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# SENIOR TRAFFIC COMMISSIONER

## Statutory Document No. 14

### LOCAL BUS SERVICES IN ENGLAND (OUTSIDE LONDON) AND WALES

This document is issued pursuant to section 4C of the Public Passenger Vehicles Act 1981 (as amended). Representative organisations have been consulted in accordance with that provision.	
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<b>Issued:</b>	

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# GUIDANCE

1. The Senior Traffic Commissioner for Great Britain issues the following Guidance under section 4C(1) of the Public Passenger Vehicles Act 1981 (as amended)<sup>1</sup> to provide information as to the way in which the Senior Traffic Commissioner believes that traffic commissioners should interpret the law in relation to local bus services in England (outside London) and Wales.

## Legislation

### General Provisions

2. Section 139 of the Transport Act 2000 ('TA 2000') provides that each local transport authority must determine, having regard to their local transport plan, what local bus information should be made available to the public and the way in which it should be made available. Section 140 makes provision for where local authorities cannot make satisfactory arrangements with operators.
3. To operate a local service, operators must meet the requirements of the Transport Act 1985 ('TA 1985') and TA 2000 and the Public Service Vehicles (Registration of Local Services) Regulations 1986 ('1986 Regulations') and hold either an unconditional PSV operator's licence or a section 22 permit.
4. Section 2 of the TA 1985 defines local bus services and Section 6 sets out the requirements for the registration of those services. Regulation 10 of the 1986 Regulations provides that section 6 of the TA 1985 shall not apply to services which are excursions or tours except to any services operated at least once a week for a period of at least 6 consecutive weeks.
5. The 1986 Regulations (Regulation 5)<sup>2</sup> provide that 56 days notice must be provided of the intention to start, vary or cease a service. Traffic commissioners have a discretionary power (Regulation 7) to accept short notice applications for services:
  - that will be substantially similar to and replace a service or part of a service which either he or another operator has ceased or is ceasing to operate;
  - that are either not available to members of the general public or not regularly used by them (standard services only);
  - that in response to representations from a person authorised by either a traffic authority or a chief officer of police on a matter concerning road traffic regulation or road safety, an operator applies to vary or cancel the registration;
  - that augment an existing service, in order to provide the new or augmented service for a period not exceeding 21 days, in connection with a specified event or occasion which will cause an additional demand for a service;
  - with a proposed adjusted timetable which will not significantly affect the level of service provided, and the adjusted timings are either in no case more than 10

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<sup>1</sup> As amended by section 3 of the Local Transport Act 2008.

<sup>2</sup> As amended by The Public Service Vehicles (Registration of Local Services) (Amendment) (England and Wales) Regulations 2002.

minutes earlier or later than those in the registered timetable, or required to adapt the service to a variation in a connecting rail, ferry or air service;

- where the operator applies to vary the registration during a period not exceeding 14 days in response to public holidays restricted to the relevant locality;
- where the operator, due to circumstances he could not reasonably have foreseen, failed to make an application in sufficient time for the period of notice applicable;
- where an operator applies to register or vary a registration to meet an urgent or exceptional public passenger transport requirement.

6. Whilst anyone can register, vary or cancel a service, the substituted schedule<sup>3</sup> to the 1986 Regulations specifies the particulars that need to be provided, including the name of the operator and the times of individual services at principal points on the route.
7. Regulation 3(3) of the 1986 Regulations provides that an application shall not be accepted by the traffic commissioner unless the applicant gives the traffic commissioner such information as the traffic commissioner may reasonably require in connection with the application.
8. The term 'frequent service' is not defined in legislation. However, where the service interval is 10 minutes or less a statement of that fact may be given. Services operating at this level of frequency are widely recognised throughout the industry and are commonly known as 'frequent services'.
9. Sections 7 and 8 of the TA 1985 enable a traffic commissioner, at the request of the traffic authority, to attach traffic regulation conditions to an operator's licence if the traffic commissioner is satisfied that they are, or are likely to be, required in the interests of safety or to reduce severe traffic congestion or reduce or limit noise or air pollution in a particular area.
10. Section 27A<sup>4</sup> provides that a traffic commissioner may direct a local traffic authority<sup>5</sup> to provide him, within a specified period of time, with specified information connected with any aspect of the performance of their duties for network management (as outlined in sections 16 and 17 of the Traffic Management Act 2004). The information that may be specified must be information which the local traffic authority has in their possession or can be reasonably expected to acquire. This includes information relating to the management of a local traffic authority's road network or the use of their road network by different kinds of traffic or the effects of that use.
11. If the traffic commissioner identifies any remedial measures which could be taken by the operator, or by a local traffic authority, section 27A enables the traffic commissioner to prepare a report recommending the implementation of those measures to enable or facilitate the operation of the service in accordance with the registration.

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<sup>3</sup> As amended by The Public Service Vehicles (Registration of Local Services) (Amendment) (England and Wales) Regulations 2004.

<sup>4</sup> As amended by section 63 of the Local Transport Act 2008.

<sup>5</sup> Legislation refers to both local traffic authorities and local transport authorities and the term "local authorities" will often cover both.

12. Section 27A<sup>6</sup> provides that if a traffic commissioner holds a Public Inquiry into poor punctuality they can, by summons, require a representative from the local traffic authority to attend to give evidence or to produce any documents in their custody or under their control which relate to any matter in question at the inquiry.
13. Failure to comply with the relevant legislation is also likely to influence the determination of a company's good repute.<sup>7</sup>

## **Sanctions**

14. Traffic commissioners have powers to take regulatory action against operators who do not operate services in accordance with the registered particulars. Section 26 of the TA 1985 enables the traffic commissioner to attach conditions prohibiting the operator from running certain local services or local services of any description.
15. Section 155 of the TA 2000<sup>8</sup> provides that the traffic commissioner can impose a penalty on the operator where it has failed (without reasonable excuse) to operate a local service under section 6 of the TA 1985, or has operated a local service in contravention of that section. It also provides that traffic commissioners can order:
  - that the operator expends a sum of money, limited to the provision or improvement of local services or facilities;
  - that the operator provides compensation to passengers; or
  - an order of such other description as the Secretary of State (as respects England) or the Welsh Ministers (as respects Wales) may by order prescribe.
16. The amount of the penalty is up to £550 multiplied by the total number of vehicles which the operator is licensed to use under all the PSV operator licences held by them.
17. An order for compensation may take the form of payments of money, or other form (including the provision of free travel or travel at a reduced price) and must also not exceed the equivalent of £550 per authorised vehicle.

## **Case Law**

18. This Guidance may be subject to decisions of the higher courts and to subsequent legislation. The Senior Traffic Commissioner, however, has extracted the following principles from existing case law.

## **General approach**

19. The approach adopted in most of the case law<sup>9</sup> indicates that the correct approach for the traffic commissioner is to first determine whether the operator has failed to operate a local service registered under section 6 of the Transport Act 1985, and

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<sup>6</sup> As amended by section 63 of the Local Transport Act 2008 which cross refers to section 250 of the Local Government Act 1972.

<sup>7</sup> See Statutory Document No. 1 on Good Repute and Fitness.

<sup>8</sup> As amended by section 64 of the Local Transport Act 2008.

<sup>9</sup> For example, 2000/024 & 2000/025 Arriva Tees and District Ltd & Arriva Teeside Ltd

secondly whether the operator has operated a local service in contravention of that section pursuant to section 26(1) of the Transport Act 1985.

### **Service amendment notice**

20. Where an operator applies for the period of notice to be abridged and relies on circumstances which could not have been foreseen, the test is not to be applied to the situation as at the date when the application for short notice cancellation is actually made. The test has to be applied at an earlier stage, namely at the date on which the operator would have made the application if he had been able to foresee the events which were not reasonably foreseeable.<sup>10</sup>
21. The legislation is intended to ensure that operators take all reasonable steps to keep services operating but that if they do so and still find that it is not possible to operate a particular service the traffic commissioner has the power to abridge the period of notice.<sup>11</sup> Traffic commissioners have to balance the promotion of fair competition and therefore the swift facilitation of service improvements against the restrictive requirements of the regulations, but beyond that there is no power.

### **Window of tolerance**

22. The window of tolerance takes account of many of the day to day problems which operators can face and that operators can, reasonably, be expected to have contingent plans to deal with other, foreseeable, problems.<sup>12</sup>
23. The Upper Tribunal has stated that the window of tolerance and 95% punctuality target is a sensible and pragmatic approach to short-term problems causing congestion beyond that which should have been taken into account when setting the timetable, and it is therefore accepted that an operator, whose services come within the bracket of up to 1 minute early and up to 5 minutes late, for 95% of the time, has a reasonable excuse for not achieving 100% compliance.<sup>13</sup>
24. Traffic commissioners must decide whether to discount the findings presented to them by the relevant enforcement agency and may decide to give the operator the benefit of the doubt in relation to journeys which are close to the window of tolerance.<sup>14</sup>

### **Sampling / monitoring / information provision**

25. It is important that the sample of journeys monitored is sufficient to represent the whole operation.<sup>15</sup> However, there is a limit to the extent to which the latitude in decision making allowed to traffic commissioners can go to overcome problems of methods and sizes of samples, and of special traffic situations.<sup>16</sup> It is for the traffic commissioner to weigh up the evidence and determine which is preferred having heard the witnesses.<sup>17</sup>

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<sup>10</sup> 2009/030 Pilkingtons Accrington Ltd. t/a King Transport

<sup>11</sup> Pilkingtons Accrington Ltd. t/a King Transport (as above)

<sup>12</sup> Pilkingtons Accrington Ltd. t/a King Transport (as above)

<sup>13</sup> 2012/015 First Manchester Ltd

<sup>14</sup> 2004/138 Parkash Ram Banga t/a Banga Travel

<sup>15</sup> Ribble Motor Services Ltd v Traffic Commissioner for the North West Traffic Area [2001] EWCA Civ 172

<sup>16</sup> 2000/057 & 2000/062 Yorkshire Rider Ltd & First Bristol Buses Ltd

<sup>17</sup> Parkash Ram Banga t/a Banga Travel (as above)

26. It is also important that traffic commissioners consider the question of the adequacy of monitoring in the round by adopting a global approach.<sup>18</sup>
27. This was further developed in *First Manchester*<sup>19</sup> which stated: *'If there is no evidence to suggest that the sample is not representative then the traffic commissioner is entitled to assume that it is. On the other hand if there is evidence, that tends to suggest that the monitoring exercise may not reflect the general level of performance on all of the operator's services, the traffic commissioner must assess it. If that assessment leads to the conclusion that the overall level of compliance differs from the level found by the monitoring exercise then the traffic commissioner must take this into account when deciding into which penalty range the case falls and where in the range it comes'*.
28. It is important that the traffic commissioner's statutory powers should not be emasculated by an over elaborate approach to the investigation or an unnecessary attention to detail.<sup>20</sup>
29. In regards to the provision of information and data, all operators have a positive duty to co-operate with the relevant enforcement agency and the traffic commissioner.<sup>21</sup>

### Reasonable excuse

30. The Upper Tribunal has confirmed that the burden of proof to establish reasonable excuse is on the operator.<sup>22</sup> The traffic commissioner's jurisdiction is essentially inquisitorial rather than adversarial in nature, and, there being no-one to adopt a prosecutor's role in seeking to disprove any excuses proffered, it should be for the operator to establish them.<sup>23</sup> The evidence to support the finding of reasonable excuse is peculiarly within the knowledge of the operator and so the burden remains upon him throughout.<sup>24</sup> Traffic Commissioners are entitled to look at the overall result, rather than being compelled to assess every single reason advanced for the failure of a particular service to operate compliantly.<sup>25</sup>
31. It is not possible to provide a precise definition of what does or does not amount to a reasonable excuse. Instead we intend to set out factors that should be taken into account and others which cannot be taken into account. The weight to be given to any factor will, of course, depend on the facts of the individual case.<sup>26</sup>
32. Operators who wish to advance a reasonable excuse to avoid a penalty must satisfy the traffic commissioner of two things. First, that the matters that are being advanced as a reasonable excuse have not already been taken into account in setting the timetable. Secondly, that but for the matters advanced as reasonable excuse the services run would have come within the target set by the traffic commissioners. In the view of the Upper Tribunal, matters that improve the compliance rate but do not

<sup>18</sup> Ribble Motor Services Ltd (as above)

<sup>19</sup> 2012/015 *First Manchester Ltd*

<sup>20</sup> Ribble Motor Services Ltd (as above); Arriva Tees and District Ltd & Arriva Teeside Ltd (as above); 2003/300, 2003/301 and 2003/302 *Andrews (Sheffield) Ltd, Yorkshire Traction Company Ltd and Barnsley & District Traction Company Ltd*

<sup>21</sup> 2010/064 *JWF (UK) Ltd*

<sup>22</sup> 2003/254 *Alison Jones t/a Shamrock Coaches; Ribble Motor Services Ltd (as above)*

<sup>23</sup> Ribble Motor Services Ltd (as above)

<sup>24</sup> *Yorkshire Rider Ltd & First Bristol Buses Ltd (as above)*

<sup>25</sup> *First Manchester Ltd (as above)*

<sup>26</sup> *First Manchester Ltd (as above)*

bring it within the target cannot amount to a reasonable excuse but they would be part of the circumstances of the case which must be taken into account when deciding the amount of the penalty.<sup>27</sup>

## Sanctions

33. The power to impose a penalty only arises where the Traffic Commissioner is satisfied that the operator has operated non-compliantly, 'without reasonable excuse'. In other words the existence of a reasonable excuse will prevent the traffic commissioner from imposing a penalty. The traffic commissioner is given discretion as to whether or not to impose a penalty.<sup>28</sup>
34. The object of imposing penalties is to focus minds so as to achieve the statutory purpose.<sup>29</sup> Penalties are only directed at failures to comply with registered services.<sup>30</sup> Traffic commissioners should continue to impose sanctions on those who seriously fail the travelling public.<sup>31</sup>
35. Case law identifies two factors to be taken into account in deciding whether to impose a penalty under Section 155:
  - Traffic commissioners must make an assessment of the individual case based on the facts as found, including the proper consideration of any reasonable excuse,<sup>32</sup>
  - Traffic commissioners should set out fully reasoned decisions as to why a penalty has been imposed.
36. Parliament has decided that the maximum penalty must be calculated by reference to the total number of vehicles which the operator is licensed to use and the penalty brackets indicated have been approved of on appeal.<sup>33</sup> Large penalties may be necessary to ensure that the statutory objectives are achieved.<sup>34</sup> However, traffic commissioners should take care to hear all relevant evidence when determining the level of any penalty.<sup>35</sup>

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<sup>27</sup> First Manchester Ltd (as above)

<sup>28</sup> First Manchester Ltd (as above)

<sup>29</sup> Andrews (Sheffield) Ltd, Yorkshire Traction Company Ltd and Barnsley & District Traction Company Ltd (as above)

<sup>30</sup> 2008/151 Tuc Tuc Ltd

<sup>31</sup> Ribble Motor Services Ltd (as above)

<sup>32</sup> Tuc Tuc Ltd (as above)

<sup>33</sup> First Manchester Ltd (as above)

<sup>34</sup> 2007/318 Eurotaxi

<sup>35</sup> First Manchester Ltd (as above)

## **DIRECTIONS**

- 37.** The Senior Traffic Commissioner for Great Britain issues the following Directions to traffic commissioners in England and Wales under section 4C(1) of the Public Passenger Vehicles Act 1981 (as amended). These Directions are addressed to the traffic commissioners in respect of the approach to be taken by staff acting on behalf of individual traffic commissioners and dictate the operation of delegated functions in relation to local bus services in England (outside London) and Wales.

### **Standards**

- 38.** The relevant enforcement agency and third party monitors will record departure times from registered principal timing points except at final destination points where they will only check against late arrival times.

### **Timetabled services**

- 39.** Bus operation is complex and susceptible to external factors (such as road works and congestion). A degree of flexibility ('window of tolerance') has therefore been set when determining if services run on time. Buses should not depart from starting points and registered principal timing points more than 1 minute early or more than 5 minutes late, or arrive at the final destination point more than 5 minutes late. In general, 95% of buses should meet this standard.
- 40.** It is acceptable for buses to arrive early at their final destination, but the traffic commissioners do not expect to find undue recovery time inserted in the timetable towards the end of a journey.

### **Frequent services**

- 41.** Where the service interval is 10 minutes or less, 6 or more buses should depart within any period of 60 minutes and the interval between consecutive buses should not exceed 15 minutes. In general, 95% of buses should meet this standard.

### **Principal timing points**

- 42.** In the interests of passengers, traffic commissioners have previously not accepted principal timing points more than 15 minutes apart (except where the next stop is more than 15 minutes running time from the preceding stop). However, in some cases these restrictions have led to defensive registrations and do nothing to promote efficient and punctual journeys or good experiences for the passengers. Greater flexibility is therefore required and the 15 minutes is now to be regarded as a starting point.
- 43.** However, members of staff are directed to look for the registration of the following principal timing points in order to facilitate the monitoring of punctuality:
- key interchanges with other bus routes;
  - railway stations;



- at least one bus stop in every town and village along the route with a population of more than 2,000 people;
- at least one bus stop on each different section of route where alternative routes between a common destination are contained in one registration.

### **Service amendment notice**

44. Staff are encouraged to ensure that they do not adopt an overly prescriptive approach regarding service amendment notices. For example, where failings are identified it may be helpful for staff to recommend to the traffic commissioner to grant short notice of an application or variation designed to achieve compliance.

### **Public Inquiry**

45. The value of hearing all of the relevant evidence and submissions at Public Inquiry is long established and traffic commissioners are careful to ensure that each case is dealt with on its own facts. A case that may appear to be very serious from an initial reading of the submission can in fact turn out not to require severe regulatory action once all the evidence has been heard. Conversely, a case that initially appears not to be serious can then in fact require severe regulatory action.
46. Public Inquiries are part of a range of tools available to traffic commissioners to ensure compliance and include the ability to prepare a report recommending the implementation of remedial measures to be taken by the operator and/or the local traffic authority. Preliminary hearings can be useful in determining whether to take regulatory action.<sup>36</sup>
47. When considering whether to convene a Public Inquiry, and at the hearing itself, the traffic commissioner will need to take account of any relevant previous history.
48. The traffic commissioner must make a finding on whether the operator has a reasonable excuse for the failures. A reasonable excuse could include, but is not limited to:
- the impact of breakdowns, accidents and road closures and roadworks;
  - obstruction at bus stops;
  - severe weather conditions; and
  - the changing or closure of the road infrastructure without prior consultation.
49. It may be necessary for the traffic commissioner to examine the operator's contingency planning to determine what is reasonably foreseeable and to consider the resources available to the operator.
50. The traffic commissioner will also wish to consider whether the operator has proactively managed registered services with the objective of achieving appropriate levels of reliability and punctuality, in particular:

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<sup>36</sup> See STC Statutory Document No. 9 on Case Management.

- whether the registration has been regularly reviewed in the light of known road conditions and the resources available to the operator;
- whether the control strategies are appropriate and adequate;
- whether adequate resources are provided.

**51.** There are a number of circumstances under which a Public Inquiry is likely to be called. These include:

- where the operator and/or local authority has failed to co-operate with the relevant enforcement agency investigation;
- where a complaint, for example about poor punctuality, has been received;
- where a partnership exists but one or more of the partners is deliberately departing from the agreed action plans; and
- where a partnership is working together but the proposed actions have failed to deliver any improvements and subsequent reviews are still failing to deliver any improvements.

**52.** At the Public Inquiry the traffic commissioner can hear full and detailed evidence of all relevant issues and of the steps taken by the operator and the local traffic authority to improve compliance. The traffic commissioner can obtain a structured and timed action plan to improve compliance and where appropriate this can be put into the public domain. The onus is on the operator and local traffic authority to provide regular updates to the traffic commissioner who can then ascertain if the plan is working. In such cases it will always be open to the traffic commissioner to convene a further Public Inquiry.

### **Starting points**

**53.** Where the compliance rate is below 80% a Public Inquiry is likely to be called.

**54.** Where punctuality is between 80% and 95% the case is likely to be referred to the traffic commissioner. In such cases the traffic commissioner may give the operator time to resolve punctuality issues and demonstrate a programme for continuous improvement. The traffic commissioner may request the relevant enforcement agency and/or the operator to provide update reports at 6 months and 12 months.

**55.** In some cases it may be appropriate to attach a condition in view of the danger to the public involved in the operator's conduct or the frequency of conduct. As per the legislation, this conduct includes:

- intentional interference with the operation of a local service provided by another operator;
- operation of a local service in a manner dangerous to the public; and
- being guilty of serious misconduct in relation to the operation of a local service.

56. When deciding whether to impose a penalty a traffic commissioner should take account of any partnership arrangements and how effectively the operator and local authority have worked together as well as performance levels. The traffic commissioner should also consider what steps the operator has taken to ensure compliance.
57. Whilst penalties can be used to focus the mind of operators, they:
- provide limited benefits to those passengers affected by the poor performance;
  - do not guarantee improvements; and
  - do not reflect the role that a local traffic authority might have played.
58. Where passengers have suffered sustained poor performance and where an operator is failing to take prompt and appropriate remedial action it may be beneficial to order compensation to passengers.
59. The application of a penalty (financial or otherwise) is likely to be most appropriate where an operator makes little or no effort to run reliable and punctual services, or shows a flagrant disregard for compliance or fair competition.
60. In the interests of consistency, the Senior Traffic Commissioner directs that the following starting points are used when using powers to impose a penalty (financial or otherwise) under section 155 of the TA 2000:
- under 95% compliance – up to £100 per authorised vehicle;
  - under 90% compliance – £100 - £250 per authorised vehicle;
  - under 85% compliance – £250 - £400 per authorised vehicle;
  - under 80% compliance – £400 - £550 per authorised vehicle.
61. However, traffic commissioners can exercise discretion where they are satisfied that a different standard would be more appropriate. Traffic commissioners will also follow the principle of proportionality when considering the amount of penalty to impose taking care to ensure that the amount of the penalty reflects the scale of the failure/s. Traffic commissioners should therefore take care to hear all relevant evidence regarding the effect of any intended penalty orders.

### **Data & Information**

62. All operators have a positive duty to co-operate with the relevant enforcement agency.<sup>37</sup> Traffic commissioners and their staff can therefore expect to have access to sufficient data and information in order to undertake their duties. Failure to provide sufficient data may, in certain circumstances, have an impact upon that operator's reputation.

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<sup>37</sup> JWF (UK) Ltd (see above)

63. It is not reasonable to require that operators keep a 100% record of their services as this may create an unnecessary burden. As a general principle operators are expected to ensure compliance with the registered particulars.
64. Monitoring needs to vary according to the reliability and punctuality of the route as well as service frequency. The less reliable the route the more monitoring and remedial action will be required. Conversely where a service is achieving high compliance then less monitoring will be required. The method of monitoring will vary according to the type and size of operator and the type of equipment and facilities that it has available.

# ANNEX TO GUIDANCE – EXAMPLES OF A GOOD OPERATION

This Annex is presented in accordance with the Regulators' Code<sup>38</sup> to ensure clear information, guidance and advice is available to help those they regulate meet their responsibilities to comply, and that the approach to regulatory activities is transparent.

Presented below is a checklist of some of the activities that the Senior Traffic Commissioner would expect to see in a good bus operation. It is important to emphasise that all operators have a positive duty to co-operate with the relevant enforcement agency and the traffic commissioner in the provision of information and data.

## Operators

### Registration of service/s

- ensure that clear and accurate registrations are made, kept up to date and cancelled in line with regulations;
- ensure that the timetable is properly calculated, realistic and achievable;
- take advantage, where possible, of the electronic bus service registration process (EBSR);

### Monitoring

- keep records of compliance with the registered particulars (including using real time information (RTI) and Automatic Vehicle Location (AVL) systems where available);
- undertake monitoring on the route itself (including the use of daily logs), whether by way of regular feedback from the driver or by the placement of roadside monitors;
- analyse the data collected and establish the compliance percentage levels on each service;
- after analysis, set achievable and realistic but stretching compliance targets;
- keep a record of any matters that affect the reliability of services and details of the remedial action to try and mitigate the impact;
- regularly review registered timetables and submit timely variations where appropriate;
- keep sufficient records to demonstrate that there is proper monitoring (which can vary according to the reliability and punctuality of the route as well as service frequency) of all services;
- publish punctuality targets and associated compliance so that performance can be reviewed and tracked;
- share performance data information with local traffic authorities to better understand highway performance;
- establish a full and regular dialogue with local authorities and other relevant parties (such as utility companies) to ensure that advance notice of potential disruption to services (such as road works) is received;
- where a partnership is in place, notify and provide up to date details to the traffic commissioner and/or relevant enforcement agency and share reports on the levels of punctuality / reliability;

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<sup>38</sup> <https://www.gov.uk/government/publications/regulators-code>

- collate evidence of partnership working with the relevant local authority on reliability and punctuality;
- where partnership working is not in place have the necessary evidence to show the steps taken to initiate this;

#### Systems / Resource

- have dedicated resource for service performance management;
- have processes and sufficient resources in place (taking account of peak vehicle requirements) to ensure that services can be operated in accordance with the registered particulars;
- have systems in place for addressing any issues found (including punctuality and reliability issues);
- consult local traffic authorities on any proposals to change routes or timetables in advance of the registration application;
- have proper systems in place for managing and diverting resources such as having cover for driver illness, vehicle breakdown and the like;
- have a visible, transparent and easy to use compliant handling procedure for all passengers (covering all areas of possible complaint, and guidance on appeals procedures);
- consult with passengers to understand preferences between simplicity, speed and punctuality.

#### **Local authorities**

It is for each local traffic authority to decide how they will undertake their duties, including the management of the road network. However, activities to ensure a good operation are likely to include:

- monitoring and managing traffic flow;
- managing traffic signals;
- coordinating and managing road and street works effectively;
- managing individual incidents as and when they occur;
- controlling parking, including bus lane enforcement;
- requiring operators to monitor the performance of services and inform the authority of any difficulty in maintaining timetables;
- providing operators with detailed, frequent, clear and advance information about emergency and programmed works on the highway (both highway and statutory undertaker works and Traffic Management Act pre-notice requirements when these apply);
- undertaking effective and regular dialogue with operators, including on major infrastructure changes and resulting impacts on services.