

REPORT FOR RESOLUTION

SUBJECT: DRAFT ANNUAL ACCOUNTS FOR 2011/12

REPORT OF: THE LEAD AUTHORITY ON BEHALF OF THE
ADVISORY BOARD

PURPOSE OF REPORT

To present to the Committee the draft Annual Accounts for the year 2011/12

RECOMMENDATIONS

It is recommended that the Joint Committee:

- [i] Notes the outturn position at 31 March 2012 at Appendix 1
- [ii] Approves the 2011/12 Annual Return (Appendix 2) and note the Annual Internal Audit Report (Appendix 3), Balance Sheet (Appendix 4)
- [iii] Notes that the External Auditor's report and final Annual Accounts for 2011/12 will be submitted to the Bus Lane Adjudication Service Joint Committee in September.
- [iv] Approves the deficit of income over expenditure of £31,064 being drawn from the Joint Committee's General Reserves which at 31 March 2011 was £121,453.
- [v] Approves the Code of Corporate Governance (see Appendix 5)

CONTACT OFFICERS

Louise Hutchinson, PATROL Barlow House, Minshull Street, Manchester.
Tel: 0161 242 5270

1.0 INTRODUCTION

- 1.1 The adjudication service is operated on a self-financing basis with income obtained from charges made to BLASJC member authorities.
- 1.2 At the meetings on 30th June 2006, the National Parking Adjudication Service Joint Committee (later replaced by the PATROL Adjudication Joint Committee) and Bus Lane Adjudication Service Joint Committee agreed that the adjudication service should, as far as possible, be provided in an integrated manner for both parking and bus lane appeals. This arrangement has represented an opportunity for cost sharing and the provision of an efficient and cost effective service.
- 1.3 As in previous years, for 2011/12, the administration of the two joint committees' accounts has been kept to a minimum by allocating actual expenditure based on the number of appeals received from each type of enforcement.
- 1.4 Case related expenditure for Bus Lane Appeals has been based on a pro-rata cost per Bus Lane appeal (see below).
- 1.5 This report provides details of the 2011/12 draft Annual Accounts for approval by the Joint Committee.

2.0 REVISED RECHARGE MECHANISM

- 2.1 The recharge mechanism has been revised for 2010/11 in order to more accurately reflect the cost of adjudication services from PATROL to the BLASJC. This mechanism has been subject to internal audit and their findings are reported under separate cover.
- 2.2 The recharge mechanism adopted for 2010/11 has been applied in 2011/12 and is based on the following:

The total PATROL expenditure for 2011/12 is divided by the total number of parking and bus lane appeals during 2011/12. This cost per appeal is then multiplied by the number of bus lane appeals to obtain the recharge value.

3.0 OUTTURN POSITION AT 31ST MARCH 2012

Table 1 sets out the draft outturn position for 2011/12.

4.0 ANNUAL RETURN 2011/12 (APPENDIX 2)

- 4.1 The Account Statement for 2011/12 has been prepared in accordance with the requirements of the Small Bodies Annual Return. The completion of the Small Bodies Annual Return removes the requirement for a full set of

accounts however a Balance Sheet is provided for information at Appendix 4.

- 4.2 The service achieved income of £335,010 against a budget of £246,297 giving a surplus of £88,713 (Table 1).

Table 1: Summary of income to the Bus Lane account 2011/12

	Budget	Actual	Variance (Improvement)
Bus Lane PCN Income	-246,297	-347,624	(101,327)
Non PCN Income			
	0	0	0
Bus Lane PCN Adjustments (financial year)	0	9,098	9,098
Bus Lane PCN Adjustments		4,035	4,035
	0		
Transcription Charges	0	-18	(18)
Bank Interest	0	-501	(501)
Contribution from Reserves	0	0	0
Total	246,297	335,010	(88,713)

- 4.3 Expenditure totalled £362,603 against a budget of £242,826. This reflects the increased number of appeals and introduction of invoices for services from the Lead Authority directly to the Bus Lane Adjudication Service Joint Committee.
- 4.3 The Bus Lane Adjudication Joint Committee has decided that expenses shall be shared between member authorities in proportion to the number of PCNs issued, by each participating council.
- 4.4 The General Fund balance at 31st March 2011 was £121,453, and is £93,860 as at 31st March 2012.

5.0 2011/12 ACCOUNTS AND AUDIT PROGRAMME

Stage	2011/12
Accounts certified by the Treasurer	BLASJC meeting 26 th June 2012
Accounts submitted to BLASJC for approval	BLASJC meeting 26 th June 2012
Advertisement of Public Notice for Exercise of Public Rights for electors to inspect the accounts	11 th June 2012 to June 2011
Period for exercise of right of inspection.	June 2012 to July 2012
Submission of Annual Return and Supporting Documents to BDO	July 2012
BDO Report presented to BLASJC	25 th September 2012

6.0 RECOMMENDATIONS

It is recommended that the Joint Committee:

- [i] Notes the outturn position at 31 March 2012 at Appendix 1
- [ii] Approves the 2011/12 Annual Return (Appendix 2) and note the Annual Internal Audit Report (Appendix 3), Balance Sheet (Appendix 4)
- [iii] Notes that the External Auditor's report and final Annual Accounts for 2011/12 will be submitted to the Bus Lane Adjudication Service Joint Committee in September.
- [iv] Approves the deficit of income over expenditure of £27,593 being drawn from the Joint Committee's General Reserves which at 31 March 2011 was £121,453.
- [v] Approves the Code of Corporate Governance (see Appendix 5).

**APPENDIX 1:
BUS LANE ADJUDICATION SERVICE DRAFT OUTTURN FOR 2011/12**

Expenditure	Budget 2011/12	Outturn 2011/12	Variance/ (Improvement)
	£	£	£
Pro Rata Appeals Expenditure	231,176	344,643	113,467
Adjudicators	0	3,375	3,375
External Audit	3,150	0	(3,150)
Internal Audit	0	1,950	1,950
Joint Committee Notices	0	363	363
Service Management & Support	1,000	14,451	13,451
Supplies & Services	7,500	-615	(8,115)
TRO Working Group	0	-1,565	(1,565)
Contingency	0	0	
TOTAL EXPENDITURE	242,826	362,603	119,777
Income			
Bus Lane Income	-246,297	-347,624	(101,327)
Bus Lane Audit Adjustment	0	4,035	4,035
Bus Lane PCN Adjustment	0	9,098	9,098
Translation Charges	0	-18	(18)
Contribution from Reserves	0	0	0
Bank Interest Earned	0	-501	(501)
TOTAL INCOME	-246,297	-335,010	(88,713)
Net (Surplus)/Deficit	(3,471)	27,593	31,064



Small Bodies in England Electronic annual return Year ended 31 March 2012

Small relevant bodies in England with an annual turnover of £6.5 million or less must complete an annual return summarising their activities at the end of each financial year.

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

- Sections 1 and 2 are completed by the person nominated by the body.
- Section 3 is completed by the external auditor.
- Section 4 is completed by the body's internal audit provider.

The body must approve this annual return no later than 30 June 2012.

Completing your electronic annual return (eAR)

Guidance notes, including a completion checklist, are provided on page 6 and at relevant points in the annual return. For further information on eAR go to <http://www.audit-commission.gov.uk/audit-regime/support-guidance/Pages/Annualreturn.aspx>

Once downloaded you are able to complete certain sections of this e-annual return. You must then print the e-annual return to complete the remainder of the information required before approval by the body. The sections available for completion electronically are:

- the name of your body in sections 1, 2 and 4 on pages 2, 3 and 5
- boxes 1 to 10 in Section 1 on page 2; and
- the responses in boxes 1 to 8 in Section 2 on page 3.

You cannot save the e-annual return or send it electronically. You may only print it.

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

Send the annual return, together with your bank reconciliation as at 31 March 2012, an explanation of any significant year on year variances in the accounting statements and any additional information requested, to your appointed external auditor by the due date.

Your auditor will identify and ask for any documents needed for audit. Therefore, unless requested do not send any original financial records to the external auditor.

Audited and certified annual returns will be returned to the body for publication or public display of sections 1, 2 and 3. You must publish or display the audited annual return by 30 September 2012.

It should not be necessary for you to contact the external auditor or the Audit Commission directly for guidance.

More guidance on completing this annual return may be found in the Practitioners' Guides for either local councils or internal drainage boards. These publications may be downloaded from the National Association of Local Councils (NALC) or Society of Local Council Clerks (SLCC) websites (www.nalc.gov.uk or www.slcc.co.uk) or from the members area of the Association of Drainage Authorities website (www.ada.org.uk).

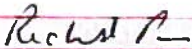
Section 1 – Accounting statements for:

Bus Lane Adjudication Joint Committee

	Year ending		Notes and guidance
	31 March 2011 £	31 March 2012 £	
1 Balances brought forward	65,582	121,453	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	0	0	Total amount of local tax and/or levy received or receivable in the year including funding from a sponsoring body.
3 (+) Total other receipts	230,341	335,010	Total income or receipts as recorded in the cashbook less income from taxation and/or levy (box 2). Include any grants received here.
4 (-) Staff costs	0	0	Total expenditure or payments made to and on behalf of all body employees. Include salaries and wages, PAYE and NI (employees and employers), pension contributions and employment expenses.
5 (-) Loan interest/capital repayments	0	0	Total expenditure or payments of capital and interest made during the year on the body's borrowings (if any).
6 (-) All other payments	174,470	362,603	Total expenditure or payments as recorded in the cashbook less staff costs (box 4) and loan interest/capital repayments (box 5).
7 (=) Balances carried forward	121,453	93,860	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	280,050	192,415	The sum of all current and deposit bank accounts, cash holdings and short term investments held as at 31 March – to agree with bank reconciliation.
9 Total fixed assets and long term assets	0	0	The recorded book value at 31 March of all fixed assets owned by the body and any other long term assets e.g. loans to third parties and any long-term investments.
10 Total borrowings	0	0	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 2012 the accounting statements in this annual return present fairly the financial position of the body and its income and expenditure, or properly present receipts and payments, as the case may be.

Signed by Responsible Financial Officer:



Date

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

and recorded as minute reference:

Signed by Chair of meeting approving these accounting statements:

Date

Section 2 – Annual governance statement

We acknowledge as the members of:

Bus Lane Adjudication 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 2012, that:

		Agreed –		'Yes' means that the body:
		Yes	No*	
1	We approved the accounting statements prepared in accordance with the requirements of the Accounts and Audit Regulations and proper practices.	<input checked="" type="radio"/>	<input type="radio"/>	prepared its accounting statements in the way prescribed by law.
2	We maintained an adequate system of internal control, including measures designed to prevent and detect fraud and corruption and reviewed its effectiveness	<input checked="" type="radio"/>	<input type="radio"/>	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 laws, regulations and codes of practice that could have a significant financial effect on the ability of the body to conduct its business or on its finances.	<input checked="" type="radio"/>	<input type="radio"/>	has only done things it has the legal power to do and conformed to codes of practice and standards in the way it has done so
4	We provided proper opportunity during the year for the exercise of electors' rights in accordance with the requirements of the Accounts and Audit Regulations.	<input checked="" type="radio"/>	<input type="radio"/>	during the year gave all persons interested the opportunity to inspect and ask questions about the body's accounts.
5	We assessed the risks facing the body and taken appropriate steps to manage those risks, including the introduction of Internal controls and external insurance cover where required.	<input checked="" type="radio"/>	<input type="radio"/>	considered the financial and other risks it faces and dealt with them properly.
6	We maintained throughout the year an adequate and effective system of Internal audit of the body's accounting records and control systems.	<input checked="" type="radio"/>	<input type="radio"/>	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.
7	We took appropriate action on all matters raised in reports from internal and external audit.	<input checked="" type="radio"/>	<input type="radio"/>	responded to matters brought to its attention by internal and external audit.
8	We considered whether any litigation, liabilities or commitments, events or transactions, occurring either during or after the year-end, have a financial impact on the body and where appropriate included them in the accounting statements.	<input checked="" type="radio"/>	<input type="radio"/>	disclosed everything it should have about its business activity during the year including events taking place after the year-end if relevant.

This annual governance statement is approved by the body and recorded as minute reference

dated

Signed by:

Chair

dated

Signed by:

Clerk

dated

*Note: Please provide explanations to the external auditor on a separate sheet for each 'No' response. Describe how the body will address the weaknesses identified.

Section 3 – External auditor’s certificate and opinion

Certificate

We certify that we have completed the audit of the annual return for the year ended 31 March 2012 of

Respective responsibilities of the body and the auditor

The body is responsible for ensuring that its financial management is adequate and effective and that it has a sound system of internal control. The body prepares an annual return in accordance with proper practices which:

- summarises the accounting records for the year ended 31 March 2012; and
- confirms and provides assurance on those matters that are important to our audit responsibilities.

Our responsibility is to conduct an audit in accordance with guidance issued by the Audit Commission and, on the basis of our review of the annual return and supporting information, to report whether any matters that come to our attention give cause for concern that relevant legislation and regulatory requirements have not been met.

External auditor’s report

(Except for the matters reported below)* on the basis of our review, in our opinion the information in the annual return is in accordance with proper practices and no matters have come to our attention giving cause for concern that relevant legislation and regulatory requirements have not been met. (*delete as appropriate).

(continue on a separate sheet if required)

Other matters not affecting our opinion which we draw to the attention of the body:

(continue on a separate sheet if required)

External auditor’s signature

External auditor’s name Date

Note: The auditor signing this page has been appointed by the Audit Commission and is reporting to you that they carried out and completed all the work required of them by law. For further information please refer to the Audit Commission’s publication *Statement of Responsibilities of Auditors and of Audited Small Bodies*.

Section 4 – Annual internal audit report to

BUS LANE ADJUDICATION JOINT COMMITTEE

The body's internal audit, 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 2012.

Internal audit has been carried out in accordance with the body'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 body.

Internal control objective	Agreed? Please choose from one of the following		
	Yes	No*	Not covered**
A Appropriate accounting records have been kept properly throughout the year.	✓		
B The body's financial regulations have been met, payments were supported by invoices, expenditure was approved and VAT was appropriately accounted for.	✓		
C The body 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 requirement 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, expenditure was approved and VAT appropriately accounted for.			✓
G Salaries to employees and allowances to members were paid in accordance with 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 (receipts and payments or income and expenditure), 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 body (list any other risk areas below or on separate sheets if needed) adequate controls existed:

SEE ATTACHED AUDIT REPORT WHICH EXPLAINS THE AREAS 'NOT COVERED' AND AREAS FOR IMPROVEMENT

Name of person who carried out the internal audit: Tom Powell - Head of Audit & Risk Mgmt

Signature of person who carried out the internal audit: [Signature] Date: 14/06/2012

*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 2012 annual return

- 1 Proper practices for preparing this annual return are found in the *Practitioners' Guides**. These publications are updated from time to time and contain everything you should need to prepare successfully for your financial year-end and the subsequent audit. Both NALC and SLCC have helplines if you want to talk through any problem you may encounter. If you are using the electronic annual return (e-AR) read carefully the guidance on page 1.
- 2 Make sure that your annual 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 is provided to the auditor. Annual returns containing unapproved or unexplained amendments will be returned unaudited and may incur additional costs.
- 3 Use the checklist provided below. Use a second pair of eyes, perhaps a member or the Chair, to review your annual return for completeness before sending it to the auditor.
- 4 Do not send the auditor any information not specifically asked for. Doing so is not helpful. However, you must advise the auditor of any change of Clerk, Responsible Financial Officer or Chair.
- 5 Make sure that the copy of the bank reconciliation which you send to your auditor with the annual return covers all your bank accounts. If your body holds any short-term investments, note their value on the bank reconciliation. The auditor should 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. More help on bank reconciliation is available in the *Practitioners' Guides**.
- 6 Explain fully significant variances in the accounting statements on page 2. Do not just send in a copy of your detailed accounting records instead of this explanation. The auditor wants to know that you understand the reasons for all variances. Include a complete analysis to support your explanation. There are a number of examples provided in the *Practitioners' Guides** to assist you.
- 7 If the auditor has to review unsolicited information, or receives an incomplete bank reconciliation, or you do not fully explain variances, this may incur additional costs for which the auditor will make a charge.
- 8 Make sure that your accounting statements add up and the balance carried forward from the previous year (Box 7 of 2011) equals the balance brought forward in the current year (Box 1 of 2012).
- 9 Do not complete section 3. The external auditor will complete it at the conclusion of their audit.

Completion checklist – 'No' answers mean you may not have met requirements		Done?
	All red boxes have been completed?	
All sections	All information requested by the external auditor has been sent with this annual return? Please refer to your notice of audit. Approval by the body confirmed by signature of Chair of meeting approving the accounting statements?	
Section 1	An explanation of significant variations from last year to this year is provided? Bank reconciliation as at 31 March 2012 agreed to Box 8? An explanation of any difference between Box 7 and Box 8 is provided?	
Section 2	For any statement to which the response is 'no', an explanation is provided?	
Section 4	All red boxes completed by Internal audit and explanations provided?	

***Note: Governance and Accountability for Local Councils in England – A Practitioners' Guides, is available from NALC and SLCC representatives or Governance and Accountability for Internal Drainage Boards in England – A Practitioners' Guides, is available from the ADA at The Association of Drainage Authorities, 12 Cranes Drive, Surbiton, Surrey, KT5 8AL or from the NALC, SLCC or ADA websites - see page 1 for addresses.**

Internal Audit Report

**PATROL - Annual Returns
(Parking & Bus Lanes)**

**Tom Powell
Corporate Services**

Circulation List

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Peter Gallagher, Senior Auditor	814 5247
Helen Smith, Lead Auditor	814 5238
Kathryn Fyfe, Principal Audit Manager	814 5271
Tom Powell, Head of Internal Audit and Risk Management	814 5273

Report Status

Activity	Date
Fieldwork Commenced	8 May 2011
Draft Report Issued	7 June 2012
Management Responses Requested by	14 June 2012
Management Responses Received	8 June 2012
Final Report Issued	14 June 2012

1 Introduction

- 1.1 This report summarises the findings and conclusions from our review of the adequacy of internal controls and procedures in operation within the Parking and Traffic Regulations Outside London Adjudication Joint Committee (PATROL AJC) and Bus Lane AJC. The purpose of this work was to inform Section 4 of the Audit Commission Small Bodies in England Annual Returns for the year ended 31 March 2012.

2 Background

- 2.1 The Traffic Penalty Tribunal is an independent tribunal where impartial lawyers consider appeals by motorists and vehicle owners whose vehicles have been issued with:
- Penalty Charge Notices (or have been removed or clamped) by councils in England and Wales enforcing parking under the Road Traffic Act 1991 and the Traffic Management Act 2004.
 - Penalty Charge Notices by councils in England undertaking civil bus lane enforcement under the Bus Lane Contraventions (Penalty Charges, Adjudication and Enforcement) (England) Regulations (2005 SI No 2757).
- 2.2 Under the above legislation and regulations, Councils operating civil parking and bus lane enforcement functions are responsible for defraying expenses in relation to the remunerations of the Adjudicators of the Traffic Penalty Tribunal. The Enforcement Authorities are required to carry out this function through a Joint Committee which they are required to set up for this and related purposes. The PATROL AJC and Bus Lane AJC perform this function. In accordance with legislation and regulations, the constituent authorities of each Committee defray expenses in such a proportion as they may decide.
- 2.3 Under established reporting requirements separate annual returns were to be submitted for to both Parking and Bus Lanes.

3 Scope and Approach

- 3.1 We reviewed the adequacy and effectiveness of the financial controls, risk management arrangements and management information in respect of 9 of the 10 internal control objectives detailed within Section 4 of the Audit Commission Annual Return document for 2011/12.
- 3.2 Our work did not include a review of the accounting statements and related records supporting the final accounts under control objective J. We did not consider this to be a key risk or indeed a function that should be discharged through Internal Audit. An opinion on the year end accounts is provided by the appointed auditor to PATROL AJC and we consider that any detailed testing of the accounts to support this opinion remains their responsibility.
- 3.3 Whilst there is a separate Joint Committee for the Bus Lane Adjudication Service it does share a number of systems and processes with PATROL. As a consequence we considered Internal Audit work relating to PATROL could be used as a reasonable source of assurance. This work was designed to address the control objectives within the Annual Return and therefore provides some assurance in respect of the overall operation of financial and business systems.

- 3.4 Where independent systems and processes were in operation for Bus Lanes a review of relevant documents together with sample testing of transactions was completed.

4 Findings

- 4.1 We identified some positive areas of good practice in relation to the control and assurance mechanisms, including :
- All payments reviewed were clearly supported by invoices and retained in well structured files for easy identification.
 - A list of strategic partners where normal procurement procedures have been waived has been approved by PATROL AJC. A programme for periodic market testing was underway in order to demonstrate that value for money was being obtained.
 - Based on a sample of constituent authorities we confirmed that income was calculated, invoiced and received correctly.
 - Detailed working papers were maintained to enable the monitoring and projection of income.
 - The use of payment cards has meant that PATROL does not use petty cash removing the need for additional controls over cash handling. Accordingly our work did not include a review of petty cash and related records under control objective F.
 - The joint risk register was regularly monitored, updated, and reported to the PATROL and Bus Lanes' AJCs.
 - The joint IT Inventory contained comprehensive notes including any known faults, previous problems and previous users of IT equipment. The Inventory also contained clear details of disposals.
- 4.2 In addition to these findings we identified a number of areas where practices could be strengthened, either through improving existing or implementing revised arrangements, as follows:
- The Guide to Staff Expenses should be reviewed and updated, to provide greater clarity.
 - Record management in respect of expense claims and receipts for staff and where applicable for third parties.
 - Improved compliance with approved procurement practices, particularly in respect of ordering.
 - Guidance on appropriate waivers in respect of the approved competitive procurement processes.
 - Better identification of the location of IT assets on the asset Register.
 - Timely bank reconciliations.

5 Conclusions

- 5.1 In our opinion both the PATROL and Bus Lane Adjudication Joint Committees have achieved a satisfactory standard with regard to all eight control objectives examined. Whilst we identified a number of other areas where internal controls were assessed as requiring further development and improvement these were not considered sufficient to prevent the achievement of a satisfactory standard of control overall.
- 5.2 The forthcoming change of host authority creates a number of challenges. In order to minimise the risks associated with this move it is important that the service develops a robust transfer plan which includes both physical and service delivery aspects, as well as support arrangements to ensure business continuity during and following the transfer to the new host authority. The move also creates an opportunity to revisit and where appropriate improve the control environment in respect of the IT Inventory, as detailed in recommendation 5 below.
- 5.3 A detailed action plan of recommendations to improve the system of internal control is attached at Appendix 1.

Appendix 1. Detailed Findings Recommendations and Action Plan

Matters Arising	Potential Risk Implications	Recommendations	Risk	Management Response and agreed actions
<p>Section A: Appropriate accounting records have been properly kept throughout the year.</p> <p>1 Based on our sample of staff expense claims we were unable to locate one of the claims and associated receipts which had been paid. It was clear from the file that other claims by the same person had been made, been appropriately supported by receipts and approved.</p> <p>In our sample of purchases during the year one of the transactions tested related to consultancy fees and included an element of expenses. We were unable to locate receipts in support of this part of the invoice. It was clear from the file that other similar claims had been supported by receipts.</p> <p>The value of the missing claims and receipts was not material compared to the total level of expenditure.</p>	<p>The absence of prime financial records and supporting documentation increases the risk of inappropriate use of funds, budget overspend, misappropriation or error.</p>	<p>From our specific testing and review of files, it is clear that the transactions involved are isolated incidents and have been included here for completeness. We have made the Head of Service aware of these and it is our opinion that she should assure herself the incidents are legitimate expenses. We do not intend to follow this up.</p>	<p style="text-align: center;">● Moderate (Compliance)</p>	<p>Formal management response is not required as we do not anticipate the subsequent action is necessary.</p>

Matters Arising	Potential Risk Implications	Recommendations	Risk	Management Response and agreed actions
Section B: The body's financial regulations have been met, payments were supported by invoices, expenditure was approved and VAT was appropriately accounted for.				
<p>2</p> <p>The guidance currently in place in respect of Staff Expenses was not sufficiently robust. Areas of omission included:</p> <ul style="list-style-type: none"> • Inappropriate Expenses. • Rejection of Claims. • VAT. • Time limits on making claim. • Consequences of fraudulent claims. 	<p>Without suitable Staff Expenses guidance there is an increased likelihood that expense claims will be made, approved, and processed which are not appropriate. This increases the risk of inappropriate use of funds, misappropriation or error, and failure to obtain value for money.</p> <p>Where expense claims are not solely for PATROL use there is an increased risk of breaching tax regulations which could have adverse legal, financial and reputational implications for PATROL.</p>	<p>The Head of Service, in conjunction with the Finance Manager, should review the Staff Expense Guidelines to ensure they clearly set out the purpose of expenses, the key principles of what is and is not acceptable, and guidance in relation to making and processing claims.</p> <p>A basic format that could be used to support the development of the Guidance is attached in Appendix 3 setting out the key principles we expect should be considered.</p> <p>Once completed the revised guidelines should be presented to the PATROL and Bus Lanes AJCs Advisory Boards' for approval and then clearly communicated to all staff.</p>	<p style="text-align: center;">●</p> <p>Moderate (Control)</p>	<p>Agreed: Yes</p> <p>Action to be taken: Review the Staff Expense Guidelines and revise where appropriate. Present for approval to the Advisory Board in September 2012.</p> <p>Additional Resources Required for implementation: N/A</p> <p>Responsible Officer: Head of Service</p> <p>Target Date: 30 September 2012</p>

Matters Arising	Potential Risk Implications	Recommendations	Risk	Management Response and agreed actions
<p>3</p> <p>From our review of purchases and supporting documentation we noted:</p> <ul style="list-style-type: none"> • 3/20 purchase orders were raised after the invoice date; • 3/20 invoices were for more than the approved purchase order; and • 2/20 purchases did not have confirmation that the goods or services had been received. 	<p>Without consistent compliance with established procurement arrangements expenditure may be incurred without authorisation, budgetary provision or maintenance of proper records. This increases the risk of inappropriate use of funds, budget overspend, misappropriation or error.</p>	<p>The Head of Service should remind staff of the purchasing process to be followed and assurance checks should be carried out to ensure that procurement practice complies with PATROL's Financial Regulations.</p> <p>Particular emphasis should be made in respect of:</p> <ul style="list-style-type: none"> • ensuring purchase orders are raised to the value of goods or services to be received; • purchase orders being authorised prior to the purchase being made; and • evidence of satisfactory receipt of goods/services. 	<p>Moderate (Compliance)</p>	<p>Agreed: Yes</p> <p>Action to be taken: Audit findings and recommendations to be presented to Budget Holders next meeting.</p> <p>Additional Resources Required for implementation: N/A</p> <p>Responsible Officer: Head of Service</p> <p>Target Date: 14 June 2012</p>

	Matters Arising	Potential Risk Implications	Recommendations	Risk	Management Response and agreed actions
4	<p>From our review of purchases and supporting documentation we found 1/5 transactions where quotes were not obtained despite meeting the requirements outlined in the Financial Regulations to do so.</p> <p>The Head of Service has advised that the consultant was known to have undertaken similar specialist work and that the waiver to normal procurement on this basis would be presented to the next PATROL AJC.</p>	<p>The absence of appropriate competition in procurement increases the risk that value for money may not be obtained.</p>	<p>The Head of Service should document the circumstances under which it is appropriate to waive the standard competitive procurement process. This list should be presented to the PATROL and Bus Lane AJCs for consideration, amendment if necessary, and approval.</p> <p>The Head of Service should annually present to PATROL and Bus Lane AJC's those suppliers where the waiver to procurement has been exercised, this should include the reason for the waiver in line with the approved list above.</p>	<p>Moderate (Compliance)</p>	<p>Agreed: Yes</p> <p>Action to be taken: Develop procedure for approval by the Joint Committees.</p> <p>Additional Resources Required for implementation: N/A</p> <p>Responsible Officer: Head of Service</p> <p>Target Date: 30 September 2012</p>

	Matters Arising	Potential Risk Implications	Recommendations	Risk	Management Response and agreed actions
<p>Section H: Assets and Investment registers were complete, accurate and properly maintained.</p>					
5	<p>Although generally well maintained the IT Inventory (used jointly for Parking and Bus Lanes) did not sufficiently distinguish the location of IT assets. In a significant number of cases the assets were listed as 'Unassigned Office' which included items both in the general office, those in individuals offices, and those locked away in the IT storage cupboard.</p> <p>It should be noted that with the support of the Technology Manager we were able to locate all the items tested, however this detailed information needs to be retained on the register.</p>	<p>If an up to date and comprehensive asset register is not maintained, there is an increased risk of loss or misappropriation, as well as increased risk of misuse.</p>	<p>The Technology Manager should ensure the location of all items is clearly recorded within the IT Inventory to allow for easy identification, e.g. items held in storage should be separately recorded from those in active use.</p> <p>The proposed move to a new host authority and new offices provides an ideal opportunity to implement best practice. We suggest that the location of specific items should be linked to a desk plan to provide a clear detailed location for all items.</p>	<p>Moderate (Compliance)</p>	<p>Agreed: Yes</p> <p>Action to be taken: Audit findings and recommendations to be communicated to the Technology Manager.</p> <p>Changes to the Inventory will be considered as part of the move following the change of host.</p> <p>Additional Resources Required for Implementation: N/A</p> <p>Responsible Officer: Technology Manager</p> <p>Target Date: 31 March 2013 (to facilitate application of best practice to new premises)</p>

Matters Arising	Potential Risk Implications	Recommendations	Risk	Management Response and agreed actions
Section I: Periodic and year-end bank account reconciliations were properly carried out.				
6 Although periodic bank reconciliations were undertaken for PATROL, these were not completed monthly in line with the Financial Regulations. Bank reconciliations for Bus Lanes had been undertaken each month in line with requirements.	If the bank reconciliation process is not completed in a timely manner there is an increased risk that errors, loss, or inappropriate use of funds would not be identified.	The Finance Manager should ensure monthly reconciliations are completed in line with Financial Regulations. The Head of Service should periodically check that bank reconciliations have been completed within the allotted timescale.	<p>● Moderate (Compliance)</p>	<p>Agreed: Yes</p> <p>Action to be taken: Head of Service to document checking of bank reconciliations in accordance with Financial Regulations time period.</p> <p>Additional Resources Required for implementation: N/A</p> <p>Responsible Officer: Head of Service</p> <p>Target Date: 31 July 2012</p>

Appendix 2. Basis of our opinion and level of assurance

Risk Type	Description
Control	There are areas for development and improvement in the design of the system of internal control.
Compliance	There is need to improve compliance with the existing system of internal control, processes or procedures

Risk	Assessment rationale
● E. Critical	Life threatening / multiple serious injuries or prolonged work place stress. Severe impact on morale and service performance. Intense political and media scrutiny i.e. national media coverage / prolonged local media coverage. Possible criminal, or high profile, civil action. Cessation of core activities, Strategies not consistent with government's agenda, trends show service is degraded. Failure of major Projects. Large increase on project budget/cost: (more than 15 to 30% of the service budget). Statutory intervention triggered.
● D. Major	Serious injuries or stress requiring medical treatment with many workdays lost. Major impact on morale and performance. Scrutiny required by external agencies, external audit etc. Unfavourable national or prolonged local external media coverage. Noticeable impact on public opinion. Major impact on the effectiveness of governance for Patrol. Significant disruption of core activities / performance. Key targets missed, some services compromised. Senior Management action required. Major increase on project budget/cost: (more than 6 to 15% of the service budget).
● C. Significant	Injuries or stress requiring some medical treatment with workdays lost. Some impact on morale and performance. Scrutiny likely to be exercised by external agencies, internal committees or internal audit to prevent escalation. Probable limited unfavourable local media coverage. Significant short-term disruption of service performance. Financial Regulations not complied with. Impact on the effectiveness of governance at the Service level. Significant increase on project budget/cost: (more than 3 to 6% of the departmental budget). Handled within the team.
● B. Moderate	Injuries / stress requiring some medical treatment, potentially some workdays lost. Some impact on morale and performance. Additional scrutiny required by management and internal committees to prevent escalation. Possible limited unfavourable local media coverage. Short-term disruption of service performance. Financial Regulations occasionally not complied with. Minor impact on the effectiveness of governance or moderate impact at service level. Small increase on project budget/cost: (up to 3% of the departmental budget). Handled within the team.
● A. Minor	Minor injuries or stress with no workdays lost or minimal medical treatment. No impact on staff morale Internal Review, unlikely to have impact on the corporate image. Minor errors in systems/operations or processes requiring action or minor delay without impact on overall schedule. Handled within normal day to day routines. Some impact on the effectiveness of governance at service level. Minimal financial loss -- Minimal effect on project budget/cost: Negligible effect on total Budget or departmental budget).

Appendix 3. Key Principles of a Staff Expense Scheme

1. Purpose

Date of Scheme.

The purpose of expenses.

Overview of when to use expenses. (as opposed to other procurement method)

Overview of what is not an expense. (e.g. Procurement of Goods/Services/Travel.)

Overview of what is not appropriate (e.g. Gambling, Alcohol)

If decision is to use maximum limits when appropriate, then what these limits are (eg Subsistence).

Timescales for making claims

2. Role and Responsibilities

A description of the roles and responsibilities for all those involved in Expense Claims, this could include:

- Claimant
- Line Manager
- Approver
- Finance Team

3. Management Assurance Processes

The Claimant and Approvers responsibility for making appropriate claims, and an explanation of the action to be taken in the event of inappropriate or fraudulent claims.

The links between the Scheme and Code of Conduct or other appropriate policies.

How management will gain assurance over expense claims, and details of the process to be followed.

- 4. Examples of Valid / Invalid Claims**
Examples of where it is and isn't appropriate to make claims, with details of why not and what alternatives there are.
(HMRC often uses examples well e.g. guidance note 490 Employee Travel in respect of VAT implications of travel expenses.)
- 5. VAT**
Explanation of VAT implications for both Staff and PATROL Including the need for VAT returns as required.
- 6. Submission of Claims**
How to claim Expenses - how to complete form and where to send it.
Role of Finance Team to reject and return incorrect or incomplete forms.
The requirement to provide receipts (where appropriate).
Timescales for making claims.
Approval Process.
- 7. Payment of Staff Expenses**
Method of Payment.
Frequency of Payment.
- 8. Copy of Claim Form**
Blank Copy of the Claim Form.

4:12 PM
14/06/12
Accrual Basis

PATROL - Bus Lanes
UK Balance Sheet - Standard
As of 31 March 2012

ITEM 10 APPENDIX 4
BALANCE SHEET

	<u>31 Mar 12</u>
ASSETS	
Current Assets	
Accounts Receivable	
Accounts Receivable	779.71
Total Accounts Receivable	<u>779.71</u>
Cash at bank and in hand	
PATROL - Bus Lane	192,414.85
Total Cash at bank and in hand	<u>192,414.85</u>
Total Current Assets	193,194.56
Current Liabilities	
Accounts Payable	
Accounts Payable	99,334.00
Total Accounts Payable	<u>99,334.00</u>
Total Current Liabilities	99,334.00
NET CURRENT ASSETS	<u>93,860.56</u>
TOTAL ASSETS LESS CURRENT LIABILITIES	<u>93,860.56</u>
NET ASSETS	<u><u>93,860.56</u></u>
Capital and Reserves	
Reserves - Bus Lane	65,582.00
Unrestricted Net Assets	55,871.29
Profit for the Year	<u>-27,592.73</u>
Shareholder funds	<u><u>93,860.56</u></u>

**BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE
CODE OF CORPORATE GOVERNANCE****JUNE 2012****Background**

The PATROL Adjudication Joint Committee, formerly the National Parking Adjudication Service Joint Committee, has been established to enable Councils having Civil Enforcement Area Orders to exercise their functions under Section 81 of the Traffic Management Act 2004 and Regulations 17 and 18 of the Civil Enforcement of Parking Contraventions (England) General Regulations 2007. These functions are exercised jointly with the other councils in accordance with the requirements of Regulation 16 of the Civil Enforcement of Parking Contraventions (England) General Regulations 2007.

The functions exercised by the PATROL Adjudication Joint Committee on behalf of its constituent councils are appointing independent adjudicators to the Traffic Penalty Tribunal, providing these adjudicators with administrative staff and accommodation and providing hearing venues. Its remit in relation to the Tribunal is limited to these matters. The Joint Committee also undertakes such other associated functions as the participating Authorities may lawfully arrange Joint Committee to perform as they from time to time consider appropriate.

The PATROL Adjudication Joint Committee (PATROLAJC) is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. The PATROLAJC also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

In discharging this overall responsibility, the PATROLAJC is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, which includes arrangements for the management of risk.

The PATROLAJC, in so far as it is applicable, is consistent with the principles of the CIPFA/SOLACE Framework *Delivering Good Governance in Local Government* in developing its Code of Corporate Governance. The CIPFA/SOLACE governance framework 'Delivering Good Governance in Local Government' brings together an underlying set of legislative requirements, governance principles and management processes.

The Code of Corporate Governance

The PATROL Adjudication Joint Committee's Code of Corporate Governance chimes with the overall aim of the CIPFA/SOLACE framework (CIPFA/SOLACE Framework "Delivering Good Governance in Local Government" 2007 to promote effective governance i.e. "doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner" However, the PATROL Adjudication Joint Committee is mindful of its specific remit, role and responsibilities in adopting the core principles of the CIPFA/SOLACE framework to promote effective governance.

To clarify this, Appendix 2i provides an overview of the Traffic Penalty Tribunal and PATROL Adjudication Joint Committee and their respective roles and it is recognised that clarity in this respect is paramount to promote the continued integrity and independence of the Adjudicators.

- a) Focusing on the purpose of the Joint Committee, its objectives and outcomes.
 - Exercising strategic leadership and clearly communicating its purpose and vision and intended outcomes.
 - Ensuring that users receive a high quality of service.
 - Ensuring that best use is made of resources to achieve value for money.
- b) Members and officers working together to achieve a common purpose with clearly defined functions and roles.
 - Effective leadership and clarity about executive and non-executive functions.
 - Ensuring a constructive working relationship exists between authority members and officers with responsibilities carried out to a high standard.
- c) Promoting values for the Joint Committee and demonstrating the values of good governance through upholding high standards of conduct and behaviour.
 - Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance.
 - Ensuring values are put into place and are effective.
- d) Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.
 - Being rigorous and transparent about how decisions are taken.
 - Having good quality information, advice and support to ensure that services are delivered effectively.
 - Ensuring that an effective risk management system is in place.
- e) Developing the capability of members and officers to be effective
 - Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles.

- Developing the capability of people with governance responsibilities
- f) Stakeholders are engaged with to ensure robust accountability
- Effectively engaging with stakeholders
 - Taking an active and planned approach to dialogue

By adopting the spirit of these six principles, the PATROL Adjudication Joint Committee will:

- i) Structure its governance arrangements.
- ii) Annually monitor effectiveness
- iii) Demonstrate how core principles will be applied and compliance tested.

The Code of Conduct will be reviewed on an annual basis.

APPENDIX 4i

**PATROL (PARKING AND TRAFFIC REGULATIONS OUTSIDE
LONDON) ADJUDICATION JOINT COMMITTEE
&
BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE**

Briefing Note for New Council Representatives

1. Introduction to the Traffic Penalty Tribunal

The Traffic Penalty Tribunal is an independent tribunal where impartial lawyers consider appeals by motorists and vehicle owners whose vehicles have been issued with:

- Penalty Charge Notices (or have been removed or clamped) by councils in England and Wales enforcing parking under the Road Traffic Act 1991 and the Traffic Management Act 2004.
- Penalty Charge Notices by councils in England undertaking civil bus lane enforcement under The Bus Lane Contraventions (Penalty Charges, Adjudication and Enforcement) (England) Regulations (2005 SI No 2757).

The principal objective of the Traffic Penalty Tribunal is to provide independent, impartial and well considered decisions based on fact and law in a way that is user-focused, efficient, timely, helpful and readily accessible.

The Traffic Penalty Tribunal has its headquarters in Manchester but operates across England (outside London) and Wales with its Adjudicators and Hearing Centre Supervisors working remotely and from hearing venues in over 70 locations. The Traffic Penalty Tribunal deals with some 10,000 plus appeals per annum and has 32 Adjudicators including a Chief Adjudicator, 15 Hearing Centre Supervisors and twenty staff. Appellants and Councils are given a named Appeals Coordinator who will handle the administration of their appeal from the Notice of Appeal through to the Decision being issued.

It is the Adjudicator's function to independently decide the appeals and issue any directions required for the management of appeals.

The Traffic Penalty Tribunal comes under the supervision of the Administrative Justice and Tribunals Council which has established a Framework of Standards for Tribunals which states that tribunals should:

- Be independent
- Provide open, fair and impartial hearings
- Be accessible to users
- Focus on the needs of users
- Offer cost effective procedures

- Be properly resourced and organised
- Work with first tier decision makers to improve the “end to end” experience for the user.

Both parties, Councils and Appellants, have a right to a personal hearing, but alternatively may agree to have a telephone or postal hearing.

Technology is central to the whole operation with adjudicators accessing the tribunal’s case management system remotely. The Tribunal actively encourages parties to correspond with the tribunal electronically and is also actively encouraging councils to provide the facility for appellants to appeal on line.

For more information

For more information about The Traffic Penalty Tribunal, members are requested to:

- Visit the tribunal’s web site at www.trafficpenaltytribunal.gov.uk.
- Refer to the Adjudicators Annual Report – available through the web site.
- Contact the Head of Service who will be pleased to provide additional information or arrange a visit to the Manchester offices.
- Members are welcome to participate in any tribunal events e.g. council induction events or council user groups.

2. Background to the Joint Committees

The PATROL Adjudication Joint Committee, formerly the National Parking Adjudication Service Joint Committee, has been established to enable Councils having Civil Enforcement Area Orders to exercise their functions under Section 81 of the Traffic Management Act 2004 and Regulations 17 and 18 of the Civil Enforcement of Parking Contraventions (England) General Regulations 2007. These functions are exercised jointly with the other councils in accordance with the requirements of Regulation 16 of the Civil Enforcement of Parking Contraventions (England) General Regulations 2007.

The functions exercised by the PATROL Adjudication Joint Committee on behalf of its constituent councils are appointing independent adjudicators to the Traffic Penalty Tribunal (subject to the consent of the Lord Chancellor), providing these adjudicators with administrative staff and accommodation and providing hearing venues. **Its remit in relation to the Tribunal is limited to these matters.** The Joint Committee also undertakes such other associated functions as the Participating Authorities may lawfully arrange Joint Committee to perform as they from time to time consider appropriate.

The Agreement that regulates the setting up of the Joint Committee provides for one Representative for each constituent Council. Members of the Joint Committee need not be an “Executive Member” of their Council, but this is a matter for each Council to decide. If the nominated Representative cannot attend the meeting, provision is made for a named substitute to attend in his/her place.

In 2006 with the introduction of civil bus lane enforcement, it was agreed that there would be an integrated tribunal for parking and bus lane enforcement. However, there must be a separate

Joint Committee, the Bus Lane Adjudication Service Joint Committee until such time as both areas of enforcement are governed by the same legislation i.e. the Traffic Management Act 2004. Where councils enforce bus lanes, they are required to become a member of the Bus Lane Adjudication Service Joint Committee.

3. Role of Joint Committee Members

The role of Members of the Joint Committee is to oversee the functions of The Traffic Penalty Tribunal as an Independent Tribunal.

There is not a role as such in respect of the parking/bus lane enforcement activities of the Local Authority they represent on the Joint Committee nor do members have the remit to discuss or influence Adjudicator decisions. The independence and integrity of the tribunal is paramount.

Typically agenda items will include:

- Appointment of adjudicators
- New member councils
- Budgets
- Budget monitoring
- Governance Matters
- Service Charges to user councils
- General progress and service standards
- Establishment of Sub Committees and Advisory Board.
- Other relevant items of interest to the Joint Committee in exercising its duties

Members elect a Chair, Vice Chair and in the case of the PATROL Adjudication Joint Committee, an Assistant Chair. Meetings are attended by the Chair of the Advisory Board, the Chief Adjudicator and Head of Service.

The Head of Service presents reports to the Joint Committee meetings on behalf of the Lead Officer in relation to administrative matters and the Chief Adjudicator presents on judicial matters, administrative responsibilities delegated to her within the scheme of delegation and the Annual Report of the Adjudicators.

4. Joint Committee Primary Objectives

The agreed primary objectives of the Joint Committees are the provision of:

- a) A fair adjudication service for Appellants including visible independence of adjudicators from the authorities in whose areas they are working.
- b) Consistency in access to adjudication.
- c) A cost effective and equitable adjudication service for all Parking Authorities and Bus Lane authorities in England and Wales.
- d) Flexibility to deal with a wide range of local authorities with varying levels of demand for adjudication.

In addition, the Joint Committee oversees any agreed PATROL initiatives e.g. commissioning Independent Reviews and the provision of public information.

5. Joint Committee Meetings

The annual meeting of the PATROL Adjudication Joint Committee takes place in September each year in the Birmingham area.

In addition the Joint Committee has established an Executive Sub Committee which meets twice a year in January and June, again in the Birmingham area. Where possible, Bus Lane Adjudication Joint Committee meetings are scheduled to coincide with the January, June and September meetings.

The PATROL Adjudication Joint Committee has also established an Executive Sub Committee (Wales) with specific reference to matters arising from the separate regulations for the civil enforcement of parking in England and Wales.

Members are encouraged to attend in order to broaden their appreciation of the functions of the Joint Committee. In addition to local authority councillors and officers, the Joint Committee meetings are attended by the Chief Adjudicator, Chair of the Advisory Board and Head of Service. Local authority officers are also welcome to attend.

Notices and papers in respect of Joint Committee meetings are issued by the Lead Authority. Please note that, in the interests of efficiency, papers will only be issued to councillors who have confirmed that they wish to attend.

In addition, prior to each meeting Democratic Services Departments within each member authority will be notified of the publication of papers and provided with a link to a web version for reference purposes. Papers for the meetings are posted on the Manchester City Council's web site under Council Meetings and Minutes or through the following link.

http://www.manchester.gov.uk/meetings/meeting/1291/bus_lanes_adjudication_joint_committee

http://www.manchester.gov.uk/meetings/meeting/1289/civil_enforcement_of_parking_and_traffic_regulations_outside_london_patrol_formerly_npas

Any queries in relation to meetings can be addressed to the Head of Service.

6. Lead Authority and Lead Officer Role

Because the Joint Committees have no corporate status and cannot therefore contract, one of the constituent Councils has been appointed Lead Authority to enable goods and services to be provided on behalf of the Joint Committees. The responsibilities of the Lead Authority are set out in the Joint Committee's agreement and within the Scheme of Delegation. Initially Manchester has been appointed the Lead Authority.

The Joint Committees have delegated decision making in relation to the majority of day to day matters to a "Lead Officer" (initially the Lead Officer is the Chief Executive of Manchester) or to

the Chief Parking Adjudicator/Bus Lane Adjudicator, depending on the subject matter. For the most part the Head of Service of Joint Committee Services acts on behalf of the "Lead Officer".

Except in the case of urgent business, the Lead Officer, in exercising the functions delegated to him, is required to consult with an officer working party (the Advisory Board) comprising the Lead Officer plus up to eleven people, including: seven representatives of local authorities with at least one representing: an English Authority; a Welsh Authority; a District Council; a County Council; a Unitary or Metropolitan Council and a bus lane enforcement council. Representatives of the Department for Transport and National Assembly for Wales have been appointed members of the Advisory Board. There are also two other representatives, a lay member with tribunal experience, and a representative from a motoring organisation. The Advisory Board will have considered all papers being recommended to the Joint Committee.

7. Joint Committee Agreement

The form of the PATROL Adjudication Joint Committee and Bus Lane Adjudication Service Joint Committee Agreements, the articles by which local authorities becomes a member of the Joint Committee, has been the subject of detailed negotiations between the initial parties. Their final form has been approved by leading Counsel. For this reason it is requested that joining councils do not seek to make changes to the terms of the Agreements.

Whilst the Agreements provide for the terms on which the Joint Committees are to operate, including making provision for the joining of new members and for the appointment of a Lead Authority, they do not set out in detail the amount of contributions required from member councils. These contributions are decided by the Joint Committee and are set at a level which should not be prohibitive to any council wishing to join the Joint Committee. These charges will be reviewed annually by the Joint Committees at their January meetings.

8. Public Information

The Joint Committee has approved the provision of common public information on civil enforcement on behalf of local authorities. A public information web site is in operation at www.patrol-uk.info. Information about the web site can be sought from Miles Wallace on 0161 242 5290 or mwallace@patrol-uk.info.

9. Feedback

I trust that this briefing note has been useful. If you have any comments on how this might be improved, please do not hesitate to contact me.

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