

## **BUS LANE ADJUDICATION JOINT COMMITTEE**

### **Agenda**

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**Date:** Tuesday 13<sup>th</sup> July 2021  
**Time:** 12.30 pm or the rise of the PATROL Adjudication Joint Committee Meeting  
**Venue:** TEAMS/ CHURCH House, Dean's Yard, London, SW19 3NZ

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**1. Appointment of Chair and Vice Chair**

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

**2. Apologies for Absence**

To receive apologies for absence.

**3. Declarations of Interest**

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

**4. Minutes of the meeting held 16<sup>th</sup> July 2019**

To approve the minutes of the Bus Lane Adjudication Service Joint Committee held 16<sup>th</sup> July 2019 (enclosed).

**5. Minutes of the meeting held 28<sup>th</sup> July 2020**

To note the minutes of the PATROL Adjudication and Bus Lane Adjudication Service Joint Committees' Resources Sub Committee meeting held 28<sup>th</sup> July 2020 (enclosed).

**6. Minutes of the meeting held 26<sup>th</sup> January 2021**

To note the minutes of the Bus Lane Adjudication Service Joint Committee Executive Sub Committee held 26<sup>th</sup> January 2021 (enclosed).

**7. Chair's Update**

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

**8. Chief Adjudicator's Update**

To receive an update from the Chief Adjudicator

**9. Draft Annual Return 2020/21**

To approve the draft annual return and note supporting documentation (enclosed)

## **Items common to PATROL and Bus Lane Adjudication Service Joint Committee**

### **10. Establishment of Executive Sub Committees**

To establish Executive Sub Committees and appoint members for the period until the annual meeting of the Joint Committee in July 2022 (enclosed).

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

To report on the PATROL and BLASJC Resources Working Group which met on 25<sup>th</sup> March 2021 and 24<sup>th</sup> June 2021 and to approve the updated Terms of Reference (enclosed).

### **12. General Progress Report**

To provide general information in respect of appeals activity and tribunal initiatives during 2020/2021 (enclosed).

### **13. Public Affairs Report**

To note the Public Affairs report during 2020/21 (enclosed).

### **14. Risk Management Strategy**

To note the latest review of the Risk Register (enclosed).

### **15. Review of Governance Documentation**

To review governance matters and documentation (enclosed)

### **16. Appointments to the Advisory Board**

To approve appointments to the Advisory Board for the period until the annual meeting of the Joint Committee in July 2022 (enclosed).

### **17. PATROL PACER ( Promoting Awareness of Civil Enforcement through Report) Awards**

To note that the awards have been deferred to October 2021.

### **18. Date of next meeting Thursday 14<sup>th</sup> October 2021**

**AGENDA ISSUED 5<sup>th</sup> July 2021**

Minutes of a meeting of the

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

held on Tuesday, 16th July, 2019 at The Bishop Partridge Hall, Church House, Dean's Yard, London SW1P 3NZ

### **PRESENT**

Councillor Tony Page (Reading Borough Council) in the Chair  
Councillor Graham Burgess – Hampshire County Council Vice Chair

Councillor Anne Pissaridou – Brighton & Hove City Council  
Councillor Jeanette Stephenson – Durham County Council  
Councillor Peter Davis – Oldham MBC  
Councillor John Woodman – Somerset County Council  
Councillor Alan Kerr – South Tyneside Council  
Councillor Lee Wanger – Stoke City Council  
Councillor Vera Waters – Walsall MBC

Marc Samways - Hampshire County Council  
Graham Addicott OBE - Vice Chair PATROL Advisory Board  
Paul Nicholls – Brighton & Hove City Council  
Charles Field – Brighton and Hove City Council  
Caroline Sheppard OBE - Traffic Penalty Tribunal  
Stephen Knapp - Deputy Chief Adjudicator  
Louise Hutchinson - Director PATROL  
Sarah Baxter - Cheshire East Council  
Iain Worrall - Traffic Penalty Tribunal  
Andy Diamond - PATROL

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

Consideration was given to the appointment of the Chair and Vice-Chair, Assistant Vice-Chair until the next meeting of the Joint Committee.

### **RESOLVED**

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

### **2 APOLOGIES FOR ABSENCE**

Apologies for absence were reported as follows:-

Councillor Neil Butters – BATHNES Councils  
Councillor Patricia Hetheron – Coventry City Council  
Councillor Phil Bibby – Hertfordshire County Council  
Councillor Alan Mcdermott – Kent County Council

### **3 DECLARATIONS OF INTEREST**

There were no declarations of interest.

### **4 MINUTES OF THE MEETING HELD ON 10 JULY 2018**

#### **RESOLVED**

That the minutes of the meeting held on 10 July 2018 be approved as a correct record.

### **5 MINUTES OF THE MEETING OF THE EXECUTIVE SUB COMMITTEE HELD ON 29 JANUARY 2019**

#### **RESOLVED**

That the minutes of the Bus Lane Adjudication Service Joint Committee Executive Sub-Committee held on 29 January 2019 be noted.

### **6 CHAIRMAN'S UPDATE**

The Chairman reported that three more Council's had become Members of the Bus Lane Adjudication Service Joint Committee: Doncaster MBC, Durham County Council and Stockport MBC.

In addition, he also reported that the Bus Lane Conference had taken place in March and if any Members wanted copies of the presentation then the Director of PATROL would be more than happy to circulate this.

#### **RESOLVED**

That the Chairman's update be noted.

### **7 CHIEF ADJUDICATOR'S UPDATE**

The Bus Lane Conference in March had considered bus lane locations which had generated higher numbers of penalty charge notices. In terms of 'hotspots', the question was asked as to how Council's dealt with these situations. In response it was stated that adjudicators did undertake site visits to those areas where there was an issue, as a result of an adjudicator's decision, changes to signage were often made. Had the

signage been correct in the first instance then there may well not have been as many penalties issued.

## **RESOLVED**

That the Chief Adjudicator's update be noted.

### **8 DRAFT ANNUAL RETURN 2018/19**

The draft annual return and its supporting documents were considered.

## **RESOLVED**

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

### **9 DRAFT RESERVES POLICY 2019/20**

Consideration was given to the Reserves Policy Statement for the Joint Committee for 2019/20.

## **RESOLVED**

1. That the Reserves Policy Statement for 2019/20 be approved and the total approved reserve level for 2019/20 of £235,227 also be

approved. This represented a 50.0% of the overall annual bus lane budget and compared to £254,028 for 2018/19 which represented 57.2%.

2. That approval be given to the balances of any surplus from 2019/20 being carried forward to 2020/2021.
3. That approval be given to the delegation of authority to the Chair and the Vice Chair for authorising the withdrawal of funds from PATROL Free Reserves to meet budgetary deficits.

## **10 ESTABLISHMENT OF EXECUTIVE SUB COMMITTEE**

This report sets out arrangements for each Joint Committee to establish an Executive Sub-Committee, and its Terms of Reference for the coming year.

### **RESOLVED**

1. That each Joint Committee establishes an Executive Sub-Committee to act on behalf of the Committee until the annual meeting in July 2020, in accordance with paragraph 2 and Appendix 1 of the PATROL papers, and that it appoints members of the Executive Sub-Committee for the forthcoming year.
2. That the first meeting of the Executive Sub Committees will be held on 29 October 2019 in London.
3. That reasonable travel expenses may be claimed for attending Executive Sub Committee meetings in accordance with the policy at Appendix 2 of the PATROL papers.

## **11 REPORT OF THE PATROL AND BLASJC RESOURCES WORKING GROUP**

The Committee considered the report of the PATROL and BLASJC Working Group meetings held on 2 April and 18 June 2019. The majority of the matters considered at those meetings were now reported in more detail elsewhere on the agenda.

### **RESOLVED**

1. That the matters discussed at the meeting held 2 April and 18 June 2019 be noted.
2. That the Terms of Reference for 2019/20, shown as Appendix 1 of the PATROL papers be noted.
3. That approval be given to 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.

## **12 GENERAL PROGRESS AND SERVICE STANDARDS**

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

### **RESOLVED**

That the progress report be noted.

## **13 PUBLIC POLICY UPDATE**

Consideration was given to a detailed overview of public affairs activity in 2018/19 and on that planned for the coming year.

### **RESOLVED**

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

## **14 APPOINTMENTS TO THE ADVISORY BOARD**

Members considered the Terms of Reference for the Advisory Board.

### **RESOLVED**

1. That the Terms of Reference and composition of the Advisory Board, as set out in the Appendix to the report of the PATROL papers, be approved.
2. That George Broughton, Cheshire East Council, Pat Knowles, South Lakeland Council and Ian Hughes, Calderdale Council be re appointed to the Advisory Board for the four-period to July 2023.

## **15 RISK MANAGEMENT AND BUSINESS CONTINUITY**

The Committee considered the current assessment of risk.

### **RESOLVED**

That the current assessment of risk be noted.

## 16 REVIEW OF GOVERNANCE

Consideration was given to the governance documentation and arrangements for its review.

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

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

29th October 2019  
28th January 2020  
14th July 2020

### **RESOLVED**

That the Joint Committees:

- i) Noted the update in relation to the review of the Main Agreements.
- ii) Noted the unchanged Schemes of Delegation to the Chief Adjudicator and the Director.
- iii) Approved the updated Memorandum of Understanding between the Adjudicators and the Joint Committee (Appendix 3-see Section 4).
- iv) Appointed persons to fulfil the function of the proper officer under the relevant regulations.
- v) Noted the proposed cycle of meetings for 2019/20, as reported above.

The meeting commenced at Time Not Specified and concluded at Time Not Specified



Minutes of a virtual meeting of the  
**PATROL and Bus Lane Adjudication Service Joint Committee**  
**Resources Sub Committee**  
Held on Tuesday 28 July 2020

**PRESENT**

Cllr Stuart Hughes (PATROL Chair), Devon County Council  
Cllr Martin King (PATROL Vice Chair), Wychavon District Council  
Cllr Terry Douris (PATROL Assistant Chair), Dacorum Borough Council,  
Cllr Tony Page, (BLASJC Chair), Reading Borough Council  
Marc Samways (Chair of Advisory Board), Hampshire County Council  
Graham Addicott OBE, (Vice Chair of Advisory Board)  
Paul Nicholls (Member of Advisory Board), Brighton & Hove City Council  
Caroline Sheppard OBE, Chief Adjudicator  
Iain Worrall, Traffic Penalty Tribunal  
Louise Hutchinson, Director PATROL  
Erica Maslen, PATROL  
Rachel Graves – Cheshire East Council (minutes)

**1. Apologies**

Apologies were received from:

Cllr John James (PATROL Assistant Chair Wales), Carmarthenshire County Council

**2. Declarations of Interest.**

No declarations of interest were made.

**3. PATROL (Parking and Traffic Regulations Outside London) Adjudication Joint Committee Draft Annual Return for the Year 2019/20**

The Draft Annual Return would have normally been approved at the Annual Meeting of the Joint Committee in July. However due to Covid-19, and in consultation with the Chair and External Auditors, it was determined that the Joint Committee's Resources Sub Committee would approve the draft Annual Return for 2019/20.

The Report and Appendix 1 set out the expenditure and income for 2019/20. Expenditure for 2019/20 was lower than budgeted by £260,583 (8%), whilst Income was £122,981 (3.5%) adverse to the budget. The Outturn for PATROL was a surplus of £169,537. It was proposed that this surplus be added to the Joint Committee's reserves.

Internal Audit was provided by Cheshire East Council. A copy of the Internal Audit Report for 2019/20 had been circulated in the agenda. The level of assurance for 2019/20 was confirmed as 'Good'. The Committee noted the four recommended actions, which were detailed in Appendix A to the Internal Audit Report.

**RESOLVED:** That the Sub Committee

- 1 note the outturn position against the 2019/20 budget included within the report (Appendix 1), which is subject to audit validation.
- 2 approve the surplus of income over expenditure of £169,537 being added to the Joint Committee's reserves, which excludes £157,265 being the total of Highways England (Dartford-Thurrock River Crossing) and Halton Borough Council (Mersey Gateway Bridge Crossing) surpluses which are ring-fenced to those charging authorities respectively.
- 3 determine that the Executive Sub Committee review the basis for defraying expenses following budget monitoring at the half-year point at their meeting in October 2020.
- 4 approve the 2019/20 draft Annual Return (Appendix 2), note the balance sheet and cash flow (Appendix 3) and the audit timetable.
- 5 note the Annual Internal Audit Report 2019/20 (Appendix 4).

**4. Bus Lane Adjudication Service Joint Committee Draft Annual Return for the Year 2019/20**

The Sub Committee considered Draft Annual Return for the Bus Lane Adjudication Service Joint Committee.

The Report and Appendix 1 set out the Expenditure and Income for 2019/20. Expenditure was higher than budgeted by £113,394 (24.1%), which was due to higher than anticipated recharge for costs from PATROL, in turn due to a higher than anticipated proportion of PCNs issued. Income was also higher than budget - £118,104 (23.5%), due to the higher than anticipated number of PCNs issued. Bank interest continued to out-perform budgetforecast giving rise to a positive variance of £1,881.

The Outturn for 2019/20 was a surplus of £35,666. It was proposed that this surplus be added to the Joint Committee's reserves.

**RESOLVED:** That the Sub Committee

- 1 note the outturn position against the 2019/20 budget included within the report (Appendix 1), which is subject to audit validation.
- 2 approve the surplus of income over expenditure of £35,666 being added to the Joint Committee's reserves.
- 3 determine that the Executive Sub Committee review the basis for defraying expenses following budget monitoring at the half-year point at their meeting in October 2020.
- 4 approve the 2019/20 draft Annual Return (Appendix 2), notes the balance sheet (Appendix 3) and cash flow (Appendix 4).

5 note the Annual Internal Audit Report 2019/20 reported under the previous item.

The Chair confirmed that the draft accounts for 2019/20 were now approved and that the final audited accounts would be presented to the meeting of the Executive Sub Committee in October 2020.

The meeting commenced at 10.45 am and concluded at 10.58 am

Minutes of a virtual meeting of the  
**Bus Lane Adjudication Service Joint Committee**  
**Executive Sub Committee**  
held on Tuesday, 26th January, 2021

**PRESENT**

Councillor Tony Page - Reading Borough Council in the Chair

**Councillors**

Councillor Neil Butters - BATHNES Council  
Councillor Steve Davies - Brighton & Hove City Council  
Councillor Laura Crane - Cheshire East Council  
Councillor Jeanette Stephenson - Durham County Council  
Councillor Graham Burgess - Vice Chair BLASJC Hampshire County Council  
Councillor Phil Bibby - Hertfordshire County Council  
Councillor Peter Davis - Oldham Metropolitan Borough Council  
Councillor Adele Williams – Nottingham City Council  
Councillor John Woodman - Somerset County Council  
Councillor Peter Robinson - Tameside MBC  
Councillor Vera Water - Walsall Metropolitan Borough Council

**Officers in attendance**

Graham Addicott OBE	Vice Chair PATROL Advisory Board
Paul Nicholls	PATROL Advisory Board Brighton & Hove City Council
Richard Waters	Carmarthenshire County Council
Sarah Baxter	Cheshire East Council
Rob Shoebridge	Derby City Council
Dana Bourne	Highways England
Marc Samways	PATROL Advisory Board
Andy Diamond	PATROL
Louise Hutchinson	PATROL
Laura Padden	PATROL
Erica Maslen	PATROL
Iain Worrall	Traffic Penalty Tribunal

**Councillors observing**

Councillor Jackie Taylor, Sandwell Metropolitan Borough Council  
Councillor Matt Furniss, Surrey County Council

## **55 APOLOGIES FOR ABSENCE**

Apologies for absence were received from:-

Carmarthenshire County Council, City of York Council, Coventry City Council, Hambleton District Council, Havant Borough Council, Stratford District Council, Sevenoaks District Council, Sunderland City Council and Wychavon District Council.

In addition apologies were received from George Broughton, Cheshire East Council.

## **56 DECLARATIONS OF INTEREST**

There were no declarations of interest.

## **57 MINUTES OF THE MEETING HELD 13 OCTOBER 2020**

### **RESOLVED**

That the minutes of the virtual meeting held on 13 October 2020 be approved as a correct record.

In respect of page 9 of the PATROL minutes – ‘Appointments to the Advisory Board’, the Director of PATROL reported the Sub Committee had appointed additional representatives to the Advisory Board and that a representative from Leeds City Council had been appointed to the Board in respect of their Clean Air Zones. However due to improvements in the air quality in Leeds the decision had been made not to introduce a charge in Clean Air Zones. As a result it was requested that the Assistant Director Chris Major of BATHNES be appointed to the Advisory Board until 2024. It was reported that BATHNES were one of the first Councils to introduce charges to Clean Air Zones.

### **RESOLVED**

That the appointment of Chris Major of BATHNES to the Advisory Board for a period of four years until the Joint Committees’ annual meeting in July 2024 be approved.

## **58 CHAIR'S UPDATE**

The Chairman welcomed Laura Patten’s appointment to the position of Director of PATROL. In addition he advised that Northumberland County Council had commenced bus lane enforcement.

## **59 BUDGET MONITORING 2020/21**

Consideration was given to a report on the income and expenditure and forecast reserves information as of 30 November 2020.

### **RESOLVED**

1. That the income and expenditure position at 30 November 2020 be noted.

2. That the information on previous year surpluses and the current and forecast reserve position be noted.

## **60 BUDGET FOR 2021/22**

Consideration was given to a report on the budget estimates for 2021/22.

### **RESOLVED**

That the budget estimates for 2021/22 as detailed in Appendix 1 of the report be adopted.

## **61 RESERVES POLICY STATEMENT 2021/22**

Consideration was given to a report on the Reserves Policy Statement for 2021/22.

### **RESOLVED**

That the Reserves Policy Statement for 2021/22 and the total approved reserve level for 2021/22 of £338,899 which represented 50.0% of the overall budget be approved.

## **62 DEFRAYING THE EXPENSES OF THE JOINT COMMITTEE 2021/22**

Consideration was given to a report on defraying the expenses of the Joint Committee 2021/22.

### **RESOLVED**

1. That the rate of 30 pence per PCN be maintained and reviewed at the meeting in October 2021 in the light of six-months income and expenditure information.

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

3. That the basis for defraying expenses in October 2021 would be reviewed in the light of six month's income and expenditure.

4. Invoicing would be undertaken based on monthly submissions from authorities introduced in 2020/21 in the light of the impact of the pandemic.

5. That the decision to provide a transcription from the audio recording of proceedings rests with the Adjudicator be noted. Where this had been agreed to, the Joint Committee agreed that the incidental costs of making a transcription from the audio recordings of the proceedings at a hearing was 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.

### **63 PATROL AND BLASJC RESOURCES WORKING GROUP AND SUB COMMITTEE**

Consideration was given to a report on the PATROL and BLASJC Resources Working Group meetings held since the meeting of the Executive Sub Committee in October 2020.

The July 2019 meetings of the Joint Committees had resolved that the Resources Sub Committee and Working Group would oversee a number of initiatives and report to the Joint Committees and their Executive sub Committees.

#### **RESOLVED**

1. That the matters discussed at the meetings since the Executive Sub Committee met in October 2020 be noted.

2. That approval be given to the Resources Sub Committee and Working Group to oversee matters highlighted in the report and to report back to the next meeting of the Joint Committee in July 2021.

### **64 RISK MANAGEMENT FRAMEWORK**

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

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

#### **RESOLVED**

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

## **65 ANNUAL INVESTMENT STRATEGY**

Consideration was given to a report on investments during 2018/19, requesting the Joint Committee to approve the annual investment strategy for 2020/21.

### **RESOLVED**

That the Annual Investment Strategy 2020/21 be approved.

## **66 TRAFFIC PENALTY TRIBUNAL GENERAL PROGRESS REPORT**

Consideration was given to a report providing a summary of the Traffic Penalty Tribunal appeals activity for the period April to November 2020.

Appendix 1 of the report providing an overview of appeals activity for the period 1 April 2019 to 30 November 2020.

A summary of tribunal initiatives were set out in the report including progress on FOAM, Appeals summary from April until November 2020, hearings, case closure, assisted digital support, appellant feedback and Local Authority workshops conducted during the year.

### **RESOLVED**

That the matters reported be noted.

## **67 PUBLIC AFFAIRS SUMMARY**

Consideration was given to a detailed overview of public affairs activity in 2020 and the work planned for the coming year.

### **RESOLVED**

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

## **68 DATE OF NEXT MEETING**

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

13 July 2021 Church House, Westminster which would be followed by a Member workshop after lunch commencing at 1.15pm and concluding at 2.15pm After this the PACER Awards would take place later in that afternoon at the House of Commons.



The meeting commenced at 12.46 pm and concluded at 12.55 pm

Councillor Tony Page  
Chairman

**PATROL and Bus Lane Adjudication Service Joint Committees**  
**Resources Sub Committee**

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**Date of Meeting:** 13<sup>th</sup> July 2021  
**Report of:** The Director in consultation with the Advisory Board  
**Subject/Title:** Draft Annual Return 2020/21

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**1.0 Report Summary**

1.1 This report presents the draft annual return for the year 2020/21

**2.0 Recommendations**

That the Joint Committee:

- a) Notes the outturn position against the 2020/21 budget included within the report.  
(Appendix 1) – *subject to external audit validation at 30/06/2021*
- b) Approves the deficit for the year of £85,772 being taken from the Joint Committee's reserves.
- c) Determines that the Executive Sub Committee review the basis for defraying expenses following budget monitoring at the half-year point at their meeting in October 2021.
- d) Notes the balance sheet (Appendix 2) and cash flow (Appendix 3) and audit timetable
- e) Notes the Annual Internal Audit Report 2019/20 (Appendix 4)
- f) Approves the recommendation that the Financial Regulations for 2021/22 remain unchanged apart from the change in name of the Director where applicable (Appendix 5)
- g) Approves the revised Scheme of Financial Delegation (Appendix 6)
- h) Approves the recommendation that the Code of Corporate Governance remains unchanged (Appendix 7)
- i) Notes the Staff Expenses Policy (Appendix 8)
- j) Approves the Bad Debt Policy (Appendix 9)

**3.0 Reasons for Recommendations**

3.1 To finalise accounts for 2020/21

#### **4.0 Financial Implications**

4.1 As outlined in the report

#### **5.0 Legal Implications**

5.1 None

#### **6.0 Risk Management**

6.1 None

#### **7.0 Background and Options**

7.1 This report provides background information in respect of:

- a) The outturn position against the 2020/21 budget included within the report. (Appendix 1)
- b) The deficit for the year of £85,772 being taken from the Joint Committee's reserves.
- c) The basis for defraying expenses.
- d) The balance sheet (Appendix 2) and cash flow (Appendix 3) and audit timetable.
- e) The Internal Audit Report 2020/21 (Appendix 4)
- f) Financial Regulations 2021/22 (Appendix 5)
- g) The revised Scheme of Financial Delegation (Appendix 6)
- h) The Code of Corporate Governance (Appendix 7)
- i) The Staff Expenses Policy (Appendix 8)
- j) The Bad Debt Policy (Appendix 9)

#### **8.0 Outturn Position against the 2020/21 budget**

##### **Introduction**

- 8.1 The adjudication service is operated on a self-financing basis with income obtained by defraying expenses amongst member authorities and providing adjudication services to non-member authorities as determined by statute.
- 8.2 At the meeting of Executive Sub-Committee held on 28th January 2020 it was agreed to adopt the revenue budget estimates for 2020/21 set out in this report.

- 8.3 At the meeting of the Executive Sub-Committee held on 28<sup>th</sup> January 2020 the Lead Officer was given authorisation in consultation with the Chair, Vice Chair and Assistant Chair to incur expenditure against the revenue budget in excess of the £664,428 set by the Committee should the need arise, provided such expenditure is within the total income for the year.
- 8.4 The outturn position to 31<sup>st</sup> March 2021 is enclosed at Appendix 1.
- 8.5 The Joint Committee's income has previously been derived from a pre-estimate of the number of penalty charge notices (PCNs) each council will issue. Corrections were applied at the 6- month and 12-month points once the actual number of PCNs issued was known. Due to the ongoing pandemic income has been derived from **actual returns** received from enforcement authorities on a **monthly basis**. This has ensured that Income predictions and reporting are more timely and accurate
- 8.6 Should it be the case that there is a need for greater expenditure than that provided for in the approved budget, there is a recommendation to authorise the Director to incur additional expenditure, provided such expenditure does not exceed the income for the current year.
- 8.7 Should it be the case that the revenue account falls into deficit then the surplus from previous years is available.
- 8.8 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.

### **Expenditure**

- 8.10 Expenditure was lower than budgeted by £255,535 (38.46%) (see Appendix 1). This was due to a lower than anticipated recharge for costs from PATROL, in turn due to a lower than anticipated proportion of PCNs issued.

### **Income**

- 8.11 Overall, income was £223,412 (40.88%) lower than budget. This is due to a lower than anticipated number of PCNs issue as an effect of the pandemic.
- 8.12 Bank interest is lower than budget due to reduced reserves, giving rise to a negative variance of £3,610 (90.26%).

### **Outturn**

- 8.13 The outturn for BLASJC for 2020/21 was a deficit of £85,772.
- 8.14 The Joint Committee is asked to approve the deficit £85,722 being taken from the Joint Committee's reserves.

### **External Audit**

9.1 The external audit timetable is as follows:

Stage	2020/21
Draft annual return submitted to PATROL and Bus Lane Adjudication Service Joint Committees Resources Sub Committee for approval	13 <sup>th</sup> July 2021
Submission of Annual Return and Supporting Documents to BDO	31 <sup>st</sup> July 2021

## 10. Internal Audit Report 2020/21

10.1 Internal audit is provided by the Host Authority (see Appendix 4).

The number of recommendations raised is as follows:

	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
Low	11	6	3	0	0	1	0
Med	12	11	7	1	0	3	0
High	2	2	1	0	0	0	0
<b>TOTAL</b>	<b>25</b>	<b>19</b>	<b>11</b>	<b>1</b>	<b>0</b>	<b>4</b>	<b>0</b>

10.2 The level of assurance for 2020/21 is **GOOD** (the highest level that can be given).

## 11. Financial Regulations

No changes are recommended to the Financial Regulations. (Appendix 5).

## 12. Scheme of Financial Delegation 2020/2021

(Appendix 6).

## 13. Code of Corporate Governance

A copy of the Code of Corporate Governance is enclosed at Appendix 7, staff expenses policy at appendix 8 and Bad Debt Policy at appendix 9. .

## 14. Access to Information

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

Name: Laura Padden

Designation: Director

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

Appendix 1:

BUS LANE Outturn to 31/03/2021

	Year to Date			
	31/03/2021	31/03/2021	31/03/2021	31/03/2021
	Actual	Budget	Var to Budget	Var to Budget
<b>Income</b>				
Bus Lane Income	322,732	542,533	-219,802	-40.51%
Interest	390	4,000	-3,610	-90.26%
<b>Total Income</b>	<b>323,121</b>	<b>546,533</b>	<b>-223,412</b>	<b>-40.88%</b>
<b>Expenditure:</b>				
Supplies and Services Recharge	412,844	664,428	251,584	37.86%
Bad Debts	-4,026	0	4,026	0.00%
Other Charges	76	0	-76	-
<b>Total Expenditure</b>	<b>408,894</b>	<b>664,428</b>	<b>255,535</b>	<b>38.46%</b>
<b>Surplus / (Deficit)</b>	<b>-85,772</b>	<b>-117,895</b>	<b>32,123</b>	<b>27.25%</b>

0 -0 -0

Full Year			
31/03/2021	31/03/2021	31/03/2021	31/03/2021
Forecast	Full Year	Var to	Prior Year
Outturn	Budget	Budget	Result
322,732	542,533	-219,802	614,524
390	4,000	-3,610	5,085
<b>323,121</b>	<b>546,533</b>	<b>-223,412</b>	<b>619,610</b>
412,844	664,428	251,584	583,848
-4,026	0	4,026	0
76	0	-76	96
<b>408,894</b>	<b>664,428</b>	<b>255,535</b>	<b>583,943</b>
<b>-85,772</b>	<b>-117,895</b>	<b>32,123</b>	<b>35,666</b>

Reserves b/f from 19/20  
Surplus / (Deficit) for year 20/21

Forecast closing balance  
*Approved Reserves*

**Forecast FREE Reserves**

Forecast	Full Year	Var to
Outturn	Budget	Budget
574,567	574,567	0
<b>-85,772</b>	<b>-117,895</b>	<b>32,123</b>
488,795	456,672	32,123
332,214	332,214	332,214
<b>156,581</b>	<b>124,458</b>	<b>32,123</b>

## Appendix 2:

### BALANCE SHEET - BUS LANES

	Apr-20 p1	May-20 p2	Jun-20 p3	Jul-20 p4	Aug-20 p5	Sep-20 p6	Oct-20 p7	Nov-20 p8	Dec-20 p9	Jan-21 p10	Feb-21 p11	Mar-21 p12
<b>Current Assets</b>												
LA Debtors	40,853	40,853	33,421	57,073	45,693	31,679	110,362	47,495	7,368	109,292	51,529	-18,159
Other Debtors	-2,430	-61,268	350,922	368,680	368,680	368,680	368,725	362,628	385,662	396,588	400,461	0
VAT												
Cash and Bank	594,738	533,440	93,017	110,775	32,921	43,914	48,607	105,200	112,818	116,442	83,922	519,329
<b>Total</b>	<b>633,161</b>	<b>513,026</b>	<b>477,360</b>	<b>536,528</b>	<b>447,294</b>	<b>444,272</b>	<b>527,694</b>	<b>515,323</b>	<b>505,849</b>	<b>622,321</b>	<b>535,911</b>	<b>501,170</b>
<b>Current Liabilities</b>												
Trade Creditors	105,942	94,935	90,210	25,187	-27,005	17,557	52,891	85,360	87,339	129,489	99,787	57,638
Other Public Bodies												
Other Creditors	-4,675	-5,064	-779		188				3,278			-45,262
<b>Total</b>	<b>101,267</b>	<b>89,871</b>	<b>89,431</b>	<b>25,187</b>	<b>-26,817</b>	<b>17,557</b>	<b>52,891</b>	<b>85,360</b>	<b>90,617</b>	<b>129,489</b>	<b>99,787</b>	<b>12,375</b>
<b>Net Current Liabilities</b>	<b>531,894</b>	<b>423,155</b>	<b>387,929</b>	<b>511,340</b>	<b>474,111</b>	<b>426,715</b>	<b>474,803</b>	<b>429,963</b>	<b>415,231</b>	<b>492,833</b>	<b>436,124</b>	<b>488,795</b>
Long Term (Liabilities)/Assets												
<b>NET ASSETS</b>	<b>531,894</b>	<b>423,155</b>	<b>387,929</b>	<b>511,340</b>	<b>474,111</b>	<b>426,715</b>	<b>474,803</b>	<b>429,963</b>	<b>415,231</b>	<b>492,833</b>	<b>436,124</b>	<b>488,795</b>
<b>Financed By:</b>												
Reserves BF	574,567	574,567	574,567	574,567	574,567	574,567	574,567	574,567	574,567	574,567	574,567	574,567
Current Year Surplus	-42,673	-151,412	-186,637	-63,226	-100,456	-147,852	-99,764	-144,604	-159,335	-81,734	-138,443	-85,772
<b>TOTAL NET WORTH</b>	<b>531,894</b>	<b>423,155</b>	<b>387,929</b>	<b>511,340</b>	<b>474,111</b>	<b>426,715</b>	<b>474,803</b>	<b>429,963</b>	<b>415,231</b>	<b>492,833</b>	<b>436,124</b>	<b>488,795</b>
check	0	0	0	0	0	0	0	0	0	0	0	0

Appendix 3:

CASH FLOW - BUS LANES

Opening Cash Balance	654,433	594,738	533,440	93,017	110,775	32,921	43,914	48,607	105,200	112,818	116,442	83,922
Decrease / (Increase) in LA Debtors	1,597	0	7,432	-23,652	11,380	14,015	-78,683	62,867	40,127	-101,923	57,763	69,688
Decrease / (Increase) in Other Debtors	-1,597	58,838	-412,189	-17,758	0	0	-46	6,097	-23,034	-10,926	-3,873	400,461
Decrease / (Increase) in VAT Debtor	0	0	0	0	0	0	0	0	0	0	0	0
Increase / (Decrease) in Trade Creditors	-16,633	-11,007	-4,725	-65,023	-52,192	44,563	35,334	32,469	1,979	42,149	-29,701	-42,149
Increase / (Decrease) in other Public Body Creditors	0	0	0	0	0	0	0	0	0	0	0	0
Increase / (Decrease) in Other Creditors	-390	-390	4,285	779	188	-188	0	0	3,278	-3,278	0	-45,262
Movement on Reserves	-42,673	-108,739	-35,226	123,411	-37,229	-47,396	48,088	-44,840	-14,731	77,601	-56,708	52,670
Closing Cash Balance	594,738	533,440	93,017	110,775	32,921	43,914	48,607	105,200	112,818	116,442	83,922	519,329
	0	0	0	0	0	0	0	0	0	0	0	0

*Note: the change in the Debtors position is due a loan to PATROL being repaid prior to year-end. This loan was made at the beginning of the pandemic to ease a temporary cash flow restriction where funds were tied up on deposit*



# Joint Committees

## Return for the financial year ended 31 March 2021

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

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

### Completing your return

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

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

Send the return, together with your bank reconciliation as at 31 March 2021, an explanation of any significant year on year variances in the accounting statements and any additional information requested, to us, BDO LLP, by the due date.

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

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

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

## Section 1 – Governance statement 2020/21

We acknowledge as the members of

Enter name of reporting body here:

BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE

Our responsibility for ensuring that there is a sound system of internal control, including the preparation of the accounting statements. We confirm, to the best of our knowledge and belief, with respect to the accounting statements for the year ended 31 March 2021, that:

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

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

MINUTE REFERENCE

Date DD/MM/YYYY

Signed by:

Chair SIGNATURE REQUIRED

Signed by:

Clerk SIGNATURE REQUIRED

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

## Section 2 – Accounting Statements 2020/21 for

Enter name of reporting body here:

BUS LANE ADJUDICATION SERVICE  
JOINT COMMITTEE

	Year ending		Notes and guidance
	31 March 2020 £	31 March 2021 £	
1 Balances brought forward	538,900	574,566	Total balances and reserves at the beginning of the year as recorded in the body's financial records. Value must agree to Box 7 of previous year.
2 (+) Income from local taxation and/or levy			Total amount of local tax and/or levy received or receivable in the year including funding from a sponsoring body. Excluding any grants received.
3 (+) Total other receipts	619,610	323,121	Total income or receipts as recorded in the cashbook less the taxation and/or levy (line 2). Include any grants received here.
4 (-) Staff costs	-	-	Total expenditure or payments made to and on behalf of all employees. Include salaries and wages, PAYE and NI (employees and employers), pension contributions and employment expenses.
5 (-) Loan Interest/capital repayments	-	-	Total expenditure or payments of capital and Interest made during the year on the body's borrowings (if any).
6 (-) All other payments	583,943	408,893	Total expenditure or payments as recorded in the cashbook less staff costs (line 4) and loan Interest/capital repayments (line 5).
7 (=) Balances carried forward	574,566	488,794	Total balances and reserves at the end of the year. Must equal (1+2+3) – (4+5+6)
8 Total cash and short term investments	654,143	519,329	The sum of all current and deposit bank accounts, cash holdings and short term investments held as at 31 March – <b>to agree with bank reconciliation.</b>
9 Total fixed assets plus other long term investments and assets			The original Asset and Investment Register value of all fixed assets, plus other long term assets owned by the body as at 31 March
10 Total borrowings			The outstanding capital balance as at 31 March of all loans from third parties (including PWLB)

I certify that for the year ended 31 March 2021 the accounting statements in the return present fairly the financial position of the Joint Committee and its income and expenditure, or properly present receipts and payments, as the case may be.

Signed by Responsible Financial Officer:

 SIGNATURE REQUIRED

Date 01.07.21 DD/MM/YYYY

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

DD/MM/YYYY

and recorded as minute reference:

MINUTE REFERENCE

Signed by Chair of meeting approving these accounting statements:

SIGNATURE REQUIRED

### Section 3 – External Report 2020/21 Certificate

We present the findings from our review of the return for the year ended 31 March 2021 in respect of:

Enter name of reporting body here:

BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE  
ENTER JOINT COMMITTEE NAME

Respective responsibilities of the Joint Committee and the reviewer

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

- summarises the accounting records for the year ended 31 March 2021; and
- confirms and provides assurance on various governance matters in accordance with generally accepted good practice

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

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

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

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

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

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

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

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

Reviewer signature

## Section 4 – Annual internal audit report 2020/21 to

Enter name of reporting body here:

BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE  
ENTER JOINT COMMITTEE NAME

The Joint Committee's internal audit service provider, acting independently and on the basis of an assessment of risk, carried out a selective assessment of compliance with relevant procedures and controls expected to be in operation during the financial year ended 31 March 2021.

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

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

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

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

Name of person who carried out the internal audit:

Josie Griffiths PRINT NAME

Type text here

Signature of person who carried out the internal audit:

*Josie Griffiths* SIGNATURE REQUIRED

Date:

30/06/2021 Y

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

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

## Guidance notes on completing the 2020/2021 return

1. Make sure that your return is complete (i.e. no empty red boxes), and is properly signed and dated. Avoid making any amendments to the completed return. But, if this is unavoidable, make sure the amendments are drawn to the attention of and approved by the body, properly initialled and an explanation provided to us. Returns containing unapproved or unexplained amendments will be returned and may incur additional costs.
2. Use the checklist provided below. Use a second pair of eyes, perhaps a member of the committee or the Chair, to review your return for completeness before sending it to us.
3. Do not send us any information not specifically asked for. Doing so is not helpful. However, you must notify us of any change of Clerk, Responsible Financial Officer or Chair.
4. Make sure that the copy of the bank reconciliation or letter confirming the balance held on your behalf which you send with the return covers all your bank balances. If the joint committee holds any short-term investments, note their value on the bank reconciliation. We must be able to agree your bank reconciliation to Box 8 on the Accounting statements. You must provide an explanation for any difference between Box 7 and Box 8.
5. Explain fully significant variances in the accounting statements on page 3. Do not just send in a copy of your detailed accounting records instead of this explanation. We want to know that you understand the reasons for all variances. Include a complete analysis to support your explanation.
6. If we have to review unsolicited information, or receive an incomplete bank reconciliation, or you do not fully explain variances, this may incur additional costs for which we will make a charge.
7. Make sure that your accounting statements add up the balance carried forward from the previous year (Box 7 of 2020) equals the balance brought forward in the current year (Box 1 of 2021).
8. Do not complete section 3. We will complete it at the conclusion of our work.

Completion checklist – 'No' answers mean you may not have met requirements		Done?
All sections	All red boxed have been completed?	✓
	All information has been sent with this return?	✓
Section 1	For any statement to which the response is 'no', an explanation is provided?	✓
Section 2	Approval by the body confirmed by the signature of Chair of meeting approving the accounting standards?	✓
	An explanation of significant variations from last year to this year is provided?	✓
	Bank reconciliation as at 31 March 2021 agrees to Box 8?	✓
	An explanation of any difference between Box 7 and Box 8 is provided?	✓
Section 4	All red boxed completed by internal audit and explanations provided?	✓