

## **BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE**

**To be held on Tuesday 29<sup>th</sup> January 2013 at 12.30pm  
or the rise of the PATROL Adjudication Joint Committee  
At Warwickshire County Cricket Club, The County Ground, Edgbaston, Birmingham,  
B5 7QU.**

### **AGENDA**

### **PART A**

**1. URGENT BUSINESS**

To consider any items which the Chair has agreed to have submitted as urgent.

**2. ACCESS TO INFORMATION ACT**

To consider any appeals from the public against refusal to allow inspection of background documents and/or the inclusion of items in the confidential part of the agenda.

**3. DECLARATIONS OF PECUNIARY / NON-PECUNIARY INTERESTS**

To allow Members an opportunity to [a] declare personal or prejudicial interests in any items which appear on this agenda; and [b] record any items from which they are precluded from voting as a result of Council Tax/Council rent arrears; and [c] the existence and nature of any party whipping arrangements in respect of any item to be considered at this meeting.

Members with a personal interest should declare that interest at the start of the item under consideration. If members also have a prejudicial interest they should withdraw from the meeting during the consideration of the item.

**4. MINUTES OF THE BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE HELD 21 NOVEMBER 2012**

To approve the minutes of the Bus Lane Adjudication Service Joint Committee at its meeting held on 21<sup>st</sup> November 2012.

**[Enclosed]**

**5. TRIBUNAL GENERAL PROGRESS AND SERVICE STANDARDS**

To provide information in respect of councils in the scheme and the tribunal's initiatives and standards.

**[Report enclosed]**

**6. APPEAL STATISTICS 2011/12**

To note the summary report of Tribunal appeals 2011/12.

**7. PART-TIME ADJUDICATOR RECRUITMENT**

To receive an update on the recruitment programme.

**8. TRANSFER TO NEW HOST AUTHORITY**

To receive an update on progress with the move to Wilmslow and approve arrangements for approving the Service Level Agreement between the Joint Committees and Cheshire East.

**[Report enclosed]**

**9. RISK REGISTER**

To note the latest review of the risk register

**[Report enclosed].**

- 10. AUDIT**  
To note the arrangements for audit for 2012/13 and the arrangements for approving the audit plan for 2013/14.
- 11. MONITORING OF BUDGET 2012/13**  
To provide budget monitoring information for 2012/13
- 12. REVENUE BUDGETS for 2013/14**  
To establish the Joint Committee's Revenue Budgets for 2013/14  
**[Report enclosed]**
- 13. DEFRAYING THE EXPENSES OF THE JOINT COMMITTEE 2013/14**  
To establish the basis for defraying the expenses of the Joint Committee in 2011/12.  
**[Report enclosed]**
- 14. STREAMLINING THE AGENDA/PAPERS FOR THE PATROL AND BUS LANE ADJUDICATION SERVICE JOINT COMMITTEES.**  
To approve proposals for streamlining the agendas and papers for the two Joint Committees with effect from June 2013.
- 15. DATE OF NEXT MEETING: Tuesday 25<sup>th</sup> June 2013**

**AGENDA ISSUED: 21 January 2013**

**LOUISE HUTCHINSON, HEAD OF SERVICE  
BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE, BARLOW HOUSE,  
MINSHULL STREET, MANCHESTER M1 3DZ:  
Telephone 0161 242 5290**

**Minutes of a meeting of the Bus Lane Adjudication Service Joint Committee held on 21 November 2012 at the St Alban's Centre, Leigh Place, Baldwins Gardens, Holborn, London EC1N 7AB**

**Present:**

Councillor Phrynnette Dickens – Hampshire County Council  
Councillor Tony Page – Reading Borough Council  
Councillor Jamie Macrae, Cheshire East Council  
Councillor Rachel Bailey, Cheshire East Council  
Councillor Kerr, South Tyneside  
Councillor D Taylor, Luton Borough Council  
Councillor Lindsley Harvard, Coventry City Council

**Also Present:**

John Satchwell – Chair, Advisory Board  
Graham Addicott – Vice Chair Advisory Board  
Caroline Sheppard – Chief Adjudicator  
Louise Hutchinson, Head of Service, PATROL  
Chris Shepherd for PATROL Secretary  
Andrew Barfoot – Traffic Penalty Tribunal  
Miles Wallace – PATROL  
Kelly Cornell – PATROL  
Robin Chantrill-Smith – Thanet District Council  
Marc Samways – Hampshire County Council  
John McEvoy – Carmarthenshire County Council  
Derek Twigg – Hertfordshire County Council  
Kevin Melling – Cheshire East Council  
Beth Jackson, Highways Agency  
Mark Fletcher, Department for Transport  
Robert Pollard, Canterbury City Council  
Kam Hothi, Slough Borough Council  
Paul Jones, Cheshire East Council

**BLAS/12/36 Minutes of the Bus Lane Adjudication Service Joint Committee**

**Decision**

To approve the minutes of the Bus Lane Adjudication Service Joint Committee held on 25 September 2012.

### **BLAS/12/37 Tribunal General Progress and Service Standards**

A report was submitted which detailed progress in respect of the take up of civil parking enforcement powers by Councils in England (outside London) and Wales and information in relation to general progress and service standards.

The Head of Service and Chief Adjudicator responded to questions on the report.

#### **Decision**

1. To note the information provided in the report in respect of the current take up of civil enforcement of parking powers.
2. To note the information in relation to appeals activity.
3. To note the information in relation to service standards.

### **BLAS/12/38 Department for Transport Consultation on Road User Charging Enforcement Regulations**

A report informing the Joint Committee on the consultation on Road User Charging Enforcement Regulations was submitted.

#### **Decision**

To note the consultation on Road User Charging Enforcement Regulations.

### **BLAS/12/39 External Audit Report 2011/12**

A report was submitted which presented the findings of the external audit for 2011/12.

#### **Decision**

To note the findings of the external audit for 2011/12.

### **BLAS/12/40 Budget Monitoring Report**

A report which presented the expenditure monitoring information in respect of the Revenue Account for year 2012/13 was submitted.

#### **Decision**

1. To note the income and expenditure position at 30 September 2012.
2. To note a further report will be presented to the January 2013 meeting.

### **BLAS/12/41 Memorandum of understanding between the Adjudicators and the Joint Committees**

A report was submitted which presented the Memorandum of Understanding between the Adjudicators and the Joint Committee for approval.

#### **Decision**

1. To approve the Memorandum of Understanding between the Adjudicators and the Joint Committee.
2. To agree that the Memorandum of Understanding will be a core governance document for the Joint Committee which will inform the Joint Committee's Schemes of Delegations and the Service Level Agreement with the Lead/Host Authority.
3. To agree to review the Memorandum of Understanding at the Joint Committee's annual meeting each year.

### **BLAS/12/42 Appointment of Cheshire East Council as the new Lead Authority**

A report concerning the transfer of Lead Authority function on behalf of the Joint Committee was submitted for consideration.

#### **Decision**

1. To agree, In accordance with the Bus Lane Adjudication Service Joint Committee (BLASJC) Agreement to appoint Cheshire East Council as Lead Authority (to be known for day to day purposes as the Host Authority) to the Joint Committee with effect from 1st April 2013 for a period of five years to 31 March 2018. The commencement date will be preceded by a phased transition to enable premises to be commissioned by 31 March 2013
2. To agree to new Terms of Appointment of the Lead Authority being negotiated between the Joint Committee and the Lead Authority in accordance with the Agreement, such new Terms of Appointment to be in the form of a Service Level Agreement between the Joint Committee and the Lead Authority to be presented for approval to the BLASJC meeting in January 2013.
3. To agree that the Service Level Agreement will be informed by the Memorandum of Understanding between the Adjudicators and the Joint Committee, with both documents being reviewed annually.
4. To request the Chief Executive of Cheshire East Council to nominate the Head of Service to undertake the role of Lead Officer in accordance with the BLASJC Agreement and a Scheme of Delegation from

the Joint Committee.

5. To agree that a Scheme of Delegated Functions will be presented to the June 2013 meeting of the Bus Lane Adjudication Service Joint Committee for approval.
6. To agree that the Joint Committee will reimburse Cheshire East Council for all services provided to the Joint Committee in accordance with the provisions of the BLASJC Agreement.
7. To agree that the Section 151 Officer of Cheshire East Council be appointed the Joint Committee's Treasurer and will be consulted in the review of the Joint Committee's Reserves and Treasury Management policies scheduled for January 2013 and Financial Regulations in June 2013.
8. To note that the auditors appointed by the Audit Commission are retained following the transfer to Cheshire East Council.
9. To approve the TUPE transfer of staff to Cheshire East Council anticipated to take place on 1st April 2013 and meet the additional travel costs incurred by employees over a period of four years.
10. To request Cheshire East Council to enter into a lease for five years on behalf of the Joint Committee at the earliest opportunity (preferably before 15th January 2013) with a view to premises being operational by end of March 2013.
11. To request Cheshire East Council to assist the Joint Committee in identifying governance arrangements which continue to promote the independence of the Adjudicators, support the arms length nature of the Joint Committee and facilitate future growth.
12. To record the committee's thanks to Manchester City Council and Cheshire East Council for their assistance in effecting this transfer.

### **BLAS/12/43 Terms and conditions – part time Adjudicators**

A report was submitted which advised the Committee of a revision of the terms and conditions of the part time adjudicator ahead of the impending recruitment exercise.

#### **Decision**

To approve the review of terms and conditions for part time adjudicators with the minor amendments highlighted by the Chief Adjudicator.

**BLAS/12/44 Date of next meetings:**

Tuesday 29 January 2013

Tuesday 25 June 2013

**REPORT FOR INFORMATION**

**SUBJECT:** **General Progress and Service Standards**

**REPORT OF:** **The Lead Officer on behalf of the Advisory Board**

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**PURPOSE OF REPORT**

To report to the Committee on progress in respect of: (a) the take up of civil parking enforcement powers by Councils in England (outside London) and Wales and information in relation to general progress and service standards.

**RECOMMENDATIONS**

It is recommended that the Joint Committee:

- (i) Notes the information provided in the report in respect of the current take up of civil enforcement of parking powers.
- (ii) Notes the information in relation to appeals activity
- (iii) Notes the information in relation to service standards

**FINANCIAL CONSEQUENCES**

The budget setting process includes forecasting of anticipated appeals activity.

**CONTACT OFFICER**

Louise Hutchinson, Joint Committee Services, PATROL, Barlow House, Minshull Street, Manchester, M1 3DZ. Tel: 0161 242 5270



## 1. BACKGROUND

The statistical report provides information in relation to the period October to December 2012

## 2. RECOMMENDATIONS

It is recommended that the Joint Committee:

- (i) Notes the information provided in the report in respect of the current take up of civil enforcement of parking powers.
- (ii) Notes the information in relation to appeals activity.
- (iii) Notes the information in relation to service standards.

## 3. COUNCILS IN THE SCHEME

During the third quarter of 2012/13 Somerset County Council joined the scheme. .

## 4. CASE CLOSURE

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

### Personal Hearings

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

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

### Postal Decisions

80% of postal decisions to be made within 7 weeks of receipt of the Notice of Appeal

The reports on case closure include all cases which were registered during April to June 2012 and have been decided (data is also included for the year ending 31 March 2012 for comparison). This data will include cases that have been delayed for the following reasons.

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**Requests from parties to the appeal:**

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

**Adjudicators may require:**

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

**Postal Cases (decided without a hearing)**

Measure	April to March 2012	April to September 2012	October to December 2012
Average number of weeks between registration of appeal and decision issued	5.09 weeks	4.78 weeks	4.20 weeks
Cases with less than 7 weeks between registration and decision (postal target)	85.39%	86.68%	89.88%
Cases with less than 12 weeks between registration and decision	96.53%	98.63%	100.00%

**Personal Cases (Face to Face Hearings)**

Measure	April to March 2012	April to September 2012	October to December 2012
Average number of weeks between registration of appeal and decision issued	12.07weeks	11.90 weeks	7.89 weeks
Cases with less than 8 weeks between registration and decision (personal target)	24.14%	22.41%	44.44%
Cases with less than 12 weeks between registration and decision (personal target)	62.69%	62.07%	100.00%

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**Telephone Cases (Telephone Hearing)**

Measure	April to March 2012	April to September 2012	October to December 2012
Average number of weeks between registration of appeal and decision issued	7.13 weeks	7.50 weeks	7.28 weeks
Cases with less than 8 weeks between registration and decision (personal target)	77.52%	73.68%	77.78%
Cases with less than 12 weeks between registration and decision (personal target)	91.50%	90.35%	100.00%

## REPORT FOR INFORMATION

**SUBJECT:** APPEAL STATISTICS 2011/12

**REPORT OF:** The Chief Adjudicator

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### PURPOSE OF REPORT

To request the Joint Committee to note the summary of Tribunal appeals statistics for the period 2011/12.

### RECOMMENDATIONS

It is recommended that the Joint Committee:

[i] Notes the appeals statistics 2011/12 and summary report.

### FINANCIAL CONSEQUENCES FOR THE REVENUE BUDGET

These statistics assist in forecasting appeals activity and associated expenditure requirements.

### CONTACT OFFICER

Caroline Sheppard, Chief Adjudicator, Barlow House, Minshull Street, Manchester, Tel: 0161 242 5270

## 1. INTRODUCTION

The appendix to this report includes the following tables:

- a) Key statistics
- b) Overall parking summary: parking, bus lanes and Wales.
- c) Parking year on year comparison
- d) Parking council by council statistics
- e) Bus Lanes year on year comparison
- f) Bus Lanes council by council statistics

These statistics have been circulated to councils and will be published on the tribunal web site.

## 2. SUMMARY

### 2.1 Parking

- Appeals increase of 10% when compared with the same period in the previous year
- Increase in PCNs issued by Local Authorities by 1% when compared with the same period in the previous year
- Appeals allowed/dismissed/not contested has remained static when compared with the same period in the previous year
- Rate of Appeal per PCN has remained static when compared with the same period in the previous year

### 2.2 Bus Lanes

- 6 New local authorities have commenced bus lane enforcement
- Appeals increase of 137% when compared with the same period in the previous year
- Increase in PCNs issued by local authorities 47% when compared with the same period in the previous year
- Increase in appeals allowed by 7% when compared with the same period in the previous year
- Appeals not contested by local authorities down 3% when compared with the same period in the previous year
- Rate of appeal increased from 0.39% to 0.63% when compared with the same period in the previous year

## 3. RECOMMENDATIONS

- [i] Notes the appeals statistics 2011/12 and summary report.

Appeals Overview 2011/12

	PCNs Appealed	PCNs issued	Rate of appeal per PCN	Not Contested by council	Allowed by Adjudicator	Total allowed including not contested	Refused by Adjudicator incl. out of time and withdrawn	Consent Order	Witness Statement - No Appeal	Awaiting decision Incl. other decided
All Councils Parking PCNs (English and Welsh)	16,666	4,319,708	0.35%	4347 26%	3910 23%	8257 50%	7092 43%	229 1%	839 5%	249 1%
All Welsh Councils	763	184,600	0.28%	217 28%	104 14%	321 42%	369 48%	16 2%	34 4%	23 3%
All Bus Lane Councils	3,336	527,027	0.63%	1304 39%	826 25%	2130 64%	1061 32%	20 1%	15 0%	110 3%



Details of Appeals Received for All Councils April 2011 to March 2012

Council	PCNs Appealed	PCNs issued	Rate of appeal per PCN	Not Contested by council	Allowed by Adjudicator	Total allowed including not contested by council	Refused by Adjudicator incl. out of time and withdrawn by appellant	Consent order	Witness Statement - No Appeal	Awaiting decision Incl. other decided
Barnsley	13	7,927	0.16%	8 62%	4 31%	12 92%	1 8%	0 0%	0 0%	0 0%
Bath and North East Somerset	93	33,061	0.28%	10 11%	20 22%	30 32%	55 59%	1 1%	6 6%	1 1%
Bedford	78	30,007	0.26%	20 26%	16 21%	36 46%	42 54%	0 0%	0 0%	0 0%
Birmingham	720	133,895	0.54%	227 32%	112 16%	339 47%	305 42%	10 1%	65 9%	1 0%
Blackburn with Darwen	50	8,459	0.59%	13 26%	15 30%	28 56%	12 24%	0 0%	8 16%	2 4%
Blackpool	29	22,421	0.13%	5 17%	15 52%	20 69%	7 24%	0 0%	0 0%	2 7%
Bolton	162	27,408	0.59%	49 30%	38 23%	87 54%	56 35%	1 1%	17 10%	1 1%
Bournemouth	140	27,416	0.51%	22 16%	42 30%	64 46%	66 47%	3 2%	7 5%	0 0%
Bracknell Forest	7	2,983	0.23%	4 57%	1 14%	5 71%	2 29%	0 0%	0 0%	0 0%
Bradford	240	42,517	0.56%	96 40%	35 15%	131 55%	102 42%	3 1%	2 1%	2 1%
Brighton & Hove	646	116,097	0.56%	121 19%	217 34%	338 52%	279 43%	23 3%	2 0%	4 1%
Bristol	297	77,094	0.39%	127 42%	35 12%	162 55%	96 32%	3 1%	28 9%	8 3%





Cumbria County Council													
Allerdale	9	10,768	0.08%	5	56%	0	0%	5	56%	4	44%	0	0%
Barrow-in-Furness	19	9,234	0.21%	6	32%	4	21%	10	53%	8	42%	0	0%
Carlisle	9	9,757	0.09%	1	11%	4	44%	5	56%	4	44%	0	0%
Copeland	2	1,401	0.14%	0	0%	1	50%	1	50%	1	50%	0	0%
Eden	13	4,521	0.29%	2	15%	6	46%	8	62%	5	38%	0	0%
South Lakeland	14	9,922	0.14%	1	7%	5	36%	6	43%	7	50%	0	0%
Darlington													
	38	15,454	0.25%	14	37%	6	16%	20	53%	18	47%	0	0%
Derby													
	102	24,505	0.42%	29	28%	17	17%	46	45%	50	49%	1	1%
Derbyshire County Council													
Amber Valley	24	3,755	0.64%	5	21%	5	21%	10	42%	12	50%	0	0%
Chesterfield	36	4,032	0.89%	4	11%	13	36%	17	47%	14	39%	4	11%
Derbyshire Dales	13	4,397	0.30%	2	15%	3	23%	5	38%	8	62%	0	0%
Erewash	22	1,834	1.20%	8	36%	4	18%	12	55%	8	36%	1	5%
High Peak	29	2,678	1.08%	7	24%	14	48%	21	72%	7	24%	0	0%
North East Derbyshire	1	532	0.19%	0	0%	0	0%	0	0%	0	0%	1	100%
South Derbyshire	4	393	1.02%	0	0%	0	0%	0	0%	4	100%	0	0%

Devon County Council												
East Devon	31	9,107	0.34%	11	6	17	14	0	0	0	0	0%
Exeter	44	21,186	0.21%	4	11	15	20	0	0	0	1	2%
Mid Devon	2	3,635	0.06%	0	1	1	1	0	0	0	0	0%
North Devon	52	12,227	0.43%	17	7	24	22	0	4	4	2	4%
South Hams	13	11,575	0.11%	2	6	8	4	0	0	0	1	8%
Teinbridge	73	12,736	0.57%	21	26	47	25	0	0	0	1	1%
Torrige	19	7,794	0.24%	4	4	8	11	0	0	0	0	0%
West Devon	5	2,898	0.17%	1	2	3	2	0	0	0	0	0%
Apr 11- Mar 12												
Dorset (East Dorset, North Dorset, Purbeck, Wareham, and West Dorset)	32	15,298	0.21%	2	2	4	22	0	0	6	0	0%
Weymouth & Portland	18	10,847	0.17%	3	2	5	13	0	0	0	0	0%
Doncaster	99	19,671	0.50%	21	17	38	37	0	24	24	0	0%
Dudley	45	10,325	0.44%	5	14	19	21	3	2	2	0	0%
Durham	13	13,358	0.10%	2	0	2	6	0	5	38%	0	0%
East Riding of Yorkshire**	33	4,695	0.70%	5	9	14	13	2	0	0	4	12%
East Sussex County Council (Eastbourne)	40	14,068	0.28%	4	15	19	19	1	0	0	1	2%
East Sussex County Council (Lewes)	46	13,337	0.34%	6	17	23	23	0	0	0	0	0%
Hastings	51	22,011	0.23%	5	18	23	24	1	3	6%	0	0%

Essex County Council		171	48,751	0.35%	51	51	102	58	0	7	4
South Essex Parking Partnership (Basildon, Brentwood, Castle Point, Chelmsford, Maldon, Rochford)											
Braintree	5	7,076		0.07%	2	0	2	2	0	0	2%
Colchester	14	19,686		0.07%	5	0	5	9	0	0	20%
Epping Forest	14	21,391		0.07%	4	2	6	8	0	0	0%
Harlow	8	10,688		0.07%	4	1	5	3	0	0	0%
Tending	10	6,117		0.16%	6	0	6	4	0	0	0%
Uttlesford	0	4,540		0.00%	0	0	0	0	0	0	0%
Gateshead	41	12,860		0.32%	8	10	18	21	2	0	0
					20%	24%	44%	51%	5%	0%	0%

Gloucestershire County Council		24	14,358	0.17%	14	4	18	6	0	0	0
Cheltenham											
Coltswood	24	12,054		0.20%	5	10	15	9	0	0	0
Forest of Dean	5	1,158		0.43%	4	0	4	1	0	0	0
Gloucester	30	14,935		0.20%	8	8	16	12	2	0	0
Stroud	16	4,379		0.37%	1	6	7	8	0	0	1
Tewkesbury	15	5,827		0.26%	2	5	7	8	0	0	6%
					13%	33%	47%	53%	0%	0%	0%

Hampshire County Council													
Basingstoke and Deane	16	8,303	0.19%	0	5	5	31%	31%	5	11	0	0	0
Eastleigh	21	13,821	0.15%	2	4	19%	19%	6	6	15	0	0	0
Fareham	13	9,281	0.14%	3	2	15%	38%	5	8	62%	0	0	0
Hart	6	3,444	0.17%	1	4	67%	83%	5	1	17%	0	0	0
Havant	32	7,003	0.46%	4	9	28%	41%	13	19	59%	0	0	0
New Forest	4	6,959	0.06%	2	1	25%	75%	3	1	25%	0	0	0
Rushmoor	18	18,245	0.10%	5	6	33%	61%	11	6	33%	0	0	1
Test Valley	3	8,430	0.04%	1	1	33%	67%	2	1	33%	0	0	0
Winchester	3	12,288	0.02%	0	1	33%	67%	1	2	67%	0	0	0
Hartlepool	24	8,385	0.29%	5	5	21%	21%	10	13	54%	1	0	0
Herefordshire County Council	13	21,339	0.06%	0	5	38%	38%	5	8	62%	0	0	0
Hertfordshire County Council													
Broxbourne	35	13,380	0.26%	1	5	14%	17%	6	29	83%	0	0	0
Dacorum	43	16,844	0.26%	4	15	35%	44%	19	19	44%	0	5	0
East Hertfordshire	64	26,890	0.24%	7	22	11%	34%	29	33	52%	1	0	1
Hertsmere	44	7,787	0.57%	19	10	43%	23%	29	8	18%	1	0	6
North Hertfordshire	19	9,673	0.20%	10	3	50%	15%	13	4	20%	0	2	0
St Albans	39	20,433	0.19%	24	4	62%	10%	28	6	15%	2	3	0
Stevenage	20	6,864	0.29%	2	9	10%	45%	11	9	45%	0	0	0
Three Rivers	12	3,636	0.33%	4	2	33%	17%	6	6	50%	0	0	0
Watford	107	19,806	0.54%	14	21	13%	20%	35	59	55%	1	10	2
Welwyn Hatfield	26	6,070	0.32%	3	10	12%	38%	13	12	46%	0	0	1

Ipswich	26	13,244	0.20%	6	23%	8	31%	14	54%	10	38%	1	4%	0	0%	1	4%
Isle of Wight	73	29,759	0.25%	28	38%	6	8%	34	47%	36	49%	0	0%	3	4%	0	0%
<b>Kent County Council</b>																	
Ashford	31	12,097	0.26%	6	19%	9	29%	15	48%	15	48%	0	0%	1	3%	0	0%
Canterbury	22	27,350	0.08%	3	14%	6	27%	9	41%	11	50%	0	0%	0	0%	2	9%
Dartford	58	10,338	0.56%	11	19%	26	45%	37	64%	21	36%	0	0%	0	0%	0	0%
Dover	15	15,956	0.09%	3	20%	5	33%	8	53%	7	47%	0	0%	0	0%	0	0%
Gravesham	73	17,979	0.41%	28	38%	25	34%	53	73%	12	16%	0	0%	8	11%	0	0%
Maidstone	121	35,242	0.38%	61	50%	24	20%	85	70%	29	24%	0	0%	6	5%	1	1%
Sevenoaks	33	10,393	0.32%	5	15%	10	30%	15	45%	16	48%	0	0%	1	3%	1	3%
Shepway	43	15,583	0.28%	6	14%	13	30%	19	44%	16	37%	0	0%	5	12%	3	7%
Swale	25	18,897	0.13%	1	4%	10	40%	11	44%	14	56%	0	0%	0	0%	0	0%
Thanet	18	9,815	0.18%	8	44%	4	22%	12	67%	6	33%	0	0%	0	0%	0	0%
Tonbridge & Malling	22	8,450	0.26%	1	5%	10	45%	11	50%	5	23%	0	0%	5	23%	1	5%
Tunbridge Wells	37	21,405	0.17%	7	19%	5	14%	12	32%	22	59%	0	0%	3	8%	0	0%
<b>Kingston-upon-Hull</b>	154	24,243	0.64%	86	56%	22	14%	108	70%	43	28%	2	1%	0	0%	1	1%
<b>Kirklees</b>	208	31,997	0.65%	29	14%	64	31%	93	45%	106	51%	4	2%	0	0%	5	2%

Lancashire CC	278	44,837	0.62%	135	35	170	87	4	12	5
				49%	13%	61%	31%	1%	4%	2%
Burnley	3	2,579	0.12%	0	0	0	3	0	0	0
				0%	0%	0%	100%	0%	0%	0%
Chorley	17	3,600	0.47%	4	4	8	7	0	1	1
				24%	24%	47%	41%	0%	6%	6%
Fylde	6	2,466	0.24%	2	0	2	3	0	0	1
				33%	0%	33%	50%	0%	0%	17%
Hyndburn	1	51	1.96%	0	0	0	1	0	0	0
				0%	0%	0%	100%	0%	0%	0%
Lancaster	16	6,010	0.27%	7	3	10	6	0	0	0
				44%	19%	62%	37%	0%	0%	0%
Pendle	3	1,336	0.22%	1	1	2	0	0	1	0
				33%	33%	67%	0%	0%	33%	0%
Preston	18	3,126	0.56%	1	2	3	12	0	3	0
				6%	11%	17%	67%	0%	17%	0%
Ribble Valley	7	1,343	0.52%	1	1	2	5	0	0	0
				14%	14%	29%	71%	0%	0%	0%
Rosendale	1	0	0.00%	0	1	1	0	0	0	0
				0%	100%	100%	0%	0%	0%	0%
South Ribble	1	785	0.13%	1	0	1	0	0	0	0
				100%	0%	100%	0%	0%	0%	0%
West Lancashire	19	3,971	0.48%	7	2	9	8	0	2	0
				37%	11%	47%	42%	0%	11%	0%
Wyre	21	3,414	0.62%	6	4	10	11	0	0	0
				29%	19%	48%	52%	0%	0%	0%

Leeds	163	106,799	0.15%	36	42	78	79	0	3	3
				22%	26%	48%	48%	0%	2%	2%

Leicestershire County Council										
Blaby	8	1,805	0.44%	1	4	5	2	0	1	0
				12%	50%	62%	25%	0%	12%	0%
Charnwood	71	12,869	0.55%	27	14	41	24	1	5	0
				38%	20%	58%	34%	1%	7%	0%
Harborough	17	4,092	0.42%	5	5	10	7	0	0	0
				29%	29%	59%	41%	0%	0%	0%
Hinckley & Bosworth	37	7,350	0.50%	7	5	12	20	2	3	0
				19%	14%	32%	54%	5%	8%	0%
Melton	16	2,344	0.66%	8	4	12	4	0	0	0
				50%	25%	75%	25%	0%	0%	0%
NW Leicestershire	43	6,682	0.64%	33	2	35	5	1	2	0
				77%	5%	81%	12%	2%	5%	0%
Oadby & Wigston	22	3,718	0.59%	8	3	11	9	0	2	0
				36%	14%	50%	41%	0%	9%	0%
Leicester	137	40,773	0.34%	58	23	81	36	1	19	0
				42%	17%	59%	26%	1%	14%	0%

Liverpool	324	74,717	0.43%	60	19%	61	19%	121	37%	170	52%	2	1%	24	7%	7	2%
Luton	108	27,502	0.39%	24	22%	20	19%	44	41%	52	48%	0	0%	8	7%	4	4%
Manchester	925	137,430	0.67%	113	12%	364	39%	477	52%	383	41%	33	2%	8	1%	24	3%
Medway	179	47,352	0.38%	80	45%	38	21%	118	66%	61	34%	0	0%	0	0%	0	0%
Middlesbrough	45	8,813	0.51%	7	16%	3	7%	10	22%	30	67%	1	2%	4	9%	0	0%
Milton Keynes	102	30,360	0.34%	41	40%	24	24%	65	64%	37	36%	0	0%	0	0%	0	0%
Newcastle upon Tyne	320	68,426	0.47%	61	19%	62	19%	123	38%	148	46%	4	2%	44	14%	1	0%
Norfolk County Council																	
Breckland District Council	1	514	0.19%	1	100%	0	0%	1	100%	0	0%	0	0%	0	0%	0	0%
Broadland District Council	0	63	0.00%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Great Yarmouth**	0	7,224	0.00%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Kings Lynn and West Norfolk**	6	3,226	0.19%	3	50%	1	17%	4	67%	2	33%	0	0%	0	0%	0	0%
North Norfolk District Council	3	2,610	0.00%	1	0%	1	0%	2	0%	0	0%	0	0%	0	0%	1	0%
South Norfolk District Council	0	1,340	0.00%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
North Lincolnshire	83	12,870	0.64%	18	22%	20	24%	38	46%	36	43%	0	0%	8	10%	1	1%
North East Lincolnshire	53	10,601	0.50%	14	26%	21	40%	35	66%	17	32%	1	2%	0	0%	0	0%
Norwich	97	25,169	0.39%	37	38%	10	10%	47	48%	43	44%	4	4%	0	0%	3	3%



North Tyneside	131	13,667	0.96%	39	30%	23	18%	62	47%	60	46%	0	0%	9	7%	0	0%
North Yorkshire County Council																	
Harrogate	21	17,290	0.12%	0	0%	6	29%	6	29%	15	71%	0	0%	0	0%	0	0%
Scarborough	75	17,602	0.43%	10	13%	14	19%	24	32%	35	47%	2	3%	11	15%	3	4%
Northamptonshire County Council	148	38,644	0.38%	26	18%	46	31%	72	49%	75	51%	0	0%	0	0%	1	1%
Nottingham	364	62,101	0.59%	94	26%	63	18%	157	43%	135	37%	3	1%	59	16%	10	3%
Nottinghamshire County Council	280	29,193	0.96%	65	23%	82	29%	147	52%	116	41%	2	1%	9	3%	6	2%
Ashfield	19	2,187	0.87%	8	42%	6	32%	14	74%	4	21%	0	0%	1	5%	0	0%
Bassettlaw	60	4,595	1.31%	4	7%	25	42%	29	48%	29	48%	2	3%	0	0%	0	0%
Broxtowe	29	5,006	0.58%	5	17%	10	34%	15	52%	12	41%	0	0%	0	0%	2	7%
Gedding	35	4,969	0.70%	2	6%	6	17%	8	23%	22	63%	0	0%	0	0%	5	14%
Mansfield	38	3,868	0.98%	6	16%	9	24%	15	39%	17	45%	1	3%	4	11%	1	3%
Newark & Sherwood	20	3,265	0.61%	4	20%	5	25%	9	45%	9	45%	1	5%	1	5%	0	0%
Rushcliffe	61	4,402	1.39%	16	26%	19	31%	35	57%	26	43%	0	0%	0	0%	0	0%
Oldham	106	23,928	0.44%	1	1%	50	47%	51	48%	48	45%	4	4%	0	0%	3	3%
Oxfordshire County Council (Oxford)	132	41,046	0.32%	20	15%	32	24%	52	39%	57	43%	3	2%	16	12%	4	3%
West Oxfordshire	8	7,413	0.11%	3	37%	1	12%	4	50%	4	50%	0	0%	0	0%	0	0%
Peterborough	33	16,967	0.19%	8	24%	15	45%	23	70%	10	30%	0	0%	0	0%	0	0%
Plymouth	315	39,540	0.80%	143	45%	40	13%	183	58%	93	30%	3	1%	35	11%	1	0%

Poole	64	19,272	0.33%	12	19%	13	20%	25	39%	31	48%	0	0%	6	9%	2	3%
Portsmouth	100	37,883	0.26%	9	9%	23	23%	32	32%	56	56%	2	2%	9	9%	1	1%
Reading	336	44,229	0.76%	201	60%	42	12%	243	72%	78	23%	1	0%	11	3%	3	1%
Redcar & Cleveland	45	8,744	0.51%	12	27%	13	29%	25	56%	20	44%	0	0%	0	0%	0	0%
Rochdale	67	13,078	0.51%	11	16%	23	34%	34	51%	28	42%	3	4%	2	3%	0	0%
Royal Borough of Windsor and Maidenhead	173	36,218	0.48%	40	23%	33	19%	73	42%	98	57%	1	1%	0	0%	1	1%
Rotherham	37	6,938	0.53%	4	11%	18	49%	22	59%	11	30%	0	0%	4	11%	0	0%
Rutland	1	2,746	0.04%	1	100%	0	0%	1	100%	0	0%	0	0%	0	0%	0	0%
Salford	95	32,993	0.29%	18	19%	18	19%	36	38%	53	56%	0	0%	3	3%	3	3%
Sandwell	123	33,614	0.37%	25	20%	16	13%	41	33%	78	63%	3	2%	0	0%	1	1%
Sefton	74	37,470	0.20%	5	7%	11	15%	16	22%	45	61%	0	0%	11	15%	2	3%
Sheffield	282	61,788	0.46%	111	39%	43	15%	154	55%	86	30%	7	2%	35	12%	0	0%
Shropshire	73	13,033	0.56%	12	16%	25	34%	37	51%	32	44%	0	0%	3	4%	1	1%
Slough	238	35,895	0.66%	104	44%	27	11%	131	55%	77	32%	3	1%	26	11%	1	0%
Solihull	11	14,612	0.08%	5	45%	3	27%	8	73%	3	27%	0	0%	0	0%	0	0%
South Gloucestershire	20	8,763	0.23%	4	20%	6	30%	10	50%	10	50%	0	0%	0	0%	0	0%

South Tyneside	16	12,354	0.13%	4	25%	3	19%	7	44%	9	56%	0	0%	0	0%
Southampton	145	33,248	0.44%	11	8%	18	12%	29	20%	91	63%	1	1%	21	14%
Southend-on-Sea	447	45,559	0.98%	227	51%	95	21%	322	72%	120	27%	4	1%	0	0%
St Helens	19	6,772	0.28%	1	5%	5	26%	6	32%	13	68%	0	0%	0	0%
Staffordshire County Council															
Cannock Chase	1	7,136	0.01%	0	0%	1	100%	1	100%	0	0%	0	0%	0	0%
East Staffordshire	6	9,130	0.07%	0	0%	3	50%	3	50%	2	33%	1	17%	0	0%
Lichfield	3	6,311	0.05%	0	0%	0	0%	0	0%	3	100%	0	0%	0	0%
Newcastle under Lyme	8	6,919	0.12%	0	0%	3	37%	3	37%	5	62%	0	0%	0	0%
South Staffordshire	1	1,877	0.05%	0	0%	1	100%	1	100%	0	0%	0	0%	0	0%
Stafford	15	13,847	0.11%	3	20%	5	33%	8	53%	7	47%	0	0%	0	0%
Staffordshire Moorlands	4	4,863	0.08%	0	0%	1	25%	1	25%	2	50%	0	0%	0	25%
Tamworth	10	6,087	0.16%	1	10%	0	0%	1	10%	9	90%	0	0%	0	0%
Stockport	37	17,062	0.22%	15	41%	14	38%	29	78%	8	22%	0	0%	0	0%
Stockton-on-Tees	15	6,797	0.22%	2	13%	6	40%	8	53%	7	47%	0	0%	0	0%
Stoke-on-Trent	34	20,961	0.16%	0	0%	5	15%	5	15%	28	82%	1	3%	0	0%
Sunderland	66	12,660	0.52%	9	14%	13	20%	22	33%	38	58%	2	3%	3	5%

Surrey County Council												
Elmbridge	75	21,927	0.34%	9	18	27	43	1	2	2	2	3
				12%	24%	36%	57%	1%	3%	3%	3%	3%
Epsom and Ewell	62	15,213	0.41%	12	30	42	19	1	0	0	0	0
				19%	48%	68%	31%	2%	0%	0%	0%	0%
Guildford	9	30,165	0.03%	2	2	4	5	0	0	0	0	0
				22%	22%	44%	56%	0%	0%	0%	0%	0%
Mole Valley	2	8,240	0.02%	0	2	2	0	0	0	0	0	0
				0%	100%	100%	0%	0%	0%	0%	0%	0%
Reigate & Banstead	73	12,331	0.59%	10	21	31	34	0	7	1	1	1
				14%	29%	42%	47%	0%	10%	1%	1%	1%
Runnymede	9	4,758	0.19%	0	2	2	7	0	0	0	0	0
				0%	22%	22%	78%	0%	0%	0%	0%	0%
Spelthorne	19	9,984	0.19%	8	6	14	5	0	0	0	0	0
				42%	32%	74%	26%	0%	0%	0%	0%	0%
Surrey Heath	7	4,181	0.17%	4	1	5	2	0	0	0	0	0
				57%	14%	71%	29%	0%	0%	0%	0%	0%
Tandridge	7	5,572	0.13%	1	4	5	2	0	0	0	0	0
				14%	57%	71%	29%	0%	0%	0%	0%	0%
Waverley	17	12,463	0.14%	0	6	6	9	0	2	0	0	0
				0%	35%	35%	53%	0%	12%	0%	0%	0%
Woking	16	17,337	0.09%	1	9	10	4	0	0	0	0	2
				6%	56%	62%	25%	0%	0%	0%	0%	12%
Swindon	83	24,477	0.34%	29	7	36	38	4	2	2	2	3
				35%	8%	43%	46%	5%	2%	2%	2%	4%
Tameside	85	24,425	0.35%	28	12	40	36	1	6	6	6	2
				33%	14%	47%	42%	1%	7%	7%	7%	2%
Taunton Deane	13	9,983	0.13%	5	2	7	5	1	0	0	0	0
				38%	15%	54%	38%	8%	0%	0%	0%	0%
Thurrock	24	14,435	0.17%	14	9	23	1	0	0	0	0	0
				58%	37%	96%	4%	0%	0%	0%	0%	0%
Torbay	265	33,224	0.80%	28	85	113	131	2	14	14	14	5
				11%	32%	43%	49%	1%	5%	5%	5%	2%
Trafford	135	26,437	0.51%	39	29	68	51	2	12	12	12	2
				29%	21%	50%	38%	2%	9%	9%	9%	1%
Walsall	131	22,022	0.59%	60	8	68	53	3	7	7	7	0
				46%	6%	52%	40%	2%	5%	5%	5%	0%
Warrington	57	14,116	0.40%	27	5	32	22	1	0	0	0	2
				47%	9%	56%	39%	2%	0%	0%	0%	4%



Worcestershire County Council										
Redditch	12	3,726	0.32%	4	2	6	5	0	1	0
				33%	17%	50%	42%	0%	8%	0%
Worcester	43	20,288	0.21%	7	12	19	21	1	2	0
				16%	28%	44%	49%	2%	5%	0%
Wychevon	15	6,648	0.23%	2	2	4	8	0	3	0
				13%	13%	27%	53%	0%	20%	0%
Wyre Forest	19	5,831	0.33%	3	7	10	6	0	3	0
				16%	37%	53%	32%	0%	16%	0%
Wiltshire										
	58	23,551	0.25%	6	10	16	36	1	3	2
				10%	17%	28%	62%	2%	5%	3%
York										
	30	16,506	0.18%	0	10	10	16	0	4	0
				0%	33%	33%	53%	0%	13%	0%
Wales										
Carmarthenshire	14	10,172	0.14%	2	7	9	5	0	0	0
				14%	50%	64%	36%	0%	0%	0%
Cardiff	292	66,116	0.43%	59	38	97	180	6	0	9
				20%	13%	33%	62%	2%	0%	3%
Conwy	15	9,486	0.16%	3	1	4	9	1	0	1
				20%	7%	27%	60%	7%	0%	7%
Denbighshire	27	8,800	0.31%	10	4	14	13	0	0	0
				37%	15%	52%	48%	0%	0%	0%
Gwynedd	28	13,203	0.21%	6	5	11	17	0	0	0
				21%	18%	39%	61%	0%	0%	0%
Isle of Anglesey	7	1,558	0.45%	1	0	1	6	0	0	0
				14%	0%	14%	86%	0%	0%	0%
Merthyr Tydfil	0	987	0.00%	0	0	0	0	0	0	0
				0%	0%	0%	0%	0%	0%	0%
Neath Port Talbot	23	11,642	0.20%	10	1	11	11	0	0	1
				43%	4%	48%	48%	0%	0%	4%
Pembrokeshire	52	12,356	0.42%	14	13	27	23	0	0	2
				27%	25%	52%	44%	0%	0%	4%
Powys	8	5,949	0.13%	2	3	5	3	0	0	0
				25%	37%	62%	37%	0%	0%	0%
Swansea	287	37,151	0.77%	109	29	138	99	8	33	9
				38%	10%	48%	34%	3%	11%	3%
Wrexham	10	5,180	0.19%	1	3	4	3	1	1	1
				10%	30%	40%	30%	10%	10%	10%
All Councils										
	16,666	4,319,708	0.35%	4347	3910	8257	7092	229	839	249
				26%	23%	50%	43%	1%	5%	1%



Bus Lane Appeals 2011/12

Council	PCNs Appealed	PCNs issued	Rate of appeal per PCN	Not Contested by council	Allowed by Adjudicator	Total allowed including not contested by council	Refused by Adjudicator incl. out of time and withdrawn by appellant	Consent Order	Stat Dec - No Appeal	Awaiting decision Incl. other decided
Bath and NE Somerset	126	31,896	0.40%	23 18%	62 49%	85 67%	37 29%	1 1%	0 0%	3 2%
Bradford	185	31,764	0.58%	130 70%	19 10%	149 81%	33 18%	2 1%	0 0%	1 1%
Brighton & Hove	58	9,311	0.62%	34 59%	17 29%	51 88%	7 12%	0 0%	0 0%	0 0%
Bristol	128	22,154	0.58%	42 33%	10 8%	52 41%	67 52%	4 3%	4 3%	1 1%
Bury	52	8,041	0.65%	3 6%	15 29%	18 35%	33 63%	0 0%	0 0%	1 2%
Coventry*	40	7,086	0.56%	23 57%	17 42%	40 100%	0 0%	0 0%	0 0%	0 0%
Essex	3	2,062	0.15%	0 0%	1 33%	1 33%	0 0%	0 0%	0 0%	2 67%
Gloucester	30	11,167	0.27%	3 10%	15 50%	18 60%	12 40%	0 0%	0 0%	0 0%
Hertfordshire*	547	37,954	1.44%	98 18%	432 79%	530 97%	11 2%	0 0%	0 0%	6 1%
Kirklees	1	0	0.00%	0 0%	1 100%	1 100%	0 0%	0 0%	0 0%	0 0%
Leeds*	187	43,920	0.43%	28 15%	26 14%	54 29%	76 41%	5 3%	0 0%	52 28%
Liverpool	202	56,196	0.36%	59 29%	38 19%	97 48%	104 51%	0 0%	0 0%	1 0%
Luton*	59	13,943	0.42%	17 29%	12 20%	29 49%	29 49%	0 0%	0 0%	1 2%
Manchester	152	37,642	0.40%	9 6%	37 24%	46 30%	103 68%	3 2%	0 0%	0 0%
Medway*	8	5,797	0.14%	4 50%	1 12%	5 62%	1 12%	0 0%	0 0%	2 25%
Nottingham	195	34,455	0.57%	22 11%	14 7%	36 18%	151 77%	2 1%	0 0%	6 3%
Oxfordshire	127	32,270	0.39%	58 46%	13 10%	71 56%	47 37%	0 0%	8 6%	1 1%
Reading	1,036	101,898	1.02%	655 63%	75 7%	730 70%	269 26%	1 0%	3 0%	33 3%



Sheffield	167	28,966	0.58%	79	47%	18	11%	97	58%	68	41%	2	1%	0	0%	0	0%
South Tyneside	1	821	0.12%	0	0%	0	0%	0	0%	1	100%	0	0%	0	0%	0	0%
Stockton-On-Tees	2	466	0.43%	0	0%	1	50%	1	50%	1	50%	0	0%	0	0%	0	0%
Stoke	12	5,631	0.21%	1	8%	1	8%	2	17%	10	83%	0	0%	0	0%	0	0%
West Berkshire*	17	3,587	0.47%	16	94%	1	6%	17	100%	0	0%	0	0%	0	0%	0	0%
All Councils	3,335	527,027	0.63%	1304	39%	826	25%	2130	64%	1060	32%	20	1%	15	0%	110	3%

\* Councils commencing Civil enforcement during the period 2011/12

## **REPORT FOR INFORMATION**

**SUBJECT: Risk Register**

**REPORT OF: The Lead Officer on behalf of the Advisory Board**

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### **PURPOSE OF THE REPORT**

To inform the Joint Committee of the current review of the Risk Register

### **RECOMMENDATIONS**

- [i] To note the current status of the risk register
- [ii] To note the development of a specific risk register for the move to Wilmslow.

### **FINANCIAL CONSEQUENCES**

These are provided for within the Risk Management Strategy.

### **CONTACT OFFICER:**

Louise Hutchinson, PATROL Headquarters, Barlow House, Minshull Street, Manchester  
M1 3DZ Tel: 0161 242 5270

## **1. BACKGROUND**

The regular review of the Risk Register is a requirement of the Joint Committee's Risk Management Strategy.

The latest review of the Risk Register is enclosed at Appendix 1

A specific Risk Register for the move to Wilmslow is being developed.

## **2. RECOMMENDATIONS**

- [i] To note the current status of the risk register
- [ii] To note the development of a specific risk register for the move to Wilmslow.

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Rank	Risk Description	Consequence Description	Risk Impact	Likelihood	Score	Key Controls In Place	Assurances	Response	Previously Reported Status	Current Status	Further Actions to be taken to Manage Risk Better	Lead
1.	Unforeseen significant fluctuations in income and assurance on service charge income	Inability to meet financial obligations	5	2	10	Audit figures on which to base forecasts. Historical data on which to base forecasts. Reserve policy in place	Internal & External Audit Reports Committee Reports	Treat			Continued forecasting, budget monitoring and cashflow analysis.	HOS
2.	Inability of IT to support needs of organisation and technology users	Reduced effectiveness and efficiency for tribunal, councils and appellants.	4	3	12	Existing case management system has stabilized.	Performance Reports	Treat			Separation of tribunal's domain now completed although some outstanding issues to resolve. Focus on improving adjudicator access to case management system in light of reduction in number of active adjudicators. Move Risk Register will address connectivity requirement with new Host Authority. Post Move adopt a user led/marketing approach to improving access to the tribunal for all parties using the Government's GCloud. Technical Reserves retained to support this.	HOS

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3.	Loss of key members of management and staff	Disruption to operations Management of vacancies Project and operational targets affected	2	5	10	Clearly defined roles with flexibility to provide cover. Documented procedures Arrangements for temporary cover Arrangements in place to extend cover. Appointment Sub Committee & Working Group	Committee Reports	Treat				Review of existing vacancies and risk based approach to planning for future vacancies. Support arrangements for transfer to new host authority. Move Risk Register will address issues associated with TUPE transfer	HOS
4	Insufficient adjudicator/staff resources to meet demand	Inability to meet targets Pressure to reach decisions may result in increased number of judicial reviews	3	4	12	Monitoring of demand and performance Staff recruitment, induction, training and appraisal. Contingency Planning	Committee Reports	Treat				Adjudicator Recruitment 2013 Chief Adjudicator has agreed to work flexibly during this period.	CA
5	Achievement of Key Objectives	Failure to achieve key objectives	4	3	12	Performance Management Strategy and Reporting	Internal & External Audit Reports Committee Reports	Treat				Multiple project planning required for 2012/13 (new host authority, new IT system, recruitment of adjudicators) Increased development capacity included in the 2013/14 budget.	HOS

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CA = Chief Adjudicator HOS = Head of Service

Note 1 The Risk Register is underpinned by the Risk Management Strategy and should be read in conjunction with business continuity planning arrangements.

Note 2: A separate Risk Register is being prepared in respect of the Move to new premises and new host authority.

**Risks that have been downgraded in accordance with the Risk Management Strategy following the report to September 2011 Joint Committee**

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

**Risk Impact Details**

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

**Likelihood**

Description	Probability	Indicators
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<p><b>5. Highly Probable</b></p>	<p>&gt; 80%</p>	<ul style="list-style-type: none"> <li>• Is expected to occur in most circumstances</li> <li>• Circumstances frequently encountered – daily/weekly/monthly/annually</li> <li>• Imminent/near miss</li> </ul>
<p><b>4. Probable/Likely</b></p>	<p>60% - 80%</p>	<ul style="list-style-type: none"> <li>• Will probably occur in many circumstances</li> <li>• Circumstances occasionally encountered but not a persistent issue (e.g. once every couple/few years)</li> <li>• Has happened in the past or elsewhere</li> </ul>
<p><b>3. Possible</b></p>	<p>40% - 60%</p>	<ul style="list-style-type: none"> <li>• Not expected to happen, but is possible (once in 3 or more years)</li> <li>• Not known in this activity</li> </ul>
<p><b>2. Unlikely</b></p>	<p>20% - 40%</p>	<ul style="list-style-type: none"> <li>• May occur only in exceptional circumstances</li> <li>• Has rarely / never happened before</li> <li>• Force majeure</li> </ul>
<p><b>1. Remote</b></p>	<p>20%</p>	<ul style="list-style-type: none"> <li>• The risk will not emerge in any foreseeable circumstance</li> </ul>

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



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

**MEASUREMENT OF RISK AND REPORTING**

**Risk Matrix**

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

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

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

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

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

## **REPORT FOR RESOLUTION**

**SUBJECT:** Budget Estimates 2013/14

**REPORT OF:** The Lead Officer on behalf of the Advisory Board

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### **PURPOSE OF REPORT**

To request the Committee to adopt the Revenue Budget estimates for 2013/14.

### **RECOMMENDATIONS**

It is recommended that the Joint Committee:

- [i] Agrees to adopt the Revenue Budget estimates for 2013/14 as detailed in the report.

### **FINANCIAL CONSEQUENCES FOR THE REVENUE BUDGET**

Arrangements for member authority contributions are set out at Item 13.

### **CONTACT OFFICER**

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

## **1.0 INTRODUCTION**

- 1.1 In accordance with the Bus Lane Adjudication Service Joint Committee (BLASJC) Agreement and the Accounts and Audit Regulations it is necessary to establish a budget estimate for the forthcoming year. An assessment has been made of the likely service take up during 2013/14 and therefore the Adjudicators, administrative support and accommodation needed. This report deals with the consequential establishment of budgets to meet this level of demand.
- 1.2 The adjudication service is to be operated on a self-financing basis with income obtained from contributions from BLASJC member authorities.
- 1.3 In common with the budget setting process adopted by the PATROL Adjudication Joint Committee, no assumption is made about new councils joining in 2013/14.
- 1.4 It has been agreed that both parking and bus lane adjudications are to be administered, and heard by adjudicators, in an integrated fashion to afford an opportunity for cost sharing, further economies of scale and the ability to provide an efficient and effective service. The BLASJC is recharged by the PATROL Adjudication Joint Committee for this purpose.

## **2. REVENUE BUDGET ESTIMATES**

- 2.1 It is proposed to balance the income and expenditure of the revenue budget without the need to charge a 'joining fee' to participating councils.
- 2.2 An assessment has been made of the revenue budget that will be needed to meet the demands on adjudication during 2013/14.
- 2.3 The bus lane recharge is calculated by taking the total number of parking and bus lane appeals, dividing that number by PATROL's expenditure for the same period resulting in a "cost per appeal". The cost per appeal is then multiplied by the number of bus lane appeals for the period giving the amount due to PATROL for bus lane adjudication.
- 2.4 No assumptions have been made for new councils joining in 2013/14.
- 2.5 The budget includes for some BLASJC specific expenditure including joint committee costs. Provision has also been made for the internal and external audit of the BLASJC final accounts.

- 2.6 Income is forecasted at £330,000. Should this not be achieved, there are reserves in place. Should there be an overachievement of income, the surplus may be taken into account in setting future budgets.
- 2.7 Details of the proposed revenue budget are shown in Table 1 below.

**Table 1: Bus Lane Adjudication Service Budget 2013/14**

	<b>Budget 2012/13</b>	<b>Projected Outturn 2012/13</b>	<b>Budget 2013/14</b>
<b>Expenditure</b>	<b>£</b>	<b>£</b>	<b>£</b>
Pro Rata per Appeal expenditure	484,843	311,913	320,000
Separate BLASJC costs	4,521	616	4,141
Service Management and Support	1,000	1,000	1,000
Audit Fee	3,000	2,460	3,060
Capital Finance Charges	0	0	0
Contingency	0	0	0
Contribution to Reserves	0	0	1,799
<b>Total Expenditure</b>	<b>494,364</b>	<b>315,989</b>	<b>330,000</b>
<b>Income</b>			
Penalty Charge Notices	-475,618	-315,283	-330,000
Contribution from Reserves	-18,746	0	0
<b>Total Income</b>	<b>-494,364</b>	<b>-315,283</b>	<b>-330,000</b>
<b>Surplus (Deficit)</b>	<b>0</b>	<b>(606)</b>	<b>0</b>

## REPORT FOR RESOLUTION

**SUBJECT:** Defraying the expenses of the Joint Committee  
2013/14

**REPORT OF:** The Lead Officer on behalf of the Advisory Board

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### PURPOSE OF REPORT

To establish the basis for sharing the expenses of the Joint Committee between member authorities in 2013/14.

### RECOMMENDATIONS

It is recommended that:

- [i] The Joint Committee shares its expenses between member authorities in proportion to the number of PCNs issued on the following basis:

ELEMENT	CHARGE
Annual Charge	£nil
Charge per PCN Issued	£0.60 pence

- [ii] Member authorities are invoiced on a quarterly in advance based on estimated figures and subsequently adjusted.
- [iii] To note that the decision to provide a transcription from the audio recording of proceedings rests with the Adjudicator. Where this has been agreed to, the Joint Committee agree that the incidental cost of making a transcription from the audio recording of proceedings at a personal hearing is charged to the requesting party except when, in the view of the Adjudicator, a disability of the requesting party would make it desirable for that person to receive such a transcript.

### FINANCIAL CONSEQUENCES FOR THE REVENUE AND CAPITAL BUDGETS

It is intended that service will be self financing as a result of contributions made from participating local authorities.

### CONTACT OFFICER

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

## **INTRODUCTION**

- 1.1 An essential element for a local authority when adopting civil bus lane enforcement powers is the existence of a means to appeal to an independent bus lane adjudicator. The local authorities who are participating in the Bus Lane Adjudication Service Joint Committee (BLASJC) agreement are required to fund adjudication as part of their powers.
- 1.2 The BLASJC agreement provides for the Committee to decide the cost sharing arrangements.

## **2.0 BACKGROUND**

- 2.1 The BLASJC agreement envisages the adjudication service to be operated on a self-financing basis with revenue obtained from contributions made by participating local authorities. The level of contribution has been based on the predicted appeal activity without taking into account new councils joining in 2013/14.
- 2.2 There is provision in the BLASJC agreement for other approved local authorities to participate in the agreement and so it might be the case that other councils become a party to the agreement before the year end and additional income may arise to that estimated.

## **3.0 RECOMMENDATION**

- 3.1 The Joint Committee shares its expenses between member authorities in proportion to the number of PCNs issued on the following basis:

<b>ELEMENT</b>	<b>CHARGE</b>
Annual Charge	£nil
Charge per PCN Issued	£0.60 pence

## **4.0 METHOD OF CHARGING**

- 4.1 To provide a positive flow of cash within the revenue account during the year it is proposed to invoice quarterly in advance based on an estimate of the number of PCNs each council estimates it will issue during the year. This is similar to the PATROL charging arrangement.

## **5.0 TRANSCRIPTION COSTS**

To note that the decision to provide a transcription from the audio recording of proceedings rests with the Adjudicator. Where this has

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been agreed to, the Joint Committee agrees that the incidental cost of making a transcription from the audio recording of proceedings at a personal hearing is charged to the requesting party except when, in the view of the Adjudicator, a disability of the requesting party would make it desirable for that person to receive such a transcript.