

# The Planning Inspectorate Annual Report and Accounts 2017/18



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# Performance Report

## 1.1 Overview

### 1.1a Chief Executive's Statement



The Planning Inspectorate is a great organisation, with committed and dedicated staff. Our work is highly respected and valued, and we make a vital contribution to the integrity of the planning system. The Inspectorate has always operated in an evolving policy landscape requiring ongoing changes in the way inspectors work. The organisation has also continuously adapted to external factors and over recent years we have embraced new structures, transformed our casework operations, moved towards more electronic working and made a considerable number of other changes and improvements.

We know that we need to continue to change and adapt, to meet the expectations of our customers, stakeholders and staff, and to ensure we deliver our services to a high standard while still offering value for money for the tax payers of England and Wales. Our ambition is to become an exemplar of public service customer delivery, championing openness and transparency; to be recognised as a highly efficient and effective organisation; and to be a great place to work. At the same time we must continue to work together to deliver quality decisions, recommendations and advice to customers in an open, fair, impartial and timely manner.

Since launching our Transformation Programme in January 2017, the Ministry of Housing, Communities and Local Government (MHCLG) have invested in our future vision, supporting our efforts to achieve the following priorities:

- providing excellent customer service including tackling our timeliness in dealing with hearings and inquiries in England;
- improved efficiency and effectiveness, including adopting a more commercial approach; and
- increased staff engagement, and providing staff with the skills they need today and in the future.

A key foundation of our programme is delivering for our customers, ensuring they receive the service they deserve in a professional and timely manner. A major part of this will be to ensure our processes support the Government's announcement in March, in which they underlined the importance of the country's need to build more homes. To support this ambition we will be working with MHCLG on the review of our inquiry process, to improve the end-to-

end timescales, thereby ensuring that developers receive a clear decision as quickly as possible.

To meet demand, we needed to ensure we had the right level of resources available to us. We held an inspector recruitment exercise towards the end of 2017 which helped address the natural loss of resource including through retirements by adding 18 new inspectors to our ranks. We knew that this wouldn't be enough to meet our projected needs, so we embarked on a further round in a bid to recruit around 40 more inspectors in the next year. These new inspectors will allow us the flexibility to meet demand across the country, and give us capacity to respond to new challenges.

I have no doubt that the coming year will be a challenging one for us, but once we become more agile, we should be able to cope with both the expected and unexpected demands that come our way. I have high expectations that our staff will embrace the opportunities this presents, and through this period continue to strive towards our vision:

The Planning Inspectorate - Independent experts, inspiring confidence and shaping exceptional communities, now and for future generations.



Sarah Richards  
Chief Executive  
19 June 2018



## 1.1b Statement of purpose and activities

Our ongoing purpose was to deliver impartial decisions, recommendations and advice to customers in a fair, open and timely manner.

The Inspectorate has been in existence, as a valued part of the planning system, for over 100 years in one form or another. We remain proud of that history and our ongoing role in support of the Government's priority – increasing housing supply and contributing to economic growth.

The organisation is a joint executive agency of the MHCLG and the Welsh Government. It is led by a Chief Executive and a team of executive Directors, and comprises salaried and non-salaried inspectors, with professional support provided by teams based in Bristol and Cardiff.

### Vision

We aim to:

- hold the absolute confidence of Ministers and our customers as a key organisation for land use planning;
- have a reputation for excellent customer service and provide timely and high quality impartial decisions in all our work;
- have a sustainable budget position with established sources of income and an embedded focus on continuous improvement and productivity;
- be a fully integrated organisation across all our casework, with common systems and effective leadership; and
- make the most of our knowledge and experience on the ground, building the capability of our staff, and informing policy through our experience of making decisions.

### Operating context

The primary legislation for the appeals system is the Town and Country Planning Act (TCPA) 1990 (as amended), and the Planning Act 2008 (as amended) covers the consenting regime for National Infrastructure projects and Developments of National Significance in Wales. The local plans system is covered by the Planning and Compulsory Purchase Act 2004. Frameworks established by related legislation cover other areas of work such as environmental appeals and Rights of Way.

### Our role and contribution

The Planning Inspectorate has three primary roles:

- to help communities shape where they live;
- to operate a fair and sustainable planning system; and
- to help meet future infrastructure needs.

Helping communities to shape where they live

We support the Government's policy aims of delivering more housing and effective local planning through our role in the Local Plan process. Plans set out the future vision for a local area, identifying what development will go where, why and when.

We aim to:

- Support local authorities to develop plans that fully meet local needs.
- Share planning knowledge and expertise to help ensure the right development happens in the right place at the right time.
- Help protect communities from unsuitable and unsustainable development.

Operating a fair planning system

The right for an applicant to appeal a planning decision made by a local planning authority (LPA) is a key feature of the planning system, as is making an appeal when they fail to do so in the time allowed. While there will always be those who agree with inspectors' decisions and those who do not, at all times we remain committed to the three guiding principles of impartiality, fairness and openness.

We aim to:

- Determine appeals to timeliness targets, giving all involved, including local communities, certainty one way or the other.
- Deliver high quality decisions across a range of casework, from large housing developments to individual footpaths and village greens.
- Provide citizens with an efficient service for appeals about their own homes.
- Give all of those with an interest in a case a chance to make their views known and have them considered.
- Publish relevant information online, making it widely available.

Helping meet future infrastructure needs

It is essential that sustainable development and associated economic growth be supported by appropriate infrastructure. We take account of government policy and balance the interests of developers, local citizens and other interested parties when recommending which projects should be built.

We aim to:

- Provide a streamlined service to developers, assessing the merits of proposed large-scale projects, such as new power plants or major roads.

- Balance the country’s needs and developers’ plans with the likely impacts on localities, listening carefully to the views of communities, specialist groups and others’ interests.
- Deliver a predictable and efficient process, providing certainty for all involved, including the relevant Secretary of State or Welsh Government Minister who makes the final decision on whether each project is approved.

### 1.1c Key risks

Table 1 shows those risks where the risk score was 15 or more<sup>1</sup> as at the end of the year, that had not reached their target level at that point. It shows the most significant actions designed to mitigate them.

Strategic Risks	
Risk description	Mitigations
Cyber-attacks affect ability to operate	<ul style="list-style-type: none"> <li>• Assess how robust our systems are to cyber threats.</li> <li>• Produce and implement an Inspectorate Cyber Security Strategy.</li> </ul>
Disruption to operations due to external factors	<ul style="list-style-type: none"> <li>• Ensure each business area has an up-to-date Business Continuity Plan that has been tested.</li> <li>• Identify lessons from any incidents and update plans accordingly.</li> </ul>
Financial impact of external factors affects ability to meet demand	<ul style="list-style-type: none"> <li>• Review expected submission of Local Plans and National Infrastructure Projects regularly; re-forecast income as necessary.</li> </ul>
Personal attacks and/or physical protests	<ul style="list-style-type: none"> <li>• Review office and venue security measures.</li> <li>• Remind staff of advice covering how to protect themselves.</li> </ul>
Uncertainty over financial sustainability	<ul style="list-style-type: none"> <li>• Bolster financial planning capacity and capability.</li> <li>• Implement integrated financial planning model.</li> </ul>
Non-compliance with a statutory responsibility	<ul style="list-style-type: none"> <li>• Obtain legal advice as appropriate.</li> <li>• Ensure requirements for new schemes are covered in induction for new staff.</li> </ul>
Failure to meet performance/customer service expectations	<ul style="list-style-type: none"> <li>• Improve workforce planning to inform resourcing plans.</li> <li>• Implement plan to improve performance on planning appeals including hearings and inquiries.</li> <li>• Further inspector recruitment and continuing professional development.</li> </ul>
Loss of key systems	<ul style="list-style-type: none"> <li>• Create system-specific Business Continuity Plans.</li> <li>• Assess vulnerabilities of current systems.</li> <li>• Ensure resilience of replacement systems.</li> </ul>

**Table 1**

More information about our risk management process can be found in Section 2.1c.

1. Risks are scored out of 5 for both Risk and Likelihood, with the maximum risk score therefore being 25.

## 1.1d Performance summary

### Financial performance

We managed our financial performance well and ended the year with our actual net costs being less than 1% below the agreed budget for net costs.

Our financial performance in relation to the agreed budget for 2017/18 is shown in the Accountability Report (Section 2.3), and a further breakdown of performance can be found in the detailed Financial Statements (Sections 3.1 to 3.5).

There is no uncertainty regarding the going concern of the Inspectorate and we therefore continued to adopt the going concern basis in preparing the Financial Statements.

### Casework performance

Our performance in England in 2017/18 was mixed; for some customers, performance was within target and in some cases there was an improvement on 2016/17. However, for many we acknowledge that it was unacceptable and fell short of the level of service we seek to provide. The situation arose due to the cumulative impact of a number of factors including a 13% increase in casework relating to kiosks and challenges recruiting sufficient inspector resource. We are already taking forward actions, ranging from recruitment to service transformation, to recover the situation and take us to a sustainable position. Our performance results can be found in Annex A.

All performance targets for casework in Wales were exceeded. All Nationally Significant Infrastructure Project (NSIP) applications were determined within statutory timetables and 98% of plans and bespoke inquiries were determined in the timescales agreed by the parties. Householder and commercial appeals and enforcement written representation appeals were in target, as were common land, costs and most Rights of Way casework. As a result of our approach of also measuring ourselves against the end-to-end performance of all casework, our timeliness became more consistent, which was noticed by our stakeholders, and customer satisfaction with process and procedures remained within 1% of target. However, less positively we are not yet achieving customer expectations in some other casework areas despite timeliness for planning written representations cases improving to within 5% of target. In particular, for hearings and non-bespoke planning inquiries, timeliness

was poor and a long way from target, and we also failed to meet our targets for Environmental, Tree Preservation, High Hedge, and Hedgerow casework. The quality of our decisions in both England and Wales remained high with less than 1% subject to upheld complaint or successful legal challenge.

An analysis of our performance is given in the next section of this document.

## 1.2 Performance analysis

Our strategic priorities are to provide excellent customer service and continuously improve our productivity, and our Strategic Plan for 2017/18 to 2019/20 also prioritises the aim to increase staff engagement.

The following paragraphs set out what we have done this year in support of those priorities, including an assessment of our casework performance.

### 1.2a Excellent customer service

Our ambition is to become an exemplar of public service customer delivery. In common with the rest of the public sector, we continued to strive for the best possible value for the taxpayer and have recognised that to do so means a fundamental re-think of the way we do things. We can only achieve our ambition if we turn traditional public sector thinking on its head to create services that are truly customer-focussed. We made a start in April 2017 by publishing our Customer Charter. It sets out what our customers can expect from us, and what we ask from them. To truly make a difference, however, we need to put in place services that address the issues that matter most to our customers, and take advantage of improvements in technology to offer new and innovative solutions. In response to our 2017 reputation survey, customers said that we could most improve in five areas – timeliness; processes; electronic working; communication and consistency.

We developed a customer strategy setting out how we intend to put the customer at the heart of all we do and achieve the excellent customer service to which we aspire. The strategy recognises that we have both direct and indirect customers, and that those people or organisations using our services could be either or both depending on the context of their engagement with us. Our inspector recruitment is intended to assist with improving timeliness; processes and online working are being addressed through out Transformation programme; and we have taken steps to improve communications, with further

improvement planned. Consistency is addressed through our ongoing review of professional standards.



Figure 1

Our Customer Services Team handled an average of 100-150 customer calls each day (around 2500 calls per month). The range of queries received was vast – covering every area of casework that we dealt with, as well as queries about using our online Appeals Casework Portal or our websites, and complaints about their local authority or decisions that we had made. Some people needed to be redirected to other organisations.

Our pages on GOV.UK were designed to be the first port of call for many of our customers as much of the information they required was provided there, helping to reduce the uncertainty felt by many customers. We implemented changes to the recorded message on our customer services helpline to explain who we are, who we aren't, and what we do, and to signpost customers to our website on GOV.UK if they would like to make an appeal or require appeal guidance. We also changed the message we use in the event of a building evacuation, including for fire alarm drills. This now informs callers that there is currently no-one available to take their call and directs them to email our enquiries mailbox, go to GOV.UK or call back later. Customer feedback for the team was very positive.

“treated with respect and in a professional manner from start to finish”

“was angry and frustrated 5 minutes ago and feel much better now”

“have found @PINSgov a breath of fresh air on the phone”

“most impressed by the efficient service”

Our customers value the ability to contact us and speak to someone about their queries and concerns. However, it is also clear that they would like us to be more pro-active in our communications with them, providing them with regular updates on progress. This is something that we will be addressing in 2018/19 through the transformation of our processes to focus more on the needs of customers and to ensure they are better informed.

## 1.2b Improved efficiency and effectiveness

2017/18 was a year of planning our transformation journey, and those plans call for significant improvements to be implemented in 2018/19. We expect the Transformation Programme to improve our internal processes, making them easier for our customers to use, and reducing the internal effort required to support them. We will review how we should be organised to deliver services most effectively, and will look for efficiencies to create the savings.

In the meantime, we improved our financial management, covering both financial and commercial aspects in quarterly reviews involving colleagues across the organisation. This, together with our monthly budget reviews, helped us to end the year within 1% of our allocated budget. Further work to consolidate these improvements and to further refine the process will take place in 2018/19, including more regular updating of our medium term financial model. In line with the increasing trend for transparency and making data freely available for re-use, we published data on appeal decisions made in the last five years<sup>2</sup>. This allowed our customers to use that data to conduct their own research and we therefore received fewer data requests from the public.

## 1.2c Increased staff engagement

We developed and delivered the second stage of our Leadership Development Programme designed to create inspiring, confident and empowering leaders and line managers in line with the Civil Service Leadership Statement<sup>3</sup>.

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2. <https://www.gov.uk/government/statistics/planning-inspectorate-appeals-database>

3. <https://www.gov.uk/government/publications/civil-service-leadership-statement/civil-service-leadership-statement>



In May, we conducted a ‘pulse’ survey to test whether efforts to improve staff engagement levels were bearing fruit. The results indicated improvements in key areas, and this was reflected in our overall engagement score in the October 2017 Civil Service People Survey which increased by 2% to 59%. The main feeder for this improvement was a significant (+10%) change to the score for the ‘Leadership and Managing Change’ theme – reflecting the emphasis we placed on making improvements in this area as the organisation transforms. Despite the improvement, we remain short of the level of our ambition for our people to feel happier and more engaged in their work. It is certainly another step in the right direction, and we have plans in place to improve this further as part of our Transformation Programme.

Significant numbers of people from across the organisation have been involved in the various strands of the programme of change – ranging from the monthly awareness sessions/staff briefings, through involvement in information gathering workshops and sessions to design prototypes to illustrate potential service and process improvements, to membership of programme or project boards, or secondment full or part time to the Transformation Team. The amount of involvement and activity that took place underlined our commitment to change and improve.

## 1.2d Performance - England

### Public Examination of Local Plans and Community Infrastructure Levy Schedules

To reflect the emphasis on the need for LPAs to have up-to-date Local Plans, in accordance with the National Planning Policy Framework (NPPF), we continued to provide experienced inspectors to carry out visits to discuss work on their Local Plans, with 28 visits taking place. The initiative promoted confidence and assisted progress in submitting plans for examination.

A total of 74 Local Plans were submitted for examination, and each was resourced with an inspector. We issued 55 reports to LPAs, finding all those plans to be ‘sound’. At year-end 89 Local Plan examinations remained in progress. 94% of LPAs now have published strategic plans. 83% have adopted plans, eight percentage points higher than at the same point in 2017.



The increase in Local Plan submissions continued in 2017/18, with income levels being very similar in 2017/18 to the prior year and as plan-making continues to be a Government priority, we anticipate an increase in workload (and income) through 2018/19 particularly following the anticipated changes to the NPPF.

Local Plan Status (end March 2018)

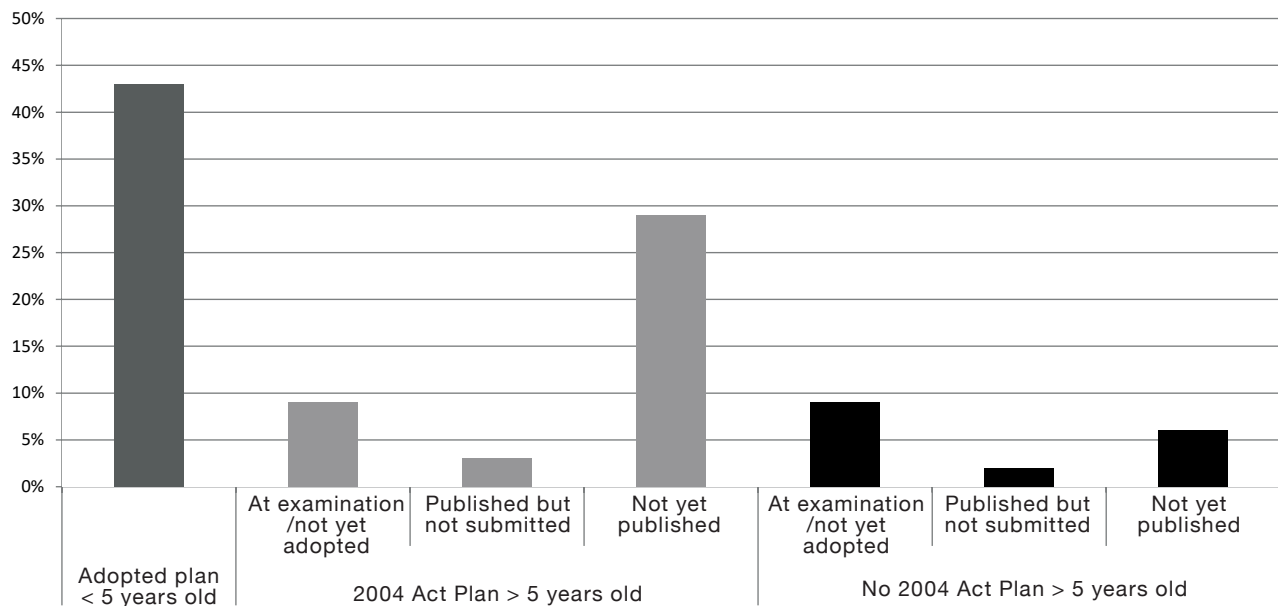


Figure 2

We issued 14 final reports to Charging Authorities to approve their Community Infrastructure Levy Charging Schedules.

### Nationally Significant Infrastructure Projects

In 2017/18, five formal applications were submitted for proposed NSIP. In addition, 30 new pre-application projects were added to the list on our website (<https://infrastructure.planninginspectorate.gov.uk>) and we provided substantial pre-application advice to developers in this period. The low number of applications but high level of pre-application work meant that our income level for NSIP work in 2017/18 was much lower than previous years but our costs have remained relatively stable.

A total of four decisions were made by the relevant Secretary of State on NSIP applications in 2017/18 – see Table 2. Table 3 provides a break down of those four decisions, by sector.

Our performance is shown at Annex A.

Project	Decision Issued
Wrexham Energy Centre	18/07/17
Richborough Electricity Connection	03/08/17
East Anglia 3 Offshore wind generation	07/08/17
M20 Junction 10a Improvement	01/12/17

**Table 2**

Sector	No. of Decisions	Sector	No. of Decisions
Energy	3	Transport	1
Waste	-	Waste Water	-

**Table 3**

At the end of March 2018, there were 74 cases at the pre-application stage and five applications were progressing through the system, being at stages between acceptance and recommendation, and three applications were with the relevant Secretary of State awaiting decisions. We received 28 Environmental Impact Assessment (EIA) scoping opinion requests and 26 EIA scoping requests were issued during the year, all within target. Delivering against NSIP statutory timescales continued to be a key measure of success.

#### Planning and related appeals

Our performance against the targets set for us is shown in Annex A. Whilst we did not achieve all our targets in a number of these casework areas, the investment in our inspector resource saw improvements in performance across all formal timeliness targets for Planning Appeals compared to 2016/17 (measuring from Start to Decision).

Case type	2017/18		2016/17	
	Weeks	Number decided	Weeks	Number decided
Planning: Written representations	19.5	9,697	18.1	10,236
Planning: Hearings	31.1	528	32.4	624
Planning: Inquiries (Non-bespoke)	44.3	282	52.1	282
Planning: Inquiries (Bespoke)	43.8		43.5	
Householder	13.5	4,670	12.2	4,999
Commercial	15.9	565	15.7	568

**Table 4**

Last year, our Annual Report included a new table setting out our performance measured to better reflect our customers' experience of our timeliness – measuring from receipt of a valid appeal to the issue of a decision. This information is shown in Table 4 for 2017/18. The difference between these figures and those in Annex A reflect the time taken to validate appeals and place them in an inspector's programme. This measure underlines the need for us to make significant performance improvements.

#### Major planning applications

Provision exists under Section 62A of the TCPA 1990 (as amended by the Growth and Infrastructure Act 2013) for an application for planning permission and reserved matters consent to be made directly to the Secretary of State where (a) they involve major and non-major development, and (b) the relevant LPA has been designated by the Secretary of State. We handle these applications on behalf of the Secretary of State. During 2017/18 there were no LPAs designated, and therefore no cases were referred to us for determination.

#### Enforcement appeals and Specialist casework

Our performance against the targets set for us is shown in Annex A. 2017/18 saw a continuation of the steady improvement in Enforcement written representation casework performance and we achieved our timeliness target. Although we have not met our timeliness targets for hearing and inquiry cases, we were able to reverse the performance decline and make slight improvements.

Intake in many of the specialist casework areas is small. Being low in number, a single case can have a disproportionate impact on performance, and this was the case in 2017/18. Some areas of specialist casework faced continued challenges in securing the right inspector resource to deliver within target, but there has been improvement in some areas this year. We worked closely with our partner organisations to ensure that cases of significance are prioritised accordingly. Performance on in-house cost decisions exceeded target as in the previous two years.

#### 1.2e Performance - Wales

Our operations in Wales were carried out by a team based in Cardiff. The team was funded by the Welsh Government but remained independent from them. Decisions were informed by policies formulated and adopted in Wales including, Local Development Plan's (LDP), Planning Policy Wales and Technical Advice Notes. We utilised around 19 inspectors at any one time to handle casework in Wales, most of whom live in Wales and were recruited from Welsh

LPAs. Three of our inspectors are Welsh speakers and during recruitment we actively look to improve on this. The team gained benefits from being part of a larger organisation; this includes being able to draw on the experience and depth of knowledge of a large body of professionals in planning and other related fields, the training provided for all staff including inspectors, and access to corporate services, such as shared IT platforms.

As well as maintaining our high levels of service in appeals, LDP examinations and other areas of environmental case work, we remained at the forefront of delivering and facilitating the Welsh Government's planning reforms. We continued to follow specific key business objectives tailored to the priorities of Welsh Government in addition to the Inspectorate's strategic goals. Our performance against the targets set for us is shown in Annex A.

We were subject to new revised performance targets set by the Welsh Ministers relating to our main areas of 'planning' casework but we also undertook a wide range of other work. This included:

- examining LDPs;
- overseeing housing land availability studies;
- listed building consents;
- rights of way;
- commons;
- compulsory purchase orders; and
- Developments of National Significance.

We worked with colleagues across Welsh Government to prepare for the submission of Harbour Revision Orders, the decision making powers for which were devolved in April 2018; appeals relating to sustainable drainage schemes; and marine licensing appeals. Working with our colleagues in England, we helped Welsh Government prepare for a new infrastructure consenting regime ahead of further devolution of consenting powers in April 2019.

Timeliness performance targets, including quality, were met or exceeded. The overall workload in 2017/18 was slightly down on the numbers received in 2016/17, with total appeals intake of around 844 compared to 872 in the previous year. Two development plan examinations commenced in 2017/18. Swansea submitted its LDP for examination in August 2017 and Snowdonia NPA submitted proposed revisions to the Eyri LDP in January 2018. This is the first short form revision submitted for examination.

Two Development of National Significance applications were submitted. One has been processed and planning permission granted by Welsh Ministers, and the second is in examination. Three notifications of intention to submit an application were received.

#### Quality - England and Wales

Our performance against our quality target is shown in Table 5, for England and for Wales.

Target	Year	England	Wales	Combined
99% of inspector decisions are free from upheld complaint or successful legal challenge	2016/17	99.5%	99.9%	99.5%
	2017/18	99.3%	99.4%	99.3%

**Table 5**

We continued to review all cases that resulted in an upheld complaint or where litigation taken against the Inspectorate was successful. Through this process lessons were captured and disseminated to inspectors through a combination of training material and updates. The outcomes were shared regularly through the Professional Steering Group to the Customer, Quality and Professional Standards Committee. The Inspectorate was included in the latest available statistics published by the Parliamentary and Health Service Ombudsman (for 2016/17). The report showed 36 enquiries, 17 complaint assessments, three accepted for investigation; one investigation was partially upheld and two were discontinued.

At the end of the appeals process or after the examination for NSIP cases, a customer survey is issued to those that participated to gauge how they felt overall with the service they received. Our target is 80% of customers responding either satisfied or very satisfied. We fell short of our target achieving 79% at year-end, however this was an improvement on 2016/17 where we achieved 67%.

August 2017 saw our third annual reputation survey being undertaken. More than 250 responses were received from LPAs and planning agents<sup>4</sup>, with the majority in relation to planning appeals. The main areas of concern were around the certainty of the time taken to determine cases, and seeming inconsistencies in our procedures and decisions – areas we are acting on, including through our Transformation Programme. It was pleasing to see that there were fewer concerns expressed over our online services than in 2016 as a result of changes we have made.

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4. Members of the public were invited to take part but received a nil response.

Over 80% of respondents said we are impartial, fair, professional and trustworthy. Many respondents were complimentary about the service provided by our staff.

“case officers are very helpful and endeavour to respond quickly to queries.”

“very helpful, professional and reassuring staff.”

## 1.2f Sustainability report

Responsibility for our office in Bristol (Temple Quay House - TQH) lay with the Department for Education (DfE), and for our office space at Cathays Park, Cardiff, with the Welsh Government. The Welsh Government’s Annual Report and Accounts covers sustainability for Cathays Park as part of their estate.

The first phase of our accommodation rationalisation project, resulted in a reduction of the space we occupied in TQH from 6,465 m<sup>2</sup> to 4,003 m<sup>2</sup> from 1 April 2016. Some 1,991 m<sup>2</sup> of that vacated space was re-let and savings were realised.

The second phase resulted in a further 638 m<sup>2</sup> being vacated by 31 March 2017. We currently occupy 25.57% of TQH plus the space we are utilising to support our Transformation Programme<sup>5</sup>, paying for 34.08%.

The third phase aims to further reduce the space we use, and it is focussing on longer-term requirements, aligning with the Government Estates Strategy and the needs of the organisation. We intend to reduce our occupancy of TQH to 21.58% by summer 2018. Plans are in place to create a regional Government hub based on our current building and the neighbouring Rivergate House. Reporting in future years is therefore likely to be based on the proportion of the hub that we occupy rather than the space in TQH.

As a tenant of TQH we contributed to the Government Greening Commitment (GGC) targets for sustainability, reporting figures along with all Government Departments and arm’s length bodies.

We monitored our use of paper, which was much the same as last year at around 1,100 boxes, substantially lower

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5. By providing working space for those involved in identifying potential for change, and for staff briefings.

than the 3,700 used in 2009/10 - the baseline year. We expect to be able to reduce our use of paper further in future as a consequence of enhanced online working. All paper we used was 100% recycled.

The figures in the following tables reflect the percentage of space in TQH that we paid for (unless otherwise stated). In 2015/16, this was 49%, decreasing to 34% from 2016/17. The travel-related emissions and costs are solely the Inspectorate's.

<b>Greenhouse Gas Emissions</b>		<b>2015/16 (49% occupancy)</b>	<b>2016/17 (34% occupancy)</b>	<b>2017/18 (34% occupancy)</b>
Non-Financial Indicators (tCO2e)	Gross emissions for Scopes 1 and 2	805	424.84	289.51
	Total net emissions for Scopes 1 and 2	0	0	0
	Gross emissions for Scope 3 Official business travel	506	503	467 (100%)
	Other Scope 3 emissions	0	0	0
Related Energy Consumption (KWh)	Electricity: Green tariff	1,155,463	712,507	623,087
	Gas	604,405	569,013	271,294
	LPG	0	0	0
	Other	0	0	0
Financial Indicators (£k)	Expenditure on Energy	162.4	103.6	82.55
	Carbon Reduction Commitment (CRC) Licence Expenditure	0	0	0
	CRC income from Recycling Payments	0	0	0
	Expenditure on official business travel	744.7	865.4	846.3 (100%)

**Table 6**

Waste		2015/16 (49% occupancy)	2016/17 (34% occupancy)	2017/18 <sup>6</sup> (34% occupancy)	
Non-Financial Indicators (t)	Total waste	69.05	15.55	29.76	
	Hazardous waste	0	0	0	
	Non-hazardous waste	Landfill	22.8	2.33	2.80
		Reused/Recycled	46.2	13.21	13.52
Incinerated/energy from waste		0	0	13.44	
Financial Indicators (£k) <sup>7</sup>	Total disposal cost	7.8	5.3	10.65	
	Hazardous waste disposal cost	0	0	0	
	Non-hazardous waste	Landfill	2.6	0.3	0.34
		Reused/Recycled	5.2	5.0	1.60
Incinerated/energy from waste		0	0	8.72 <sup>8</sup>	

**Table 7**

Finite Resource Consumption - Water			2015/16 (49% occupancy)	2016/17 (34% occupancy)	2017/18 (34% occupancy)
Non-Financial Indicators (m <sup>3</sup> )	Water Consumption	Supplied	3,318	2,281	1,992
		Abstracted	0	0	0
Financial Indicators (£k)	Water Supply Costs		10.7	7.0	6.63

**Table 8**

### Performance Commentary

Although the proportion of TQH that the Inspectorate paid for did not change, the number of occupants of the building did decrease. As a result, overall energy consumption and emissions, waste produced and water used all reduced, as did the Inspectorate's proportion of the total.

### Controllable Impacts Commentary

None. TQH managed centrally by DfE.

6. Waste figures for Q4 are not yet available, the figures given are a best estimate.

7. Not yet available, the figures given are a best estimate based on 2016/17 costs uprated by 5% for inflation.

8. Based on total calculated less landfill and reused/recycled.



## Overview of Influenced Impacts

None. TQH managed centrally by DfE.

Transparency Commitments  
as part of the GGC  
Reporting Requirements

### Climate change adaptation

Our office is located within easy reach of good bus and rail links that reduce the use of private transport. Our contingency plans address disruptions caused by adverse weather and transport problems.

### Biodiversity and the natural environment

Apart from our inspectors, who are home-based, our operation is office-based (Bristol and Cardiff). As a result, we do not impact any Sites of Special Scientific Interest that require a Biodiversity Action Plan.

### Procurement of food and catering services

In TQH, our Facilities Management contract includes an element for meeting our catering requirements.

### Sustainable construction

The Inspectorate does not commission new construction.

## 1.2g Community and environmental impact

Our outputs

The work of our inspectors impacts on both individuals and their communities. Those impacts are important factors when our inspectors consider cases allocated to them. They undertake examinations, inquiries and hearings in the area affected by proposals, and conduct site visits on the majority of appeals and applications to ensure they understand the environmental impact of proposals.

Our organisation

Our impact on the environment was affected by the way we organised our work.

Office space: Inspectors continued to be home-based, so we did not provide dedicated space for them. On occasions when they attended our office in Bristol or Cardiff, they were able to use desks in our flexible workspace. Our office-based teams were able to work flexibly both within our offices and at home using laptops. We will only realise the cost benefit of the reduction in the space we occupy once new occupiers are found for the vacated areas.

Travel: We minimised the distance inspectors needed to travel to conduct casework, subject to the need to ensure their impartiality. Home-working helped reduce the impact of travel on the environment. We encouraged the use of public transport; supported the cycle-to-work scheme and provided shower facilities for those using this mode of transport to commute to work. We encouraged the use of telephone conferencing to limit travel.

Recycling: We provided recycling facilities in our offices – for plastic, aluminium cans, glass, cardboard, paper and waste food.

Equipment disposal: Through a contract let by MHCLG, we safely disposed of unwanted IT equipment and electrical items. Disposal of data on computer disks was carried out in accordance with relevant regulations (Waste Electrical and Electronic Equipment, and Communications Electronic Security Group). All items were collected free of charge, and sorted for refurbishment and resale, or recycling. Items for resale were cleansed of all data in accordance with Government requirements and refurbished with fully licensed Microsoft operating systems for onward supply to schools and UK registered charities at subsidised cost. A proportion of the profit made was returned to us, which amounted to over £550 in 2017/18. Equipment that was beyond repair or not saleable was broken down into its component parts and recycled in accordance with Environment Agency licensing, achieving a recycling rate in excess of 95%.

## Our staff

We encourage our staff to volunteer in their local communities, particularly local charities. We supported staff engaged in magisterial duties, and local government work such as membership of a police authority.

As part of the Temple Quay Campus, we were involved in events to support both local and national charities. In 2017/18 the campus raised a total of £2,749.46 including through cake sales and raffles. After the success of the 2017 Velothon for Cancer Research Wales, a team from our office in Wales has again entered for 2018 with a £500 target – given that this was greatly exceeded last year, we expect to do so again in 2018. A member of the team in Wales took part in the Delton Challenge, walking part of Pembrokeshire Coast Path in July 2017, raising over £500 for the charity.

### 1.3 Accounting Officer Declaration: Performance Report

In my role as Accounting Officer, and on the basis of documentary evidence and assurances from the Inspectorate's Board and relevant reviews, I am satisfied that the Performance Report is a fair, balanced and understandable reflection of 2017/18.

A handwritten signature in black ink that reads "Sarah Richards". The signature is written in a cursive, flowing style.

Sarah Richards  
Chief Executive  
19 June 2018

# Accountability Report

## 2.1 Corporate Governance Report

### 2.1a The Directors' Report

Details of the non-executive membership of our Board are given in the Governance Statement at Section 2.1c.

Details of those who, at any time in the year, were Executive Directors or Acting Executive Directors of the organisation are given below, together with the relevant period.

Executive Director	From	To
Sarah Richards	(Existing)	(Ongoing)
Tim Guy	(Existing)	(Ongoing)
Phil Hammond	(Existing)	(Ongoing)
Steve Hudson	Jan 2018	(Ongoing)
Ben Linscott	(Existing)	(Ongoing)
Navees Rahman	(Existing)	(Ongoing)
Mark Southgate	(Existing)	(Ongoing)
Tony Thickett	(Existing)	(Ongoing)

Note: Specific dates are not given where the person was in post prior to the start of the year or whose employment was ongoing at year-end.  
Steve Hudson joined to cover paternity leave until the end of Dec 2018.

**Table 9**

### 2.1b Statement of The Accounting Officer's Responsibilities

The Departmental Accounting Officer at MHCLG appointed the Chief Executive as Accounting Officer of the Planning Inspectorate. The responsibilities of an Accounting Officer, including responsibility for the propriety and regularity of public finances, for which the Accounting Officer is answerable, for keeping proper records and for safeguarding the Inspectorate's assets, are set out in 'Managing Public Money'<sup>9</sup> published by HM Treasury.

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9. <https://www.gov.uk/government/publications/managing-public-money>

Under Section 7(2) of the Government Resources and Accounts Act 2000, HM Treasury has directed the Planning Inspectorate to prepare for each financial year a statement of accounts in the form and on the basis set out in the accounts direction. The accounts are prepared on an accruals basis and must give a true and fair view of the state of affairs of the Inspectorate and of its net resource outturn, application of resources, changes in taxpayers' equity and cash flows for the financial year.

In preparing the accounts, the Accounting Officer complied with the requirements of the Government Financial Reporting Manual, in particular:

- Observe the accounts direction issued by HM Treasury, including the relevant accounting and disclosure requirements, and apply suitable accounting policies on a consistent basis.
- Make judgements and estimates on a reasonable basis.
- State whether applicable accounting standards as set out in the Government Financial Reporting Manual have been followed, and disclose and explain any material departures in the financial statements.
- Prepare the financial statements on the going concern basis.
- Confirm that as far as they were aware, there is no relevant audit information of which the entity's auditors are unaware.
- Confirm that the Accounting Officer has taken all the steps they ought to have taken to make themselves aware of any relevant audit information and to establish that the entity's auditors are aware of that information.
- Confirm that the Annual Report and Accounts as a whole is fair, balanced and understandable.
- Confirm that they take personal responsibility for the Annual Report and Accounts and the judgements required for determining that it is fair, balanced and understandable.

## 2.1c The Governance Statement

### Introduction

This Governance Statement covers the period from 1 April 2017 to 31 March 2018. It includes a look forward at changes anticipated in the coming year, and any matters from after the year-end that are pertinent. MHCLG publishes a similar statement that covers both the central Department and its arm's length bodies, but it is at a higher level and does not duplicate information contained in this Statement.

### Scope of responsibility

I am the Inspectorate's Chief Executive and Accounting Officer. My responsibility is to ensure that the system of governance in the organisation supports the achievement of our policies, aims and objectives, whilst ensuring accountability, value for money, probity and regularity of finances, and safeguarding public funds and assets as set out in 'Managing Public Money'.

I was designated as Accounting Officer by the Permanent Secretary and Accounting Officer for MHCLG with effect from 14 March 2016. A detailed summary of responsibilities is contained in my letter of designation dated 10 March 2016. That letter sets out my responsibility to the Minister for the organisation's use of resources to carry out its functions, and my liability to be called to appear before the Public Accounts Committee to give evidence on the handling of my Accounting Officer responsibilities. I am personally responsible for the effective management of the organisation in accordance with the published Agency Framework Document<sup>10</sup> (which describes our relationship with MHCLG and the Welsh Government) and in accordance with the normal Civil Service rules on propriety and securing value for money. This responsibility takes account of the delegation to the Welsh Government of headcount and budget controls.

Under the terms of my accountability, should I ever be directed by a Minister to take responsibility for an aim, priority or action that I believe is contrary to the principles of Managing Public Money, I may seek a written direction to continue. No written directions were sought in the period covered by this Statement.

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10. <https://www.gov.uk/government/publications/the-planning-inspectorate-framework-document>

On the basis of discussions over the course of the last year, and information received from:

- the Non-Executive Chair of the Planning Inspectorate's Board (the Board);
- the Non-Executive Director Chairs of the Board's Committees, particularly the Audit and Risk Assurance Committee;
- internal and external audit; and
- the Executive Directors.

I am satisfied that I have the necessary level of assurance for the period of this Statement.

## Governance framework

Our Governance framework was made up of the structures, systems, processes, cultures and values that together are used to direct and control the organisation and its activities. The system of internal control was an ongoing and integral part of the framework, and regular management information was used to support decision-making. A formal risk management system and processes were in place to manage risk to a level considered acceptable. The Framework provided a means of capturing the uncertain matters and events that could have impacted on achievement of the organisation's aims, objectives and performance.

The Governance framework included:

- the Board and committees;
- the Executive Team, executive groups and senior leadership team;
- programme, workstream and project boards;
- business planning and performance reporting;
- legal controls including delegations from decision-making departments on National Infrastructure casework to ensure we operated within the scope provided by legislation; and
- financial regulation and administrative procedures including management supervision, formally recorded financial and contractual delegations and accountability, segregation of duties, procurement and spend controls, fixed asset controls, recruitment controls and controls relating to contracts for services.

## Governance structure

I was supported by an advisory Board appointed in accordance with our Agency Framework Document and the rules for Public Appointments.

The Board comprised:

- the Inspectorate's Non-Executive Chair, until September 2017;
- three Non-Executive Directors (NEDs), who also jointly covered the vacant position of Board Chair from October 2017 to the end of 2017/18;
- myself as Chief Executive, supported by Executive Directors; and
- a representative from MHCLG.

There was an open invitation to a representative of the Welsh Government to attend Board meetings.

The Inspectorate benefitted from the advice, insight and challenge of the Non-Executive Chair and Directors whose role was to use their knowledge and background in matters such as business planning, policy, strategy, performance, customer experience, resources, risk management and governance, and to contribute to collective Board scrutiny of the executive's plans and operations. Our non-executives furthered their understanding of the organisation through:

- meetings with individuals and teams;
- observing hearings and inquires; and
- attending stakeholder events and inspector training sessions.

The Board was supported by three Committees, each chaired by a NED. The Governance structure that operated in the period covered by this Statement is shown in Figure 3 and described in Table 10.



Planning Inspectorate  
Governance Structure  
2017/18



Figure 3

Forum (frequency)	Chair	Attended by	Role
Planning Inspectorate Board (bi-monthly)	Sara Weller (Non-Executive Chair) to Sept 2017	NEDs, MHCLG/ Welsh Government, Chief Executive, Executive Directors	Provided strategic oversight in accordance with the Agency Framework Document and Board Terms of Reference, including provision of insight, advice and challenge to the executive.
Audit and Risk Assurance Committee (min quarterly)	David Holt (NED)	NEDs, including Chair, National Audit Office, Government Internal Audit Agency (GIAA), MHCLG. Also attended by: Chief Executive, Executive Directors, relevant Heads of Service (HoS)	Provided oversight and advice on the Board's responsibilities for risk management, compliance and corporate governance. Both internal and external audit representatives attended the meetings to support the Committee.

<b>Forum (frequency)</b>	<b>Chair</b>	<b>Attended by</b>	<b>Role</b>
People Committee (min quarterly)	Jayne Erskine (NED)	NEDs, including Chair. Also attended by: Chief Executive, Executive Directors, HoS	Provided oversight and advice on all aspects of the people function including pay and reward strategy.
Customer, Quality and Professional Standards Committee (min quarterly)	Susan Johnson (NED)	NEDs, including Chair. Also attended by: Chief Executive, Executive Directors, HoS/Group Manager (GM)	Provided oversight and advice on all matters relating to customer service, quality and maintaining professional standards.
Executive Team (weekly)	Executive Directors (on rotation)	Chief Executive, all Executive Directors, HoS/GM according to theme and need	Set the strategic direction for the operations of the Inspectorate within the context set by MHCLG and Welsh Government as joint sponsors. Oversaw the day-to-day operational management of the organisation and made associated decisions.
Transformation Programme Board (monthly)	Tim Guy (Director of Transformation)	Chief Executive, Executive Directors, MHCLG, HoS/GM, and Transformation Team	Oversaw the programme of change, including the workstreams and projects that comprised the programme.
Operations Group (bi-monthly)	Sean Canavan (HoS)	Directors, HoS /GM, and subject matter experts according to need	Reviewed and steered matters within their remit, and escalated issues and conflicts to the Executive Team. <ul style="list-style-type: none"> <li>• Operations Group: covered casework and workforce demand, performance and processes.</li> <li>• Professional Steering Group: focused on matters relating to maintaining professional standards.</li> </ul>
Professional Steering Group (quarterly)	Pauleen Lane (GM)		

**Table 10**

The Planning Inspectorate Board

The Board met on a bi-monthly basis. This provided the capacity in the intervening months for our NEDs to engage across a wider range of business activities including our Transformation Programme, and gain broader exposure to the business.

Table 11 below shows the attendance of NEDs and representatives of the Inspectorate’s dual sponsors and the attendance (including as presenters) of the Executive Directors at Board and Committee meetings.

Board and Committee Attendance	The Board	People Committee	Audit and Risk Assurance Committee (ARAC)	Customer, Quality and Professional Standards Committee
<b>Non-Executive Board Chair</b>				
Sara Weller	4 of 4	3 of 3	1 of 1	2 of 2
<b>Non-Executive Directors</b>				
Jayne Erskine	7 of 7	5 of 5	4 of 4	4 of 4
David Holt	7 of 7	5 of 5	4 of 4	4 of 4
Susan Johnson	7 of 7	5 of 5	4 of 4	4 of 4
<b>Chief Executive</b>				
Sarah Richards	7 of 7	4 of 5	4 of 4	4 of 4
<b>Executive Directors</b>				
Tim Guy	5 of 5	1 of 1	2 of 2	1 of 1
Phil Hammond	1 of 1	4 of 4	-	-
Steve Hudson	2 of 2	1 of 1	1 of 1	-
Ben Linscott	2 of 7	-	-	2 of 4
Navees Rahman	6 of 6	4 of 4	3 of 3	2 of 2
Mark Southgate	4 of 4	-	-	3 of 3
Tony Thickett	6 of 7	2 of 2	1 of 2	1 of 1
<b>Sponsor Representatives</b>				
Simon Gallagher (MHCLG)	6 of 7	MHCLG representatives attended ARAC, with plans in place to attend the other Committees from 2018/19.		
Neil Hemington (WG)*	1 of 1	One Board meeting each year is held in Cardiff.		
* Open invitation to attend Board meetings				
Sara Weller’s contract was extended from June to September 2017. Following her departure, the remaining NEDs acted as Board Chair in rotation until the end of 2017/18.				
Each Committee was chaired by a NED: Jayne Erskine - People, David Holt - Audit and Risk Assurance and Susan Johnson - Customer, Quality and Professional Standards.				
Contracts for two of the three NEDs expire at the end of December 2018.				

Table 11

During the period, the Board:

- Reviewed regular dashboards of management information to identify issues and risks, and ensure they were appropriately managed.
- Reviewed progress against the 2017/18 Business Plan.
- Considered how an increased focus on what matters to customers could be better reflected in organisational performance measures.
- Reviewed changes to the Inspectorate's stakeholder management approach.
- Reviewed the impact of legislative and planning policy change on demand and workforce requirements.
- Considered the Inspectorate's transformation plans, including advice and challenge in relation to the outline and detailed business cases.
- Considered organisational risk appetite, and reviewed risks through 'deep dive' presentations from the executive.
- Considered feedback from the Committees, for example from ARAC on readiness for the implementation of the General Data Protection Regulation (GDPR).
- Agreed updates to the Board and Committee Terms of Reference, and to the Inspectorate's Code of Conduct<sup>11</sup>.

The dashboard data reviewed by the Board reflected the data used by the Executive Team to manage the business. Where the Board felt that it did not have the appropriate level of information, additional data was supplied or explanations were provided. In the coming year, the Transformation Programme will give the Executive Team an opportunity to review and refine the information they use, and any changes will be reflected in the data supplied to the Board.

#### Audit and Risk Assurance Committee

During the period, the Committee:

- Reviewed the final Annual Report and Accounts for 2016/17, prior to recommending sign-off by the Board.
- Provided assurance to the Accounting Officer on propriety issues.
- Provided oversight and advice on the Board's responsibilities for risk management, specifically risk appetite and treatment, including through 'deep dives' into individual risks for example preparedness for the introduction of the GDPR.
- Suggested changes to our system for managing risk, including adopting a new 'lines of defence' Assurance

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11. <https://www.gov.uk/government/publications/code-of-conduct>

Framework, and a review of it once populated by the Executive Team.

- Provided insight to help shape the introduction of stewardship reports.
- Scrutinised budget reports from the executive.
- Reviewed the internal control mechanisms and processes, including review of relevant management information.
- Monitored progress against the agreed internal audit plan for 2017/18 and approved the draft programme for 2018/19.
- Agreed revised Committee Terms of Reference.

#### Customer, Quality and Professional Standards Committee

During the period, the Committee:

- Analysed overall operational performance, focusing on those elements which matter most to customers (including timeliness and consistency), and provided insight and challenge.
- Reviewed compliance with procedures for establishing and maintaining professional standards.
- Reviewed and endorsed the approach to quality management assurance.
- Undertook an annual review of complaints including ex gratia claims, and reviewed executive assessments of the root causes of complaints and litigation to ensure appropriate lessons were learnt.
- Provided advice and challenge on the customer and digital strategies, and considered compliance with Welsh language standards.
- Reviewed strategic risks allocated to the committee for oversight, including through the use of 'deep dives'.
- Agreed revised Committee Terms of Reference.

#### People Committee

During the period, the Committee:

- Reviewed and agreed the people strategy.
- Provided expertise and challenge to progress the Inspectorate's diversity and inclusion aims.
- Reviewed and agreed plans for the people aspects of the transformation programme.
- Monitored progress and dependencies between related aspects of the transformation programme.
- Reviewed the results of the Inspectorate's people survey, considered the implications for staff engagement and next steps.
- Advised and supported on the introduction of new performance management systems.
- Reviewed strategic risks allocated to the committee for oversight, including through the use of 'deep dives'.
- Agreed revised Committee Terms of Reference.

Review of Board and Committee Effectiveness	The 2017/18 review of effectiveness was put on hold pending the appointment of a new Chair of the Board. Timing of the next review will be agreed once the new appointee is satisfied that they have sufficient experience of the Board and arrangements in the Inspectorate.
Executive Team	<p>The role of the Executive Team was to provide collective strategic leadership and direction for the organisation in accordance with the Agency’s Framework Document. In addition, the team supported the Chief Executive’s role as Accounting Officer, upholding the Principles of Public Life set out in the Civil Service Code and role modelling the Civil Service Leadership Statement.</p> <p>The team regularly reviewed management information to help focus attention where it was needed, including organisational performance and risk.</p>
Transformation Programme Board	The role of the Board was to lead and coordinate delivery of change, ensuring that change was considered by a single body; enabling review of priorities, risks and communications across all change, and to ensure delivery of transformational change in line with the Inspectorate’s vision.
Executive Governance Groups	In addition to monthly meetings of the whole senior leadership team, the Operations Group and the Professional Steering Group provided support for the Executive Team in relation to matters delegated to them.
Sponsorship arrangements: England	The MHCLG Senior Sponsor, the Director of Planning, was the lead senior contact within the Department, leading engagement with the Inspectorate on policy, strategy and performance matters. The ALB <sup>12</sup> Partnership team led on oversight of corporate governance, financial management and assurance activities. The team managed the process for Accounting Officer meetings between the Inspectorate’s Chief Executive and the Permanent Secretary of MHCLG. These meetings were held to review and challenge the Inspectorate’s performance and compliance with the Agency Framework Document, and to provide an opportunity to raise risks and issues with MHCLG. Given the Government’s focus on planning, particularly housing, two-way dialogue between MHCLG policy officials and the Inspectorate’s team remained key.

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12. Arms’ Length Body

Sponsorship arrangements: Separate arrangements apply in Wales, where the sponsorship team was kept informed through both quarterly formal meetings with our Director for Wales, and more frequent, less formal, contact where required.  
Wales

Internal Audit Programme The GIAA carried out audits of specific aspects of controls and processes across our business. Details are given in Table 12.

GIAA Audit Title	Report Date	Assurance Level
Governance Statement & Risk Management Framework	May 2017	Moderate
HR key controls	Oct 2017	Moderate
Physical security	Oct 2017	Moderate
Operational readiness for policy changes	Nov 2017	Substantial
Cyber security	Nov 2017	Moderate
Transformation programme	Nov 2017	Moderate
Operational performance management	Jan 2018	Moderate
Finance key controls	Apr 2018	Substantial

**Table 12**

Each audit with identified actions resulted in an agreed Action Plan designed to address weaknesses and increase the level of assurance. Each audit was allocated a sponsor Director and Head of Service, who co-ordinated activity with the Auditor, and managed the agreed Action Plan. There were no high priority actions identified in 2017/18. Progress with Action Plans was collated by GIAA and regularly reviewed by the Audit and Risk Assurance Committee.

The outcomes of the individual audits, and the work undertaken on the associated Action Plans, contributed to GIAA’s consideration of the overall adequacy and effectiveness of the arrangements for risk management, control and governance, enabling it to provide an independent opinion at year-end. This was provided to the Audit and Risk Assurance Committee in June 2018, and gave an overall opinion of ‘Moderate’. Whilst this is a lower level of assurance than that for 2016/17, it reflects the nature of the reviews undertaken in 2017/18 which were more dynamic and with a higher risk profile.



## Risk Management

Our Risk Management Framework, the Strategic Risk Register and Registers for the Executive Groups were published on our intranet. An owner was identified for each risk on these Registers, and on the Registers for the Transformation Programme and associated projects. The Registers were updated regularly. Details of major risks as at the end of March 2018 are shown in Table 1 together with the main mitigations designed to treat them to a level considered acceptable.

Oversight of each strategic risk was assigned to either the Board or one of the sub-committees, and deep dives took place regularly to allow the NEDs to understand and constructively challenge the mitigations being pursued, and to share their insight and advice on best practice.

We reviewed the guidance accessed from the Chartered Institute of Public Finance and Accountancy’s Fraud Risk Wheel to help us manage risks associated with expenses; procurement; gifts and hospitality; and pensions. A number of improvements were identified to be taken forward in 2018/19.

We clarified the relationship between risk appetite and the traffic light status assigned to each risk. We developed a ‘3 lines of defence’ Assurance Framework showing sources of assurance in relation to specific subjects. The Assurance Framework was populated during the year and the Executive Team identified priority improvement areas. This matrix helped the NEDs to carry out their assurance role.

Actions taken during the year have mitigated a number of risks to the desired/target level. The key risks from Table 1 are shown in Figure 4 below.

Strategic Risk: Risk level target report as at end March 2018

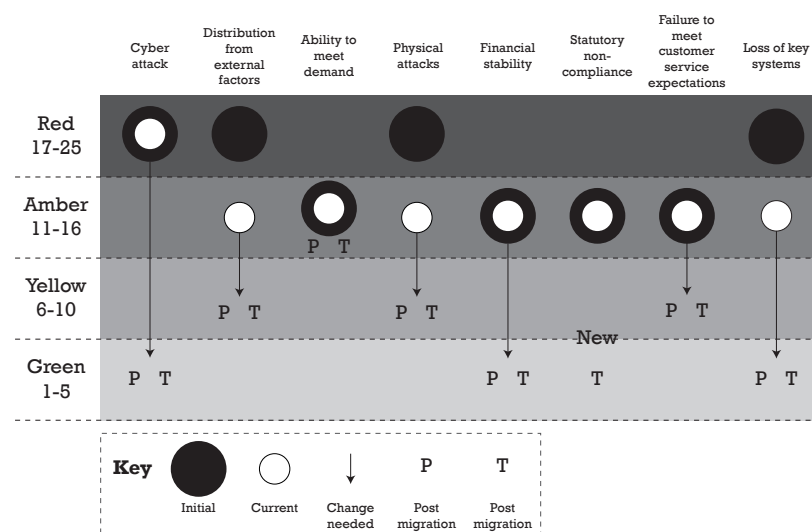


Figure 4



Only one risk scored red at year-end, the risk of cyber-attacks. Following a re-assessment, the target and post-mitigation bandings for this risk were changed from green to amber, to reflect more accurately where we believe planned mitigations will take us given the pace of technological change.

## Fraud, Bribery and Whistleblowing

Our policies relating to fraud, bribery and whistleblowing are available to all staff through our intranet. We continued to use the independent 'See, Hear, Speak up' service to support our whistleblowing process – we have our own procedure, aligned to the Civil Service-wide Policy. Our Nominated Officer has had formal training and can call on a network of other Nominated Officers should the need arise.

We received reports from the 'See, Hear, Speak up' service on a monthly basis and our data was included in MHCLG's six-monthly return to the Cabinet Office. Although the service was used on a number of occasions this year, all matters raised were handled as grievances, and there were no instances of whistleblowing.

## Health and Safety

A Health and Safety Committee exists to support the Executive Team. They met three times in 2017/18. Their responsibilities include:

- supporting the statutory responsibilities of the Inspectorate's Health and Safety representatives;
- ensuring a positive and proactive safety culture where workplace risks are identified and reduced; and
- encouraging a consistent approach to improving the health, safety and welfare of staff.

During the year, a total of 15 accidents were recorded, which is in line with previous years. Accidents and near-misses were reported to the local Health and Safety Committee. All accidents were fully investigated, though none were reported formally to the Health and Safety Executive. Provision for workstation assessments was made through an online self-assessment tool. Health and Safety training was provided to all new staff. We implemented a new app-based lone worker system, which has provided greater functionality such as timed alerts and in-house administration. Our Health, Wellbeing and Inclusion Champions Network have been providing us with feedback on wellbeing matters. We have run a number of sessions during the year on mental health and diversity issues.

Information and IT Security Our Information Services team followed the principles of ISO27001, the international standards for information security management. The Information Security Management Forum met six times to monitor, develop and improve the Information Security Management System. Serious incidents (such as the loss of large amounts of data or personal information, or a serious infection of malware) would have been reported to the Board, though there were no such breaches in the period.

Correct handling of data, whether personal data or otherwise, is essential for maintaining public trust and ensuring our statutory obligations are met. In preparation for related mandatory training, we continued to update records on Civil Service Learning relating to our people. This will enable us to effectively monitor completion of the required learning.

Information Commissioner The Information Commissioner's Office is the independent body set up to uphold information rights, including investigating complaints against an organisation's compliance with the Freedom of Information Act, Environmental Information Regulations and the Data Protection Act.

During the period of this statement we were made aware of two complaints to the Commissioner. Both of these complaints were in respect of our responses to information requests made under the Freedom of Information Act/ Environmental Information Regulations. The Commissioner upheld our decision in respect of these requests in both instances.

In preparation for the implementation of GDPR, and the changes in data protection legislation that applied from 25 May 2018, the Inspectorate established a compliance project. This was structured around the Commissioner's 'Guide to the General Data Protection Regulation' and tools that were provided on the Commissioner's website, ensuring that key requirements were met.

Analytical modelling Our use of analytical models was limited to those that helped us to forecast demand for our services, associated resourcing needs and related impact on performance. They were regularly reviewed, refined and updated. The Director of Corporate Services is currently the Senior Responsible Owner for our models.

If we develop models that have the potential or possibility to directly inform government policy, we will ensure that

they are subject to robust internal and external quality assurance.

Recruitment controls

In April 2017, we were advised that formal headcount limits had been removed, and we would be expected to manage within our delegated pay budget.

Our 2017/18 Public Sector Apprenticeship Target for new apprenticeships was 15 (2.3%). Over the year we supported 14 Business Administration Level 2 Apprenticeships, one Customer Service Level 2 Apprenticeship, and one Accounting Level 3 Apprenticeship; a total of 16 new apprenticeships for the year. In addition, nine apprentices successfully completed their apprenticeships in 2017/18 and we provided ongoing employment to seven of them.

Commercial Activity and Supplier Management

Figure 5 below summarises our commercial activity in 2017/18.

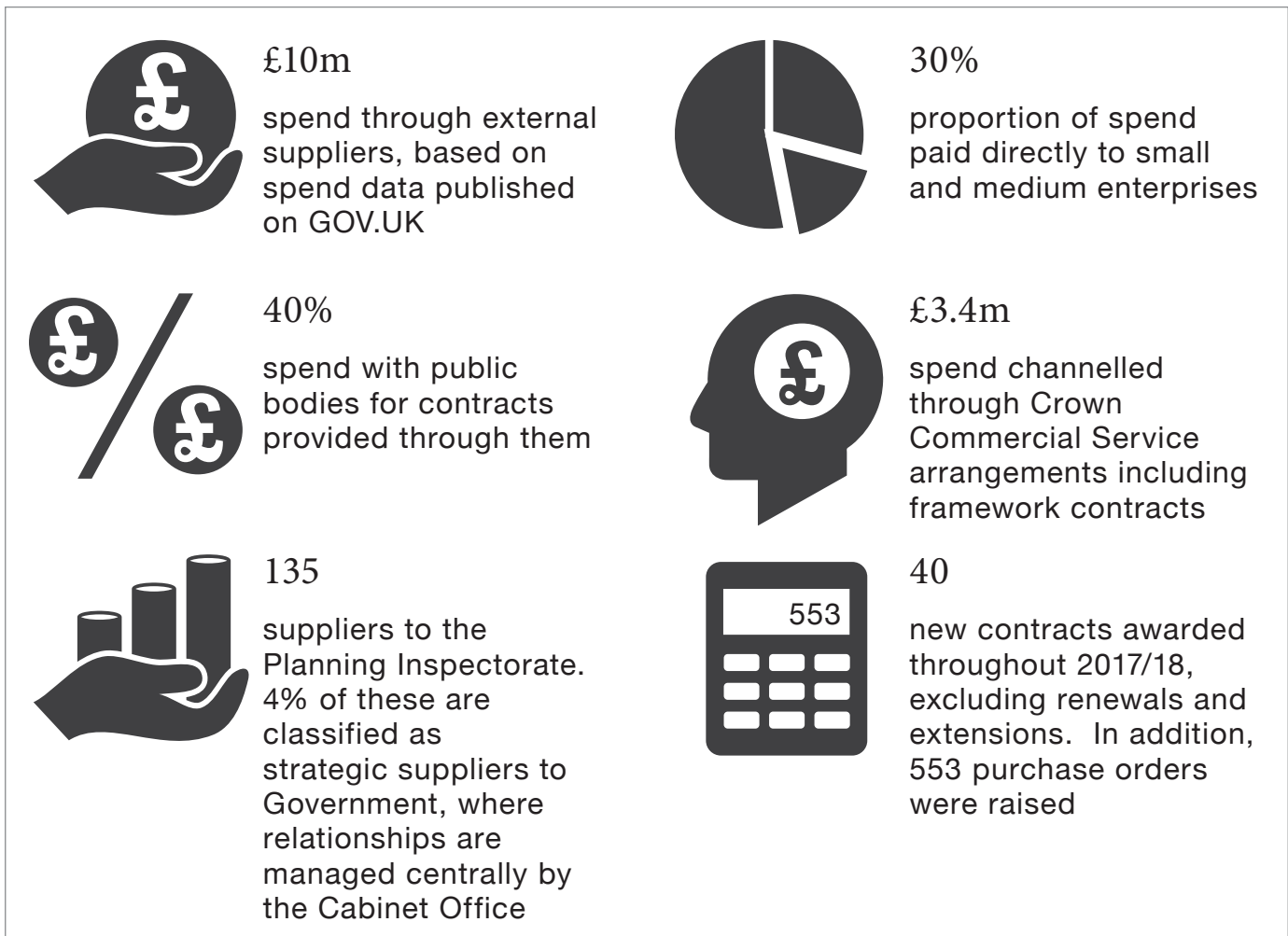


Figure 5

The Inspectorate managed its suppliers through a range of techniques dependent on value, criticality and contract type. Wherever possible and as appropriate, we took a collaborative approach to deliver best value for money, increase innovation and transfer of skills to staff within the organisation. Early supplier engagement in a controlled manner was encouraged and the procurement strategy encompassed the entire life of the contract through to vendor rating.

Many of the Inspectorate's services were supplied through other Government Departments including, but not limited to:

- MHCLG for the supply of ICT and telephony services;
- Government Legal Department for the supply of legal services; and
- DfE for the supply of Estates services until the end of March 2018 when responsibility transferred to the Ministry of Justice Estates Directorate.

Agreements remain in place in the form of Service Level Agreements, Memoranda of Understandings and Memorandum of Terms of Occupation to ensure these provisions were proactively managed.

To comply with new data protection legislation, the Inspectorate engaged with suppliers to ensure they can implement the appropriate technical/organisational measures (ie provide guarantees of their ability to comply with the regulations), and update terms and conditions.

## Conflict of Interests

Our long-standing Conflict of Interest policy requires all staff and our NEDs to declare any potential conflicts as they arise. In addition, inspectors are precluded from taking casework in LPA areas where they have recent or ongoing connections. Interests are declared on appointment and updated as necessary. Organisations such as the Royal Town Planning Institute, Royal Institution of Chartered Surveyors and Royal Institute of British Architects have their own codes of ethics and professional standards, and any inspectors belonging to those organisations will be expected to adhere to them as well.

Everyone is expected to proactively report any potential conflict, and our inspectors will excuse themselves from cases on this basis. Our Conflict of Interest policy is deemed proportionate to the perceived risk to our impartiality.

All Directors, and NEDs, were required to complete a declaration of any related party transactions as part of the Annual Accounts process.

A standing agenda item for Boards, Committees, Executive Groups and Planning Inspectors' meetings makes provision for attendees to declare any such interests. Declarations were made at one Board meeting (March 2018) in relation to items on that Agenda. Our published Register (see link below) has been updated to cover declarations at both Board and Committee level.

Where an interest was declared, the member was responsible for withdrawing from any discussion where such a conflict could have been perceived to have influenced their judgement.

Our Register of Board Member Interests was published on the GOV.UK website and has been updated since to reflect changes to the membership of the Board, and at Executive Director level. The Register can be found at: [www.gov.uk/government/publications/register-of-planning-inspectorate-board-member-interests-april-2014](http://www.gov.uk/government/publications/register-of-planning-inspectorate-board-member-interests-april-2014).

Value for money

As Accounting Officer, I was responsible for ensuring that our activities were regularly assessed to provide confidence about their suitability, effectiveness, prudence, quality, good value and avoidance of error and other waste. Regular reports were provided to the Audit and Risk Assurance Committee on aspects of our system of internal control.

I was supported by Directors who provided me with assurances that their business areas achieved the optimum mix of quality and effectiveness for the least outlay, including through the use of shared service contracts covering off-site file storage, hotel bookings and travel.

This year we provided up to 40 MHCLG colleagues with access to our casework management system, as a shared service covered by a Memorandum of Understanding, and provided colleagues in GIAA with access to our intranet so they could obtain information from that source in preparation for internal audits, rather than requesting copies.

Compliance with HM Treasury's Governance Code (the Code)

We complied with the principles of good corporate governance set out in the Code<sup>13</sup> in all material aspects, proportionate to the size and complexity of the organisation. In the interests of transparency, and in order to protect our reputation for impartiality, Directors and NEDs were obliged to declare any business or other interests or any personal connections which could have been misconstrued or caused embarrassment to the Inspectorate, MHCLG or the Welsh Government (see Conflict of Interests above).

Acting on governance issues

There were no major governance issues identified during the period.

Conclusion

On the basis of my observations, the information recorded in this Statement and the assurances I have been given, I am satisfied that appropriate and proportionate governance, risk management and internal control arrangements were in place during the period covered by this report.



Sarah Richards  
Chief Executive  
19 June 2018

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13. Published by HM Treasury and the Cabinet Office

## 2.2 Remuneration and staff report

### 2.2a Remuneration Report

#### Remuneration policy

The remuneration report summarises our remuneration policy and disclosures on Directors' remuneration as required by Section 421 of the Companies Act 2006 adapted for the public sector context.

#### Role of the People Committee

The People Committee, which deals with pay and reward matters, operates as a Sub-Committee of the Board, is chaired by a Non-Executive Director and has terms of reference that encompass all aspects of the people function including pay and reward.

#### Directors' remuneration policy

The remuneration arrangements and performance appraisal that apply at Director level and above are those which apply to the Senior Civil Service (SCS) generally. The main features of these arrangements are specified centrally by the Cabinet Office.

#### Remuneration and pension entitlements (including Cash Equivalent Transfer Values (CETV) disclosures) for Directors and Board Members

This section of this document has been subject to formal audit.

The single total figures of remuneration for Directors' for the year ended 31 March 2018 were as follows (comparative figures for 2016/17 are shown in brackets):

	<b>Salary and fees paid (£k in bands of £5k)</b>	<b>Bonus (£k in bands of £5k)</b>	<b>Taxable benefits<sup>2</sup> (to the nearest £100)</b>	<b>Pension related benefits (£k in bands of £5k)</b>	<b>Total for 2017/18 (2016/17) (£k in bands of £5k)</b>
<b>Accounting Officer</b>					
Sarah Richards Chief Executive	140-145 (140-145)	- (-)	- (-)	55-60 (55-60)	195-200 (195-200)
<b>Executive Directors</b>					
Jon Banks <sup>1</sup> Director of Finance (to January 2017)	- (95-100 ) (95-100 full-time equivalent)	- (0-5)	- (-)	- (20-25)	- (120-125)
Jayne Beeslee Director of People and Change (April to September 2016)	- (35-40) (80-85 full-time equivalent)	- (-)	- (100)	- (10-15)	- (50-55)
Tim Guy Director of Transformation (from November 2016)	105-110 (40-45) (105-110 full-time equivalent)	- (-)	- (-)	40-45 (15-20)	145-150 (60-65)
Phil Hammond Director of Volume Casework	70-75 (70-75)	- (-)	- (-)	15-20 (20-25)	90-95 (90-95)
Steve Hudson Director of Corporate Services (From January 2018)	10-15 65-70 full-time equivalent (-)	- (-)	- (-)	0-5 (-)	15-20 (-)
Ben Linscott Director of Inspectors	85-90 (85-90)	- (0-5)	19,700 (30,000)	0-5 (20-25)	110-115 (135-140)
Navees Rahman Director of Corporate Services / Special Projects	75-80 (20-25) (75-80 full-time equivalent)	- (-)	- (-)	40-45 (15-20)	115-120 (40-45)
Mark Southgate Director of Major Casework	85-90 (85-90)	- (-)	- (-)	30-35 (30-35)	120-125 (120-125)
Tony Thickett Director for Wales	75-80 (75-80)	- (-)	21,500 (17,600)	0-5 (20-25)	100-105 (110-115)



	<b>Salary and fees paid (£k in bands of £5k)</b>	<b>Bonus (£k in bands of £5k)</b>	<b>Taxable benefits<sup>2</sup> (to the nearest £100)</b>	<b>Pension related benefits (£k in bands of £5k)</b>	<b>Total for 2017/18 (2016/17) (£k in bands of £5k)</b>
<b>Non-Executive Directors</b>					
Sara Weller Director, Non-Executive (to September 2017)	10-15 15-20 full-time equivalent (15-20)	-  (-)	2,500  (2,000)	-  (-)	10-15  (20-25)
Jayne Erskine Director, Non-Executive	10-15 (10-15)	- (-)	500 (300)	- (-)	10-15 (10-15)
Janet Goodland Director, Non-Executive (to June 2016)	- (0-5) (10-15 full-time equivalent)	- (-)	- (1,300)	- (-)	- (0-5)
David Holt Director, Non-Executive	10-15 (10-15)	- (-)	2,900 (4,000)	- (-)	10-15 (10-15)
Susan Johnson Director, Non-Executive	10-15 (10-15)	- (-)	4,200 (3,500)	- (-)	10-15 (10-15)

**Table 13**

1. Salary includes payment in lieu of notice. The 2016/17 figure has been restated in this table to reflect an additional payment, resulting from the change in legal terms of the exit package. In the Financial Statements, the additional payment is reflected in the 2017/18 figures, at the point when the legal decision and additional payments were recognised.
2. Due to their dual office status, Ben Linscott and Tony Thickett are entitled to be paid for travel/accommodation expenses, which are classed as taxable benefits. Similarly, all travel/accommodation expenses incurred in the normal course of business for Non-Executive Directors, are classed as taxable benefits.

Directors' pension disclosure This section of this document has been subject to formal audit.

	<b>Real increase in pension and related lump sum at pension age</b> <b>(£k in bands of 2.5k)</b>	<b>Total accrued pension at pension age at 31/3/18 and related lump sum</b> <b>(£k in bands of 5k)</b>	<b>CETV at 1/4/17</b> <b>(£k to the nearest £1,000)</b>	<b>CETV at 31/3/18</b> <b>(£k to the nearest £1,000)</b>	<b>Real increase in CETV</b> <b>(£k to the nearest £1,000)</b>
Sarah Richards Chief Executive	2.5-5	5-10	53	106	41
Tim Guy Director of Transformation	0-2.5	20-25	230	267	21
Phil Hammond Director of Volume Casework	0-2.5 plus lump sum of 0	30-35 plus lump sum of 85-90	550	590	4
Steve Hudson Director of Corporate Services	0-2.5	15-20	208	210	1
Ben Linscott Director of Inspectors	0-2.5 plus lump sum of 0-2.5	35-40 plus lump sum of 110-115	828	848	5
Navees Rahman Director of Corporate Services / Special Projects	0-2.5	15-20	149	178	15
Mark Southgate Director of Major Casework	0-2.5	15-20	226	258	18
Tony Thickett Director for Wales	0-2.5	40-45	693	743	4

**Table 14**

Cash Equivalent Transfer Values (CETV)

A CETV is the actuarially assessed capitalised value of the pension scheme benefits accrued by a member at a particular point in time. The benefits valued are the member's accrued benefits and any contingent spouse's pension payable from the scheme. A CETV is a payment made by a pension scheme or arrangement to secure pension benefits in another pension scheme or arrangement when the member leaves a scheme and chooses to transfer the benefits accrued in their former scheme. The pension figures shown relate to the benefits that the individual has accrued as a consequence of their total membership of the pension scheme, not just their service in a senior capacity to which disclosure applies. The figures include the value of any pension benefit in another scheme or arrangement, which the member has transferred to the Civil Service pension arrangements. They also include any additional pension benefit accrued to the member as a result of their buying additional pension benefits at their own cost. CETVs are worked out in accordance with The Occupational Pension Schemes (Transfer Values) (Amendment) Regulations 2008 and do not take account of any actual or potential reduction to benefits resulting from Lifetime Allowance Tax which may be due when pension benefits are taken.

Real increase in CETV

This reflects the increase in CETV that is funded by the Exchequer. It does not include the increase in accrued pension due to inflation, contributions paid by the employee (including the value of any benefits transferred from another pension scheme or arrangement) and uses common market valuation factors for the start and end of the period.

Compensation on early retirement or loss of office

We have not made any compensation payments to Directors on early retirement or loss of office.

Payments to past Directors

Directors do not have any entitlements to pay after their departure date. However, an additional payment was necessary as defined in the Exit Packages section.

Fair pay disclosure

This section of this document has been subject to formal audit.

Reporting bodies are required to disclose the relationship between the remuneration of the highest paid Director in their organisation and the median remuneration of the organisation's workforce. The calculation is based on the full-time equivalent staff at the reporting period-end date on an annualised basis.

	<b>2017/18</b>	<b>2016/17</b>
Band of Highest Paid Director's Total Remuneration (£'000)	<b>140-145</b>	140-145
Median Total - Inspector	<b>51,828</b>	53,640
Remuneration Ratio - Inspector	<b>2.7</b>	2.6
Median Total - Support	<b>26,229</b>	26,364
Remuneration Ratio - Support	<b>5.4</b>	5.4

**Table 15**

The banded remuneration of the highest paid director in the financial year 2017/18 was £140k - £145k (2016/17: £140k - £145k). This was 5.4 times (support); 2.7 times (inspectors) (2016/17: 5.4 (support); 2.6 (inspectors)) the median remuneration of the workforce, which was £26,229 (support); £51,828 (inspector) (2016/17: £26,364 (support); £53,640 (inspector)).

We have conducted an equal pay review to establish whether the salaries paid are appropriate for the work done, and do not pose any equal pay challenges. This work will inform our ongoing pay strategy.

Information on the gender pay gap for the Planning Inspectorate was published on GOV.UK at <https://www.gov.uk/government/publications/dclg-gender-pay-gap-report-and-data-2017/dclgs-gender-pay-gap-report-2017>.

In 2017/18, nil employees received remuneration in excess of the highest paid director (2016/17: nil). Remuneration ranged from £107,130 to £10,970 (2016/17 £115,357 to £10,840) excluding the highest paid director. Total remuneration includes salary, non-consolidated performance-related pay and benefits-in kind. It does not include severance payments, employer pension contributions and the cash equivalent transfer value of pensions.

## 2.2b Staff report

This section of this document has been subject to formal audit.

### Staff numbers

For the financial year 2017/18, we employed (average, whole-time equivalent) 597 staff (see Table 16). This total was made up of 254 women and 341 men (1 woman, 6 men at Senior Civil Servants level), and a mixture of full and part-time employees, home-based salaried inspectors and office-based staff in the Cardiff and Bristol offices. We also used the services of 53 non-salaried inspectors (2016/17: 63) on a fee-paid contractual basis to allow flexible resourcing and value for money.

The average number of whole-time equivalent persons permanently employed by us (including senior management) during the year was as follows:

	2017/18	2016/17
Senior Civil Service Pay Band 2	1	1
Senior Civil Service Pay Band 1	6	5
Grade 6-7 (Senior staff)	19	21
Salaried Inspector	255	261
Support	88	85
Caseworkers	228	249
<b>Total</b>	<b>597</b>	622
Less Secondments	(2)	-
Add Agency	11	14
<b>Total Employed</b>	<b>606</b>	636

**Table 16**

### Staff policies

#### Recruitment

All recruitment is carried out on the basis of fair and open competition, and selection is made on merit. Recruitment processes are fair and are regularly reviewed to take account of any changes to employment legislation.

#### Equality

As part of our commitment to fairness and promoting equality, we work closely with colleagues in MHCLG to embed diversity into our business functions and service delivery and to ensure compliance with equality legislation, promoting best practice in an environment of openness, fairness, and equality of opportunity. The Inspectorate's

2017 People Survey results on the inclusion and fair treatment theme were strong, with more than 80% of respondents believing that they are treated fairly, almost 90% that they are treated with respect at work, with 75% believing that individual differences were also respected.

The proportion of staff that consider themselves to have a disability remains small at 9.7%, though this figure is a slight increase on 2016/17. When recruiting staff, we continue to guarantee an interview to disabled candidates who meet the core requirements of the job description and person specification.

### Trade unions

The organisation formally recognises two unions: Public and Commercial Services (PCS), representing office-based staff, and Prospect, representing inspectors. Formal consultation with the unions takes place largely through quarterly meetings. We work with the unions and employees, both formally and informally, on management proposals that have a direct bearing on how staff work, ensuring that there is a common understanding of the impact on individuals. Information on relevant employment policies and changes is available to all staff through the intranet.

The data in tables 17-20 below is included in this document in accordance with the Trade Union (Facility Time Publication Requirements) Regulations 2017.

<b>Trade Union representation</b>	
<b>Employees who were relevant union officials during the period</b>	<b>Full time equivalent</b>
19	18.02

**Table 17**

% of time spent on facility time	
Percentage of time	Number of employees
0%	7
1-50%	12
51-99%	0
100%	0

**Table 18**

% of pay bill spent on facility time	
Total cost of facility time	£22,314
Total pay bill <sup>14</sup>	£31,932,394
Facility time cost as percentage of pay bill	0.07%

**Table 19**

Time spent on paid TU activities as a percentage of total paid facility time hours	100%
--	------

**Table 20**

#### Attendance management

The average working days lost through sickness absence in 2017/18 was 7.5 days, which is a slight decrease from 2016/17. This is still above the Civil Service Average which for the year ending March 2018 stood at 7 days, and further improvement is anticipated. We have worked closely with managers across the organisation to ensure procedures were being adhered to, including the use of return to work interviews and case reviews. Appropriate workplace adjustments were made to support staff to return to work as quickly as possible.

#### Staff costs

Total staff costs for the 2017/18 financial year are included in Table 21.

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14. The Total pay bill figure is representative of salary payments, whereas the Staff costs include accounting adjustments necessary for the financial statements.

	<b>2017/18</b>	<b>2016/17</b>
	<b>£'000</b>	<b>£'000</b>
Wages and salaries	<b>23,758</b>	25,019
Social security costs	<b>2,637</b>	2,702
Other pension costs	<b>5,035</b>	5,239
<b>Sub Total<sup>15</sup></b>	<b>31,430</b>	32,960
Agency staff	<b>341</b>	535
<b>Total net staff costs</b>	<b>31,771</b>	33,495

**Table 21**

## Pension benefits

Pension benefits are provided through the Civil Service pension arrangements. Principal Civil Service Pension Scheme (PCSPS) and Civil Servants and Others Pension Scheme (CSOPS) – known as ‘Alpha’ are unfunded multi-employer defined benefit schemes in which we are unable to identify our share of the underlying assets and liabilities. The last full actuarial valuation was carried out as at 31 March 2012. Details can be found in the resource accounts of the Cabinet Office: Civil Superannuation (<http://www.civilservicepensionscheme.org.uk/about-us/resource-accounts/>).

For 2017/18, employers’ contributions of £5,053,174 were payable to the PCSPS (2016/17: £5,237,835) as one of four rates in the range 20.0% to 24.5% (2016/17: 20% to 24.5%) of pensionable pay, based on salary bands. The Scheme Actuary reviews employer contributions usually every four years following a full scheme valuation. The contribution rates are set to meet the cost of the benefits accruing during 2017/18 to be paid when the member retires and not the benefits paid during this period to existing pensioners.

Employees can opt to open a partnership pension account, a stakeholder pension with an employer contribution. Employers’ contributions of £17,545 (2016/17: £25,093) were paid to one or more of the panel of three appointed stakeholder pension providers. Employer contributions are age-related and range from 8% to 14.75% of pensionable earnings. Employers also match employee contributions up to 3% of pensionable earnings. In addition, employer contributions of £40, 0.5% of pensionable pay, were payable to the PCSPS to cover the cost of the future

15. The Total pay bill figure is representative of salary payments, whereas the Staff costs include accounting adjustments necessary for the financial statements.



provision of lump-sum benefits on death in service or ill-health retirement of these employees.

Contributions due to the partnership pension providers at 31 March 2018 were £1,172 (2016/17: £2,003).

Contributions prepaid at that date were £nil (2016/17: £nil).

Nil persons (2016/17: one person) retired early on ill-health grounds; the total additional accrued pension liabilities in the year amounted to £nil (2016/17: £nil).

**Expenditure on consultancy** We did not incur any expenditure on consultancy in the 2017/18 financial year that met the definition of the Cabinet Office spending controls (2016/17: £nil).

**Off-payroll engagements** We engaged in a number of off-payroll contracts (Tables 22, 23 and 24). Over 90% of these engagements were for the services of non-salaried inspectors (on a fee-paid contractual basis), to provide necessary flexibility in the inspector workforce. The remainder of the off-payroll engagements were to support a specific need in the organisation.

<b>All off-payroll engagements as of 31 March 2018, for more than £245 per day and that last for longer than six months</b>	<b>As at March 2018</b>
No. of existing engagements.	56
Of which...	
No. that have existed for less than one year at time of reporting.	1
No. that have existed for between one and two years at time of reporting.	2
No. that have existed for between two and three years at time of reporting.	-
No. that have existed for between three and four years at time of reporting.	-
No. that have existed for four or more years at time of reporting.	53

**Table 22**

All existing off-payroll engagements, outlined above, have at some point been subject to a risk-based assessment as to whether assurance is required that the individual is paying the right amount of tax and, where necessary, that assurance has been sought.

<b>All new off-payroll engagements, or those that reached six months in duration, between 1 April 2017 and 31 March 2018, for more than £245 per day and that last for longer than six months</b>	<b>As at March 2018</b>
No. of new engagements, or those that reached six months in duration, between 1 April 2016 and 31 March 2017	3
Of which...	
No. assessed as caught by IR35	-
No. assessed as not caught by IR35	3
No. engaged directly (via PSC contracted to agency) and are on the agency payroll	-
No. of engagements reassessed for consistency/assurance purposes during the year	53
No. of engagements that saw a change to IR35 status following the consistency review	-

**Table 23**

<b>Any off-payroll engagements as of 31 March 2018, for more than £245 per day and that last for longer than six months</b>	<b>As at March 2018</b>
No. of off-payroll engagements of board members, and/or senior officials with significant financial responsibility, during the financial year.	-
Total no. of individuals on payroll and off-payroll that have been deemed “board members, and/or senior officials with significant financial responsibility”, during the financial year. This figure should include both on-payroll and off-payroll engagements.	12

**Table 24**

## Exit packages

Exit costs are accounted for in full either in the year of departure or, where a binding commitment is made to leave in the subsequent year, costs are accrued (Table 25). Following a Judicial Review, the 2016 amendments to the Civil Service Compensation Scheme were quashed and payments made in 2017/18 (relating to previously agreed exit packages) have been retrospectively applied to the exit packages table. As there is no material impact on the Financial Statements, these remain unadjusted and the departure costs are reflected in 2017/18 when the legal decision was recognised. Ill-health retirement costs are met by the pension scheme and are not included in the table.

There were no compulsory redundancy departures in 2017/18. Details of other departures are included in Table 25.

Exit package cost bands	2017/18	2017/18	2016/17	2016/17
	Number of other departures agreed	Cost of other departures agreed £'000	Number of other departures agreed	Cost of other departures agreed £'000
< £10,000	-	-	3	24
£10,000 - £25,000	-	-	13	228
£25,001 - £50,000	-	-	12	430
£50,001 - £100,000	-	-	1	78
£100,001 - £150,000	-	-	-	-
<b>Totals</b>	-	-	29	760

**Table 25**

## 2.3 Parliamentary Accountability and Audit Report

### 2.3a Financial performance - Budget Allocations and Outturn

This section of this document has been subject to formal audit.

The Planning Inspectorate is funded through MHCLG and the Welsh Government. Initial indicative four-year allocations are agreed as part of HM Treasury Spending Review exercises and are then refined on an annual basis as necessary through the MHCLG business planning round. Since 1 April 2011, we have been funded from MHCLG and the Welsh Government administrative budgets (with the exception of some non-cash costs which are programme-funded).

The detailed accounts for the 2017/18 financial year are included in the 'Financial Statements' part of this publication. A brief summary of our performance against budget is provided in Table 26.

2017/18	Original budget £'000	Revised budget £'000	Outturn £'000
Staff and related costs	31,831	31,757	31,771
Non pay running costs	13,041	14,647	14,010
Receipts	(9,156)	(9,493)	(9,173)
<b>Net costs</b>	<b>35,716</b>	<b>36,911</b>	<b>36,608</b>
Administration funded ring-fenced costs	1,000	361	354
<b>Total administration costs</b>	<b>36,716</b>	<b>37,272</b>	<b>36,962</b>
Programme funded non-cash costs	161	764	(199)
<b>Total operating expenditure<sup>16</sup></b>	<b>36,877</b>	<b>38,036</b>	<b>36,763</b>
<b>Capital expenditure</b>	<b>500</b>	<b>760</b>	<b>746</b>

Table 26

16. Table 26 reflects a lower net operating expenditure than the net operating expenditure on the Statement of Comprehensive Net Expenditure. The latter includes research and development costs which we treat as capital expenditure for budgetary purposes and exclude from Table 26.

The table above shows that for Net Costs actual spend is £303k below the revised budget allocation. This is within 1% of our budget position and in arriving at this position the organisation actively managed its budgets throughout the year including switching funding between each of the summary headings.

The table below shows the current provisional allocations and working assumptions for the budget over the Spending Review period 2018/19 to 2019/20.

	2018/19	2019/20
	£'000	£'000
<b>Net costs</b>	<b>35,131</b>	<b>34,600</b>
Administration funded ring-fenced costs	1,000	1,000
<b>Total administration costs</b>	<b>36,131</b>	<b>35,600</b>
Programme funded non-cash costs	161	161
<b>Total operating expenditure</b>	<b>36,292</b>	<b>35,761</b>
<b>Capital expenditure</b>	<b>535</b>	<b>500</b>

**Table 27**

Table 27 includes an expected pattern of significant savings being required on an annual basis in response to the Spending Review. This is likely to prove challenging and, therefore, requires the organisation to consider how it carries out its functions and determine whether they can be transformed for the benefit of both the customer as well as the organisation. To deliver this one-off funding has been granted to invest in transformation and following the initiation of the Transformation Programme in late 2016/17, funding of £2,667k has been agreed for 2018/19 – 2019/20 and included in Table 27.

### 2.3b Creditor payments

The Government announced in November 2008 that all government organisations should aim to pay invoices, particularly from small and medium-sized enterprises, within ten days. The Budget 2010 announcement revised this target to payment of 80% of all undisputed invoices within five days for all central government departments. It is our policy to pay all bills not in dispute within five days of receipt of a valid invoice or within the agreed contractual terms if otherwise specified.

In 2017/18, we paid 78% of 2,259 invoices received within five days. This compares with the previous year's performance of 81.5% of 2,664 invoices. In November 1998, the Late Payment of Commercial Debts (Interest) Act came into force, providing small businesses with a statutory right to claim interest from large businesses (and all public sector bodies) on payments that are more than 30 days overdue. Amended legislation (the Late Payment of Commercial Debts Regulations 2002) came into force on 7 August 2002 providing all businesses, irrespective of size, with the right to claim statutory interest for the late payment of commercial debts. No claims were received during 2017/18 (no claims in 2016/17).

### 2.3c Fees and Charges

This section of this document has been subject to formal audit.

We have complied with the cost allocation and charging requirements set out in HM Treasury and Office of Public Sector Information guidance for fees and charges. Casework for which total fees exceed £1m are analysed below.

	2017/18			2016/17		
	Cost	Income	Net	Cost	Income	Net
	£'000	£'000	£'000	£'000	£'000	£'000
National Infrastructure <sup>1</sup>	3,609	(802)	2,807	3,864	(2,211)	1,653
Local Plans	4,234	(3,909)	325	4,116	(4,108)	8
Other Major Specialist Casework <sup>2</sup>	3,738	(1,204)	2,534	4,329	(947)	3,382
<b>Totals</b>	<b>11,581</b>	<b>(5,915)</b>	<b>5,666</b>	<b>12,309</b>	<b>(7,266)</b>	<b>5,043</b>

**Table 28**

1. Costs include an element of pre-application work for which no fee is payable.
2. The costs of Other Major Specialist Casework are only partially recovered from the work we undertake on behalf of other government departments.

### 2.3d Regularity of expenditure

This section of this document has been subject to formal audit.

Expenditure on losses and special payments, as defined in Chapter 4 and Annexes 4.10 to 4.13 of Managing Public Money, is reported to HM Treasury through the parent Department. The number and value of cases in each category are detailed in Table 29.

	2017/18		2016/17	
	Number of cases	£'000	Number of cases	£'000
Losses Statement	32	126	21	166
Special Payments	49	820	55	309

**Table 29**

Losses include:

- claims waived or abandoned; and
- travel cancellation charges.

Special payments include:

- ex gratia payments, of which we paid eight cases (2016/17: seven cases) of £10,000 or more; and
- damage to hire cars: 26 cases, all under £1,500 (2016/17: 34 cases, all except one under £1,500, the largest being £2,152).

Details of cases over £300,000:

- Included in special payments is one reportable case of £429,376 which relates to an ex gratia payment. In accordance with Managing Public Money, HM Treasury approval was sought and received prior to offer and settlement.

### 2.3e Remote contingent liabilities

This section of this document has been subject to formal audit.

Ex gratia costs are non-statutory payments, generally made as a result of an acknowledged error causing unnecessary expenditure for the claimant. This can include cases where maladministration is found by the Parliamentary Ombudsman. Based on previous years, it is a remote possibility that we could have significant costs claims which relate to work completed prior to 31 March 2018. Given the remote classification, it is not possible to estimate a value but, if required, we would seek additional funding from MHCLG as part of our normal spending review submissions.

## 2.4 Accounting Officer Declaration: Accountability Report

In my role as Accounting Officer, and on the basis of documentary evidence and assurances from the Inspectorate's Board and relevant reviews, I am satisfied that the Accountability Report is a true reflection of 2017/18. I can confirm that this report complies with the requirements of the Government Financial Reporting Manual, and in particular there is no relevant audit information of which our auditors are unaware, as I ensured all relevant information was passed to them.



Sarah Richards  
Chief Executive  
19 June 2018



## 2.5 The Certificate and Report of the Comptroller and Auditor General to the House of Commons

I certify that I have audited the financial statements of the Planning Inspectorate for the year ended 31 March 2018 under the Government Resources and Accounts Act 2000. The financial statements comprise: the Statements of Comprehensive Net Expenditure, Financial Position, Cash Flows, Changes in Taxpayers' Equity and the related notes, including the significant accounting policies. These financial statements have been prepared under the accounting policies set out within them. I have also audited the information in the Accountability Report that is described in that report as having been audited.

In my opinion:

- the financial statements give a true and fair view of the state of the Planning Inspectorate's affairs as at 31 March 2018 and of the net expenditure for the year then ended; and
- the financial statements have been properly prepared in accordance with the Government Resources and Accounts Act 2000 and HM Treasury directions issued there under.

Opinion on regularity

In my opinion, in all material respects the income and expenditure recorded in the financial statements have been applied to the purposes intended by Parliament and the financial transactions recorded in the financial statements conform to the authorities which govern them.

Basis of opinions

I conducted my audit in accordance with International Standards on Auditing (ISAs) (UK) and Practice Note 10 'Audit of Financial Statements of Public Sector Entities in the United Kingdom'. My responsibilities under those standards are further described in the Auditor's responsibilities for the audit of the financial statements section of my certificate. Those standards require me and my staff to comply with the Financial Reporting Council's Revised Ethical Standard 2016. I am independent of the Planning Inspectorate in accordance with the ethical requirements that are relevant to my audit and the financial statements in the UK. My staff and I have fulfilled our other ethical responsibilities in accordance with these requirements. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

Responsibilities of the Accounting Officer for the financial statements

As explained more fully in the Statement of the Accounting Officer's Responsibilities, the Chief Executive as Accounting Officer is responsible for the preparation of the financial statements and for being satisfied that they give a true and fair view.

## Auditor's responsibilities for the audit of the financial statements

My responsibility is to audit, certify and report on the financial statements in accordance with the Government Resources and Accounts Act 2000.

An audit involves obtaining evidence about the amounts and disclosures in the financial statements sufficient to give reasonable assurance that the financial statements are free from material misstatement, whether caused by fraud or error. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

As part of an audit in accordance with ISAs (UK), I exercise professional judgement and maintain professional scepticism throughout the audit. I also:

- identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for my opinion. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control;
- obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Planning Inspectorate's internal control;
- evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by management;
- conclude on the appropriateness of management's use of the going concern basis of accounting and, based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the Planning Inspectorate's ability to continue as a going concern. If I conclude that a material uncertainty exists, I am required to draw attention in my auditor's report to the related disclosures in the financial statements or, if such disclosures are inadequate, to modify

my opinion. My conclusions are based on the audit evidence obtained up to the date of my auditor's report. However, future events or conditions may cause the entity to cease to continue as a going concern;

- evaluate the overall presentation, structure and content of the financial statements, including the disclosures, and whether the consolidated financial statements represent the underlying transactions and events in a manner that achieves fair presentation.

I communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that I identify during my audit.

I am required to obtain evidence sufficient to give reasonable assurance that the expenditure and income recorded in the financial statements have been applied to the purposes intended by Parliament and the financial transactions recorded in the financial statements conform to the authorities which govern them.

#### Other Information

The Chief Executive as Accounting Officer is responsible for the other information. The other information comprises information included in the annual report, other than the parts of the Accountability Report described in that report as having been audited, the financial statements and my auditor's report thereon. My opinion on the financial statements does not cover the other information and I do not express any form of assurance conclusion thereon. In connection with my audit of the financial statements, my responsibility is to read the other information and, in doing so, consider whether any other information is materially inconsistent with the financial statements or my knowledge obtained in the audit or otherwise appears to be materially misstated. If, based on the work I have performed, I conclude that there is a material misstatement of this other information, I am required to report that fact. I have nothing to report in this regard.

#### Opinion on other matters

In my opinion:

- the parts of the Accountability Report to be audited have been properly prepared in accordance with HM Treasury directions made under the Government Resources and Accounts Act 2000;
- in the light of the knowledge and understanding of the entity and its environment obtained in the course of the audit, I have not identified any material misstatements

in the Performance Report and Accountability Report;  
and

- the information given in the Performance Report and Accountability Report for the financial year for which the financial statements are prepared is consistent with the financial statements and have been prepared in accordance with the applicable legal requirements.

Matters on which I report by  
exception

I have nothing to report in respect of the following matters which I report to you if, in my opinion:

- adequate accounting records have not been kept or returns adequate for my audit have not been received from branches not visited by my staff; or
- the financial statements and the parts of the Accountability Report to be audited are not in agreement with the accounting records and returns; or
- I have not received all of the information and explanations I require for my audit; or
- the Governance Statement does not reflect compliance with HM Treasury's guidance.

Report

I have no observations to make on these financial statements.

Sir Amyas C E Morse  
Comptroller and Auditor General  
National Audit Office  
157-197 Buckingham Palace Road  
Victoria  
London, SW1W 9SP

26 June 2018

# Financial Statements for the year ended 31 March 2018

## 3.1 Statement of comprehensive net expenditure

		2017/18	2016/17
		£'000	£'000
	<b>Note</b>		
Income from sale of goods and services		<b>(2,560)</b>	(2,430)
Other operating income		<b>(6,613)</b>	(8,135)
<b>Operating income</b>	4	<b>(9,173)</b>	(10,565)
Staff costs	3a	<b>31,771</b>	33,495
Other administrative costs	3b	<b>14,855</b>	15,416
<b>Total Operating Expenditure</b>		<b>46,626</b>	48,911
<b>Net Operating Expenditure</b>		<b>37,453</b>	38,346
Finance expense	3b	-	12
<b>Net expenditure for the year</b>		<b>37,453</b>	38,358

All income and expenditure is derived from continuing operations.  
The Notes on pages 69 to 84 form part of these accounts.

## 3.2 Statement of financial position

		31 March 2018	31 March 2017
		£'000	£'000
	<b>Note</b>		
<b>Non-current assets</b>			
Property, plant and equipment	5	9	24
Intangible assets	6	1,514	1,798
<b>Total non-current assets</b>		<b>1,523</b>	1,822
<b>Current assets</b>			
Trade and other receivables	8	5,624	4,486
Cash and cash equivalents	9	3,775	2,203
<b>Total current assets</b>		<b>9,399</b>	6,689
<b>Total assets</b>		<b>10,922</b>	8,511
<b>Current liabilities</b>			
Trade and other payables	10	(7,977)	(5,241)
Provisions	11	-	(199)
<b>Total current liabilities</b>		<b>(7,977)</b>	(5,440)
<b>Assets less liabilities</b>		<b>2,945</b>	3,071
<b>Taxpayers equity</b>			
General fund		2,945	3,070
Revaluation reserve		-	1
<b>Total taxpayers' equity</b>		<b>2,945</b>	3,071

The Notes on pages 69 to 84 form part of these accounts.

The accounts on pages 65 to 84 were approved by the Inspectorate's Board on 14 June 2018 and signed on its behalf by:



Sarah Richards  
Chief Executive  
19 June 2018

### 3.3 Statement of cash flows

		2017/18	2016/17
		£'000	£'000
	<b>Note</b>		
<b>Cash flows from operating activities</b>			
Net operating expenditure		<b>(37,453)</b>	(38,358)
Adjustments for non-cash transactions	3b, 4	<b>450</b>	770
(Increase)/Decrease in trade and other receivables	8	<b>(1,138)</b>	848
Less movement in bad debt provision	3b	<b>76</b>	(10)
Increase/(Decrease) in trade payables	10	<b>2,736</b>	(1,890)
Less movements in payables relating to items not passing through the SOCNE	6	<b>33</b>	106
Use of provisions	11	<b>(199)</b>	(44)
<b>Net cash outflow from operating activities</b>		<b>(35,495)</b>	(38,578)
<b>Cash flows from investing activities</b>			
Purchase of intangible assets	6	<b>(88)</b>	(355)
<b>Net cash outflow from investing activities</b>		<b>(88)</b>	(355)
<b>Net financing</b>		<b>37,155</b>	40,785
<b>Net (decrease)/increase in cash and cash equivalents in the period</b>	9	<b>1,572</b>	1,852
<b>Cash and cash equivalents at the beginning of the period</b>	9	<b>2,203</b>	351
<b>Cash and cash equivalents at the end of the period</b>	9	<b>3,775</b>	2,203

The Notes on pages 69 to 84 form part of these accounts.

### 3.4 Statement of changes in taxpayers' equity

		General fund	Revaluation reserve	Total reserves
		£'000	£'000	£'000
	<b>Note</b>			
<b>Balance at 31 March 2016</b>		471	1	472
<b>Changes in Taxpayers' Equity for 2016/17</b>				
Total comprehensive expenditure		(38,358)	-	(38,358)
Non-cash charges – auditor's remuneration	3b	57	-	57
Notional charges	3b	115	-	115
Funding from MHCLG		40,785	-	40,785
<b>Balance at 31 March 2017</b>		<b>3,070</b>	<b>1</b>	<b>3,071</b>
<b>Changes in Taxpayers' Equity for 2017/18</b>				
Total comprehensive expenditure		(37,453)	-	(37,453)
Non-cash charges – auditor's remuneration	3b	57	-	57
Notional charges	3b	115	-	115
Funding from MHCLG		37,155	-	37,155
Transfer between reserves		1	(1)	-
<b>Balance at 31 March 2018</b>		<b>2,945</b>	<b>-</b>	<b>2,945</b>

The Notes on pages 69 to 84 form part of these accounts.



## 3.5 Notes to the Accounts

### 1. Statement of accounting policies and estimates

#### 1.1 Accounting policies

The financial statements have been prepared in accordance with the 2017/18 Government Financial Reporting Manual (FReM) issued by HM Treasury.

The accounting policies contained in the FReM apply IFRS as adapted or interpreted for the public sector context. Where the FReM permits a choice of accounting policy, the accounting policy which is judged to be most appropriate to the particular circumstances of the Inspectorate for the purpose of giving a true and fair view has been selected. The particular policies we adopted are described below. They have been applied consistently in dealing with items considered material in relation to the accounts.

#### 1.1a Accounting convention

These accounts have been prepared under the historical cost convention modified to account for the revaluation of property, plant and equipment.

#### 1.1b Accounting estimates and judgements

The preparation of financial information in conformity with IFRS requires the use of certain accounting estimates. It also requires management to exercise its judgement in the process of applying the accounting policies. The key accounting estimates and judgements are accruals, provisions (see Note 11) and contingent liabilities (see Note 12). Estimates are based on known information within the business and past trends.

#### 1.1c Value added tax

Most of the Planning Inspectorate's activities were outside the scope of VAT and in general output tax does not apply and input tax on purchases is not recoverable, other than under the terms of the Treasury Direction under section 41(3) Value Added Tax Act (VATA) 1994. Irrecoverable VAT is charged to the relevant expenditure category or included in the capitalised purchase cost of fixed assets. Where output tax is charged or input VAT is recoverable the amounts are stated net of VAT.

We are not separately registered for VAT but operate under the MHCLG VAT registration.

1.1d Operating income	Income is calculated as the value of services provided from the ordinary activities of the Planning Inspectorate completed during a financial year. For casework such as Local Plan inquiries, which can span financial years, income is calculated on the work completed to the end of the financial year and accrued. The analysis of the services for which a fee is charged, Note 4 to the Accounts, is provided for fees and charges purposes only.		
1.1e Operating leases	Leases other than finance leases are classified as operating leases. Operating leases are charged to the Statement of Comprehensive Net Expenditure on a straight-line basis over the term of the lease, taking account of any lease incentives in accordance with the terms of IAS 17.		
1.1f Notional costs	In accordance with Managing Public Money, notional costs at the appropriate rate are included for audit fees and for services provided by MHCLG.		
1.1g Property, plant and equipment	Property, plant and equipment are stated at fair value using depreciated replacement cost. On initial recognition they are measured at cost including any costs, such as installation, directly attributable to bringing them into working condition. All property, plant and equipment are restated at fair value each year, using indices published by the Office for National Statistics (ONS) appropriate to the category of asset. In recent years, restatement has not been applied as the value has been immaterial. The minimum level for capitalisation of property, plant and equipment is £5,000. Items falling below this value are charged as an expense and shown in the Statement of Comprehensive Net Expenditure.		
1.1h Depreciation	Property, plant and equipment, relating to IT assets only, are depreciated at rates calculated to write off the assets over their estimated useful lives on a straight-line basis, as follows: <table border="0" style="margin-left: 20px; width: 100%;"> <tr> <td style="padding-right: 40px;">Information Technology (Strategic IT)</td> <td style="text-align: right;">4 years</td> </tr> </table>	Information Technology (Strategic IT)	4 years
Information Technology (Strategic IT)	4 years		
1.1i Intangible assets	Intangible assets are stated at amortised historic cost as they are not subject to revaluation; this is the best estimate of fair value, as it is difficult to obtain a representative second-hand cost of the assets to calculate fair value. We regularly review for impairment, including assets in the course of construction. Assets are measured at cost on recognition including any costs such as installation directly attributable to bringing them into working condition. The		

minimum level for capitalisation of an intangible asset is £5,000. Items falling below this value are charged as an expense and shown in the Statement of Comprehensive Net Expenditure.

#### 1.1j Amortisation

Intangible assets are amortised at rates calculated to write off the assets over their estimated useful lives on a straight-line basis, as follows:

Internally-generated software	8 years
-------------------------------	---------

Assets in the course of construction are amortised from the point at which the asset is brought into use.

Amortisation is charged as an expense and shown in the Statement of Comprehensive Net Expenditure.

#### 1.1k Finance leases

The terms of all the Planning Inspectorate leases are reviewed and, where the risks and rewards of ownership rest with the Planning Inspectorate, leases are treated as finance leases.

The Planning Inspectorate also reviewed all service contracts (eg contracts for the supply of IT services) to determine whether the contracts include an embedded finance lease, under the terms of IAS 17 as interpreted by IFRIC 4.

A finance lease had been recognised in respect of a contract for the provision of IT equipment to all staff. At 31 March 2017 (the end of the three-year period) the lease was completed and the ownership transferred to us.

#### 1.1l Provisions

The Planning Inspectorate provides for legal or constructive obligations which are of uncertain timing or amount at the Statement of Financial Position date on the basis of the best estimate of the expenditure required to settle the obligation (see Note 11).

#### 1.1m Segmental reporting

The Planning Inspectorate, as an Executive Agency of MHCLG, reports under only one operating segment: Localism. It is therefore felt more appropriate to base the segmental analysis on major areas of casework, based on the internal reporting structure. The assets and liabilities have not been included in the segmental analysis as these are not apportioned but used across the organisation (see Note 2).

#### 1.1n Deemed Planning Applications

The fees paid by appellants for consideration of a Deemed Planning Application are disclosed in the Statement of Financial Position in cash and cash equivalents, and

as a payable until the appeal is determined, when the fee is either returned to the appellant or paid over as a Consolidated Fund Extra Receipt (CFER).

With effect from 22 November 2012 fees in respect of Deemed Planning Applications in England are paid in full to the LPA. In Wales, this change came into effect on 1 October 2015. From this date receipts will be from appellants where applications are already in progress but the Planning Inspectorate will continue to account for refunds and payments to the Consolidated Fund until all outstanding appeals have been decided.

1.1o Accounting standards and interpretations not yet adopted

The following standards, amendments and interpretations have been issued but are not yet effective. The potential impacts of IFRS 9 and IFRS 15 will have no material impact on the Planning Inspectorate’s financial statements. The potential impact of IFRS 16 is still to be determined and is dependent upon any FReM interpretations or adaptations applied. Any such interpretations or adaptations are currently being determined, and the outcome of this work is not yet known;

<b>Change published</b>	<b>Published by IASB</b>	<b>Financial year for which the change first applies</b>
IFRS 9 Financial Instruments	July-14	Effective from 2018/19
IFRS 15 Revenue from contracts with customers	May-14	Effective from 2018/19
IFRS 16 Leases	Jan-16	Effective from 2019/20

1.1p Going concern

In common with other Government organisations, the future financing of our liabilities is to be met by resources approved annually by Parliament. Approval for amounts required for 2018/19 is due to be given before the Parliamentary Recess and there is no reason to believe that future approvals to support business as usual activities will not be made. It has accordingly been considered appropriate to adopt a going concern basis throughout this report and for the preparation of the 2017/18 Financial Statements.

## 2. Statement of operating costs by segment

We report under one operating segment, namely, Localism. Therefore we have instead based the segmental analysis on major areas of casework.

The assets and liabilities have not been included in the segmental analysis as they are used across the organisation and are not apportioned or reported in this way to senior leadership.

The Planning Inspectorate receives most of its funding from MHCLG (through reserves) but approximately 20% of its costs are recovered by charging a mixture of other central government departments, local government bodies or private individuals and businesses.

	2017/18			2016/17		
	Cost	Income	Net	Cost	Income	Net
	£'000	£'000	£'000	£'000	£'000	£'000
S78 Planning Appeals	25,071		25,071	26,927	-	26,927
National Infrastructure	3,609	(802)	2,807	3,864	(2,211)	1,653
Local Plans	4,234	(3,909)	325	4,116	(4,108)	8
S174 Enforcement Appeals	4,903	-	4,903	5,680	-	5,680
Rights of Way	1,222	-	1,222	1,396	-	1,396
S20 Listed Building Planning Appeals	600	-	600	699	-	699
Compulsory Purchase Orders	279	(233)	46	844	(211)	633
Other Major Specialist Casework	3,738	(1,204)	2,534	4,329	(947)	3,382
Income from Welsh Government		(2,560)	(2,560)	-	(2,413)	(2,413)
Transformation Programme	1,875	-	1,875	-	-	-
Other	1,095	(465)	630	1,068	(675)	393
<b>Totals</b>	<b>46,626</b>	<b>(9,173)</b>	<b>37,453</b>	<b>48,923</b>	<b>(10,565)</b>	<b>38,358</b>

### Description of segments

1. S78 Planning Appeals: This covers the usual planning appeals affecting householders, advertisement and minor commercial appeals.
2. National Infrastructure: This relates to work undertaken on large-scale proposals that support the economy, and vital public services, including railways, energy generation stations, harbours and airports.
3. Local Plans: This covers work undertaken in relation to examination of LPA local plans.
4. S174 Enforcement Appeals: This is where an appeal is made against enforcement notices when a development is carried out without planning permission or not in accordance with an approved planning application.
5. Rights of Way: This is work undertaken in reviewing orders regarding rights of way.
6. S20 Listed Building Planning Appeals: This covers appeals in relation to work being undertaken with respect to listed buildings.
7. Compulsory Purchase Orders: This is work undertaken in respect of objections received in relation to a Compulsory Purchase Order.
8. Other Major Specialist Casework: This covers work undertaken on behalf of other government departments.
9. Transformation Programme: This is a large change programme which strives to deliver three strategic priorities: excellent customer service; improved efficiency and effectiveness; and increased staff engagement.
10. Other: This covers all other work not listed above and includes making cost decisions arising mainly from withdrawn appeals/enforcement notices and making decisions on Purchase Notice appeals. Such work can include subjects such as tree preservation orders and transport.

### 3. Operating expenditure

#### 3a. Staff costs

Remuneration for Directors

Remuneration for Directors is included in Staff Costs but further detail can be found in Section 2.2a Accountability Report.

Staff costs

Staff costs comprise:

	<b>2017/18</b>	<b>2016/17</b>
	<b>£'000</b>	<b>£'000</b>
Wages and salaries	<b>23,758</b>	25,019
Social security costs	<b>2,637</b>	2,702
Other pension costs	<b>5,035</b>	5,239
<b>Sub-Total</b>	<b>31,430</b>	32,960
Agency staff	<b>341</b>	535
<b>Total net staff costs</b>	<b>31,771</b>	33,495

### 3b. Other administrative costs

		2017/18	2016/17
	Note	£'000	£'000
Rentals under operating leases:			
Hire of plant and machinery		186	198
Other operating leases		1517	1,526
		1,703	1,724
Finance lease interest charges		-	12
Non-cash items:			
Depreciation	5	15	150
Amortisation	6	339	278
Provision for doubtful debt		(76)	9
Auditor's remuneration <sup>1</sup>		57	57
MHCLG recharges <sup>2</sup>		115	115
Apprenticeship Levy Training Services		6	-
In-year increase in provision		-	199
Write-back of provisions		-	(38)
		456	770
Other expenditure:			
Fees to Non-Salaried Inspectors		911	1,389
Travel, subsistence and hospitality		1,641	1,856
Accommodation costs		1,212	1,414
Legal and professional services		1,675	1,735
Support Services <sup>3</sup>		1,436	458
Research and Development <sup>3</sup>		691	-
Information Technology		2,362	2,628
Ex gratia costs		391	374
Adverse costs		657	603
Bad debts		126	48
Telecoms		353	323
Training and conferences		327	452
Postal services		157	198
Office supplies		209	162
Redundancy and other departure costs		22	738
Other administration costs <sup>4</sup>		526	544
		12,696	12,922
<b>Total</b>		<b>14,855</b>	<b>15,428</b>



1. The Auditor's remuneration represents the notional audit fee in respect of the Comptroller and Auditor General's annual certification of the Planning Inspectorate's financial statements. There was no remuneration due for non-audit work.
2. MHCLG recharges are for the supply of accounting and Human Resources services.
3. The majority of Support Services and Research and Development costs relate to the Transformation Programme.
4. Other administration costs include advertising, professional fees, publications, and translation services.

#### 4. Operating income

	<b>2017/18</b>	<b>2016/17</b>
	<b>£'000</b>	<b>£'000</b>
<b>Fees and charges</b>		
Local Plans	<b>3,909</b>	4,108
National Infrastructure	<b>802</b>	2,211
Compulsory Purchase Orders	<b>233</b>	211
Other Major specialist casework	<b>1,204</b>	965
<b>Total Fees and charges</b>	<b>6,148</b>	7,495
<b>Goods and services</b>		
Income from Welsh Government	<b>2,560</b>	2,413
<b>Total Goods and services</b>	<b>2,560</b>	2,413
<b>Miscellaneous income</b>		
Recovery of adverse costs	<b>453</b>	653
Other <sup>1</sup>	<b>12</b>	4
<b>Total miscellaneous income</b>	<b>465</b>	657
<b>Total operating income<sup>2</sup></b>	<b>9,173</b>	10,565

1. Other includes a non-cash item of £6,000 (2016/17: £nil) relating to the apprenticeship levy scheme.
2. The Operating income note presentation has been re-categorised to give a clearer reflection of the nature of the work undertaken. Receipts from other Government organisations have been reallocated to the type of service provided and 2016/17 figures re-categorised accordingly.

## 5. Property, plant and equipment

	<b>Information Technology</b>
	£'000
<b>Cost or valuation</b>	
At 1 April 2016	482
<b>At 31 March 2017</b>	<b>482</b>
<b>Depreciation</b>	
At 1 April 2016	308
Charged in year	150
<b>At 31 March 2017</b>	<b>458</b>
<b>Net book value at 31 March 2017</b>	<b>24</b>
At 31 March 2016	174
<b>Asset financing</b>	
Owned at 31 March 2017	24

	<b>Information Technology</b>
	£'000
<b>Cost or valuation</b>	
At 1 April 2017	482
Disposals	(427)
<b>At 31 March 2018</b>	<b>55</b>
<b>Depreciation</b>	
At 1 April 2017	458
Charged in year	15
Disposals	(427)
<b>At 31 March 2018</b>	<b>46</b>
<b>Net book value at 31 March 2018</b>	<b>9</b>
At 31 March 2017	24
<b>Asset financing</b>	
Owned at 31 March 2018	9

## 6. Intangible assets

	Internally Generated Information Technology <sup>1</sup>		Total
	In operation £'000	Under construction £'000	£'000
<b>Cost or valuation</b>			
At 1 April 2016	3,437	655	4,092
Additions <sup>2</sup>	250	-	250
Reclassifications	655	(655)	-
<b>At 31 March 2017</b>	<b>4,342</b>	<b>-</b>	<b>4,342</b>
<b>Amortisation</b>			
At 1 April 2016	2,266	-	2,266
Charged in year	278	-	278
<b>At 31 March 2017</b>	<b>2,544</b>	<b>-</b>	<b>2,544</b>
<b>Net book value at 31 March 2017</b>	<b>1,798</b>	<b>-</b>	<b>1,798</b>
At 31 March 2016	1,171	655	1,826
<b>Asset financing</b>			
Owned at 31 March 2017	1,798	-	1,798
<b>Cost or valuation</b>			
At 1 April 2017	<b>4,342</b>	-	<b>4,342</b>
Additions <sup>2</sup>	<b>55</b>	-	<b>55</b>
<b>At 31 March 2018</b>	<b>4,397</b>	<b>-</b>	<b>4,397</b>
<b>Amortisation</b>			
At 1 April 2017	<b>2,544</b>	-	<b>2,544</b>
Charged in year	<b>339</b>	-	<b>339</b>
<b>At 31 March 2018</b>	<b>2,883</b>	<b>-</b>	<b>2,883</b>
<b>Net book value at 31 March 2018</b>	<b>1,514</b>	<b>-</b>	<b>1,514</b>
At 31 March 2017	<b>1,798</b>	-	<b>1,798</b>
<b>Asset financing</b>			
Owned at 31 March 2018	<b>1,514</b>	-	<b>1,514</b>

1. The majority of the remaining value is in relation to our document management system.
2. The additions recorded in the Statement of Cash Flows do not include the movement in asset accruals for which there have been no cash flows.

## 7. Financial Instruments

As our cash requirements are met through the Estimate process, financial instruments play a more limited role in creating and managing risk than would apply to a non-public sector body. The majority of financial instruments relate to contracts to buy non-financial items in line with our expected purchase and usage requirements and we are therefore exposed to little credit, liquidity or market risk.

## 8. Trade receivables and other current assets

	<b>2017/18</b>	<b>2016/17</b>
	<b>£'000</b>	<b>£'000</b>
<b>Amounts falling due within one year</b>		
Trade receivables	738	534
Other receivables:		
VAT	131	29
Other <sup>1</sup>	442	540
Prepayments and accrued income	4,313	3,383
<b>Total</b>	<b>5,624</b>	<b>4,486</b>

1. Other includes balances due from organisations and other government departments which are not in relation to regular fee-based work and various payroll advances and recoveries.

## 9. Cash and cash equivalents

	<b>2017/18</b>	<b>2016/17</b>
	<b>£'000</b>	<b>£'000</b>
Balance at 1 April	2,203	351
Net change in cash and cash equivalent balances	1,572	1,852
Balance at 31 March	<b>3,775</b>	2,203

The cash balance at 31 March 2018 includes £1,675 (2016/17: £1,675) held in respect of Deemed Planning Applications (see **Note 1.1n**). All cash balances are held in the Government Banking Service.

## 10. Trade payables and other current liabilities

	2017/18	2016/17
	£'000	£'000
<b>Amounts falling due within one year</b>		
Trade payables	145	99
Other payables:		
Third party <sup>1</sup>	2	2
VAT, taxation and social security	696	680
Other <sup>2</sup>	767	953
Accruals and deferred income <sup>3</sup>	6,367	3,507
<b>Total payables at 31 March</b>	<b>7,977</b>	<b>5,241</b>

1. The third party's payables of £1,675 (2016/17: £1,675) are held in respect of Deemed Planning Applications (see **Note 1.1n**).
2. Other includes payroll deductions.
3. The increase in accrued expenses is a result of delays in invoicing from another government department for estate costs.

## 11. Provisions

	<b>Ex gratia</b>
	<b>£'000</b>
Balance at 1 April 2016	82
Provided in the year	199
Provisions utilised in the year	(44)
Provisions not required written back/unwind discount	(38)
<b>Balance at 31 March 2017</b>	<b>199</b>
	<b>£'000</b>
Balance at 1 April 2017	199
Provisions utilised in the year	(199)
<b>Balance at 31 March 2018</b>	<b>-</b>

### *Analysis of expected timing of discounted flows*

	<b>Total 2017/18</b>	<b>Total 2016/17</b>
	<b>£'000</b>	<b>£'000</b>
Not later than one year	-	199

#### Ex gratia

Ex gratia payments are non-statutory payments, generally made as a result of an acknowledged error causing unnecessary expenditure for the claimant. This can include cases where maladministration is found by the Parliamentary Ombudsman. The provision is the best estimate based on the available information.

## 12. Contingent liabilities disclosed under IAS 37

The contingent liability which existed at 31 March 2018, and has not been provided for in the accounts relates to litigation costs which may possibly be incurred following unsuccessful attempts to resist a High Court challenge to an inspector's decision. The timing and value of such awards are difficult to predict. We have reviewed evidence from previous years on the number of cases which resulted in payment and, applying this trend to the cases in the current year, estimated a contingent liability of £118,000 (2016/17: £179,000).

## 13. Commitments under leases

Two properties are occupied and used for operational activities which are leased from government departments (England and Wales) on cancellable contracts. There are no commitments under Finance leases.

## 14. Other financial commitments

MHCLG manages a significant contract for technology services on our behalf and the commitment is reflected in full in MHCLG's Annual Report and Accounts.

The Planning Inspectorate has embarked on a Transformation Programme, however, at March 2018, has yet to incur significant commitments. The payments to which we are committed, mainly for technology and telephony services, are as follows:

	<b>2017/18</b>
	<b>£'000</b>
<b>Not later than one year</b>	<b>481</b>
<b>Later than one year and not more than five years</b>	<b>78</b>
<b>Total</b>	<b>559</b>

## 15. Related-party transactions

MHCLG is the controlling related party and the ultimate controlling party.

The Welsh Government is regarded as a related party, with which the Planning Inspectorate has had a significant number of material transactions during the year.

In addition, the Planning Inspectorate has had a significant number of material transactions with other government departments, central government bodies and local government organisations, in relation to the usual course of business.

## 16. Events after the reporting period

Non-Executive and Executive Board members must declare any personal or business interest which may, or may be perceived to, influence their judgement as a Board member. During the year no Board member, or other related parties, have undertaken any material transactions with us.

The remuneration of senior manager/Board members is set out in the Remuneration Report (see Section 2.2a).

The Planning Inspectorate's financial statements are laid before the Houses of Parliament by the Secretary of State of MHCLG. IAS 10 requires us to disclose the date on which the accounts are authorised for issue. This is the date on which the certified accounts are despatched by the Planning Inspectorate's management to the Secretary of State of MHCLG.

The Accounting Officer authorised these financial statements for issue on 26 June 2018.



## Annex A – Performance against key indicators

### England

<b>Nationally Significant Infrastructure Projects</b>	<b>2017/18</b>	<b>2016/17</b>
Issue 100% of all EIA scoping opinions within 42 days of receipt	100%	100%
Issue 100% of all EIA screening opinions within 21 days of receipt	N/A	N/A
To decide a 100% of acceptance of all applications within 28 days	100%	100%
Complete 100% of all examinations within 6 months	100%	100%
Submit 100% of all recommendations to the relevant Secretary of State within 3 months	100%	100%
<b>Timeliness Planning Appeals</b>	<b>2017/18</b>	<b>2016/17</b>
To determine 80% of S78 written representations in 14 weeks of the start date	76.7% (9,697)	68.6% (10,236)
To determine 80% of S78 hearings in 14 weeks of the start date	31.4% (528)	17.3% (624)
To determine 80% of S78 inquiries (non-bespoke) in 22 weeks of the start date	13.7% (51)	10.8% (36)
To determine 100% of S78 inquires (bespoke) according to the agreed timetable	98.7% (231)	98% (246)
To determine 80% of householder appeals in 8 weeks of the start date	85.3% (4,670)	59.6% (4,999)
To determine 80% of commercial appeals in 8 weeks of the start date	80.0% (565)	48.1% (568)
<b>Timeliness Enforcement Appeals (S174, S39 and Lawful Development Certificates)</b>	<b>2017/18</b>	<b>2016/17</b>
To determine 80% of written representations in 32 weeks of the start date	84.5% (1,474)	72% (1,987)
To determine 80% of hearings in 33 weeks of the start date	58.2% (177)	50% (238)
To determine 80% of inquiries in 43 weeks of the start date	56.3% (247)	46% (270)
<b>Rights of Way, Public Path Orders</b>	<b>2017/18</b>	<b>2016/17</b>
To determine 80% of written representations in 27 weeks of the start date	82% (38)	96% (56)
To determine 80% of hearings in 29 weeks of the start date	60% (5)	100% (8)
To determine 80% of inquires in 35 weeks of the start date	72% (18)	75% (12)
<b>Rights of Way, Wildlife and Countryside</b>	<b>2017/18</b>	<b>2016/17</b>
To determine 80% of written representations in 27 weeks of the start date	92% (61)	85% (68)
To determine 80% of hearings in 29 weeks of the start date	78% (9)	89% (9)
To determine 80% of inquires in 35 weeks of the start date	90% (29)	85% (41)

<b>Schedule 14</b>	<b>2017/18</b>	<b>2016/17</b>
To determine 80% of directions in 17 weeks of the start date	83% (23)	100% (50)
To determine 80% of appeals in 26 weeks of the start date	99% (71)	65% (31)
<b>Common Land</b>	<b>2017/18</b>	<b>2016/17</b>
To determine 80% of no objections in 12 weeks of the start date	83% (41)	97% (30)
To determine 80% of those objected in 26 weeks of the start date	94% (16)	100% (22)
To determine 80% of those objected (Inspector) in 52 weeks of the start date	100% (16)	88% (26)
<b>Environmental Appeals</b>	<b>2017/18</b>	<b>2016/17</b>
To determine all types of appeal in 28 weeks of the start date	25% (4)	24% (29)
<b>Tree Preservation Orders</b>	<b>2017/18</b>	<b>2016/17</b>
To determine 80% of written representations in 14 weeks of the start date	3% (287)	6% (466)
To determine 80% of hearings/inquires in 26 weeks of the start date	0% (27)	22% (83)
<b>High Hedges</b>	<b>2017/18</b>	<b>2016/17</b>
To determine 80% of written representations in 24 weeks of the start date	2% (47)	21% (57)
<b>Hedgerows</b>	<b>2017/18</b>	<b>2016/17</b>
To determine 80% of all appeal types in 28 weeks of the start date	50% (2)	23% (13)
<b>Cost applications</b>	<b>2017/18</b>	<b>2016/17</b>
To determine 50% of all appeal types in 10 weeks of the start date	59% (132)	71% (143)
<b>Development plans</b>	<b>2017/18</b>	<b>2016/17</b>
Complete Development Plan (Local Plan) examinations within the timetable agreed with the LPA	98% (54)	100% (55)
Complete Community Infrastructure Levy examinations within the timetable agreed with the LPA	100% (14)	100% (14)
<b>Customer satisfaction</b>	<b>2017/18</b>	<b>2016/17</b>
To ensure that 80% of parties surveyed are satisfied or very satisfied with the appeal process/procedures	79%	67%

## Wales

<b>Timeliness<sup>17</sup></b>	<b>2017/18</b>	<b>2016/17</b>
To determine 85% of all planning appeals decided by written representations (part 1 & part 3 of 2017 Regulations) in 8 weeks for 2017/18	91.7%	97.8%
To determine 85% of all planning appeals decided by written representations (part 2) in 16 weeks (April – November)	98.4%	96.2%
To determine 85% of all planning appeals decided by written representations (part 4) in 15 weeks (December – March)	98.9%	N/A
To determine 85% of all planning appeals decided by hearings in 22 weeks (April – November)	100%	92.6%
To determine 85% of all planning appeals decided by hearings in 21 weeks (December – March)	87.5%	N/A
To determine 85% of all planning appeals decided by inquiries in 30 weeks (April – November)	100%	72.7%
To determine 85% of all planning appeals decided by inquiries in 29 weeks (December – March)	100%	N/A
To determine 85% of all enforcement appeals decided by written representations in 3 weeks (April – November)	100%	100%

## England jointly with Wales

<b>Quality</b>	<b>2017/18</b>	<b>2016/17</b>
99% of inspector decisions are free from upheld complaint or successful legal challenge	99.3%	99.5%

17. Legislation governing the appeals process in Wales changed some of the targets from December 2017. Where relevant, performance for the two periods has been shown separately.



## Annex B - Customer Services and Contact Points

### Customer Services England



The Planning Inspectorate  
Customer Services Team  
Third Floor  
Temple Quay House  
2 The Square  
Temple Quay  
Bristol BS1 6PN

Tel: 0303 444 5000  
Email: [enquiries@pins.gsi.gov.uk](mailto:enquiries@pins.gsi.gov.uk)

### General Enquiries Wales



The Planning Inspectorate  
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Cathays Park  
Cardiff CF10 3NQ

Tel: 0303 444 5940  
Email: [wales@pins.gsi.gov.uk](mailto:wales@pins.gsi.gov.uk)

### Press Office



The Planning Inspectorate  
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Twitter: @PINSgov

Corporate site England: [www.gov.uk/government/organisations/planning-inspectorate](http://www.gov.uk/government/organisations/planning-inspectorate)

Corporate site Wales: <http://planninginspectorate.gov.wales>

Appeals Casework Portal: <https://acp.planninginspectorate.gov.uk>

Parliamentary and Health Service Ombudsman: [www.ombudsman.org.uk](http://www.ombudsman.org.uk)

Public Services Ombudsman for Wales: <http://www.ombudsman-wales.org.uk/>





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