

Bus Lane Adjudication Service Joint Committee Executive Sub Committee Agenda

Date: Tuesday 30th October 2018
Time: 12.30 pm or on the rise of the PATROL Joint Committee Executive Sub Committee
Venue: Bishop Partridge Hall, Church House, Westminster SW1P 3NZ

1. **Apologies for Absence**

To receive apologies for absence.

2. **Declarations of Interest**

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

3. **Minutes of the Bus Lane Adjudication Service Executive Sub Committee meeting held on 30 January 2018** (Pages 1 - 6)

To approve the minutes of the Bus Lane Adjudication Service Joint Committee held on 30 January 2018.

4. **Minutes of the Bus Lane Adjudication Services Joint Committee meeting held on 10 July 2018** (Pages 7 - 14)

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

5. **Chair's Update**

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

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

6. **Chief Adjudicator's Update**

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

7. **Adjudicator Appointment Renewals** (Pages 15 - 18)

To note the renewal of adjudicator appointments.

8. **Audit Commission Small Bodies Annual Return for the Year Ended 31 March 2018** (Pages 19 - 28)

To note the completion of the external audit of accounts 2017/18.

9. **Reserves Policy Statement 2018/19** (Pages 29 - 30)

To approve a reserves policy statement for 2018/19.

10. **Budget Monitoring and Review of the Basis for Defraying Expenses 2018/19** (Pages 31 - 36)

To note the income and expenditure at 30 September 2018, surplus and reserves and determine the basis for defraying expenses 2018/19.

Papers Common to PATROL Adjudication Joint Committee and Bus Lane Adjudication Service Joint Committee

11. **PATROL AND BLASJC Resources Working Group and Sub Committee**

To report on the resolutions from the PATROL and BLASJC Resources Working Group and Sub Committee's meeting held on 9 October 2018.

12. **Risk Register**

To note the latest review of the Risk Register.

13. **General Progress Report**

To provide a general progress of report in respect of the Tribunal's activities and initiatives for the six-month period to 30 September 2018.

14. **Date of Next Meetings**

Tuesday 29 January 2019

Tuesday 16 July 2019

Minutes of a meeting of the
Bus Lane Adjudication Service Joint Committee
held on Tuesday, 30th January, 2018 at Bishop Partridge Hall, Church House,
Dean's Yard, Westminster, London SW1P 3NZ

PRESENT

Councillor Tony Page – (Reading Borough Council), in the Chair

Councillors

Councillor Graham Burgess - Hampshire County Council
Councillor Alan Kerr - South Tyneside Council
Councillor Martin King - Wychavon District Council
Councillor Sally Longford - Nottingham City Council
Councillor Steve Pearce - Bristol City Council
Councillor Peter Robinson – Tameside Metropolitan Borough Council
Councillor Mike Smith – Stockton- on- Tees Borough Council
Councillor Ian Gillies – City of York Council
Councillor Jayne Innes – Coventry City Council
Councillor Mark Shelford – Bath and North East Somerset Council

Officers in attendance

Louise Hutchinson – Director PATROL
Caroline Sheppard OBE – Chief Adjudicator
Andy Diamond – PATROL
Erica Maslen - PATROL
Julie North – Cheshire East Council

26 APOLOGIES FOR ABSENCE

Apologies for Absence were received from: -
Councillor Ralph Sangster, Hertfordshire
Councillor Sally Longford, Nottingham

27 DECLARATIONS OF INTEREST

There were no declarations of interest.

28 MINUTES OF THE MEETING HELD ON 31 OCTOBER 2017**RESOLVED**

That minutes of the Meeting held on 31 October 2017 be approved as a correct record.

29 CHAIR'S UPDATE

The Chair reported that Surrey County Council and Woking Borough Council had introduced civil bus lane enforcement, bringing the total number of Councils to 57.

30 PATROL AND BLASJC RESOURCES WORKING GROUP AND SUB COMMITTEE

The report on the PATROL and BLASJC Resources Working Group meeting held 9th January 2018 was submitted.

RESOLVED

1. That the matters discussed at the meeting held 9th January 2018 be noted.
2. That the Resources Sub Committee and Working Group overseeing matters highlighted in the report and reporting back to the next meeting of the Executive Sub Committees be approved.

31 BUDGET MONITORING 2017/18

Consideration was given to a report presenting income and expenditure monitoring information for the year to 30th November 2017, in order to comply with Financial Regulations.

The Director referred to the table at page 23 of the agenda, which showed the position at 30 November 2017. The overall effect at 30 November 2017 was a surplus of £24,673, against a budgeted deficit of £8,660. It was expected that there would be a planned deficit at the end of the year.

RESOLVED

That the income and expenditure position at 30th November 2017 be noted.

32 INTERNAL AUDIT INTERIM REPORT

The Internal Audit Report in relation to their audit visit in December 2017, to undertake a review of actions raised in their report of the audit for the year 2016/17 was submitted, in order to provide assurance in respect of financial controls in place.

RESOLVED

That the findings of Internal Audit Report in respect of their follow-up review, as set out in Appendix 1 of the report, be noted.

33 SERVICE LEVEL AGREEMENT BETWEEN THE JOINT COMMITTEES AND CHESHIRE EAST COUNCIL

A report had been circulated in advance of the meeting, presenting the five-year Service Level Agreement (SLA) with Cheshire East Council (CEC), the host authority, which represented the second five-year term of the host authority appointment.

It was recommended that the new SLA be approved and that CEC be reimbursed for its services and requested to enter into a five-year lease for the Wilmslow premises.

A number of minor changes had been made to the SLA, details of which were set out in the report. A review of services had been undertaken in relation to Schedule 2 to the SLA for 2018/19. Details of the proposed charges for 2018/19 compared to 2017/18 were also set out in the report.

During consideration of the report at the meeting of the PATROL Adjudication Joint Committee earlier in the day, clarification had been sought in respect of the additional payments for HR support, listed as "TBC" in Schedule 2 of the SLA. The Director had clarified that there would be additional payments, as required.

RESOLVED

That, subject to the above clarification within the document, the new SLA be approved; CEC be reimbursed for its services and requested to enter into a five-year lease for the Wilmslow premises.

34 BUDGET ESTIMATES FOR 2018/19

A report requesting the Joint Committee to adopt the budget estimates for 2018/19 was submitted, in order to comply with the Joint Committee's Financial Regulations.

In accordance with the Bus Lane Adjudication Service Joint Committee (BLASJC) Agreement and its Financial Regulations, it was necessary to establish a budget estimate for the forthcoming year. An assessment had been made of the likely service take up during 2018/19 and, therefore, the adjudicators, administrative support and accommodation needed. The report dealt with the establishment of budgets to meet this level of demand. The adjudication service was to be operated on a self-financing basis with income obtained from contributions from BLASJC member authorities.

In common with the budget setting process adopted by the PATROL Adjudication Joint Committee, no assumption had been made about new councils joining in 2018/19.

It has been agreed that both parking and bus lane adjudications were 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 was recharged by the PATROL Adjudication Joint Committee for this purpose.

An assessment had been made of the revenue budget that would be needed to meet the demands on adjudication during 2018/19. The budget estimates for 2018/19 were detailed in Appendix 1 of the report.

RESOLVED

That the revenue budget estimates for 2018/19, as detailed in Appendix 1 of the report, be agreed for adoption.

35 DEFRAYING THE EXPENSES FOR THE JOINT COMMITTEE 2018/19

A report was submitted to establish the basis for those participating in the Joint Committee to contribute to its expenses during 2018/19, in order to comply with Financial Regulations.

The Joint Committee provided the means to appeal to an independent adjudicator in respect of civil bus lane enforcement in England (outside London). The BLASJC agreement provided for the adjudication service to be operated on a self-financing basis with expenses shared by participating authorities. Where authorities were working in partnership, it was practice only to charge those enforcement authorities who managed the enforcement income stream. Budgeting took account of the number of new councils that had joined the scheme during 2017/18, but not those forecast to join in 2018/19.

At its meeting in January 2017, the Joint Committee Executive Sub Committee had determined to review the basis for defraying expenses at its October meeting. In October 2017, it had been determined that the basis for defraying expenses would reduce from 40 to 35 pence per PCN and that this reduction would be backdated to April 2017.

The Resources Working Group had recommended that a similar approach was taken in 2018/19, with the October 2018 meeting reviewing income and expenditure at the half-year point in order to review the basis for defraying expenses.

RESOLVED

1. That the Resources Working Group and Sub Committee recommendation be noted: -
 - That no annual charge or cost per case be payable.

- That Invoicing will be undertaken on a quarterly basis on estimated figures and subsequently adjusted to actual figures at the September and March points.
2. That the decision to provide a transcription from the audio recording of proceedings to rest with the Adjudicator be noted. Where this has been agreed to, the Joint Committee agree that the incidental costs of making a transcription from the audio recordings of the proceedings at a hearing is charged to the requesting party except when, in the view of the Adjudicator, a disability of the requesting party would make it desirable for that person to receive such a transcript.

36 RISK MANAGEMENT FRAMEWORK

A report was submitted presenting a Risk Management Framework for approval.

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

RESOLVED

That the Risk Management Framework, as set out at Appendix 1 of the report, be approved and the current assessment of risk be noted.

37 CHIEF ADJUDICATOR'S UPDATE

The Chief Adjudicator reported that the new authorities undertaking civil bus lane enforcement were welcomed. She also reported that the use of the warning letter used when an authority was introducing a new bus lane/gate had been very helpful in educating the public to promote compliance.

38 GENERAL PROGRESS AND SERVICE STANDARDS

Consideration was given to a report providing a summary of the Traffic Penalty Tribunal appeals activity for the eight-month period to 30 November 2017 and to inform the Joint Committees of appeals activity and tribunal initiatives.

Appendix 1 of the report provided an overview of appeals activity for the eight-month period to 30 November 2017.

A summary of tribunal initiatives was set out in the report.

RESOLVED

1. That the eight-month summary of appeals be noted.
2. That the progress on other tribunal initiatives be noted.

39 DATES OF NEXT MEETINGS

It was reported that future meetings would take place as follows: -

- | | |
|-----------------|--|
| 10 July 2018 | Church House, Westminster followed by PARC (Parking Annual Reports by Councils) Awards at the House of Commons |
| 30 October 2018 | Church House, Westminster |

The meeting commenced at 12.35 pm and concluded at 12.40 pm

Minutes of a meeting of the

Bus Lane Adjudication Service Joint Committee

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

PRESENT

Councillor Tony Page (Reading Borough Council) in the Chair

Councillors

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

In attendance:

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

1 APPOINTMENT OF CHAIRMAN AND VICE CHAIRMAN

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

RESOLVED

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

2 APOLOGIES FOR ABSENCE

Apologies for absence were reported as follows:

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

3 DECLARATIONS OF INTEREST

There were no declarations of interest.

4 MINUTES OF THE MEETING HELD ON 11 JULY 2017

RESOLVED

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

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

RESOLVED

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

6 CHAIRMAN'S UPDATE

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

7 REPORT OF THE PATROL AND BLASJC RESOURCES WORKING GROUP

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

RESOLVED

That the report be noted.

8 MEMBERS' EXPENSES POLICY

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

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

RESOLVED

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

9 PUBLIC AFFAIRS OVERVIEW

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

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

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

RESOLVED

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

10 DRAFT ANNUAL RETURN 2017/18

The draft Annual Return and its supporting documents were considered.

RESOLVED

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

11 RISK MANAGEMENT FRAMEWORK

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

RESOLVED

That the current assessment of risk be noted.

12 REVIEW OF GOVERNANCE DOCUMENTATION

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

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

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

30 October 2018
29 January 2019
16 July 2019

RESOLVED

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

13 ESTABLISHMENT OF EXECUTIVE SUB COMMITTEE

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

RESOLVED

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

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

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

RESOLVED

That the draft Terms of Reference be approved.

15 APPOINTMENTS TO THE ADVISORY BOARD

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

Graham Addicott OBE the Vice-Chair of the Advisory Board, for their continuing support.

RESOLVED

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

16 GENERAL PROGRESS REPORT

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

It was reported that a recent satisfaction survey had found 83% of users said they had found the system easy to understand; as part of the continuing development of the system however, and with the approval of

local authorities, revised guidance was due to be issued on how to submit an appeal. In addition, a survey was planned of those users not availing themselves of the online system in order to ascertain their user experience.

RESOLVED

That the progress report be noted.

The meeting commenced at 12.30 pm and concluded at 12.40 pm

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BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE

Executive Sub Committee

Date of Meeting: 30th October 2018
Report of: The Chief Adjudicator, Traffic Penalty Tribunal
Subject/Title: Adjudicator Appointment Renewals

1.0 Report Summary

To note the renewals of the appointments of the adjudicators listed on Appendix 1 to 22nd May 2020.

2.0 Recommendations

Members are asked to note:

The renewal of the appointment of each Adjudicator named in Appendix 1 as: Bus Lane Adjudicator under the provisions of Regulation 11 of the Bus Lane Contraventions (Penalty Charges, Adjudication and Enforcement) (England) Regulations 2005

3.0 Reasons for Recommendations

Adjudicator appointments have previously been made for a period of five years. For administrative ease, a common renewal date is being introduced for all adjudicators. The appointments of the adjudicators named in Appendix 1 expired on 12 September 2018. There is a presumption of renewal. Accordingly, under the delegated powers from the Bus Lane Adjudication Service Joint Committee to the Chief Adjudicator, she has renewed the appointments of the named adjudicators from to 22nd May 2020 or until their 70th birthday if sooner.

4.0 Financial Implications

None

5.0 Legal Implications

None

6.0 Risk Management

Resources planning is an element of the Risk Management Framework.

7.0 Background and Options

The Memorandum of Understanding between the Joint Committee and the Adjudicators which is reviewed at the annual meeting sets out the arrangements for appointing adjudicators.

8.0 Recommendations

Members are asked to note:

The renewal of the appointment of each Adjudicator named in Appendix 1 as: Bus Lane Adjudicator under the provisions of Regulation 11 of the Bus Lane Contraventions (Penalty Charges, Adjudication and Enforcement) (England) Regulations 2005

9.0 Access to Information

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

Name: Caroline Sheppard OBE

Designation: Chief Adjudicator

Tel No: 01625 445555

Email: csheppard@trafficpenaltytribunal.gov.uk

Appendix 1

Adjudicators due for Renewal in 2018

Andrew Barfoot
Katherine Cartwright
Bhopinder Gandham
Joanne Garbett
Annie Hockaday
Anwen Lewis
George Lubega
Catriona Murphy
Paul Pearson
MacKenzie Robinson
Edward Solomons
Sarah Tozzi
Rhys Williams
Jill Yates

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BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE

Executive Sub Committee

Date of Meeting: 30th October 2018
Report of: The Director on behalf of the Resources Working Group
Subject/Title: Audit Commission Small Bodies Annual Return for the Year Ended 31 March 2018

1.0 Report Summary

1.1 To report the findings of the external auditors for 2017/18.

2.0 Recommendation

2.1 To note the findings of the external audit for 2017/18 in the enclosed annual return (Appendix 1).

3.0 Reasons for Recommendations

3.1 Compliance with PATROL and Bus Lane Adjudication Service Joint Committee Financial Regulations.

4.0 Financial Implications

4.1 Set out in the report

5.0 Legal Implications

5.1 None at this time

6.0 Risk Management

6.1 Internal and external audit findings provide assurance to the Joint Committee on financial management.

7.0 Background and Options

7.1 The Joint Committee approved the draft annual return for 2016/17 at its meeting on 10th July 2018.

7.2 The Joint Committee approved the appointment of BDO LLP to audit the annual returns of the Joint Committee for the period 2015/16 to 2017/18 at its meeting in July 2016. The final audited return is shown at Appendix 1. The external auditors have found that there are no issues arising.

- 7.3 There is no requirement for the Joint Committee to publish accounts from 2015/16 onwards however at the Joint Committee meeting in June 2015, it was determined that this would continue for the purposes of transparency
- 7.4 The appointment of auditors for the period 2018/19 to 2020/21 will be considered at the meeting in January 2019.

8.0 Access to Information

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

Name: Louise Hutchinson

Designation: Director

Tel No: 01625 445566

Email: lhutchinson@patrol-uk.info

Joint Committees

Return for the financial year ended 31 March 2018

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

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

Completing your return

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

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

Send the return, together with your bank reconciliation as at 31 March 2018, an explanation of any significant year on year variances in the accounting statements and any additional information requested, to us, BDO LLP, by the due date.

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

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

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

Section 1 – Governance statement 2017/18

We acknowledge as the members of

Enter name of reporting body here:

BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE

Our responsibility for ensuring that there is a sound system of internal control, including the preparation of the accounting statements. We confirm, to the best of our knowledge and belief, with respect to the accounting statements for the year ended 31 March 2018, that:

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

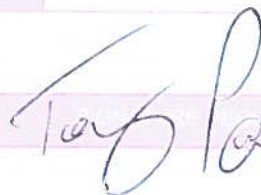
The governance statement is approved by the Joint Committee and recorded as minute reference

MINUTE REFERENCE 10

Date 10/07/2018

Signed by:

Chair



Signed by:

Clerk



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

Section 2 – Accounting Statements 2017/18 for

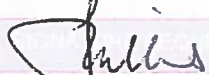
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BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE

	Year ending		Notes and guidance Please round all figures to nearest £1. Do not leave any boxes blank and reports £0 or Nil balances. All figures must agree to underlying financial records.
	31 March 2017 £	31 March 2018 £	
1 Balances brought forward	286,690	394,252	Total balances and reserves at the beginning of the year as recorded in the body's financial records. Value must agree to Box 7 of previous year.
2 (+) Income from local taxation and/or levy	-	-	Total amount of local tax and/or levy received or receivable in the year including funding from a sponsoring body. Excluding any grants received
3 (+) Total other receipts	527,744	452,702	Total income or receipts as recorded in the cashbook less the taxation and/or levy (line 2). Include any grants received here.
4 (-) Staff costs	-	-	Total expenditure or payments made to and on behalf of all employees. Include salaries and wages, PAYE and NI (employees and employers), pension contributions and employment expenses.
5 (-) Loan Interest/capital repayments	-	-	Total expenditure or payments of capital and Interest made during the year on the body's borrowings (if any).
6 (-) All other payments	429,182	426,540	Total expenditure or payments as recorded in the cashbook less staff costs (line 4) and loan Interest/capital repayments (line 5).
7 (=) Balances carried forward	394,252	420,414	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	445,228	455,602	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 plus other long term investments and assets	-	-	The original Asset and Investment Register value of all fixed assets, plus other long term assets owned by the body as at 31 March
10 Total borrowings	-	-	The outstanding capital balance as at 31 March of all loans from third parties (including PWLB)

I certify that for the year ended 31 March 2018 the accounting statements in the return present fairly the financial position of the Joint Committee and its income and expenditure, or properly present receipts and payments, as the case may be.

Signed by Responsible Financial Officer:



Date

25/6/18


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

10/07/2018

and recorded as minute reference:

10 REFERENCE

Signed by Chair of meeting approving these accounting statements:



Section 3 – External Report 2017/18 Certificate

We present the findings from our review of the return for the year ended 31 March 2018 in respect of:

Enter name of reporting body here:

BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE

Respective responsibilities of the Joint Committee and the reviewer

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

- summarises the accounting records for the year ended 31 March 2018; and
- confirms and provides assurance on various governance matters in accordance with generally accepted good practice

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

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

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

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

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

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

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

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

Reviewer signature



BDO LLP

23/9/18

Section 4 – Annual internal audit report 2017/18 to

Enter name of reporting body here:

BUS LANE ARBITRATION SERVICE JOINT COMMITTEE

The Joint Committee's internal audit service provider, acting independently and on the basis of an assessment of risk, carried out a selective assessment of compliance with relevant procedures and controls expected to be in operation during the financial year ended 31 March 2018.

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

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

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

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

* SEE INTERNAL AUDIT REPORT - APPENDIX B FOR MORE DETAILS.

Name of person who carried out the internal audit:

JOSIE GRIFFITHS

Signature of person who carried out the internal audit:



Date: 25 06 18

*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 2017/2018 return

1. Make sure that your return is complete (i.e. no empty red boxes), and is properly signed and dated. Avoid making any amendments to the completed return. But, if this is unavoidable, make sure the amendments are drawn to the attention of and approved by the body, properly initialled and an explanation provided to us. Returns containing unapproved or unexplained amendments will be returned and may incur additional costs.
2. Use the checklist provided below. Use a second pair of eyes, perhaps a member of the committee or the Chair, to review your return for completeness before sending it to us.
3. Do not send us any information not specifically asked for. Doing so is not helpful. However, you must notify us of any change of Clerk, Responsible Financial Officer or Chair.
4. Make sure that the copy of the bank reconciliation or letter confirming the balance held on your behalf which you send with the return covers all your bank balances. If the joint committee holds any short-term investments, note their value on the bank reconciliation. We must be able to agree your bank reconciliation to Box 8 on the Accounting statements. You must provide an explanation for any difference between Box 7 and Box 8.
5. Explain fully significant variances in the accounting statements on page 3. Do not just send in a copy of your detailed accounting records instead of this explanation. We want to know that you understand the reasons for all variances. Include a complete analysis to support your explanation.
6. If we have to review unsolicited information, or receive an incomplete bank reconciliation, or you do not fully explain variances, this may incur additional costs for which we will make a charge.
7. Make sure that your accounting statements add up the balance carried forward from the previous year (Box 7 of 2017) equals the balance brought forward in the current year (Box 1 of 2018).
8. Do not complete section 3. We will complete it at the conclusion of our work.

Completion checklist – 'No' answers mean you may not have met requirements		Done?
All sections	All red boxed have been completed?	✓
	All information has been sent with this return?	✓
Section 1	For any statement to which the response is 'no', an explanation is provided?	✓
Section 2	Approval by the body confirmed by the signature of Chair of meeting approving the accounting standards?	✓
	An explanation of significant variations from last year to this year is provided?	✓
	Bank reconciliation as at 31 March 2018 agrees to Box 8?	✓
Section 4	An explanation of any difference between Box 7 and Box 8 is provided?	✓
	All red boxed completed by internal audit and explanations provided?	✓

BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE

Executive Sub Committee

Date of Meeting:	30 th October 2018
Report of:	The Director in consultation with the PATROL and BLASJC Resources Working Group and Sub Committee.
Subject/Title:	Reserves Policy Statement

1.0 Report Summary

- 1.1 To propose a Reserves Policy Statement for the Joint Committee for 2018/19.

2.0 Recommendation

- 2.1 To approve the Reserves Policy Statement for 2018/19 and the total approved reserve level for 2018/19 of £254,028.
- 2.2 To approve the balances of any surplus from 2018/19 being carried forward to 2019/20.
- 2.3 To approve the delegation of authority to the Chair and the Vice Chair for authorising the withdrawal of funds from general reserves to meet budgetary deficits.

3.0 Reasons for Recommendations

- 3.1 Compliance with Financial Regulations

4.0 Financial Implications

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

5.0 Legal Implications

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

6.0 Risk Management

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

7.0 Background and Options

- 7.1 BLASJC has built up a body of reserves which ensures the continuation of service should there be an unexpected downturn of income or unforeseen expenditure. The availability of reserves is central to maintaining its ability to self-finance and reduce the likelihood of having to call on additional resources mid-year. At 31st March 2017, the level of reserves was £420,414. It is forecast that this balance will be £570,606 at 30th September 2018. Given the level of reserves, it is recommended to have a formal process for review.
- 7.2 For 2018/19, it is recommended that the BLASJC Reserves Policy Statement comprise a proportion of Total PATROL Reserves relative to its contribution to total income.

The PATROL reserve comprises the following elements:

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

It is recommended that the Combined Reserve (a-c) for BLASJC for 2018/19 on this basis is £254,028. This will be reviewed on at least an annual basis.

- 7.3 It is anticipated that BLSAJC reserve will reach £570,606 at the 30th September 2018 and therefore sufficient reserves will be in place to accommodate the recommended approved reserve of £254,028. This will leave Free Reserves at 30th September of £316,578.
- 7.4 The Bus Lane Adjudication Service Joint Committee will monitor income and expenditure during 2018/19 to keep the Reserves Policy Statement under review. Any additional balances will be taken into account in setting the budgets and approving the basis for defraying expenses.

8.0 Access to Information

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

Name: Louise Hutchinson
Designation: Director
Tel No: 01625 445566
Email: lhutchinson@patrol-uk.info

BUS LANE ADJUDICATION SERVICE JOINT COMMITTEE

Executive Sub Committee

Date of Meeting:	30th October 2018
Report of:	The Director on behalf the Resources Working Group and Sub Committee
Subject/Title:	Budget monitoring of revenue account 2018/19

1.0 Report Summary

- 1.1 To present income and expenditure monitoring information for the year to 30th September 2018.

2.0 Recommendation

- 2.1 To note the income and expenditure position at 30th September 2018.
- 2.2 To note the information on previous year surpluses and the current and forecast reserve position.
- 2.3 To review the options and determine the basis for defraying expenses for the year 2018/19. The Resources Working Group and Sub Committee reviewed these options at their meeting on 9th October and recommend Option 3.

3.0 Reasons for Recommendations

- 3.1 Compliance with Financial Regulations

4.0 Financial Implications

- 4.1 Set out in the report

5.0 Legal Implications

- 5.1 None

6.0 Risk Management

- 6.1 Budget monitoring provides assurance as set out in the risk register.

7.0 Background and Options

- 7.1 The budget for 2018/19 was approved at the meeting of the Executive Sub Committee held 30th January 2018.
- 7.2 This report provides the Committee with the expenditure position at 30th September 2018.
- 7.3 The Tribunal is operated on a self-financing with income obtained from defraying expenses amongst the Joint Committee member authorities. The Joint Committee’s income is derived from a pre-estimate of the number of penalty charge notices (PCNs) each council will issue. Corrections are applied at the six and twelve month points once the actual number of PCNs issued is known.
- 7.4 This report provides the Joint Committee with the income and expenditure position at 30th September 2018. (Appendix 1).
- 7.5 As at 30th September 2018 income was higher than budget by £111,648 (47.2%).
- 7.6 Pro-rata appeal costs which form the basis of the recharge have been lower than anticipated with a favourable variance of £16,762 (7.09%).
- 7.7 The overall effect at 30th September 2018 is a surplus of £128,410.
- 7.8 Turning to the end of year forecast to 31st March 2019, the positive variance of achieved to forecast income will continue though less pronounced. Expenditure is forecast to be within budget by £40,000 with this being mitigated by higher than forecast income. The overall impact is a forecast surplus at 31st March 2019 of £65,856, This forecast is based on a six-month actual plus six month forecast and will be revisited to provide a more accurate forecast and presented as part of the budget setting process for 2019/20.

8.0 Reserves Position

A proposal is reported separately to introduce a Reserves Policy for the Bus Lane Adjudication Service Joint Committee. The summary below includes provision for the proposed BLASJC reserve policy.

Reserves Brought Forward 01.04.17	<u>394,252</u>
<i>Reserves for 2017/18</i>	26,162
<i>Drawdown from Reserves 2017/18</i>	
Closing Reserves 2017/18 and Opening Reserves of 2018/19	<u>420,414</u>
<i>Of which are:</i>	
<i>General Approved Reserve (proposed)</i>	254,028

Free Reserves at 01.04.18	166,386
Drawdown of Reserves 2018/19	0
Reserves for 2018/19 to date	128,410
TOTAL Reserves to 30th September 2018	<u>548,824</u>
of which Free Reserves	294,796

9.0 Options for defraying expenses of the Bus Lane Adjudication Service Joint Committee 2018/19

Reviewing the basis for defraying expenses in the light of six-month income and expenditure experience, the following options were considered.

- (i) **Option 1:** Maintain the current contribution based upon 35 pence per PCN. This would not incur any additional costs and, based on income and expenditure to 30 September 2018, the full-year forecast is a surplus of £65,856 which would be added to the surpluses from previous years resulting in closing reserves of £486,270. If an approved reserve is agreed as proposed this would result in forecast Free Reserves of £232,432 at March 2019.
- (ii) **Option 2:** Reduce the contribution to 30 pence for the remainder of the year **and** backdate it to April 2017. This would cost £72,160. The resulting forecast for the year would then be a contribution **from** reserves of £6,304 with closing reserves of £414,110. If an approved reserve is agreed as proposed this would result in forecast Free Reserves of £160,082 at March 2019.
- (iii) **Option 3:** Reduce the contribution to 30 pence per PCN for the remainder of 2018/19 backdated to 1st October 2018. This would cost £36,080 which is forecast to result in a contribution of £29,776 to reserves, resulting in a closing reserve of £450,190 at the end of the financial year. If an approved reserve is agreed as proposed this would result in forecast Free Reserves of £196,162 at March 2019.

10.0 Recommendations

- 10.1 To note the income and expenditure position at 30th September 2018.
- 10.2 To note the information on previous year surpluses and the current and forecast reserve position.
- 10.3 To review the options for defraying expenses and determine the preferred basis for 2018/19. The Resources Working Group and Sub Committee

reviewed these options at their meeting on 9th October and recommend Option 3.

11.0 Access to Information

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

Name: Louise Hutchinson
Designation: Director
Tel No: 01625 445566
Email: lhutchinson@patrol-uk.info

Appendix 1 BLASJC Budget Monitoring to 30th September 2018

	Year to Date				Full Year			
	30/09/2018	30/09/2018	30/09/2018	30/09/2018	2018/19	2018/19	2018/19	2017/18
	Actual	Budget	Var to Budget	Var to Budget	Forecast Outturn 6+6	Full Year Budget	Var to Budget	Prior Year Result
Income								
Bus Lane Income	348,114	236,466	111,648	47.22%	505,115	472,932	32,183	452,702
Total Income	348,114	236,466	111,648	47.22%	505,115	472,932	32,183	452,702
Expenditure:								
Supplies and Services Recharge	219,704	236,466	16,762	7.09%	439,260	472,932	33,672	426,540
Total Expenditure	219,704	236,466	16,762	7.09%	439,260	472,932	33,672	426,540
Surplus / (Deficit)	128,410	0	128,410	#DIV/0!	65,856	0	65,856	26,162

** note Forecast based on 35p per PCN charge for full year*

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