



Parking Service Provision Proposal for Three Rivers District Council

Response to Three Rivers District Council's
civil parking enforcement specification

June 2017

Hertsmere Borough Council



Service Objective

For Hertsmere Borough Council (HBC) to provide a holistic parking management service to Three Rivers District Council (TRDC) effective from April 1st 2018 for an initial 3 year period.

HBC aims to deliver efficient, effective and user friendly parking services to the residents and users of TRDC's parking services.

HBC acknowledges that car parks are a valuable asset to all councils and, in light of on-going financial pressures faced by local authorities, achieving optimum usage from its assets is a key priority. With this in mind, we aim to deliver value for money for TRDC.

Furthermore, in light of our experience of well-established parking services management at Hertsmere, we look forward to assisting you in devising TRDC's parking services strategy for future sustainability which fits in with your local planning development framework.

As a local authority service provider, we take pride in delivering a polite, customer friendly and a fair service to all our users and we look forward to applying a similar principle to TRDC users.

The submission includes:

- Dedicated civil enforcement officers and supervision based in the district. This has been expanded by an additional officer to provide resilience and capacity for service improvements.
- A contact centre and all back office functions based in Borehamwood, with a presence and regular surgeries in Rickmansworth.
- Highly experienced Parking Services Manager with in depth knowledge of parking regulations.
- Qualified Traffic Engineer to assist in the review and implementation of a parking strategy.
- Direct reporting by the Parking Service Manager to TRDC chief officers & lead members.
- Formal performance reporting to relevant committees and management teams.
- Review and delivery of a bespoke parking strategy for Three Rivers DC.

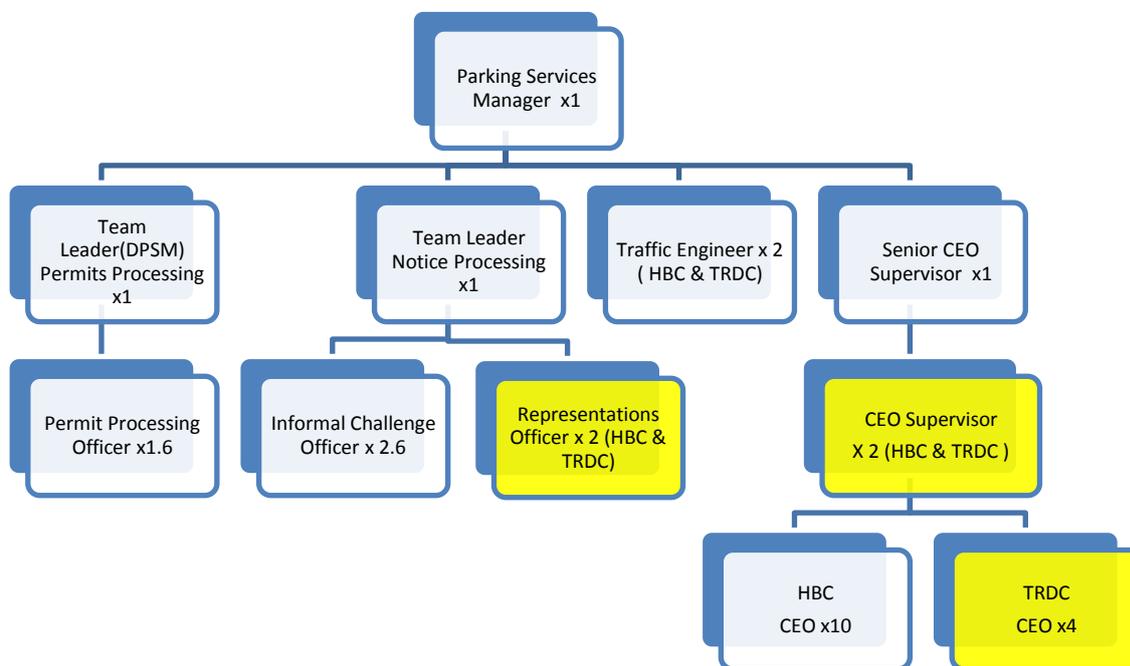
Assumptions made by Hertsmere Borough Council:

- The following model is based on the current level of service provision, plus any increase in activity which results in additional income being raised by the council to a level of £360,000.
- Above this figure the HBC would require 25% of additional income to cover additional resources that would need to be deployed.
- Following the mobilisation HBC would be responsible for the service and all issues arising from April 1st 2018, any residual administration prior to this date is not included in any of the core costings. However it is envisaged the mobilisation project manager costed separately will be in a position to cover this area this eventuality.

General Resource Provision

Staffing Structure

Overall structure of the HBC parking services team, following the introduction of the TRDC service



All posts will be shared apart from the following TRDC dedicated resources

- CEO's - 4 posts
- CEO's - Supervisor 1 post
- Representations Officer - 1 post

Accommodation

Business Processing will be accommodated at HBC's Civic Offices in Borehamwood.

Local Compliance Management (CEO's) accommodation* is to be provided by TRDC. The following facilities:

- Office/Room to function as a base for CEO Supervisor to manage the Enforcement Team and house the necessary equipment required for provision of the service. Power points and IT connections will need to be in place.
- Toilet & Shower facilities
- Rest & relaxation area (Food and beverage making facilities)

Out of hours access will be necessary for the above accommodation requirements.

*These costs have not been included in the financial submission.

Recruitment

- **Civil Enforcement Officers (CEO's)**

Recruitment of any staff by HBC will be carried in regards to the councils Recruitment & Selection Policy & Procedure.

Available positions will be advertised via Jobs go public and local papers in or around the location. If there is difficulty in recruiting then the option of a specialised job agency may be considered.

As indicated by TDRC, TUPE will apply with any current employees.

All CEO's will have to apply and pass the enhanced disclosure check (DBS).

Any applicants shortlisted will follow an interview process which consists of:

- a. written exercise
- b. questions and answer exercise
- c. role play
- d. providing documents to confirm identity, work permit where applicable and driving licence.

Part of the selection process is for the applicant to demonstrate good communication skills on all levels, to be approachable and to remain professional when having to deal with contentious situations. It has been HBC's experience that the 'role play' section of the interview process provides an insight into to how an applicant may conduct themselves in their role as a CEO.

As the Service Provider we have over 20 years of experience in recruiting CEO's and retention over the years has been very successful. It is believed that the support and investment given to staff plays a significant role in retaining CEO's. Training, equipment and the importance of their Health & Safety is paramount.

Civil Enforcement Officer JD – available on request

- **Business Processing Officers**

Recruitment of any staff by HBC will be carried in regards to the councils Recruitment & Selection Policy & Procedure.

Available positions will be advertised via Jobs go public and local papers in or around the location. If there is difficulty in recruiting then the option of a specialised job agency may be considered.

Any applicants shortlisted will follow an interview process which consists of:

- a. Skills test
- b. questions and answer exercise
- c. providing documents to confirm identity and work permit where applicable

Part of the selection process is for the applicant to demonstrate good communication skills on all levels, to be approachable and to remain professional when having to deal with contentious situations. As the Service Provider we have over 20 years of experience in recruiting Processing Officers and retention over the years has been very successful. It is believed that the support

and investment given to staff plays a significant role in retaining Officers. Training and providing the necessary equipment is important. It is also has to be recognised that due to the nature of the service the back office staff do need training and support in dealing with difficult situations both by telephone or face to face.

Training & Training Records

- **Civil Enforcement Officers (CEO's)**

As an overall position, training using the City-and-guilds NVQ structure is **not** within HBC's employee specification for CEO's. HBC's emphasis is on experience with in-house training and development. CEO's will follow a four week training programme which is managed by a CEO Supervisor. This will consist of 1 to 1 office based and on street training and to on street shadowing of experienced team members. This helps encourage and build a positive team working environment.

As part the training process each CEO will be issued with and complete our in-house training manual (Appendix ?). Some of the keys areas that will be covered in the training process will be:

- Human Resources Induction
 - Uniform Expectations
 - Permit types & conditions of use
 - Pocket book rules & training
 - Handheld Training
 - Maybo Training – Health & safety and dealing with difficult customers both verbally and psychically
 - Two-way radio use
 - Edesix Video Badge use
 - Sky Guard use
 - Driving at work policy
 - Pay and display machine training – how to obtain test tickets, change ticket rolls, correct faults, audits etc.
 - Beat training – issue beat cards
 - Lines & signs
 - On & Off Street Contraventions
 - Differential charging
 - How to provide evidence for any informal challenges
 - Geographical Knowledge
 - Conduct and expectations
 - Three and five month reviews
 - Reporting defects – signs, lines, environmental
 - Equality and diversity on-line training
- Equipment part of health and safety training

Following completion of each section both the trainer and the officer will sign and date as completed. This then helps rule out doubt or challenge from either party that this was not covered in training.

- **Business Processing Officers**

As an overall position, training using the City-and-guilds NVQ structure is **not** within HBC's employee specification for Processing Officers. HBC's emphasis is on experience with in-house training and development. Processing Officers will receive one to one training from the Senior Processing Officer which is also supported by the Processing Team. This helps encourage and build a positive team working environment.

Training will consist of the following areas although not exhaustive:

- The Officer to gain a full understanding of the Traffic Management Act 2004 and amendments.
- The councils Parking Strategy and Enforcement Policy.
- Equality and diversity on-line training
- Notice and permit system process
- How to investigate and gather evidence when dealing with Informal Challenges, Formal Representations and Appeals.
- How to construct a response to any challenge/representation/appeal, using where necessary the correct legislation reference and ensuring that each case is considered in an equitable manner. Know when and where to use standard paragraphs whilst making sure that any questions/comments are responded to. Providing details and a clear understanding as to why the notice was served and why the council is not willing to waive the notice.
- Decision making in relation to upholding or waiving a penalty charge notice.
- Dealing with difficult people either by telephone or face to face
- On & Off Street Contraventions
- Understanding of controlled parking zones and the different types of parking restrictions
- When data can or can't be shared (Data Protection)
- Taking payments
- Responding to emails
- Geographical Knowledge
- Foam on line training
- Traffic Enforcement Centre (TEC) requirements (when applies)
- Collection Agent process (when applies)

Freedom of information – as a rule any requests for information would be referred to the councils FOI Officer to be processed to the relevant department for a response. This would be passed and checked by Management.

Witnesses and evidence

It is HBC's practise to attend all telephone and personal adjudication hearings and for the appropriate staff, which may include a CEO to be available to attend. This would also apply if there was a requirement to attend court to give evidence in relation to a case. Processing Officers will be asked to dress professionally and CEO's will be instructed to wear there uniform. Where appropriate the requirement to attend hearings is contained within the job description.

**It should be noted that it is considered to be important and worthwhile that every effort is made so that the relevant officers can attend as it can vital in the decision making process.*

Gifts and Inducements

Please let it be noted that the CEO's are instructed that if they find or made aware of items whilst out on beat they are to contact their Supervisor immediately to inform them. The Supervisor will advise accordingly of how to deal with the item and this will be documented.

Conduct dealing with media enquiries

All Officers both enforcement and back office will be advised to refer any enquiries to their line manager. The Parking Services Manager will be advised of the enquiry which will be referred to TRDC for comment.

Conduct dealing with the public

All personnel will act as representatives of the TRDC when the matter is raised by a member of the public in relation to the TRDC. As part of the officers' training it will be made clear that any enquires should be referred to their line management, which will then be report backed to the Council.

Compliance Management Personnel

Initial deployment Plan

During the mobilisation period, a number of different deployment routes (route cards) will be made available to TRDC. The routes will be designed to provide coverage of all restrictions on a daily and weekly basis. It will recognise the need for hot spot areas and seasonal demands.

Please note HBC will have exclusive responsibility for the formulation and management of all beats

The CEO Supervisor will make available to the CEO's a four weekly rota to confirm their shift patterns, four weeks in advance. There will be a dedicated team of four CEO's to carry out enforcement in the borough. There will be a supervisor who will be dedicated to TRCD's enforcement team to manage on a daily basis.

Hours of deployment:

- 36 hour week
- 2 x Shift pattern 8am to 4.15pm and 10pm to 6.15pm – Monday to *Saturday. The shift patterns provide enforcement for what is considered to be generally the busiest part of the day.
- Bespoke cover for late evenings and Sundays
- No shift on Bank Holidays

*Saturday shift will not be full complement and will be consist of 2 CEO's.

CEO's will work beats on foot in the Rickmansworth area, and drive to outlying conurbations mostly prior to completing beats on foot. However enforcement will be reactive when and where necessary when dealing any concerns brought to our attention.

Deployment Hours and Payment

A CEO's employment conditions will include paid annual leave as sickness pay which are both in accordance HBC's employment policies. It is not HBC's practise to generally cover reduced enforcement due to these circumstances as it is not operationally feasible. There are times when overtime will be offered as an option but this is not an exhaustive budget. Therefore the same practise would apply in providing enforcement to TRDC. It would not be expected that this should not impact on the overall contract cost.

Rapid Response

If the back office receives a complaint about a parking matter that needs attention, the information will be fed to the CEO Supervisor for them to deploy an enforcement officer to the location. Operationally it may not always be feasible, as proximity of the Officer may require travelling time and the offending vehicle may only be parked short term.

Working all weathers

The CEO's job description and the interview process makes the employee fully aware of the working all weathers expectations. Enforcement would not be carried out if enforcement lines are obscured. Health and safety of the Officers is important and they will be provided with all the necessary protective clothing for working in inclement weather conditions. It also needs to be noted that HBC currently supplies CEO's with 'shoe chains' to assist when walking in ice/snowy conditions.

Civil Enforcement Officers (CEOs) - brief outline of a CEO's daily duties

- a) Start of the shift briefing – check all equipment in good working ensuring any dates/times are correct.
- b) Enforcement of parking restrictions according to rota
- c) Check pay and display machines to ensure in good working order before carrying out enforcement – any errors to be rectified but if unable to resolve refer to CEO Supervisor.
- d) Check signs and lines to allow enforcement of parking restriction – reporting back any defects.
- e) End of shift de-brief – prepare equipment to be downloaded and all equipment placed on charge for the next shift. Report back to Supervisor any defects that need addressing. Write on office board any ticket rolls that may need replenishing on the next shift.

CEO's Civil Parking Enforcement role - (JD available on request)

The CEO training programme will provide a full understanding of what duties are required for the role to be fulfilled. The CEO's performance will be monitored and any concerns will be addressed via 1: 1 meetings with the Officer and their Supervisor. The Officer will also receive an annual appraisal.

CEO's as Civic Ambassadors

The CEO training programme will provide a full understanding of what is expected to provide an interactive approach to help the Council with working towards achieving a pleasant and safe environment for the community.

CEO Supervisors – (JD available on request)

The Supervisor role is to manage and supervise the CEO's to provide an effective and efficient enforcement of parking controls throughout the Boroughs CE parking area, controlled parking zones and off-street car parks. They will be in regular contact throughout the shift with the CEO's and will be supportive and offer advice when required.

The Supervisors will support the Parking Services Manager and the back office team leaders so as to provide a well-balanced service which should then create effective and efficient work force.

Duties include the management of following specification requirements, Suspensions, School Compliance Management, Special Events, Car parks maintenance checks, First and Second-line Machine Maintenance, Compliance Management Crime Reporting and Prevention.

Suspensions

Suspensions will be carried out in line with the current legislation and in agreement with the Highway Authority.

School Compliance Management

Enforcement of school restrictions within the borough if backed up by a TRO will be managed by monthly rota as part of the deployment plan.

Special Events

If the location of the event has parking restrictions and the timing of the event is within the hours of operation or has double yellow lines in place, then an element of Enforcement can be included in the shift pattern. However it does need to be noted that on New Year's Eve the working hours for the service would only be during normal shift pattern.

Car Park Maintenance Checks

Monthly checks will be carried out by the CEO Supervisor and any defects/ works required will be raised with the relevant department at TRDC.

First and Second-line Machine Maintenance

It will be the responsibility of the CEO's to correct any faults as part of their basic training. If the fault is of a more serious nature then this would be addressed by the CEO Supervisor. However if the fault could not be rectified or the machine had been vandalised then it would have to be directed to the supplier.

TRDC could take up the option of entering a maintenance contract with the supplier at a yearly cost and then the engineer call out charge and repairs will be carried out at no cost as part of the contract. It can be an option not to have a maintenance contract but this will mean that charges will apply for any call out and work carried out. When it comes to vandalism this is not usually covered by a maintenance contract and therefore any cost for repairs will need to be agreed and charged to TRDC.

Compliance Management Uniforms

Uniforms will be clearly identify as working on behalf of TRDC

Items of protective clothing will be supplied to help the CEO's carry out their duties in all kinds of weather conditions. The uniform would be of the traditional style to ensure that a neat and smart appearance is achievable. It is considered that items of clothing such as 'baseball caps' which are worn by some Parking Enforcement Officers can very quickly give a untidy appearance.

Compliance Management Conduct

The CEO training programme will provide a full understanding of what is expected along with HBC's 'Code of Conduct for Employees' policy (available on request).

Compliance Management Crime Reporting and Prevention

Abusive behaviour both physical and verbally excessive that is towards any Officers of the Parking Service will be treated seriously. It will be the Officers decision if they wish for an incident to be reported to the Police.

Any incidents will be reported to TDRC but an annual report will be provided to show the number of incidents and any outcome following investigation.

It is hoped that with the right training and equipment the level of abuse that the Officers may have to encounter will be reduced. If it is found that an Officer has acted unprofessionally whilst carrying out their duties then this will be dealt with under HBC's disciplinary procedure. If it is deemed appropriate then it may also be reported to the Police.

Business Processing Personnel - (JD available on request)

- **Notice Processing:**

Formal Representations Officer – will process Notice to Owners (NtO), Charge Certificate, log and respond to Formal Representations, Investigations, Appeals (TPT), Pre Debt Registration, Debt Registration, and Enforcement Agents

Informal Challenge Officer – log and respond to informal challenges, investigations.

Permit Processing Officer – process permit applications, issue permits,

- **There will also be an element of the following duties for all the above Processing Officers:**

Incoming and outgoing Post, document Imaging, email, printing documentation, telephone enquiries, DVLA requests, Correspondence, taking payments, reconciliation of payments.

***The Business Processing Personnel will be trained to help support the various processes within the service. There will be an emphasis on team spirit to so as to provide a healthy working environment.**

Business Processing Team Leader – (JD available on request)

- **Notice Processing Team Leader & Permit Processing Team Leader**

The role of a team leader will be to provide support and training to ensure that the Officers understand their role and the expectations required to provide an effective and efficient service. They will also provide support for management and understand the needs of the service and the Councils' vision.

Parking Services Manager – (JD available on request)

The Parking Services Manager has overall responsibility for the delivery of the Service Level Agreement, the role will be the senior contact for TRDC, and will also provide the expertise required to replicate an already successful service (HBC) for TRDC.

Traffic Engineer – (JD available on request)

This role has been included in the SLA costings and will be provided for two days per week and will assist and support TRDC's traffic management responsibilities, providing support to the Parking Service Manager and Lead TRDC Member.

IT Software Provision

It is intended to use a separate software solution specifically tailored to TRDC's requirements, full details of the proposed system, are available on request

Hertsmere BC share the following objectives / aspirations:

An increase in the use of customer self-serve channel

Advances in technology

To deliver all services through a single integrated technology platform to minimise the number of different systems that have to be used and supported.

Provision of a solution that will be flexible and scalable to future requirements

Provision of a solution that will embrace a culture of continuous improvement

Utilisation of technology to improve the accessibility and efficiency of the services required

Provision of an integrated reporting suite

To ensure customers have a single and seamless journey whilst transacting with the Council through multiple channels.

The Parking IT software will operate in full compliance with all aspects of the Law and shall hold all personal data in an encrypted form and comply with the applicable data standards and data protection legislation.

Systems details

The system will encompass the following:

- Notice Processing ,and on line viewing of payments, appeals and viewing evidence
- Permit Processing
- PCN issuing (for Samsung Galaxy)

Expected outcomes:

- Provision of a fully integrated and auditable solution to measure and manage Compliance, including the maintenance and management of assets.
- Provision of a fully integrated, configurable and auditable Parking IT software system utilising automated workflow to recover Penalty Charge Notices at every stage of the recovery process as well as to meet all statutory obligations - existing and new as listed in the Service Standard section.
- Provision of a technology platform that allows customers to access services, pay and interact with the Council through existing and new innovative channels
- Provision of a solution that integrates with Council, third party and other stakeholder systems to enable seamless transactions for all system users - staff and customers alike.
- Provision of an integrated solution for the processing of multiple virtual permit types
- The ability to measure and report on output performance of all systems and interactions associated with the delivery of all services as well as all customer interactions.

Management Information

HBC's Parking Services team will monitor the operation closely in accordance with the requirements set out in the SLA and will make any amendments necessary to ensure their effectiveness. The parking software system reporting module will have the ability to provide most reports such as, number of PCNs issued, number of challenges and representations received etc. It may also be possible to create bespoke reports where required but a lead in time may be necessary allowing for the reports to be written to produce the data.

TRDC Proposed Key Performance Indicator's (KPI's)

- **KPI 1. Effective Parking Enforcement – a), b), c), & d)**

It is considered that the above proposed KPI's are all in relation to the individual CEO's performance. Any concerns or issues regarding a CEO's performance in relation to these would be addressed by the team Supervisor accordingly via 1 to 1 sessions and the appraisal system and reported as KPI's. If there is a significant performance issue and there is no improvement following the informal process then the employee 'Capability Policy' will be initiated.

- **Cash Collection**

This service would be carried out by HBC's contractor and collections/performance is monitored on a monthly basis. Any concerns/issues are addressed at the time but would not be reported as a KPI.

- **KPI 2. Good quality, motivated and informed CEO's**

Response as per KPI1, this will be monitored by the appraisal system and 1 to 1 sessions.

- **KPI 3. Issue of Good Quality PCN's**

Response as KPI1

- **KPI4. Administrative procedures**

The same procedure for applies for Business Processing staff as in relation to the response as KPI1. It also needs to be noted that the expected turnaround time for permit applications is 10 working days from the days of receipt. If on-line applications and virtual permits are introduced then this may be reduced.

HBC's Proposed Key Performance Indicator's (KPI's)

It is suggested that the following indicators for key performance would be better placed for the following areas:

- a) Number of Penalty Charge Notices (PCNs) issued.
- b) Number of formal representations against issue of PCN responded to within 21 days (as recommended by the Secretary of State).

- c) Number of formal appeals to the Traffic Penalty Tribunal which are allowed due to defective Traffic Regulation Order.
- d) Complaints to be handled within 10 working days.

These would be provided on a monthly basis to TDRC.

Parking Annual Report

In addition to monthly reports, HBC will produce an annual parking report which will provide full understanding of the service that TRDC is providing for their community. It should also provide assurance to TDRC that HBC is achieving the performance standards expected within the Service Level Agreement.

TRDC will have full input leading up to the final draft of the report and will be published in agreement with both TRDC and HBC.

Monthly Reports

HBC will monitor the performance of the agreed SLA and provide KPI's and reports on a monthly basis, including performance, an analysis of the previous Month's activity, Improvements and those going forward, and any Innovation proposals.

Example of reports to be provided:

- a) Pay and display income by car park and area
- b) Paybyphone income by car park and area (if appropriate)
- c) Number of PCN's issued / cancelled / waived / written off / outstanding / in process / at enforcement agent.
- d) Number of challenges / representations / appeals received
- e) Number of permits issued
- f) Income in relation to PCN's / permits / dispensations / suspensions

Vehicles

It is intended that the policy used at HBC will apply and that the CEO's will need access to a vehicle to carry out their duties. Each CEO will claim mileage on a monthly basis and will be paid with their salary. A copy of their driving licence (clean) and insurance document must be supplied.

It will be expected that each officer will have to agree to driving as per HBC's driving for work policy.

Stationery

HBC shall be responsible for the supply of stationery relating to the provision of the Services detailed in the SLA, including any additional stationery required as a result of changes in Legislation.

Equality and Diversity

A copy of Hertsmer Borough Council Equality and Diversity Policy will be provided on request.

Quality and Risk Management

As a part of the overall solution, HBC will manage all risks associated with the provision of the service and maintain quality through robust service level management in accordance with the requirements of the agreed SLA.

A comprehensive risk register will be maintained and submitted for inspection to the relevant TRDC council committee and a frequency to be agreed.

A copy of the council's business continuity and disaster recovery plan will be provided at 2 weeks prior to the SLA commencement date.

Business Readiness, Mobilisation and Change Management

HBC's solution shall be implemented using recognised project Prince 2 project management methodology, with the employment of a dedicated and suitably qualified project manager throughout the mobilisation period. This will provide the following outcomes:

- All processes are fully certified as tested and fully operational prior to deployment and for the lifetime of the Service Level Agreement.
- The provision of a detailed transition plans including milestones and resources prior to deployment of all aspects of the service provision.
- Successful staff transfers where applicable.
- The management and smooth implementation of the new operating model and service with little or no disruption to service provision. This shall include any future changes deployed at a service level.
- A detailed mobilisation plan, a risk register, and a communications plan
- Compliance with legal obligations required of them, particularly in relation to TUPE.

Additional Compliance Management and Business Processing Service Options

HBC will be able to offer the additional services priced upon request.

Signs and lines maintenance

Cash Collection & Security

Please note

Environmental Enforcement (This function would **not** be available)

Traffic Engineer (The provision of this function is part of the mandatory service offered)

Face-to Face customer contact via a part-time parking enquiry surgery (The provision of this function is part of the mandatory service offered)

It is anticipated that advances and implementation of additional software options to facilitate continuous improvement will be developed with TRDC throughout the period of the SLA.

Service Level Agreement Recharges

General Resource Submission

Employee Related

CEO's; Management; Admin & Traffic Engineers £ 311,200

Transport Related

Mileage officers £6,300

Supplies and Services

Software, equipment; uniforms, printing etc. £25,400

Third Party Payments

Machine maintenance £1,000

Support Services

Management, HR, Finance, IT etc. £27,510

Service Level Agreement Fee

£27,510

£ 398,920

One -Off (Non-Recurring) Costs

Mobilisation - Project Management

1st October 2017 to 30th September 2018 £40,000

IT Solutions

Capital costs: Hardware £6,250

Items Not Included in Service Level Agreement:

Cash Collection

Car Park Infrastructure Repairs

Car Park NNDR

Signs and Lines