Appendix 2: Parking Management Scheme Report Action Plan

	Original issue	Lead Officer	Action dates	Last audit and current management assessments
**Potential risk: Parking management schemes are not supported by, or line with, appropriately implemented Traffic Regulation Orders**			
R1	There is an office central file (either hardcopy or electronic) for each parking management scheme containing all key documentation. All key documents relating to a parking management scheme are available on the Council's webpage. *Improve current control*	Team Leader- Traffic Management and Road Safety	Original: 30 September 2014 **Revised:** **January 2016**	**December 2014: Partially Implemented** Progress has been made towards centralising the office files for Traffic Regulation Orders including those relating to parking management schemes. The Council's website currently only includes the terms and conditions and the various application forms for all current parking management schemes. The Notices of Proposals (i.e. the required statement seeking representations / objections to the proposals) for the two schemes amended in 2013 and 2014 are on the Council's website. However, these are in effect draft documents and notably do not include a copy of the sealed Traffic Regulation Order. The service uses 'ParkMap' (a geographic information system) to host and manage changes to an electronic map-based inventory of parking and traffic regulations. **February 2015: Partially Implemented** This is now expected to be fully implemented by July 2015 as additional resources are being sought to implement ParkMap. **Management assessment as at September 2015** **Substantially implemented.** Parkmap work is to commence from 8/10/15 for 12 week enabling full completion.

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R2	There is a secondary and evidenced review of the production of the key documents of actions required to develop and implement parking management schemes. This review and sign off is captured by way of standard procedure documentation that is retained. *Implement new control*	Team Leader – Traffic Management and Road Safety	To be applied to any new scheme.	**Not Tested** There have been no new parking management schemes implemented since the original audit. Therefore the system was unable to be tested in the context of developing parking management schemes. However, enquiries into the wider process to develop Traffic Regulation Orders as part of the 2014/15 Internal Audit of Traffic Regulation Orders confirmed that a checklist has been developed for statutory activities including the need for second officer review. It was confirmed by officers that this checklist will be applied to all future Traffic Regulation Orders. **Management assessment as at September 2015** No new Parking Management Schemes have been implemented, hence it is still untested.

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R3	There is an evidenced, secondary, physical (i.e. on-site) check that Highways contractors have implemented the schemes 'signs and lines' in line with the advertised and sealed Traffic Regulation Order. *Improve current control*	Group Manager Highways and Traffic Management	Original: 30 September 2014 **Revised:**	**December 2014 and February: Partially Implemented** A Council officer checks the contractor's "signs and lines" work but this is not sufficiently clearly documented to demonstrate the check is robust. The service is looking to strengthen this process by recruiting additional staff to oversee signs and lines works to ensure accuracy and minimise the risks associated with errors or omissions. The recommendation will be fully implemented by the 30 April 2015. **Management assessment as at September 2015** **Fully implemented.**
Potential risk: The application process is not clear and or easily available to potential applicants				
R5	The written Terms and Conditions of permits on all relevant documentation state: • it is an offence to resell and the possible outcome for committing the offence • the circumstances and frequency when permits can be re-issued • the charge to the applicant for a re-issued permit. *Improve current control*	Interim Parking Manager Operations Manager Customer Service Centre	Original: 31 July 2014 **Revised:**	**December 2014 and February 2015: Substantially Implemented** The Terms and Conditions included within the application forms for resident, business and carer permits do state that it is an offence to resell. The **visitor permits themselves** include a clear statement that they are 'NOT FOR RESALE' for all schemes **except for the hospital scheme.** The hospital scheme visitor permits will be updated as stock runs out. **Management assessment as at September 2015** **Fully implemented.** The clause "Not for resale" has been added to online purchase and new stock ordered with the same message.

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Potential risk: Parking management scheme income is not completely and accurately received				
R8	There is a regular reconciliation of permit income received to permits issued. There is an independent review of the reconciliation to confirm accuracy and completeness. Evidence of the reconciliation, its review and resolution of issues arising is retained. Implement new control	Interim Parking Manager	Original: 31 July 2014 **Revised:** **1/3/2016**	**December 2014 and February 2015: Not Implemented** Regular permit reconciliations have not yet been fully completed and reviewed. Whilst efforts have been made towards completing reconciliation, the permit system is unable to produce the required reports. Further to this, payments received in the Customer Service Centre are now being processed via a handheld card machine that does not reference the payment to a cost code or a customer. This is likely to hinder the ability to accurately assign the payment and reconcile the income. Wider action is ongoing to improve financial processes, including reconciliations, across all of Parking Management. The required improvements discussed with accountancy to separate cost centres from income have been implemented and are due to go live on the 1 April 2015. The capability for parking / permit systems to integrate with the Council's main financial system, and therefore allow reconciliation, will be part of the specifications for the new parking enforcement contract. **Management assessment as at September 2015** **Not implemented** as it was intended to be implemented as part of the new contract which is due to commence on 1/3/2016.

	Original issue	Lead Officer	Action dates	Last audit and current management assessments
	**Potential risk: Changes to registered vehicles are not appropriately controlled and supported by sufficient and genuine evidence**			
R9	There are staff instruction notes that outline how requests for replacement permits (of all types) are processed. *Implement new control*	Interim Parking Manager	Original: 31 July 2014 **Revised:** **1/3/2016**	**December 2014 and February 2015: Substantially Implemented** Instruction notes are available on the si-dem system and accessible for all members of staff able to issue permits. These are practical "click by click" instruction notes on how to renew and cancel permits. However, the recommendation required clear instructions regarding the appropriate handling of renewal requests to minimise the risk of abuse. Notably defining how often and how many replacement permits can be issued. A proposal for 'virtual permits' is being included as part of the new contract, due to be finalised in April 2015. If virtual permits are introduced, the risk associated with the original recommendation (i.e. that of excessive numbers of replacement visitor permits issued and potentially misused) is no longer needed as physical permits will no longer be issued. **Management assessment as at September 2015** As stated earlier are part of the new contract to be in place on 1st March 2016.
	**Potential risk: The benefits and outcomes required from each parking management scheme are unclear and or not backed up by sufficient evidence to demonstrate they are achievable and do will move parking problems elsewhere**			
	See R10 below.			

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\multicolumn — **Potential risk: The required benefits and outcomes from each parking management scheme are not achieved due to ineffective:** • **compliance monitoring and enforcement of terms and conditions** • **monitoring and assessment of benefits and outcomes to identify and implement effective remedial action**				
R10	The standard methodologies for undertaking the following are documented: • Feasibility assessments of potential schemes (i.e. measures of parking stress as per the Policy on Resident Parking Schemes Appendix 3 – Stage 2) • Post-implementation reviews of schemes measuring the extent the Parking Management policy's objectives are met (per Appendix 1 of the policy and as required by Appendix 3 – Stage 10). *Implement new control*	Team Leader - Traffic Management and Road Safety	Original: 30 September 2014 **Revised:** **December January 2016**	**February 2015: New Action Agreed** *When the Policy on Resident Parking Schemes is next reviewed by the Traffic and Parking Working Party in November 2015, officers will propose the industry good practice methodologies for feasibility and post-implementation assessments are included.* *This will set out the principles to be applied to each assessment (acknowledging there is no single approach to any one assessment) and the good practice timings and extent of surveying required to ensure that assessments provide relevant information and are consistently undertaken.* **When** November 2015 **Management assessment as at September 2015** **Not implemented.** Traffic & Parking Working party has set up a Working Group to review existing policies and procedures to make them more efficient and effective. This is part of this and any recommendations will be considered by the Traffic & Parking in November 2015 as intended.

	Original issue	**Lead Officer**	**Action dates**	**Last audit and current management assessments**
R11	Post-implementation reviews for all parking management schemes are scheduled and assigned to named officers six to 12 months after implementation (in line with the Policy on Parking Management's requirements). Where this review is not possible in the required timeframe (e.g. due to resources limitations), the decision is reported to senior management and the Traffic and Parking Committee for their awareness. *Improve current control*	Team Leader – Traffic Management and Road safety team	Original: 30 September 2014 **Revised:** **January 2016**	**Not Tested** Parking management schemes are reviewed as agreed by the Traffic and Parking Working Party's workload priorities. The last reviews were agreed by the Traffic and Parking Working Party in October 2013 and completed. No proposed parking management schemes have met the Policy on Residents' Parking Schemes' feasibility and or consultative requirements since the original audit. **Management assessment as at September 2015** **Substantially Implemented.** All parking management scheme reviews have named officer. This is also currently part of the review by the T & P Working Group and any resulting recommendations will be reported to the Traffic & Parking Working Party/the Cabinet Committee.
Other recommendations made				
R13	There is a comparative ("benchmarking") exercise to assess whether the cost, efficiency and control benefits of issuing books of multiple visitor parking permits against alternative models (such as a single, transferrable visitor permit). *Improve current control*	Interim Parking Manager	Original: 31 December 2014 **Revised:** **March 2016**	**December 2014 and February 2015: Partially Implemented** A comparative benchmarking exercise was undertaken to evaluate parking charges, however no action has been taken to benchmark the cost of administering and control benefits of alternative types of visitor permits (as opposed to booklets). Currently a proposal is being assessed whether to implement 'virtual permits'. If this is taken forward it will address the recommendation's control aspect.

	Original issue	Lead Officer	Action dates	Last audit and current management assessments
				Management assessment as at September 2015 **Partially implemented.** This is part of the new contract procurement to look at all options to ensure efficient and cost effective methods for permits management.