Commissioner. Frequent reporting of appeal portal development and progress.	Performance Reports IT hardware replacement programme. Technology Reserves in place under regular review by Joint Committee and Resources sub-committee. Feedback from appellants and authorities to inform future	Treat			Feedback will continue to be collated. Refinements and developments continue Privacy impact assessment to be undertaken. A programme to roll out the portal is being implemented.	D

RISK REGISTER  
JANUARY 2016

							development. The tribunal web site and portal explains to the parties how information will be shared. Legacy system will be in place for 2015/16.					
3.	Loss of key members of management and staff	Disruption to operations Management of vacancies Project and operational targets affected	3	3	9	Clearly defined roles with flexibility to provide cover. Documented procedures Arrangements for temporary cover Arrangements in place to extend cover. Resources Sub Committee and Working Group established.	Committee Reports	Treat			Implement staff restructure.	D
4	Insufficient adjudicator/ staff resources to meet demand	Inability to meet targets Pressure to reach	3	2	6	Monitoring of demand and performance Staff	Resources Sub Committee and Working	Treat			Review adjudicators and staff in the light of the roll out of the new appeal portal and case	CA/D

RISK REGISTER  
JANUARY 2016

		decisions may result in increased number of judicial reviews				recruitment, induction, training and appraisal. Contingency Planning	Group in place Committee Reports  Training for new adjudicators complete.  Development of the portal will increase efficiency of the appeals process			management system and the need to address succession.	
5	Achievement of Key Objectives	Failure to achieve key objectives	3	3	9	Leadership team established focussing on key objectives.	Internal & External Audit Reports Committee Reports Secondment to fill Authority Engagement Manager roll to support the take up of BECK by local authorities.	Treat		Recruit to senior management posts.  Implement review of management structure supported by external consultancy where required.	D

CA = Chief Adjudicator D - Director

Note 1 The Risk Register is underpinned by the Risk Management Strategy and should be read in conjunction with business continuity planning arrangement  
Risks that have been downgraded in accordance with the Risk Management Strategy following the report to September 2011 Joint Committee

RISK REGISTER  
JANUARY 2016

	Effective Financial and Resource Management including spending within agreed budgets	Financial instability	2	2	4	Historical data on which to base forecasts.  Specified role for budget holders in budget monitoring.  Recommendations from Internal Audit	Internal & External Audit Reports  Committee Reports	Treat			Impact of revisions to budget management  Internal Audit Annual Plan for 2011/12.
	Change in government policy	Change in direction for traffic regulations/adjudication	5	1	5	Establishing and maintaining dialogue with relevant government departments, responding to consultation, participation in working groups	Committee Reports	Tolerate			None at this time
	Health and Safety Breach	Risk to welfare of adjudicators, appellant, staff  Disruption to tribunal operation	3	1	3	Health and Safety policy in place.  Procedures in place for monitoring risk/handling incidents which may be a threat to health and security.  Business Continuity Plan in place.	Reporting requirements for Health and Safety Matters	Treat			None at this time

RISK REGISTER  
JANUARY 2016

**Risk Impact Details**

Name		Description
1	Immaterial	Loss of up to £10k; examples include little effect on service delivery; no health and safety impact; no damage to reputation.
2	Minor	Loss of £10k to £50k; examples include minor disruption to effective service delivery i.e. staff in unplanned absence for up to one week; minor injury; no requirement for professional medical treatment; slight damage to reputation.
3	Moderate	Loss of £50k to £250k; examples include delays in effective service delivery i.e. adjustments to work programmes in up to one week or staff long term absence; injury to an individual(s) requiring professional medical treatments; reputation damage is localised and minor.
4	Significant	Loss of £250k to £500k; examples include effective service delivery is disrupted in specific areas of the business; multiple serious injuries requiring professional medical treatment; reputation damage occurs with key stakeholders.
5	Major	Loss of £500k +; examples include effective service delivery is no longer achievable, fatality of staff, visitor or public; reputation damage is irrecoverable i.e. regulatory body intervention.

**Likelihood**

Description	Probability	Indicators
5. Highly Probable	> 80%	<input type="checkbox"/> Is expected to occur in most circumstances <input type="checkbox"/> Circumstances frequently encountered – daily/weekly/monthly/annually <input type="checkbox"/> Imminent/near miss
4. Probable/ Likely	60% - 80%	<input type="checkbox"/> Will probably occur in many circumstances <input type="checkbox"/> Circumstances occasionally encountered but not a persistent issue (e.g. once every couple/few years) <input type="checkbox"/> Has happened in the past or elsewhere
3. Possible	40% - 60%	<input type="checkbox"/> Not expected to happen, but is possible (once in 3 or more years) <input type="checkbox"/> Not known in this activity
2. Unlikely	20% - 40%	<input type="checkbox"/> May occur only in exceptional circumstances <input type="checkbox"/> Has rarely / never happened before <input type="checkbox"/> Force majeure
1. Remote	20%	<input type="checkbox"/> The risk will not emerge in any foreseeable circumstance

RISK REGISTER  
JANUARY 2016

The evaluation process will highlight the key risks that require urgent attention. However, all the risks need to be considered and action agreed, even if this is to take no action at the current time. The options are either to: Tolerate, Treat, Terminate or Transfer each risk.

- Tolerate the risk (accept it)** – some low scoring risks may be considered as acceptable, but these need to be reviewed on a regular basis to confirm that the circumstances have not changed.
- Treat the risk (reduce by control procedures)** – the risk can be considered acceptable provided the control mechanisms work.
- Terminate the risk (cease or modify the method of delivery)** – where risks are unacceptable and control mechanisms will not provide adequate security, the activity or the method of delivery must be modified.
- Transfer the risk** – through insurance of financial contingency provision.

**MEASUREMENT OF RISK AND REPORTING**

**Risk Matrix**

		Consequence				
		5	4	3	2	1
Likelihood	5	25	20	15	10	5
	4	20	16	12	8	4
	3	15	12	9	6	3
	2	10	8	6	4	2
	1	5	4	3	2	1

**Legend:**

Score of 25 equates to **Extreme Risk**: Immediate escalation to Director for urgent consideration by Joint Committee.

Scores of 20-15 **High Risk**: Risk to be escalated to the Joint Committee/Executive Sub Committee with mitigating action plan. Risk to be actively managed by Director and Advisory Board.

Scores of 12-6 **Medium Risk**: Risk to be captured on Risk Register and progress with mitigation to be tracked by Director and Advisory Board/Joint Committee/Executive Sub Committee.

Scores of 5 and below **Low Risk**: Risk to be removed from register and managed within appropriate services.

## **PATROL ADJUDICATION JOINT COMMITTEE & BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE EXECUTIVE SUB COMMITTEES**

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**Date of Meeting:** 27<sup>th</sup> January 2016

**Report of:** The Director on behalf of the Advisory Board

**Subject/Title:** Appointments to the Advisory Board

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### **1.0 Report Summary**

1.1 This report sets out the terms of reference for the Advisory Board and recommendations for a new appointment for 2016

### **2.0 Recommendation**

2.1 That the Joint Committee approves the new appointment of Ian Hughes (Calderdale Council) as the Metropolitan Council representative on the Advisory Board.

### **3.0 Reasons for Recommendations**

3.1 The Joint Committee and its Executive Sub Committee may approve nominations to the Advisory Board.

### **4.0 Financial Implications**

4.1 The budget makes provision for the Advisory Board

### **5.0 Legal Implications**

5.1 The Joint Committee's governance arrangements make provision for the appointment of an Advisory Board

### **6.0 Risk Management**

6.1 The Advisory Board scrutinises the Joint Committee's Risk Management Strategy and associated documentation.

### **7.0 Background and Options**

7.1 The Standing Orders provide for the Joint Committee to establish and appoint an Advisory Board comprising the Lead Officer and other such officers and persons appointed by the Joint Committee to advise it on its functions.

7.2 The terms of reference of the Advisory Board are set out in Appendix 1.

## **8.0 Recommendation**

That the Joint Committee approves the new appointment of Ian Hughes (Calderdale Council) as the Metropolitan Council representative on the Advisory Board.

## **9.0 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

**Appendix 1**

**PATROL ADJUDICATION SERVICE  
& BUS LANE ADJUDICATION SERVICE  
ADVISORY BOARD**

**Terms of Reference**

1. To assist and advise the Joint Committees on the overall policies and strategies for administering the adjudication service and on their responsibilities under
  - section 81 of the Traffic Management Act 2004 (TMA) and Regulations 17 and 18 of The Civil Enforcement of Parking Contraventions (England) General Regulations 2007 (the English General Regulations);
  - section 81 of the TMA and Regulations 16 and 17 of the Civil Enforcement of Road Traffic Contraventions (General Provisions) Wales Regulations 2013 (the Welsh General Provisions Regulations);
  - Regulations 12 and 13 of The Road User Charging Schemes (Penalty Charges, Adjudication and Enforcement) (England) Regulations 2013 (the Road User Charging Regulations).

These functions are exercised through PATROL in accordance with Regulation 16 of the English General Regulations and Regulation 15 of the Welsh General Provisions Regulations.

2. The Advisory Board has no remit to consider or influence decisions of adjudicators and the function of the adjudication service as an Independent Tribunal.
3. To receive and monitor progress against the Performance Management Strategy produced by the Director and to review the service structure, organisation and administration and to scrutinise recommendations for changes before they are put before the Joint Committees.
4. To monitor and review the service capital and revenue budgets and to scrutinise recommendations for changes before they are put before the Joint Committees.
5. To assist and advise the Director on the preparation of an annual service plan
6. The Board shall consist of always the Lead Officer plus up to eleven people:
  - Seven representatives of local authorities as follows:

- At least one representing an English Authority
  - At least one representing a Welsh Authority
  - At least one representing a District Council
  - At least one representing a County Council
  - At least one representing a Unitary or Metropolitan Council
  - At least one representing a Civil Bus Lane Enforcement Council.
- A representative from the Department for Transport (road user charging).
  - A representative from the Department for Transport (non-road user charging)
  - A representative from the Welsh Government (WG).
  - A representative from a motoring association.
  - An independent person with knowledge of judicial or tribunal systems.
  - An independent consumer representative

The DfT, WG, Motoring Association and Independent members would act as ex-officio members.

The Joint Committees shall make appointments to the Advisory Board based on recommendations received from the Advisory Board. Such appointments are to be for four years but may be subject to reappointment. Except for the Lead Officer, members shall retire on a four-year rotation cycle.

The Advisory Board shall recommend to the Joint Committees representatives of an appropriate motoring organisation and appropriate independent persons who should sit on the Board.

The DfT shall nominate a specific representative for road user charging.

The DfT and WG Transport Directorate shall nominate its own representatives.

Advisory Board members should not be day-to-day managers of parking services and should where possible include representatives from legal and financial backgrounds as well as those responsible for parking.

The Board shall elect a Chairman, a Vice-Chairman and a Secretary from within the membership of the Board.

Where a representative has been unable to attend three consecutive meetings, the Chair will draw this to the attention of the Board to determine whether an alternative representative should be sought.

## **PATROL ADJUDICATION JOINT COMMITTEE & BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE EXECUTIVE SUB COMMITTEES**

---

**Date of Meeting:** 27<sup>th</sup> January 2016  
**Report of:** The Director on behalf of the Advisory Board  
**Subject/Title:** General Progress and Service Standards

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### **1.0 Report Summary**

- 1.1 To provide a summary of appeals activity for the seven month period to 31<sup>st</sup> October 2015

### **2.0 Recommendations**

- 2.1 To note the seven month summary of appeals information at Appendix 1.

### **3.0 Reasons for Recommendations**

- 3.1 To inform the Joint Committees of appeals activity

### **4.0 Financial Implications**

- 4.1 The volumes of appeals have been reflected in the budget monitoring and budget setting reported separately.

### **5.0 Legal Implications**

- 5.1 None

### **6.0 Risk Management**

- 6.1 None

### **7.0 Background and Options**

- 7.1 The Joint Committee has a set of performance standards which are reported against. The enclosed report provides an overview of appeals activity for the seven months to 31<sup>st</sup> October 2015 which includes appeals handled in both the legacy case management system and the on-line portal and case management system, BECK (Best Evidence Cloud Knowledge).

### **8.0 Recommendations**

- 8.1 To note the seven month summary of appeals activity at Appendix 1

**9.0 Reasons for Recommendations**

9.1 To inform the Joint Committees of appeals.

**10.0 Access to Information**

10.1 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)

**PATROL ADJUDICATION JOINT COMMITTEE &  
BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE**

**General Progress and Service Standards**

Appeal Summary 1 April 2015 – 31 October 2015

**1. Background**

The Tribunal aims to be user-focused, efficient, timely, helpful and readily accessible. The following provides a summary of appeals activity for the seven month period April 2015 to October 2015.

The on-line portal has now been rolled out to 32 authorities plus Dartcharge.

This phase has provided a proof of concept that it is possible to transform the handling of appeals for all users: appellants, authorities and the tribunal. From the perspective of the Joint Committee’s existing reporting framework, it has meant:

- a) The requirement to monitor acknowledgement of appeals is less relevant as acknowledgement is instantaneous through the portal.
- b) The timeframes for appeals handling have shortened significantly which will make the existing “performance” timescales less relevant

The report will highlight where the results apply only to cases dealt with through the legacy system and where it includes the new system, BECK.

A revised reporting framework will be developed in the light of experience with BECK during 2015/16 and presented to the Joint Committees’ annual meetings in July 2016.

**2. Appeals Summary April 2015 to October 2015**

The table below shows the total number of cases and witness statements received by the Tribunal between for the years 2013/14 and 2014/15, and the 7 months April 2015 to October 2015.

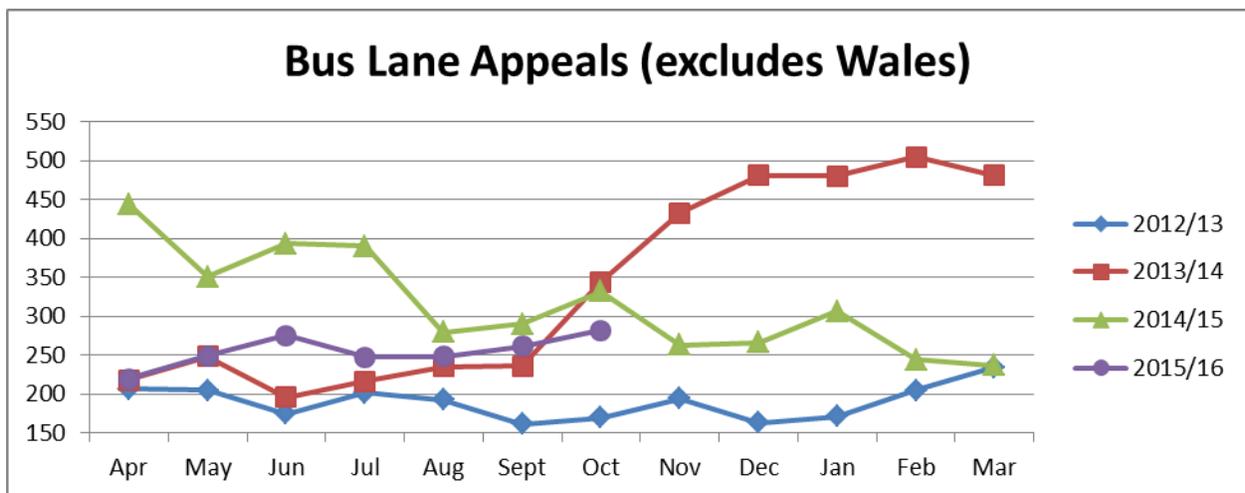
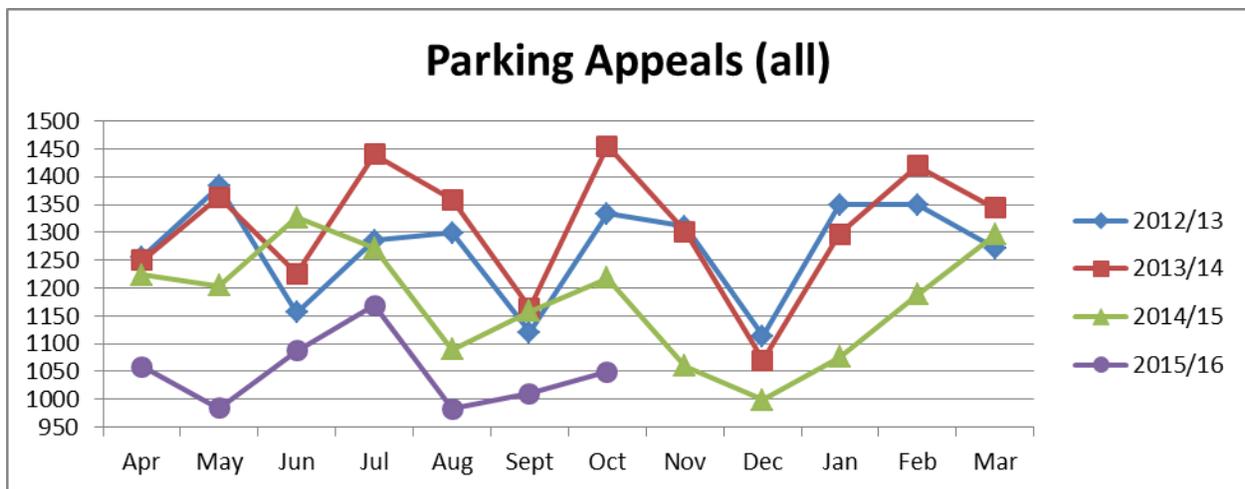
Parking appeals showed a decrease of 9.7% (between 13/14 and 14/15). Bus Lanes appeals reduced by 7.4% over the same period. The overall reduction in cases was 7.7%.

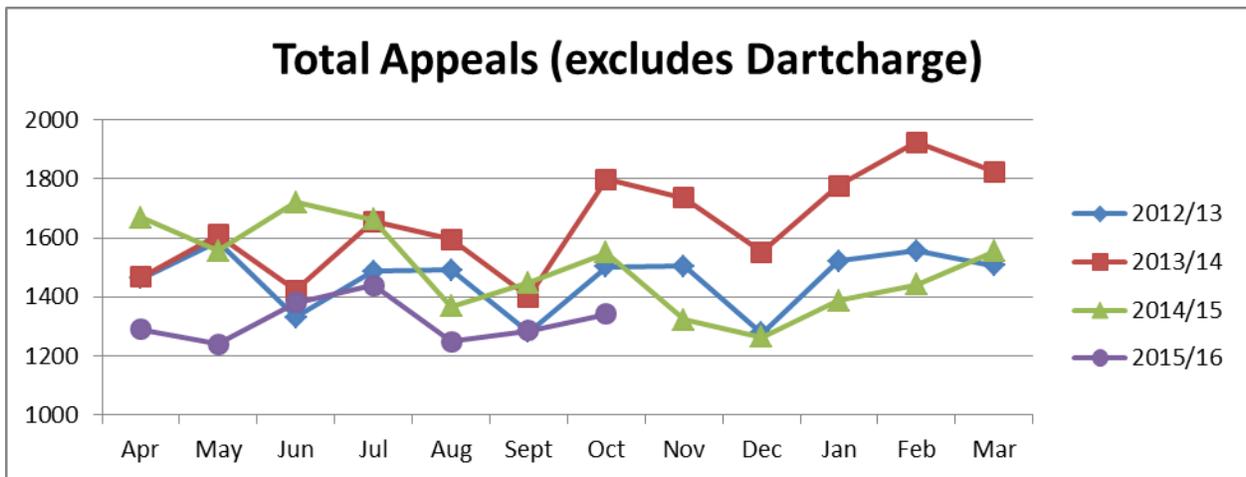
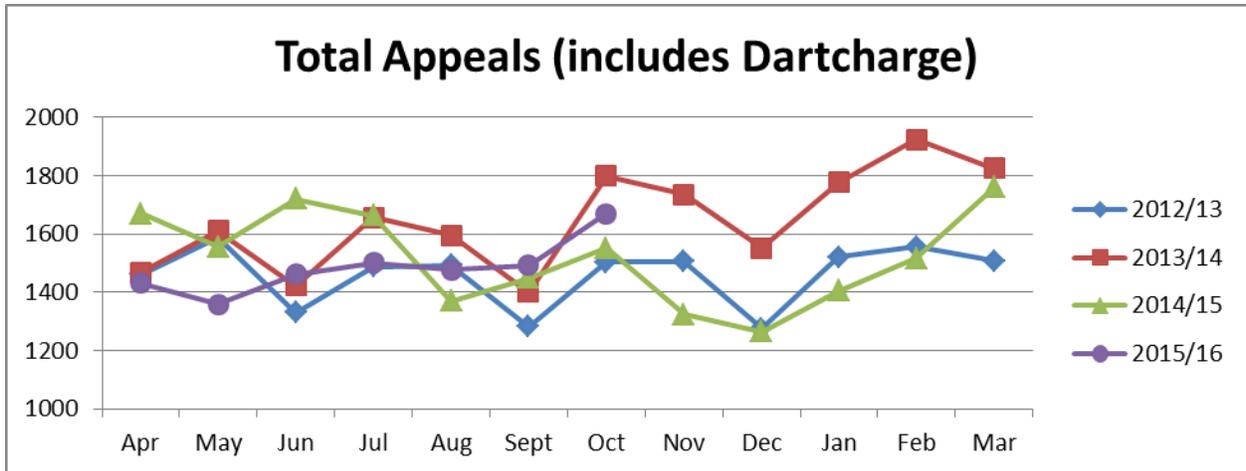
	<b>Parking</b>	<b>Bus Lane (England and Wales) + Moving Traffic (Wales only)</b>	<b>Dart Charge</b>	<b>Total</b>
Apr 2013 – Mar 2014	15,631	4,139	n/a	19,770
Apr 2014 – Mar 2015	14,111	3,832	295	18,238
Apr 2015 – Oct 2015 (7m)	7,341	1,883	1,164	10,388

The table below shows the comparison of appeals received April to October 2015, compared to the same period last year:

	7m to Oct 2015	7m to Oct 2014	% change
Parking	7,341	8,492	-13.50%
Bus Lanes – England & Wales	1,781	2,479	-28.16%
Dart Charge	1,164	0	n/a
Moving Traffic (Wales)	102	0	n/a
<b>TOTAL</b>	<b>10,338</b>	<b>10,971</b>	<b>-5.77%</b>

The following graphs set out trends across the different appeal types:





### 3. Acknowledgement of Appeals (legacy system only)

The nature of the new appeals and case management system means that both parties to an appeal receive an instant electronic notification of a new appeal therefore it is not necessary to measure appeal acknowledgement rates for BECK. Acknowledgement of appeals has remained extremely high in the legacy system at 99% for the seven month period 2015/16.

Period	Actual	Target
2013/14	99%	95% within 2 working days
2014/15	99%	95% within 2 working days
2015/16 (7m)	99%	95% within 2 working days

### 4. Hearing Types

This shows the percentage of actual hearings which took place by type. Cases not contested by council or withdrawn are excluded. The introduction of BECK was based on a fundamental review of business processes. Previously appellants were asked to confirm their hearing request at the beginning of the process whereas in BECK this issue is raised following the submission of authority evidence. Experience to date in BECK suggests a reduction in requests for hearings, and a switch from Face to Face Hearings to Telephone Hearings where a hearing takes place.

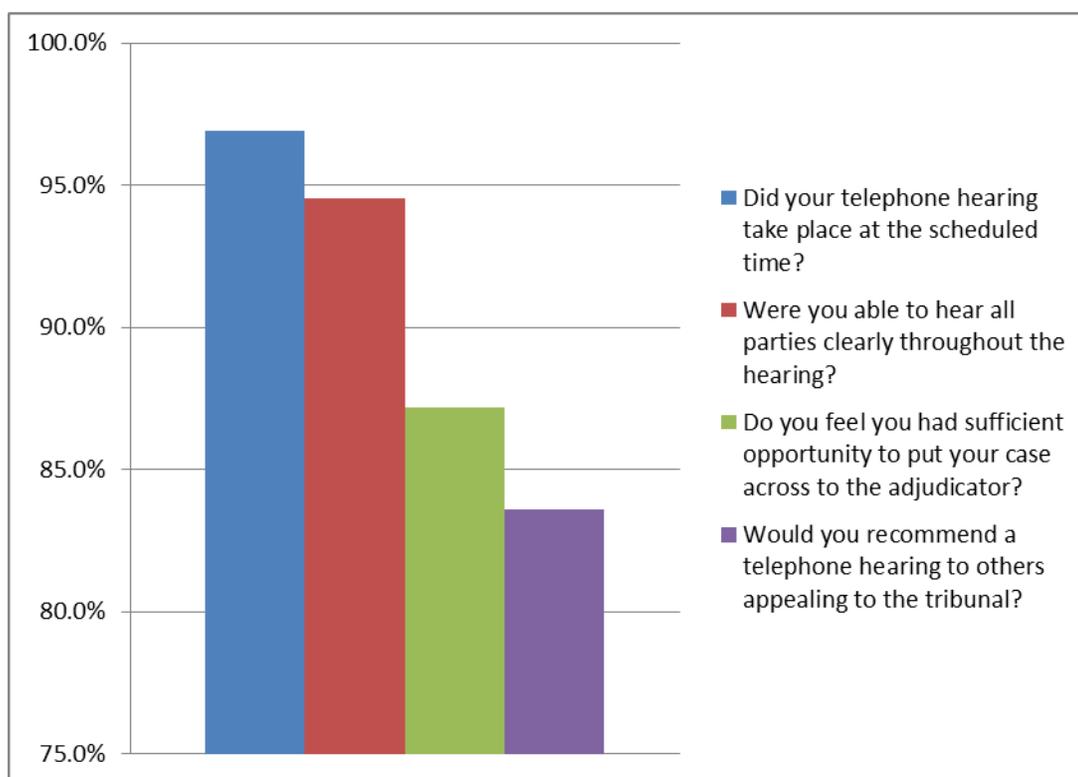
Type of Hearing	AIMS 2014/15 12m	AIMS 2015/16 6m	BECK 2014/15 8m	BECK 2015/16 7m
E-decision	<b>67%</b>	<b>68%</b>	<b>87%</b>	<b>77%</b>
Telephone hearing	<b>21%</b>	<b>21%</b>	<b>9%</b>	<b>13%</b>
Face to face hearing	<b>12%</b>	<b>11%</b>	<b>4%</b>	<b>9%</b>

Note: BECK figures exclude Dart Charge

**5. Feedback**

5.1 Feedback from appellants who have participated in a telephone hearing continues to be positive.

**Feedback Received from Telephone Hearings April 2015 to date:**



5.2 Obtaining feedback in relation to BECK has been an ongoing process in terms of how user friendly the portal is for appellants including corporate appellants. Once appellants are using the portal, early findings indicate that it is intuitive.

*Thank you for a swift decision and to reiterate my thanks to all concerned for their advice and guidance throughout the process. Although the decision went against me I feel that I've received a fair hearing and can't fault the process.*

5.3 Statistics are, however, showing a sustained drop in the number of appeals being submitted to the tribunal.

Research has been commissioned from Professor John Raine of Birmingham University to assist with understanding the causes of this drop. Professor Raine also conducted the Tribunals previous user survey in 2003.

The 2015 survey will consult with three groups:

- Motorists who received a Notice of Rejection from an authority but did not appeal, to gain an understanding as to why they did not appeal

- Motorists who did appeal through the on-line portal, to gain an understanding of their views on the appeal process
- Motorists who received a Notice of Rejection, contacted the Tribunal but still did not appeal, to gain an understanding of why they did not submit an appeal

5.4 A survey to ascertain council experience of both transferring to the portal and using the portal to manage cases has been undertaken with very positive results:

86% of responses confirmed that authorities felt well prepared to go live on BECK. 86% of responses marked the training delivered as Very Good or Excellent. All responses rated the support at Go Live, Good or better.

In terms of time saved per case, comparing old processes against using the portal, the following responses were received:

Time saved per case:	Responses:
None	0.00%
1-30 minutes	28.57%
30 to 60 minutes	14.29%
1 to 2 hours	14.29%
More than 2 hours	42.86%

## 6. Case Closure (Legacy System)

Appealing to the Traffic Penalty Tribunal is a judicial process and, as such, it is not appropriate to set out rigid timescales for deciding appeals, however the tribunal's objective is to "To provide a tribunal service which is user-focused, efficient timely, helpful and readily accessible". In June 2007 the Joint Committee approved the following targets:

### Face to face hearings

60% of cases to be offered a face to face hearing date within 8 weeks of receipt of the Notice of Appeal.

90% of cases to be offered a face to face hearing date within 12 weeks of receipt of the Notice of Appeal

### E-decision Decisions

80% of decisions without a hearing to be made within 7 weeks of receipt of the Notice of Appeal.

The reports on case closure include all cases which were registered in the period and have been decided, including cases which have not been contested. This data will include cases that have been delayed for the following reasons.

**a) Requests from parties to the appeal:**

- Additional time to submit evidence
- Requests for adjournment of hearings
- Inconvenience of hearing time/venue
- Availability of witnesses

**b) Adjudicators may require:**

- Adjournments for additional evidence or submissions
- A face to face hearing supplemented by a later telephone hearing to consider additional evidence.
- Consolidation of cases which relate to a common issue.
- Holding cases pending a particular Decision of the Traffic Penalty Tribunal or High Court

The following tables provide case closure times in respect of: Parking (England), Parking (Wales) and Bus Lanes (England) and Bus Lanes and Moving Traffic (England and Wales).

**a) Parking Appeals (England):**

**Cases decided by e-decision:**

<b>Measure</b>	<b>April 2012 to March 2013</b>	<b>April 2013 to March 2014</b>	<b>April 2014 to March 2015</b>	<b>April 2015 to Oct 2015 (7m)</b>
Average number of weeks between registration of appeal and decision issued	5.35 weeks	5.03 weeks	4.85 weeks	4.51 weeks
Cases with less than 7 weeks between registration and decision (e-decision target)	80.81%	83.84%	84.18%	87.25%
Cases with less than 12 weeks between registration and decision	96.03%	96.43%	96.99%	97.22%

## Cases decided through a telephone hearing:

<b>Measure</b>	<b>April 2012 to March 2013</b>	<b>April 2013 to March 2014</b>	<b>April 2014 to March 2015</b>	<b>April 2015 to Oct 2015 (7m)</b>
Average number of weeks between registration of appeal and decision issued	9.08 weeks	8.51 weeks	6.74	6.00 weeks
Cases with less than 8 weeks between registration and decision (telephone target)	58.33%	61.47%	81.18%	87.15%
Cases with less than 12 weeks between registration and decision (telephone target)	83.79%	89.16%	95.77%	97.43%

## Cases decided through a face to face hearing:

<b>Measure</b>	<b>April 2012 to March 2013</b>	<b>April 2013 to March 2014</b>	<b>April 2014 to March 2015</b>	<b>April 2015 to Oct 2015 (7m)</b>
Average number of weeks between registration of appeal and decision issued	13.79 weeks	12.75 weeks	11.40 weeks	10.81 weeks
Cases with less than 8 weeks between registration and decision (face to face target)	18.06%	25.40%	25.22%	30.88%
Cases with less than 12 weeks between registration and decision (face to face target)	53.69%	60.02%	68.59%	72.30%

**b) Parking Appeals (Wales)****Cases decided by e-decision:**

<b>Measure</b>	<b>April 2012 to March 2013</b>	<b>April 2013 to March 2014</b>	<b>April 2014 to March 2015</b>	<b>April 2015 to Oct 2015 (7m)</b>
Average number of weeks between registration of appeal and decision issued	5.50 weeks	4.63 weeks	3.89 weeks	4.20 weeks
Cases with less than 7 weeks between registration and decision (e-decision target)	82.82%	86.80%	91.25%	86.02%
Cases with less than 12 weeks between registration and decision	92.84%	96.89%	99.47%	95.70%

**Cases decided through a telephone hearing:**

<b>Measure</b>	<b>April 2012 to March 2013</b>	<b>April 2013 to March 2014</b>	<b>April 2014 to March 2015</b>	<b>April 2015 to Oct 2015 (7m)</b>
Average number of weeks between registration of appeal and decision issued	8.41 weeks	9.04 weeks	7.85 weeks	6.38 weeks
Cases with less than 8 weeks between registration and decision (telephone target)	65.33%	57.78%	64.56%	84.38%
Cases with less than 12 weeks between registration and decision (telephone target)	86.67%	91.11%	94.94%	93.75%

## Cases decided through a face to face hearing:

<b>Measure</b>	<b>April 2012 to March 2013</b>	<b>April 2013 to March 2014</b>	<b>April 2014 to March 2015</b>	<b>April 2015 to Oct 2015 (7m)</b>
Average number of weeks between registration of appeal and decision issued	13.23 weeks	14.85 weeks	12.66 weeks	10.31 weeks
Cases with less than 8 weeks between registration and decision (face to face target)	30.19%	13.70%	24.59%	26.92%
Cases with less than 12 weeks between registration and decision (face to face target)	56.60%	45.21%	63.93%	76.92%

## c) Bus lane appeals (England):

## Cases decided by e-decision:

<b>Measure</b>	<b>April 2012 to March 2013</b>	<b>April 2013 to March 2014</b>	<b>April 2014 to March 2015</b>	<b>April 2015 to Oct 2015 (7m)</b>
Average number of weeks between registration of appeal and decision issued	5.81 weeks	5.97 weeks	5.05 weeks	4.49 weeks
Cases with less than 7 weeks between registration and decision (e-decision target)	76.17%	72.61%	80.65%	86.82%
Cases with less than 12 weeks between registration and decision	94.26%	92.11%	96.43%	97.16%

## Cases decided through a telephone hearing:

<b>Measure</b>	<b>April 2012 to March 2013</b>	<b>April 2013 to March 2014</b>	<b>April 2014 to March 2015</b>	<b>April 2015 to Oct 2015 (7m)</b>
Average number of weeks between registration of appeal and decision issued	10.01 weeks	9.48 weeks	7.49 weeks	6.08 weeks
Cases with less than 8 weeks between registration and decision	48.18%	53.70%	72.04%	85.77%
Cases with less than 12 weeks between registration and decision	79.87%	82.58%	91.03%	97.07%

## Cases decided through a face to face hearing:

<b>Measure</b>	<b>April 2012 to March 2013</b>	<b>April 2013 to March 2014</b>	<b>April 2014 to March 2015</b>	<b>April 2015 to Oct 2015 (7m)</b>
Average number of weeks between registration of appeal and decision issued	14.15 weeks	12.45 weeks	11.44 weeks	11.15 weeks
Cases with less than 8 weeks between registration and decision (face to face target)	11.68%	23.96%	27.16%	23.17%
Cases with less than 12 weeks between registration and decision (face to face target)	47.20%	59.45%	66.26%	74.39%

**8. BECK initial findings on case closure and hearing types:**

The BECK portal and case management system has resulted in a new way of handling appeals with instant messaging and all parties having access to the same information and evidence at once. The adjudicator is able to adopt a more inquisitorial approach. The following tables indicate the truncation of timescales when compared to the legacy system.

These tables cover the period 1 April 2015 – 31 October 2015

**Numbers of cases closed and time to close in BECK:****All appeal types including Dartford Crossing:**

Time to close case	% of cases closed	Cumulative % of cases closed
Up to 1 day	5.3%	5.3%
1-2 days	4.4%	9.8%
2-4 days	10.7%	20.5%
4-7 days	12.0%	32.5%
7-10 days	7.1%	39.6%
10-14 days	10.3%	49.9%
14-21 days	14.8%	64.7%
21-28 days	12.2%	76.9%
28 days +	23.1%	100.0%

**Dartford Crossing only:**

Time to close case	% of cases closed	Cumulative % of cases closed
Up to 1 day	7.3%	7.3%
1-2 days	8.1%	15.4%
2-4 days	19.5%	34.9%
4-7 days	19.4%	54.2%
7-10 days	9.0%	63.3%
10-14 days	10.9%	74.1%
14-21 days	15.6%	89.8%
21-28 days	5.0%	94.7%
28 days +	5.3%	100.0%

**England – Parking:**

Time to close case	% of cases closed	Cumulative % of cases closed
Up to 1 day	3.7%	3.7%
1-2 days	1.4%	5.2%
2-4 days	4.5%	9.7%
4-7 days	6.6%	16.2%
7-10 days	5.7%	21.9%
10-14 days	10.6%	32.5%
14-21 days	13.8%	46.3%
21-28 days	16.2%	62.5%
28 days +	37.5%	100.0%

**England – Bus Lanes:**

Time to close case	% of cases closed	Cumulative % of cases closed
Up to 1 day	4.5%	4.5%
1-2 days	1.9%	6.4%
2-4 days	2.9%	9.2%
4-7 days	4.5%	13.7%
7-10 days	6.1%	19.7%
10-14 days	9.6%	29.3%
14-21 days	14.0%	43.3%
21-28 days	22.3%	65.6%
28 days +	34.4%	100.0%

**Parking – Wales:**

Time to close case	% of cases closed	Cumulative % of cases closed
Up to 1 day	0.0%	0.0%
1-2 days	0.0%	0.0%
2-4 days	0.0%	0.0%
4-7 days	7.4%	7.4%
7-10 days	7.4%	14.8%
10-14 days	3.7%	18.5%
14-21 days	7.4%	25.9%
21-28 days	37.0%	63.0%
28 days +	37.0%	100.0%

**Bus Lanes and Moving Traffic – Wales:**

Time to close case	% of cases closed	Cumulative % of cases closed
Up to 1 day	1.6%	1.6%
1-2 days	0.0%	1.6%
2-4 days	0.0%	1.6%
4-7 days	9.8%	11.5%
7-10 days	1.6%	13.1%
10-14 days	3.3%	16.4%
14-21 days	18.0%	34.4%
21-28 days	18.0%	52.5%
28 days +	47.5%	100.0%

Average time taken to close cases in BECK (weeks) – England:

	Parking	Bus Lanes
E-Decision	3.00	3.3
Telephone Hearing	5.10	5.2
Face to Face Hearing	8.7	9.4
<b>All Cases</b>	<b>3.33</b>	<b>3.70</b>

Average time taken to close cases in BECK (weeks) – Wales:

	Parking	Bus Lanes and Moving Traffic
E-Decision	3.50	2.40
Telephone Hearing	4.00	3.10
Face to Face Hearing	10.40	4.61
<b>All Cases</b>	<b>3.96</b>	<b>2.50</b>

The total number of cases received in BECK (to 31.10.15):

<b>Parking</b>	<b>Bus Lanes</b>	<b>Moving traffic</b>	<b>Dartford</b>	<b>TOTAL</b>
<b>1,114</b>	<b>420</b>	<b>102</b>	<b>1,164</b>	<b>2,800</b>

The total number of hearings for BECK is shown below:

	<b>E-Decison</b>	<b>Face to Face</b>	<b>Telephone</b>	<b>TOTAL</b>
Including Dartford	1,558	94	135	1,787
Excluding Dartford	763	94	133	990

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