



Ministry of Housing,
Communities &
Local Government

The Private Parking Certification Scheme

VERSION 1.0



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October 2026

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Introduction

The Private Parking Certification Scheme (the Scheme) is the mechanism to formally recognise and monitor the compliance of the private parking industry with [the Private Parking Code of Practice](#) (the Code), issued under [Section 1 of the Parking \(Code of Practice\) Act 2019](#).

Whilst the Code sets out requirements that the private parking industry must follow when enforcing parking restrictions and charges on private land, the Scheme provides a framework for assessing the industry's conformity with the standards set out in the Code.

The Scheme comprises three modules designed to certify distinct sets of processes undertaken by the private parking industry to manage parking facilities, issue parking charges, and enforce unpaid parking charges or unpaid parking tariffs on relevant land.¹

This document sets out the processes each module is intended to assess, maps those processes to the relevant Code of Practice standards against which conformity will be assessed, and specifies the assessment activities required to determine an applicant's conformity with the Code.

The Scheme is owned and operated by the Ministry of Housing, Communities & Local Government (MHCLG). However, the Scheme has been designed as a third-party certification system. This means only Conformity Assessment Bodies (CABs) approved by the MHCLG and accredited by the United Kingdom Accreditation Service (UKAS) are able to certify compliance with the Code.

CABs are responsible for administering the Scheme, including processing certification applications, conducting conformity evaluations, issuing conformity certificates, undertaking surveillance activities, managing non-compliance (including the suspension or withdrawal of certificates), and handling appeals against CAB certification decisions.

The certification activities carried out by Conformity Assessment Bodies are intended to operate in accordance with ISO/IEC 17065:2012, the internationally recognised standard governing certification bodies. The structure and operation of the Scheme itself has been developed in accordance with ISO/IEC 17067:2013 and follows a Type 6 certification approach for the certification of processes.

The MHCLG will maintain the contents of the scheme through regular reviews.

¹ As defined by section 10(3) of the Parking (Code of Practice) Act 2019 and paragraph 3 of Schedule 4 to the Protection of Freedoms Act 2012

1. Scope

1.1 The Scheme applies to all organisations within the scope of the Private Parking Code of Practice. Organisations in scope shall be certified against one or more of the following categories, depending on the business activities they undertake:

- a) Management of private land through enforcement of notices of parking charges or unpaid tariffs;
- b) Processing or issuing notices relating to parking charges or unpaid tariffs on behalf of parking operators as a third party;
- c) Processing first stage appeals against notices of parking charges or unpaid tariffs on behalf of parking operators as a third party;
- d) Pursuing unpaid parking charges or unpaid tariffs through debt recovery, either as a parking operator or as a third-party acting on behalf of a parking operator.

2. Terms and definitions

In this document:

“**shall**”/“**must**” indicates a requirement

“**should**” indicates a recommendation

“**may**” indicates a permission

“**can**” indicates a possibility or a capability

2.1 Accredited Parking Association (APA) – a parking trade body, accredited by the Secretary of State, under section 5 of the Parking (Code of Practice) Act 2019, and whose members have been certified to comply with the Private Parking Code of Practice by a Conformity Assessment Body (CAB), which itself has been accredited by the United Kingdom Accreditation Service (UKAS), the national accreditation body.

Note 1: The Secretary of State accreditation of parking trade bodies and UKAS accreditation of CABs should be differentiated. The Secretary of State accreditation refers to fulfilment of requirements placed on the parking trade bodies by the Secretary of State in order to facilitate the release of contact details of the registered keeper of vehicles to their members. In contrast, UKAS accreditation refers to attestation of a CABs process, competence and independence to administer the Scheme.

2.2 Certification Requirement – a specified requirement that is fulfilled by the certification applicant or certified organisation as a condition of establishing and or maintaining certification [SOURCE: ISO 17065:2012, 3.7].

2.3 Conformity Assessment Body (CAB) – a body that is accredited in accordance with ISO/IEC 17065 conformity assessment by UKAS and undertakes assessment and surveillance activities in line with the requirements of this Scheme and the Private Parking Code of Practice.

2.4 Creditor – an organisation who is entitled to recover unpaid parking charges from the driver, registered keeper or vehicle hirer.

2.5 Debt Recovery – is the process of a creditor reclaiming money owed, involving steps from initial reminders and formal letters up to legal action like court claims, either handled internally or outsourced to specialist agencies.

2.6 Non-conformance/Non-conformity – failure to meet one or more of the specified standards or to adhere to the requirements of the Scheme.

2.7 Process – set of interrelated or interacting activities which transforms inputs into outputs.

Note 1: A process is considered to be the object of conformity assessment by certification.

Note 2: In this document, a certification process is a set of activities which deliver a certified process.

[ISO 17032, 3.1].

- 2.8 **Parking Operator** – an organisation who provides, operates or manages private parking facilities and is entitled to seek to recover unpaid tariffs or parking charges from the driver, keeper or hirer of the vehicle, and/or where they are instructed, third parties acting on behalf of a parking operator such as (but not limited to) debt recovery agencies and law firms.
- 2.9 **Sampling** – provision of a sample of the object of conformity assessment, according to a procedure.
- 2.10 **Scheme Owner** – the Private Parking Certification Scheme Owner is the Ministry of Housing, Communities & Local Government.
- 2.11 **Surveillance** – systematic iteration of conformity assessment activities, as a basis for maintaining the validity of the certificate of conformity.
- 2.12 **(Specified) Standard(s)** – standards and requirements enshrined in the Private Parking Code of Practice or this Scheme.
- 2.13 **The Appeals Service** – a body authorised by the Secretary of State to determine appeals against notices of parking charges where an appeal to a parking operator has been made but not upheld.
- 2.14 **The Scheme** – the Private Parking Certification Scheme.
- 2.15 **UKAS** – the United Kingdom Accreditation Service, appointed by government under the Accreditation Regulations 2009 to assess and accredit organisations that provide services including certification, testing, inspection, calibration, validation and verification.

3. Conformity assessment bodies

3.1 CABs carrying out conformity assessment and certification against this document must be:

- a) approved by the Scheme Owner to administer the scheme; and
- b) accredited by UKAS under ISO/IEC 17065 and the Private Parking Certification Scheme.

3.2 In order to obtain the Scheme Owner's approval, CABs shall apply to the Scheme Owner for a letter of approval before they apply to UKAS for accreditation. CABs can do so by:

- Emailing Parking@communities.gov.uk, or
- Writing to:

Private Parking Certification Scheme Owner
Communities Governance and Institutions
Ministry of Housing, Communities & Local Government
Fry Building
2 Marsham Street
London
SW1P 4DF

3.3 When writing to the Scheme Owner to request the letter of approval, CABs shall provide:

- i. a description of their organisation;
- ii. reason(s) for application, including confirmation that the applicant is seeking a letter of approval with the intention of obtaining UKAS accreditation against the Scheme; and
- iii. a confirmation it agrees to all Terms and Conditions of approval (a template is included in Annex 3).

3.4 Where a letter of approval is issued, CABs shall use the letter to apply for UKAS accreditation to certify processes against the Code of Practice.

3.5 The Scheme Owner may withdraw approved status from a CAB if it no longer conforms to the Terms & Conditions of approval or loses its UKAS accreditation. Before withdrawing approved status from a CAB, the Scheme Owner shall, by written notice, inform the CAB of its intention to do so. The written notice shall:

- state the reason(s) why the Scheme Owner is intending to withdraw approved status;
- explain that the CAB may make written representations to the Scheme Owner about the intention to withdraw approved status; and
- allow a 20-working day period within which the CAB may make those representations.

3.6 After reviewing any representations made, the Scheme Owner will inform the CAB of the outcome. Where a decision is made to withdraw approval status, the Scheme owner will also inform UKAS.

3.7 CABs approved by the Scheme Owner and accredited by UKAS, shall be responsible for administering the Scheme which includes:

- Processing certification applications;
- Conducting conformity evaluations;
- Issuing conformity certificates;
- Carrying out annual surveillance;
- Dealing with non-conformance, including sanctions;
- Handling appeals against certification decision or sanctions imposed;
- Reporting to the Scheme Owner.

4. Scheme design and structure

- 4.1 The Scheme has been designed to comply with ISO/IEC 17065:2012, the internationally recognised standard for bodies certifying products, processes and services. ISO/IEC 17065 establishes requirements for how CABs conduct certification activities, including the evaluation of conformity, certification decision-making, surveillance and management of certification. The Scheme has also been developed in accordance with ISO/IEC 17067:2013, which provides principles for developing, operating and maintaining certification schemes for products, processes and services.
- 4.2 In developing this Scheme, the Scheme Owner determined that the appropriate object of certification is the processes used by organisations operating within the private parking sector, rather than the services they provide. This is because the Private Parking Code of Practice primarily prescribes how organisations must undertake specific operational activities, such as erect signage, issue parking charges, handle appeals and recover unpaid parking charges. The purpose of certification is therefore to assess whether those activities are carried out through processes that conform to the requirements of the Code and this Scheme. Accordingly, the Scheme operates as a Type 6 certification scheme as described in ISO/IEC 17067:2013. Under ISO/IEC 17067, a Type 6 scheme is used for the certification of processes and combines an initial evaluation, an independent certification decision and ongoing surveillance activities to provide continuing assurance that certified processes remain compliant with specified requirements.
- 4.3 The object of certification under this Scheme is therefore the processes operated by organisations within the scope of the Private Parking Code of Practice. Certification applies only to the processes within the certified scope and does not certify an organisation as a whole, nor the quality of a service, personnel or business performance. Certification provides independent third-party attestation that the certified processes conform to the requirements of the Private Parking Code of Practice and this Scheme and that conformity is subject to ongoing surveillance by a CAB approved by the Scheme Owner and accredited by UKAS. Certification does not guarantee that every parking charge notice issued, appeal determined or debt recovery action taken will be free from error. Rather, it provides assurance that the organisation has established and operates processes designed to comply with the requirements of the Code and that those processes are subject to independent oversight.
- 4.4 The Scheme recognises that the private parking industry is made up of different organisations who often perform different roles in the enforcement of parking restrictions on relevant land. To ensure that organisations are assessed against the specific processes they undertake, the Scheme is broken down into modules specific to the scope of their business activities.
- 4.5 The modules fall into two categories:
- Pre-requisite module, and
 - Core modules

- 4.6 The pre-requisite module consists of one mandatory module (module 1) which applies to all organisations in scope of certification. It will assess general requirements of the Code and the Scheme such as complaints handling and compliance monitoring.
- 4.7 Core modules consist of two standalone modules (modules 2 and 3). Module 2 assesses enforcement of parking restrictions on private land through issuing notices of parking charges or unpaid tariffs. Module 3 assesses enforcement of unpaid parking charges or unpaid tariffs through debt recovery once the parking charge or unpaid tariff becomes overdue.
- 4.8 As the core modules are specific to different roles performed in the private parking sector, not every module is applicable to every organisation applying for certification. To illustrate, where an organisation only handles recovery of unpaid parking charges, for example, a Debt Recovery Agency, they will need to be certified against prerequisite module 1 and core module 3. However, if that Debt Recovery Agency also carries out early back office work, such as issuance of parking charge notices by post and/or processes appeals against notices of parking charges on behalf of parking operators, the Debt Recovery Agency will also need to be certified against Module 2, insofar as it relates to the notice processing and appeal handling tasks they undertake.
- 4.9 Table 1 below maps which modules apply to which organisation in scope of certification under the Scheme.

Table 1

Category	Modules	Who for
Prerequisite	Module 1	Applies to all organisations in scope for certification under the Scheme.
Core	Module 2	Applies to: a) Parking operators who enforce parking restrictions by issuing notices of parking charges or unpaid tariffs, b) third parties who request registered keeper data from the Driver and Vehicle Licensing Agency to process or issue notices of parking charges or unpaid tariffs on behalf of parking operators, and c) third parties who consider first stage appeals against notices of parking charges or unpaid tariffs on behalf of parking operators.
	Module 3	Applies to: d) Organisations who pursue unpaid parking charges or unpaid tariffs through debt recovery process. For example: debt recovery agencies or parking operators resolving unpaid parking charges in-house after a parking charge or tariff becomes overdue.

5. Certification phases

Phase 1 – Application

5.1 Organisations may apply for certification to any Conformity Assessment Body approved by the Scheme Owner to administer the Scheme and accredited by UKAS under ISO/IEC 17065 and the Private Parking Certification Scheme, in accordance with that CAB's internal application process.

5.2 A completed application in writing shall include:

- a) the legal entity making the application for certification, including what they do and where they are based;
- b) general information about the business practices relevant to the scheme, e.g.: for parking operators - type(s) of land managed (public use car parks, private use car parks, prohibited parking areas such as no stopping zones, etc.), type of car park management provided (on site patrolling, ANPR, CCTV, Pay and Display, etc.), including the number of sites under management and where in the UK the sites are located, and the number of notices of parking charge issued in the last 12 months.
- c) information concerning any outsourced processes that may affect conformity to the requirements of the Scheme, including the contractual controls for third party outsourcing;
- d) which certification module(s) is/are relevant to their activity including a description of the processes to be certified.

Phase 2 – Application Review

5.3 A paper application review shall be undertaken within 5 working days of receiving a completed application in writing.

5.4 The purpose of the application review is to ensure that the information about the applicant is sufficient for the conduct of the certification, and to determine whether the CAB has the competence, capability and the means to undertake the certification.

5.5 As a result of the application review, the CAB shall review the information obtained at application stage to:

- a) determine whether the information about the client and the product is sufficient for the conduct of the certification process;
- b) confirm the scope of certification sought;
- c) confirm the CAB has the competence, capability, and the means to perform the certification;
- d) confirm a plan for evaluation activities;
- e) provide a quotation for the certification services.

Phase 3 – Certification Agreement

5.6 Once the Application Review has been completed, the CAB shall ensure that a legally enforceable Certification Agreement for the provision of certification services to the client is in place.

5.7 The Certification Agreement shall be signed by the applicants prior to the commencement of evaluation activities and shall require the applicant and any certified organisation to:

- a) fulfil the certification requirements, including implementing appropriate changes when they are communicated by CAB;
- b) make all necessary arrangements for evaluation, surveillance, intelligence-led audits, and other certification activities undertaken under the Scheme, including providing access to relevant documentation, records, personnel, contractors, sites and processes;
- c) maintain records of complaints relating to the certified processes, take appropriate corrective action where required and make those records available to the CAB upon request;
- d) cooperate with any investigation of alleged breaches of the Code or the Scheme undertaken by the CAB;
- e) comply with any requirements relating to the use of certificates, including that they must not misrepresent the scope of their certificate or use certification in a misleading manner. They must ensure any claims regarding their certification status relate only to the certified scope of the scheme.
- f) notify the CAB without undue delay of any changes that may affect conformity with certification requirements, including changes to ownership, legal status, organisational structure, management arrangements, certified processes, outsourced activities (within the scope of the scheme) or operating locations;
- g) upon suspension, reduction of scope, withdrawal or termination of certification, cease making any certification claims outside the certified scope, discontinue use of any materials referring to the affected certification and comply with any instructions issued by the CAB regarding certification documentation;
- h) acknowledge that information and records relating to certification activities may, where necessary for the operation, oversight, monitoring, review or assurance of the Scheme, be disclosed by the CAB to the Scheme Owner, UKAS, the DVLA, or other bodies authorised under the Scheme, subject to applicable confidentiality obligations and legal requirements.

Phase 4 – Initial Assessment

5.8 The initial assessment primarily assesses whether the certification applicants' policies and procedures adhere to the Code requirements relevant to the scope of certification. The Assessment section of this document identifies evaluation activities to be used for the initial assessment for each of the modules and links the relevant processes to the applicable Code standards against which they will be assessed.

5.9 Based on the evaluation activities specified in the following sections of the Scheme, the CAB shall prepare an evaluation plan that reflects the scope of certification sought. The evaluation plan should state:

- a) processes to be assessed;
- b) the standards that set out the process requirements;
- c) the evaluation activities to be used for assessing the processes;
- d) the evidence required to assess process compliance with identified standards.

5.10 To ensure both the auditors and the applicants are at the correct level of preparedness, evaluation plans shall be shared with the applicants prior to the evaluation. In turn, the applicants shall provide the CAB with the required evidence to conduct initial assessment within timeframes set by the CAB.

5.11 The CAB shall assign personnel with appropriate competence and expertise to undertake the evaluation activities identified in the evaluation plan.

5.12 CABs shall review the evidence provided by applicants and undertake the evaluation activities specified in the evaluation plan to determine whether processes within the scope of certification sought conform to the applicable requirements of the Code and this Scheme. Processes that do not meet the specified standards are referred to as non-conformities. The CAB will inform the applicants if any non-conformities are identified. Where non-conformities are identified and where applicants express interest in continuing the certification process, the applicant must correct all non-conformities before continuing with the certification. The CAB will provide information regarding the additional evaluation tasks needed to verify that the non-conformities have been corrected. If the applicant agrees to completion of the additional evaluation tasks, the initial assessment shall be repeated to complete the additional evaluation tasks.

5.13 The CAB shall document the results of all evaluation activities, including evidence reviewed, conformity determinations and any non-conformities identified. The evaluation records shall be completed prior to the review stage described in Phase 5.

Phase 5 – Review

5.14 Once initial assessment activities are completed, the CAB will assign at least one person to review all information and results related to the initial evaluation. The review shall be carried out by a person (or persons) who has/have not been involved in the evaluation process (phase 4).

5.15 The purpose of the review is to determine whether the evaluation activities have been completed in accordance with the Scheme requirements and whether sufficient objective evidence exists to support a certification decision.

5.16 Recommendations arising from the review shall be documented prior to the certification decision being made.

Phase 6 – Certification Decision

5.17 Following completion of the review, the CAB shall make a certification decision based on:

- a) the results of the evaluation activities;
- b) the outcome of the review; and
- c) any other relevant information obtained during the certification process.

5.18 The certification decision can be made by the same person(s) who completed the review or by another person(s), provided they have not been involved in the evaluation activities (phase 4). The CAB shall be responsible for and retain authority for all decisions relating to certification. Responsibility for certification decisions shall not be outsourced or delegated.

5.19 Where the certification decision is positive, certification may be granted. Where the certification decision is negative, certification shall not be granted and the applicant shall be informed of the reasons for the decision.

Phase 7 – Issue Certificate of Conformity

5.20 Following the decision to grant certification, the CAB will issue a Certificate of Conformity. The Certificate of Conformity shall only be issued to the applicant if:

- a) the Certification Agreement has been completed and signed;
- b) certification requirements have been fulfilled; and
- c) the decision to grant or extend the scope of certification has been made.

5.21 The Certificate of Conformity will contain:

- a) the name of the certification scheme;
- b) the name and address of the CAB that granted the certification;
- c) the date certification is granted;
- d) the name and address of the certificate holder;
- e) the scope of the certification as per Annex 1;
- f) the expiry date of certification; and
- g) a unique reference number.

5.22 Certificates, once issued, are valid for three years, subject to satisfactory ongoing surveillance, as described below.

5.23 The Certificate holders can use the certificate as evidence of conformity with the Code to join one of the Accredited Parking Associations (APAs) with the ability to request registered keeper data from the Driver and Vehicle Licensing Agency (DVLA).

5.24 Where the certified organisation's remit changes, for example, it wishes to do debt recovery in-house, but has been only certified to manage private parking facilities, the organisation will have to extend the scope of certification. Subject to successful completion of module 3, the original certificate will then be upgraded to extend the scope of certification

to include the recovery of unpaid parking charges. Annex 1 provides guidelines and examples for producing scope statements for different certificates.

5.25 It should be noted, however, that the upgraded certificate will have the original certificate's expiry date irrespective of when the scope of certification was extended.

5.26 The CAB shall maintain a public registry of current certifications on its website. As a minimum, the public registry shall include: name and address of certified organisation, the scope of certification, and the date when the certificate expires.

Phase 8 – Surveillance

5.27 There are two types of surveillance that the CAB will carry out to monitor ongoing conformity of certified organisations:

- I. Annual surveillance, and
- II. Intelligence led audits

Annual Surveillance

5.28 Annual surveillance consists of different activities designed to examine whether the certified processes are adhered to in practice, as well as to maintain the validity of the certificate of conformity. The Assessment section of this document specifies surveillance activities to be used to assess different processes within each module, and Annex 2 details the procedure for sampling required to conduct annual surveillance activities.

5.29 Annual Surveillance activities shall take place every 12 months, on the first and second anniversary of the initial certification. The CABs shall write to certified organisations to arrange annual surveillance activities and request information needed to carry out surveillance.

5.30 Based on the scope of the certificate, CABs shall update the evaluation plan to include the applicable annual surveillance activities. As with the initial assessment, the updated plan shall be shared with the certified organisation, together with the request for the evidence required to carry out the surveillance.

Intelligence Led Audits

5.31 Intelligence led audits can be prompted by alleged breaches reported by the public, the APAs, the DVLA, the Appeals Service, or self-reported by certified organisations. Intelligence led audits will look at specific non-conformity reported. For example, if a member of the public reports that a parking site does not have adequate signage, the CAB shall investigate the alleged breach and, where substantiated, consider appropriate action.

5.32 The Assessment section of this document specifies the procedure for dealing with breaches reported by the public and breaches self-reported by the certified organisations.

5.33 The activities performed during annual surveillance, including the intelligence led audits, shall be detailed in the evaluation plans.

Non-conformances

5.34 When a non-conformity is identified through Annual Surveillance or Intelligence led audit, the CAB shall consider appropriate action in accordance with section 7 of this document.

Phase 9 – Renewal

5.35 The Certificate of Conformity will expire 3 years after its issue. It is recommended that CABs send a renewal notice to the Certified Organisations at least 3 months before the expiry of their certification followed by two further communications to act as reminders. Responsibility for renewing certification remains with the certificate holder.

5.36 To renew certification, organisations must re-apply for certification and undergo a full reassessment. It is recommended that a recertification is completed in sufficient time, and no later than one month before the certificate expiry date.

5.37 When recertification activities are successfully completed prior to the expiry date of the existing certification, the expiry date of the new certification can be based on the expiry date of the original certification. The issue date on a new certificate can be on or after the recertification decision. A maximum of 60 days of remaining time on an existing certificate may be rolled over to a new certificate. This ensures that recertified organisations do not 'lose' time on their expiring certificate unnecessarily.

5.38 The CAB must notify the certified organisation's APA and the DVLA on the day the certificate expires including whether a new one has been issued. Where the certificate has been renewed, the CAB will update its public registry of current certifications. Where an organisation does not renew its certification, the CAB shall update its public registry the day the certificate expires.

6. Assessment

- 6.1 This chapter is split into two parts: i) a 'Modules' section, which covers the initial assessment and surveillance activities of each module, and ii) an 'Intelligence led audits' section, which sets out the process for investigating breaches reported to CABs.
- 6.2 The Modules section consists of three sections, covering processes and assessment activities within each of the three modules. Every process has its own table that identifies the applicable Code or Scheme requirements and specifies assessment activities to be used at different stages of certification to determine and monitor conformity with the specified standards.
- 6.3 To illustrate, each process table is divided into two sections: i) 'Standards', and ii) 'Assessment Activities'. Each section is further split into two columns. For example, in the Standards' section, the second column sets out the applicable Scheme or Code requirements for the process, while the first column describes the intended outcome where those requirements are implemented. The standards section should be used as criteria for determining process compliance. Fulfilment of all applicable Code standards within the scope of certification is mandatory for the grant of certification.
- 6.4 Similarly, the first column in the 'Assessment Activities' section, specifies the assessment activities to be used for the initial assessment when assessing conformity with the specified requirements, whilst the second column specifies the assessment activities to be used for annual surveillance to monitor the certified organisation's ongoing compliance.
- 6.5 The purpose of initial assessment is to determine whether an organisation seeking certification has adopted the Code requirements into their organisational policies and procedures. Process tables within each module specify assessment activities to be used to evaluate each process and documents required to be assessed. Explanatory notes are shown in *italic* text and are intended to provide examples of what certification applicants evidence should include.
- 6.6 Annual surveillance monitors implemented standards to ensure they are being adhered to in practice. Annual surveillance consists of different audit activities that are specified in each process table. Specification notes are shown in *italic* text to specify the procedure for conducting the audits.
- 6.7 Annual surveillance audits shall be conducted in years 2 and 3 of the certification cycle to allow certified organisations to embed the new standards and for CABs to assess the new data.
- 6.8 Finally, annual surveillance audits will require sampling of processes being reviewed. The sample size shall be determined by reference to Annex 2.
- 6.9 For both initial assessment and annual surveillance, CABs are expected to perform remote assessments of the operators processes. Remote assessments are appropriate for initial assessment activities because those primarily review whether organisations adopted applicable standards into their policies and procedures.

- 6.10 The majority of annual surveillance activities require case audits, which involve bringing together and reviewing information relating to interactions between the certified organisation and motorists. As with the initial assessment, the Scheme permits site audits undertaken as part of surveillance audits to be conducted remotely. This reflects the nature of site audits, which similarly require the review of multiple sources of information and documentation by CABs to assess compliance. Conducting site audits remotely aligns with other annual surveillance activities and enables efficient and accessible assessment across locations while providing sufficient information to determine conformity.
- 6.11 The following section of the Scheme sets out the initial assessment and annual surveillance activities used to assess the various processes, while Annex 2 describes the sampling approach and the conduct of each surveillance activity.

Module 1

M1.CH – Complaints Handling

Process ID: M1.CH Process name: Complaints Handling Process aim: To resolve any operational issues, drive customer satisfaction and improve business practices and outcomes. Applicable to: Any organisation seeking certification under the Scheme.			
STANDARDS		ASSESSMENT ACTIVITIES	
Process Outcome	Specified Requirements	Initial Assessment	Annual Surveillance
M1.CH1 The organisation has a documented policy for recording, investigating, and resolving complaints, which is in line with the Code. M1.CH2 The complaints are handled in a timely and non-discriminatory manner.	Code: 2.7 complaint definition; 11.1 Policy and procedure; 11.2 Complaints as appeals; 11.3 Timeframe for acknowledging complaints; 11.4 Timeframe for responding to complaints; 11.5 Complaints retention; 11.6 Complaints register. 18. Government Guidance	Validation of Complaints Policy.	Audit of complaints <i>*Please refer to Annex 2 for sampling methodology and process for auditing complaints</i>

M1.CM – Compliance Monitoring

Process ID: M1.CM Process name: Compliance Monitoring Process aim: To identify, manage, and mitigate any risks of non-conformance with the Code or the Scheme. Applicable to: Any organisation seeking certification under the Scheme.			
STANDARDS		ASSESSMENT ACTIVITIES	
Process Outcome	Specified Requirements	Initial Assessment	Annual Surveillance
M1.CM1 Organisation has a designated Compliance Officer to monitor compliance with the Code and the Scheme. M1.CM1.a Compliance Officer is registered with a CAB. M1.CM2 The organisation has a documented compliance monitoring plan that includes: • Risk assessment techniques; • Mitigation methods; • Reporting protocol, including requirement for staff to report breaches of the Code and the Scheme internally to the Compliance Officer, and the Compliance Officer to report the breaches to the CAB in line with the Scheme requirements. M1.CM3 Any non-conformance risks and breaches identified or reported are mitigated and rectified.	Scheme: • Organisations have a designated Compliance Officer who: ➤ Monitors operational processes and identifies risks of non-conformance with the Code or the Scheme; ➤ Mitigates risks and rectifies any non-conformance identified; ➤ Reports major non-conformities* to CAB within 1 working day of becoming aware of it. <i>* Section 7 of this document defines major non-conformities.</i>	• Registration of Compliance Officer(s); • Validation of Compliance Monitoring Plan	• Interviews with Compliance Officer(s). <i>*Please refer to Annex 2 for sampling methodology and process for conducting interviews</i>

M1.PS – Professional Standards

Process ID: M1.PS Process name: Professional standards Process aim: To ensure that staff, agents and sub-contractors used are suitably trained to perform their duties, and are aware of standards set out in the Code and requirements placed by the Scheme. Applicable to: Any organisation seeking certification under the Scheme.			
STANDARD		ASSESSMENT	
Process Outcome	Specified Requirements	Initial Assessment	Annual Surveillance
M1.PS1 Staff are trained to undertake specific tasks and these are listed on their record. M1.PS1.a Complaints Officers are trained to perform their roles. Training includes: • The Code and the Scheme requirements; • DVLA data security requirements; • Internal Complaints Procedure; • Complaints Handling; • De-escalation techniques; • Disability awareness. M1.PS1.b Compliance Officers are trained to perform their roles. Training includes: • The Code and the Scheme requirements; • Monitoring operational processes and identifying risks or non-conformities; • Mitigating risks and rectifying non-conformities; • Reporting non-conformities to CAB. <i>N.B.: Where organisation is certified against Modules 2 and/or 3, it must also have training set out in M2.PS and/or M3.PS.</i>	Code: 13.1.1. Provision of training; 13.1.2. Retention of training records; 13.1.3. Disclosure of training records.	• Validation of training policy	• Review of Employees' Training Records; and • Interviews with a) complaints officer(s), and b) compliance officer(s); <i>*Please refer to Annex 2 for sampling methodology and process for conducting interviews</i>

Module 2

M2.ES – Operating Enforcement Schemes and Erecting Signage

Process ID: M2.ES Process name: Enforcement Schemes and Signage Process aim: To ensure that schemes where parking charges are or shall be issued are implemented thoughtfully to achieve the needs of the landowner/occupier and drive compliance with parking terms and conditions. Applicable to: Private parking operators who manage private parking facilities by issuing notices of parking charges or pursuing unpaid tariffs.			
STANDARD		ASSESSMENT	
Process Outcome	Specified Requirements	Initial Assessment	Annual Surveillance
M2.ES1 Where relevant land is managed on a landowner's behalf, written confirmation or agreement is obtained by the parking operator from the landowner(s) to be able to do so and setting out obligations of both the landowner and the operator.	Code: 2.16 landowner definition; 3.2 Signs and surface markings; 14 Relationship with landowner; Annex F: Sample landowner/operator notice.	- Review of Enforcement Scheme Policy* <i>*Enforcement Scheme Policy should include different types of parking enforcement schemes the organisation operates or has plans to implement (for e.g.: ANPR, Self-ticketing, etc.) and as a minimum cover the following:</i> ➤ Process for identifying the land, and where applicable the landowner or anyone giving authority on behalf of the landowner. ➤ Determining the length of scheme(s); ➤ Process for determining terms and conditions; ➤ Process for determining size, location and content of signage; ➤ Determining need for line markings; ➤ Determining need for additional requirements for those with accessibility issues; ➤ Process for calculating appropriate consideration and grace periods.	Audit of sites* <i>*Please refer to Annex 2 for sampling methodology and process for conducting audits of sites</i>
M2.ES2 The land's boundaries are identified and clearly identifiable when on site.	14.1b a boundary map of the land managed.		
M2.ES2a Surface marking for delineated parking bays are clearly visible.	3. Signs and surface markings; 3.3 Surface markings - delineated parking bays.		
M2.ES3 Signage and notices, including on payment machines, and any other systems used, are prominently displayed throughout the site, are accessible, and clearly set out the obligations of drivers to ensure they are aware the land is managed and what they must do to comply with the site's T&Cs.	3.1.1 Entrance sign; 3.1.2 Entrance sign contents; 3.1.3 T&C signs; 3.1.4 Charge and Tarif font and size; 3.1.5 Tariff; 3.1.6 Visibility; 3.1.7 Durability; 3.2 Signs and surface markings – adjoining parking premises; 3.4 Material change – notices; 4. Accessible parking;		

	6.1 On-site payment; 6.2 Pay-and-display; 11.1 Complaints Handling; Annex A: Entrance signs.		
M2.ES4 All self-ticketers and their sites are registered with an APA.	15. Self-ticketing; 15.1a Self-ticketers registration;		
M2.ES4a All sites overseen by self-ticketers are audited by operators to ensure that signs have been installed and maintained in accordance with the Code's section 3.	15.1b Audits of Sites.		
M2.ES4b Operators undertake a thorough quality assurance check of the image(s) supplied by self-ticketers and maintain a record.	15.3 Quality Assurance.		
M2.ES5 The operator has the consent from the APA to which it belongs to the consideration periods it intends to apply in individual sites.	5.1 Consideration period; Annex B: Consideration and grace periods.		
M2.ES6 Site enforcing no-stopping has the consent from the APA to enforce no-stopping on evidenced security or safety grounds.	5.3 Prohibition on stopping; Annex E.		

M2.PC – Issuing of a Notice

Process ID: M2.N Process name: Issuing of a Notice Process aim: To notify motorists that they have breached parking terms and conditions which incurs a charge, how to make the payment or appeal the notice should they wish to dispute it and encourage compliance with parking restrictions in the future. Applicable to: Private parking operators who manage private parking facilities by issuing notices of parking charges or pursuing unpaid tariffs, third parties who process and issue postal notices of private parking charges or unpaid tariffs on behalf of private parking operators.			
STANDARD		ASSESSMENT	
Process Outcome	Specified Requirements	Initial Assessment	Annual Surveillance
M2.N1 Parking charges on relevant land are issued lawfully. Parking charges are issued only where evidence suggests a breach of parking T&Cs, and in accordance with the Code, as well as any other relevant statutory and regulatory requirements.	Code: 4. Accessible parking; 5.1 Consideration period; 5.2 Grace period; 5.3 Prohibition on stopping; 6.2 Pay-and-display; 6.3 Keying errors; 7.1 Use of photographic evidence technology; 7.2 Camera vehicles; 7.3 Use of photographic evidence; 7.4 Alteration of photographic evidence; Annex B; Annex C.	• Review of Issuing Parking Charge Policy; • Review of Communications policy; • Validation of Template Notices to keeper; • Validation of Template Notice to driver; • Validation of Template Notice to hirer.	• Audit of parking charges <i>*Please refer to Annex 2 for sampling methodology and process for conducting audits of parking charges</i>
M2.N1a Notices of Parking Charges in sites overseen by self-ticketers are issued at the time of the contravention by giving them to the driver or affixing to the vehicle; remote enforcement used only where justified.	15. Self-ticketing; 15.2 Notice Restrictions.		
M2.N2 Notices of Parking Charges issued to motorists are lawful and compliant with the Code.	8.1 Design and language; 8.2 Notice of parking charge – level; Annex C; 19. Appeals Charter (i); Paras 6-9 of Schedule 4 to the Protection of Freedoms Act 2012.		

M2.PA – Processing Appeals

Process ID: M2.PA Process name: Processing Appeals Process aim: To ensure motorists are afforded the right to appeal a notice of a parking charge or unpaid tariff and to ensure that organisations have processes in place to deal with those appeals. Applicable to: Private parking operators who manage private parking facilities by issuing notices of parking charges or pursuing unpaid tariffs, third parties who process first stage appeals against notices of private parking charges or unpaid tariffs on behalf of private parking operators.			
STANDARD		ASSESSMENT	
Process Outcome	Specified Requirements	Initial Assessment	Annual Surveillance
M2.PA1 Operators are adhering to their appeals policies and procedures. Policies and procedures for appeals against the validity of a parking charge or unpaid tariff adhere to the requirements of the Code, as well as any other relevant statutory and regulatory requirements. M2.PA2 Correspondence informing the motorist that an internal appeal has been rejected is compliant with the Code and provides information which explains what to do should the motorist disagree with the outcome. M2.PA3 Operators offer a second stage appeal to the Appeals Service and accept its determinations.	Code: 2.2 Appeals service definition; 8.3 Process for appealing a notice of parking charge; 11.2 Complaints as appeals; 19. Appeals Charter.	Validation of the appeals policy	Audit of first stage appeals <i>*Audit of first stage appeals forms part of the audits of parking charges. Please refer to Annex 2 for sampling methodology and process for conducting audits of parking charges.</i>

M2.SURV – Use of Surveillance Technology

Process ID: M2.SURV Process name: Use of Surveillance Technology Process aim: To ensure the safe and efficient management of controlled land remotely or aid enforcement officers. Applicable to: Private parking operators who manage car parks or prohibited parking areas with the use of surveillance technology.			
STANDARD		ASSESSMENT	
Process Outcome	Specified Requirements	Initial Assessment	Annual Surveillance
M2.SURV1 Where surveillance technology is used to enforce parking charges, the organisation has a policy for using surveillance technology, which adheres to the specified requirements of the Code and the needs of the enforcement scheme, as well as any other relevant statutory and regulatory requirements. M2.SURV2 Records of maintenance logs are retained to demonstrate that equipment is kept in good working order. M2.SURV3 Where an organisation uses camera vehicles to issue parking charges, the organisation has a policy for their usage, which adheres to the specified requirements of the Code and the needs of the enforcement scheme.	Code: 7. Camera images – e.g. ANPR; 7.1 Use of photographic evidence technology; 7.2 Camera vehicles.	- Validation of Surveillance technology policy. <i>*Surveillance technology policy which should include:</i> - Amended Surveillance Camera Code of Practice; - How the technology is synchronised; - Process for ensuring equipment used on controlled land is maintained and kept in good working order, including maintaining a maintenance log; - Completion of manual checks before issuing a Notice to Keeper, including a record of the individual completing the quality check; - How data captured is securely held and what measures are in place to stop it from being tampered with.	- Review of maintenance logs. <i>*As a minimum, maintenance logs should include:</i> ➤ Date check completed; ➤ Any issues found and how resolved (if applicable).

M2.PS – Professional Standards

Process ID: M2.PS Process name: Professional Standards Process aim: To ensure that staff performing roles related to issuing parking charges and handling appeals have been suitably trained and perform their roles in compliance with the Code. Applicable to: Private parking operators who manage car parks or prohibited parking areas by issuing parking charges, or third parties who process first stage appeals, and/or issue postal notices of private parking charges or unpaid tariffs on behalf of private parking operators.			
STANDARD		ASSESSMENT	
Process Outcome	Specified Requirements	Initial Assessment	Annual Surveillance
M2.PS1 Staff are trained to perform specific roles and a record is kept. M2.PS1.a Self-ticketers and/or staff working as parking attendants (i.e. on site) or operating ANPR/CCTV systems, as well as staff processing appeals are trained in the following: - Procedures required for the issuance of parking charges including: - Identification of parking breaches; - Evidence collection. - Relevant legislation including: - Protection of Freedoms Act 2012; - Private Parking Code of Practice; - The Data Protection Act 2018; - The Consumer Rights Act 2015; - The Digital Markets, Competition and Consumers Act 2024 (Consequential Amendments) Regulations 2025; - The Equality Act 2010; - Amended Surveillance Camera Code of Practice.	Code: 13. Professional standards; 13.1.1. Provision of training; 13.1.2. Retention of training records; 13.1.3. Disclosure of training records.	- Validation of training policy; - Validation of parking attendants ID card; - Validation of incentive scheme or confirmation that incentive schemes are not utilised.	Review of induction and training records.

• Conflict management and de-escalation techniques; • Disability awareness and equality; • Where applicable, importance of identifying themselves as a parking attendant, including: ➤ Carrying their identification card during work hours and displaying it on request by a driver; ➤ Wearing clothing that identifies them as parking attendants including the identification of the operator. M2.PS2.b Parking attendants have an identification card. M2.PS3 Where incentive schemes, relating to the issuance of parking charges are in place such schemes must comply with Code.	13.2.1 parking attendants ID card; 13.2.2 Display of ID card. 16. Incentive schemes.		
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Module 3

M3.CON – Establishing the driver's, keeper's or hirer's contact details

Process ID: M3.CON Process name: Establishing correct contact details. Process aim: To establish up-to-date contact details of the driver, keeper or hire company before commencing enforcement action to ensure that the notices are delivered to correct recipient and prompt engagement to resolve the case. Applicable to: Organisations who pursue unpaid parking charges and unpaid tariffs through debt recovery.			
STANDARD		ASSESSMENT	
Process Outcome	Specified Requirements	Initial Assessment	Annual Surveillance
M3.CON1 Before commencing enforcement action, organisations establish accurate and up to date correspondence details of the driver, keeper or hire company. M3.CON1a Where a new address is discovered, the notice of parking charge is re-issued at the original rate but with a further 28 days from service for a response (payment or appeal).	Code: 10. Action to recover unpaid parking charges.	- Review of Tracing Plan. <i>*Tracing Plan includes:</i> ➤ Step by step trace activities to establish correct contact details; ➤ How the information received will be validated to ensure it is accurate; ➤ When a trace provides a new address, the new address is used to contact a motorist; ➤ Where there is no communication from a motorist, additional traces are performed; ➤ Commitment to rectify contact information that is incorrect, including updating all records promptly and accurately; ➤ That appeals and discounted payments are permitted in accordance with the Code when new address is discovered.	Audit of Tracing <i>* Trace audits shall form part of the of unpaid parking charge and tariff audits under M3.RES</i>

M3.RES – Recovering unpaid parking charges and unpaid tariffs

Process ID: M3.REC Process name: Recovering unpaid parking charges Process aim: To recover unpaid parking charges or tariffs and resolve disputes. Applicable to: Organisations who pursue unpaid parking charges and unpaid tariffs through debt recovery.			
		ASSESSMENT	
Process Outcome	Specified Requirements	Initial Assessment	Annual Surveillance
M3.REC1 Communication with the driver, keeper or hirer is accurate and compliant with the Code. M3.REC2 Exceptional circumstances for appealing out of time are considered or cases referred back to the operator. M3.REC2a Debt recovery does not commence, and in the event where it has, is suspended, where a motorist lodges an appeal with the Appeals Service. M3.REC3 The organisation has a documented plan on how to identify vulnerable individuals. M3.REC4 The organisation provides flexible options for payment plans where motorist demonstrates they cannot pay within the requested period. M3.REC5 Where debt recovery fee is added to the parking charge, these are compliant with the Code.	Code: 4. Accessible parking; 8.3.9. Free debt/legal advice included in all pre-action or debt-recovery stage communications; 8.3.1.c) Process for appealing a notice of parking charge; 19. Appeals Charter; Annex D. 9. Escalation of costs; 8.2 Notice of parking charge – level.	- Review of processes for resolving unpaid parking charges or tariffs; - Validation of communication policy; - Validation of template notices, letter templates, and final reminders.	Audit of Unpaid Parking Charges <i>* Audit of Unpaid Parking Charges should follow the same sampling and auditing process as Auditing Parking Charges set out in Annex 2</i>

M3.PS – Professional Standards

Process ID: M3.PS Process name: Personnel Standards Process aim: To ensure that staff providing debt recovery services are suitably trained to perform their duties, are aware of standards set out in the Code and requirements placed by the Scheme. Applicable to: Organisations who pursue unpaid parking charges and unpaid tariffs through debt recovery.			
STANDARD		ASSESSMENT	
Process Outcome	Specified Requirements	Initial Assessment	Annual Surveillance
M3.PS1 Staff are trained to perform their roles and a record kept. M3.PS.a Staff providing a debt recovery service are trained in the following: • Relevant legislation including: ➢ Private Parking Code of Practice; ➢ The Data Protection Act 2018; ➢ The Consumer Rights Act 2015; ➢ The Digital Markets, Competition and Consumers Act 2024 (Consequential Amendments) Regulations 2025; ➢ The Equality Act 2010; • Data Protection Rules; • Tracing; • Disability awareness and equality; • Identifying different types of vulnerability; • Managing vulnerability ; • Repayment plan options and negotiating payment terms; • Conflict management and de-escalation techniques.	Code: 13. Professional standards; 13.1.1. Provision of training; 13.1.2. Retention of training records; 13.1.3. Disclosure of training records.	• Validation of training policy.	• Review of induction and training records.

Intelligence led audits

- ILD.1 The Scheme requires certified organisations to self-report major breaches of the Code or the Scheme to the CAB. The Scheme also allows the public and other interested parties, for example: the APAs, the DVLA or the Appeals Service to report the breaches to the CABs for investigation where the certified organisation fails to respond or address the breach.
- ILD.2 When a breach is reported, either by an interested party or self-reported by the certified organisation, the CAB shall determine whether the breach is substantiated and/or the extent of non-conformance.

Process for handling breaches reported by interested parties

- ILD.3 Where a breach is reported by the public, the CAB should first determine whether the breach reported is indeed a breach of the Code or a complaint relating to service(s) provided by the certified organisation. If the latter, the complainant should be advised to follow the certified organisation's complaints procedure.
- ILD.4 If the CAB identifies that the report relates to a breach or breaches of the Code, the CAB in the first instance should check whether the interested party who reported the breach(es) had initially reported it to the certified organisation. If the breach(es) had not been reported to the certified organisation first, the CAB will re-direct the matter to the certified organisation to allow them to address the issue. If the certified organisation fails to address the breach(es) reported or where the breach(es) had been initially reported to the certified organisation, but the organisation failed to respond or did not accept that the breach(es) occurred, the CAB will undertake an investigation to determine whether the breach(es) is/are substantiated.
- ILD.5 To determine whether a breach is substantiated, the CAB should first review the evidence provided by the interested parties. Where further evidence is required, the CAB shall request further information from the interested parties and/or the certified organisation.
- ILD.6 In addition to the review of evidence, the CAB may also conduct additional evaluation activities in order to verify the non-conformance reported or determine the extent of the nonconformity. Suitable evaluation activities will vary on case-by-case basis and can therefore include one or a combination of the following:
- On-site or remote visits;
 - Announced or unannounced observation or witnessing of the process;
 - Assessing resources used in the operation of the process;
 - Interview and communication with process personnel;
 - Audit of sites or any management system that enables the process owner to manage its operation;
 - Any assessment activities specified in the modules 1-3.
- ILD.7 If no breach has been identified when the investigation concludes, the CAB will close the case and inform the interested parties, including the certified organisation, of the outcome within 3 working days.
- ILD.8 If the breach has been substantiated, the CAB shall consider appropriate action in accordance with section 7 of this document. The CAB will inform the interested

parties and the certified organisation of the outcome. The certified organisation must rectify any non-conformity or provide mitigations to avoid future non-conformances within the period specified by the CAB.

- ILD.9 A record of all reported breaches made against the certified organisation shall be kept and regularly tracked by CABs. Failure to implement any corrective action identified by the CAB should be dealt with in accordance with the Section 7.

Process for handling self-reported breaches by certified organisations

- ILD.10 Self-reported breaches may not require CABs to carry out an investigation to substantiate the breach. However, in some cases the CAB may conduct additional evaluation activities listed above to verify the non-conformity reported or increase surveillance activities to determine the extent of non-conformance to prevent further breaches.
- ILD.11 As with breaches reported by the public, the certified organisation who reported a breach will have to rectify any non-conformity or provide mitigations for future within a period specified by their CAB.
- ILD.12 The CAB will record self-reported breaches and track progress of any corrective actions. Failure to implement corrective action(s) to address non-conformance should be dealt with in accordance with section 7.

7. Non-conformities and conditions on issuing, suspending, reducing scope or terminating certification

- 7.1 Examples of non-conformities include any failure to comply with the Code or the Scheme requirements relevant to the scope of certification. The CAB shall inform the certification applicants and certificate holders of any non-conformities identified, setting out timeframes and actions needed to rectify them.
- 7.2 All non-conformities identified during an initial assessment shall be rectified and closed prior to certification being granted. Any non-conformities identified during annual surveillance or intelligence-led audits must be rectified within a period specified by the CAB. The period set by the CAB must be of a duration of no more than 6 weeks for closure of any minor non-conformity and no more than 4 weeks for closure of any major non-conformity. CABs may set a shorter period at their discretion.
- 7.3 The distinction between minor and major non-conformities depends on the impact on the business or its customers, as well as the level of corrective effort required to restore compliance. The CAB must determine the severity of a non-conformity, by assessing the nature of the issue and the actions required to address it, and specify a reasonable timeframe for remedial action.
- 7.4 Minor non-conformities are usually isolated, single-event lapses with low risk that do not detrimentally affect the operation or quality of the entire process or service. A CAB can deem an infraction as a minor non-conformance if there is no noted effect on later processes or operations.
- 7.5 Major non-conformities are either single or systematic failures to adopt or implement required standards with high risk that can detrimentally affect the operation or quality of the entire process or service. Major non-conformities can affect multiple parking events and motorists and may extend to multiple parking sites.
- 7.6 If a certified organisation fails to address a minor non-conformity during the period specified by their CAB, the CAB shall impose a suspension until the non-conformity is rectified. Similarly, where a certified organisation fails to rectify a major non-conformity identified during annual surveillance or intelligence-led audit, the CAB shall impose a suspension. However, suspension can also be imposed pending remedial action if a major non-conformity affects multiple parking events or motorists' compliance with parking terms and conditions and resulted or could result in parking charges that would not have been issued if the certified organisation had complied with the Code; for instance, through inadequate or poor signage.
- 7.7 The scheme allows two types of suspensions: 1) site suspension, and 2) certificate suspension. Site suspension should only be imposed for major, site specific non-conformities, whilst certificate suspension should be imposed for major non-conformities that extend to multiple sites.
- 7.8 Where a site or certificate is suspended, the CAB shall communicate to the certificate holder the suspension period and the actions required to end the suspension. Suspensions shall be time-limited and aligned with the non-conformity closure periods set out in paragraph 7.2. However, suspension can be lifted earlier if the CAB is satisfied that the non-conformity that resulted in the suspension has been rectified.

- 7.9 Operators shall not issue parking charges during a period of suspension nor issue them retrospectively for breaches that occurred during the suspension once it has been lifted.
- 7.10 Where the certified organisation fails to address the non-conformities during the suspension, the CAB shall terminate, or where applicable reduce scope of, certification. CABs shall also terminate or reduce scope of certification where the same minor or major non-conformity is repeated more than twice by an organisation after correcting it within the same certification cycle.
- 7.11 Organisations that have had their certification terminated will need to re-apply for certification and begin the certification application process from the start. In such cases, the CAB will advise the organisation that a minimum period of six months must elapse before it can reapply for certification, and may specify a longer period where appropriate based on the nature and severity of the non-conformities that led to termination.
- 7.12 Any changes to the Certificate of Conformity, such as suspension, scope reduction or termination or withdrawal (on request of the certified organisation), must be updated on the CABs public registry and communicated to the affected organisations APA and the DVLA within 24 hours of change. When reporting the change to the affected organisation's APA and the DVLA the CAB shall provide:
- Affected organisations name;
 - Reason for suspending/reducing scope/terminating certification;
 - Effective date of change to the certificate; and
 - For suspended organisations, any actions they must take to become compliant and their certificate reinstated;
- 7.13 In addition to informing the relevant APA and the DVLA, the CAB should also inform other CABs operating the scheme when the certificate is terminated to prevent the previously certified organisation from seeking certification from another body earlier than specified by the CAB who terminated the original certificate.
- 7.14 CABs shall maintain records of all non-conformities and of any instances where certification has been suspended, reduced, or withdrawn.

8. Record keeping

8.1 CABs shall retain records to demonstrate that all certification process requirements have been effectively fulfilled.

8.2 Records must be kept for not less than 6 years. The 6 year period is intended to cover at least the ongoing cycle of certification (every 3 years) and the previous cycle.

9. Complaints and appeals

9.1 The Scheme regards:

- a. a complaint against the service as being any expression of dissatisfaction by any person with the service provided by the CABs administering the scheme, any staff or contractors or any of the systems or processes involved, excluding any decision or determination made by the CAB;
- b. a complaint against a certified organisation under the Scheme as being any expression of dissatisfaction about the conduct or behaviour specifically related to either the scope of certification or the potential to bring the Scheme into disrepute;
- c. an appeal as being against any decision or determination made by a CAB.

9.2 The person assigned to deal with the complaint or appeal shall not have either worked for or provided consultancy relating to the certification or sanctions of the complainant for at least 3 years. They shall also not have been involved in the activity which the complaint or appeal relates to.

Complaints about the Service

9.3 CABs shall deal with complaints in accordance with their complaints policy, which should be based on the complaints process set out in this section of the Scheme.

9.4 In many cases, a complaint is best resolved by the person responsible for addressing the issue being complained about. If the complaint has been received by that person, they may be able to resolve it swiftly and should do so if possible and appropriate. However, if this is not possible, the complaint should then be reviewed and approved by person(s) not involved in the certification activities related to the complaint.

9.5 All complaints shall be acknowledged in writing by the person handling the complaint within 5 working days and will say who is dealing with the complaint and when the complainant can expect a reply. A definitive reply should be provided within 20 working days. If this is not possible because, for example, an investigation has not been fully completed, an update should be provided to the complainant with an indication of when a full reply will be given.

9.6 The person handling the complaint should describe the action taken to investigate the complaint, the conclusions from the investigation, and any action taken as a result of the complaint.

9.7 If the complainant is of the view that the problem has not been satisfactorily resolved, they can appeal the outcome and request that the complaint is reviewed by a senior officer within the CAB who has not previously been involved in the matter. The senior officer should provide a confirmation of the escalation of the complaint within 5 working days, who is dealing with the complaint, and when the complainant can expect a formal response, which should be no longer than 20 working days.

Complaints Against a Certified Organisations

- 9.8 All certified organisations must maintain their own effective consumer or public complaints procedure. Where a complaint is received by CAB, the complainant will initially be directed to deal with the certified organisation in the first instance. If this does not resolve the complaint, the CAB may provide an independent assessment of the complaint using its Complaints Procedure. Failure of the certified organisation to implement any corrective actions because of the complaint may result in suspension or termination of certification.
- 9.9 A record of all complaints made against a certified organisation shall be kept and tracked.

Appeals against the CAB's decision

- 9.10 The following entities may appeal a CAB's decision:
- a. An applicant for certification appealing the decision not to grant certification;
 - b. A certified organisation appealing the decision to suspend, reduce scope or terminate certification.
- 9.11 The certification applicants or certified organisations must appeal within 14 working days of a decision being issued by the CAB.
- 9.12 Prospective appellants should appeal the CAB decisions following the CAB's appeals processes which should be based on process set out in this section of the Scheme.
- 9.13 An appeal against a CAB's decision shall initially be considered by the Certification Officer responsible for the decision. The Certification Officer will determine whether or not the appeal discloses any new information or objective evidence that could cause the Certification Officer to review the appealed decision. Thereafter, the appeal shall be considered by staff not involved in the original decision.
- 9.14 All appeals shall be acknowledged in writing by the person handling the appeal within 5 working days. This acknowledgement will disclose who is dealing with the appeal and when the appellant can expect a reply. A determination of the appeal should be provided within 20 working days. If this is not possible because, for example, an investigation has not been fully completed, an update should be provided to the appellant with an indication of when a determination of the appeal will be completed.
- 9.15 The CAB should also allow for a process to consider expedited appeals that relate to the decision to suspend or terminate certificates. As a minimum, expedited appeals should be acknowledged within 2 working days, and response provided within 5 working days.
- 9.16 Where appropriate, the person handling the appeal should describe the action taken to investigate the decision, the conclusions from the investigation, and any action taken as a result of the appeal.

9.17 If the appellant remains dissatisfied, they can ask to refer their appeal to a senior officer independent of the original decision to review the initial appeal decision. Their decision on the merits of the appeal will be considered as final.

9.18 The senior officer shall only be able to consider the evidence available to the CAB at the time of the decision. If additional evidence is required or provided, this may result in the decision being resubmitted for re-evaluation of the initial decision.

9.19 The senior officer may:

- a. uphold any initial decision;
- b. remit any initial decision for re-evaluation with directions to obtain or consider additional evidence; and/or
- c. revoke any initial decision.

10. Scheme management

10.1 As part of its day-to-day activities, the Scheme Owner:

- i. develops, maintains and publishes the Private Parking Code of Practice and the Private Parking Certification Scheme; and
- ii. Manages approved status of CABs.

10.2 The Scheme Owner will review both the standards set out in the Code and contents of the Scheme every two years. To assist with the review, the Government appointed independent Scrutiny and Oversight Board (SOB) will advise on the effectiveness of the new Code and the Scheme. The SOB shall be appointed through the Government's public appointment process and shall comprise members with expertise relevant to the functions of the Board, including experience in reviewing and analysing complex data. Members of the SOB shall also have subject knowledge in areas such as public policy making or consumer rights. The SOB shall meet up to four times per year to examine industry data from a range of sources, including that submitted by the CABs as per section 11.

10.3 When standards of the Code are changed or the Scheme is amended, the Scheme Owner will ensure that those changes are communicated to the CABs in a timely manner. The Scheme Owner will also verify the timescales and implementation of these changes. The CABs, in turn, shall communicate changes to standards of the Code and any amendments to the Scheme to all affected certified organisations. Where applicable, CABs will then verify that relevant changes have been implemented by the certified organisations. This may be by means of re-evaluation, surveillance, or any other means that CABs consider appropriate in order to ensure that appropriate changes have been implemented.

10.4 If a CAB fails to implement the changes within the period specified by the Scheme Owner, then there may be consequences up to and including removal of the approved status to operate under the Scheme. If a certified organisation fails to adopt new standards or implement required changes within the transition period, then there can be consequences up to and including the loss of certification.

10.5 The Scheme Owner does not accept liability arising from the operation of this Scheme. CABs and the organisations they certify shall have appropriate contractual arrangements in place to manage issues relating to liability. CABs shall maintain appropriate insurance arrangements to cover liabilities arising from the performance of their functions under the Scheme.

11. Reporting to the scheme owner

11.1 For the purposes of improving the Scheme and to monitor the extent of conformity, the scheme requires the CABs to annually report to the Scheme Owner. The required data metrics are listed below:

- i. Number of certification applications received per organisation;
- ii. Number of major/minor non-conformities identified at Initial Assessment stage per applicant, referencing process ID(s) related to non-conformity identified;
- iii. Number of certificates issued, referencing the scope of certificates;
- iv. Number of major/minor non-conformities identified as part of annual surveillance per certificate holder, referencing process ID(s);
- v. Number of minor/major non-conformities self-reported by the certified organisations, referencing process ID(s);
- vi. Number of minor/major non-conformities reported by the public and other interested parties, referencing process ID(s);
- vii. Number of sites suspended and reasons for suspension;
- viii. Number of operators suspended and reasons for suspension;
- ix. Number of scope reduced certificates, and reasons for reducing the scope;
- x. Number of certificates terminated and reasons for termination;
- xi. Any issues related to administering the Scheme or interpreting Code standards.

Annex 1: Guidelines for producing scope statements on certificates of conformity

- A1.1 Certificates of conformity must indicate the scope of the certification. This annex provides guidelines and examples for producing scope statement(s) to be used on the certificate of conformity.
- A1.2 Any scope statement on the certificate must reflect the scope of certification granted and be aligned with the scope descriptions set out in section 1.
- A1.3 **Example 1: Single Scope Category**
Where an organisation is only seeking certification against a single scope category of the scheme; for instance, for recovering unpaid parking charges and tariffs through a debt recovery process, the scope statement on the certificate of conformity must explicitly state that. For example:

“In accordance with the Private Parking Certification Scheme version 1.0, Organisation X is certified to pursue unpaid parking charges and tariffs through debt recovery. ”

- A1.4 **Example 2: Multiple Scope Categories**
Where an organisation is seeking certification against multiple scope categories; for instance, a debt recovery agency who also issues postal notices of parking charges and handles first stage appeals on behalf of private parking operators as a third party, the certificate of conformity must reference all the scope categories for which the certificate is granted. For example:

“In accordance with the Private Parking Certification Scheme version 1.0, Organisation Y is certified to:

- i) process and issue notices of private parking charges or unpaid tariffs on behalf of parking operators;*
- ii) process first stage appeals against notices of private parking charges or unpaid tariffs on behalf of parking operators; and*
- iii) pursue unpaid parking charges or unpaid parking tariffs through debt recovery.”*

Annex 2: Sampling methodology

A2.1 All certified organisations shall be audited annually. CABs shall adopt a sampling approach for annual surveillance audits set out below.

Sampling frames

A2.2 Annual surveillance activities within modules 1, 2, and 3 provide four sampling frames from which samples shall be taken, these are:

- I. Parking sites;
- II. Parking charges;
- III. Complaints;
- IV. Employees.

A2.3 Processes shall be sampled according to their sampling frame. For example, site audits require CABs to sample from sampling frame i., whilst audits of parking charges issued shall use sampling frame ii. The table below links Module 1, 2 and 3 processes and annual surveillance activities with the appropriate sampling frames:

Module	Process to be assessed	Annual surveillance activity	Sampling Frame
M1	Complaints handling (M1.CH)	Audit of organisational complaints	Complaints
	Compliance monitoring (M1.CM)	Interview with compliance officer	Employees
	Professional standards (M1.PS)	Interview with complaints officer	Employees
M2	Operating enforcement schemes and erecting signage (M2.ES)	Audit of parking sites	Parking sites
	Issuing notices of parking charge (M2.N)	Audit of parking charges issued	Parking charges
	Processing appeals (M2.PA)	Audit of internal appeals	Parking charges
	Use of surveillance technology (M2.SURV)	Review of maintenance logs	Parking sites
M3	Establishing up-to-date motorists contact details (M3.CON)	Audit of tracing	Unpaid parking charges
	Recovering unpaid parking charges or tariffs (M2.REC)	Audit of recovery of unpaid parking charges	Unpaid parking charges

Sampling method and size

A2.4 To make sure sampling is fair and proportionate, the sample must reflect the size of the certified organisation. Organisations are grouped into small, medium, and large based on:

- i. the number of parking sites managed; or
- ii. the volume of parking charges issued or processed within the preceding 12-month period.

A2.5 Organisations are classified as small, medium, or large as follows:

- **Small:** less than 20 sites managed or less than 20,000 parking charges issued/recovered
- **Medium:** 20–200 sites managed or 20,000–200,000 parking charges issued/recovered
- **Large:** more than 200 sites managed or more than 200,000 parking charges issued/recovered

A2.6 It is possible that some organisations may manage a number of sites that fall into one category (e.g. small) but the number of parking charges issued would fall under another category (e.g.: medium). When determining sampling size for audits of sites, CABs shall have regard to the number of sites managed by the organisations. However, when determining sampling size for audits of parking charges, CABs shall have regard to the volume of the parking charges issued in the last 12 months.

A2.7 As some operators manage a large number of sites and issue a high volume of parking charges, the scheme provides minimum and a maximum sample sizes for each organisation size category and sample frames.

A2.8 Sampling sizes for audits of sites of small, medium and large organisations are listed in table below:

<u>Organisation size</u>	<u>Audit type</u>	<u>Sample Size</u>
Small <20 sites	Parking sites	50% of all sites to be audited (rounded up for uneven number)
Medium 20 - 200 sites	Parking sites	50% of all sites to be audited (max. 20 sites; rounded up for uneven number)
Large > 200 sites	Parking sites	10% of all sites to be audited (max. 30 sites; rounded up for uneven number)

A2.9 As can be seen from the table above, the Scheme requires CABs to sample half of the certified operator sites for small and medium organisations. Typically for population size <200 the minimum sample size for representativity at 95% confidence level and 5% margin of error covers 80-90% of the population. But as variability is expected to be low as operators use the same processes for all the sites they manage, and each operator will be audited regularly, the Scheme is content to decrease the coverage to 50% for small and medium operators. For large operators, the scheme is content to further decrease this to 10% of sites audited with a cap at 30 to account for the time and costs of audit activities.

A2.10 Where an operator manages an uneven number of sites, CABs should round the sites up. For instance, where a small organisation manages 11 sites, CABs shall sample 6 sites.

A2.11 Sampling sizes for audits of parking charges, complaints, and employee interviews for small, medium and large organisations are listed in table below:

<u>Organisation size</u>	<u>Audit type</u>	<u>Sample Size</u>
Small <20k parking charges issued/recovered	Parking charges	10 parking charges, appeals, and unpaid charges to be audited
	Complaints	50% of the total number of parking charges audited (rounded up for uneven number)
	Interviews with complaints and compliance officers	At least 1 employee per relevant role per certified organisation
Medium 20k-200k parking charges issued/recovered	Parking charges	20 parking charges, appeals, and unpaid charges to be audited.
	Complaints	50% of the total number of parking charges audited (rounded up for uneven number)
	Interviews with complaints and compliance officers	At least 1 employee per relevant role per certified organisation
Large >200k parking charges issued/recovered	Parking charges	30 parking charges, appeals, and unpaid charges to be audited
	Complaints	50% of the total number of parking charges audited (rounded up for uneven number)
	Interviews with complaints and compliance officers	At least 1 employee per relevant role per certified organisation

A2.12 For parking charges audits, the Scheme requires the CAB to sample a minimum of 10, 20 and 30 notices for small, medium and large operators respectively. Typically for a large (>10,000) population the minimum sample size for representativity at 95% confidence level and 5% margin of error ranges from ca. 380. But again, as variability is expected to be low, as each operator will be audited regularly, and to account for time and cost of audit activities, the Scheme is content to decrease this to 10-30 notices audited annually per certified organisation.

A2.13 As the number of complaints handled by an operator is correlated to the number of parking charges issued but is expected to be lower, the sample size for complaints is 50% of the number of parking charges audited.

A2.14 The Scheme considers it sufficient to interview one employee per different role due to a combination of efficiency, representativeness, and risk-based sampling. Within the sector, each role typically has defined responsibilities, procedures, and controls. Interviewing one person in that role should provide insights into:

- How the role is performed in practice; and
- Whether procedures are being followed and are compliant with the Code.

A2.15 Furthermore, roles such as compliance officer will only have one or two employees per organisation, and the roles that have multiple employees are usually standardised, and so one interview should be representative of the broader group. However, where multiple employees perform the same role per certified organisation, CABs shall pick a different employee to be interviewed in the second year of annual surveillance.

A2.16 Where annual surveillance audit identifies any non-conformance, CABs can increase sampling size to determine the extent of non-conformance and should consider appropriate actions to rectify any non-conformance identified as per section 7 of the Scheme.

Sample Population

Audits of Sites

- A2.17 As the Code provides general standards applicable to various types of privately operated car parks, for example, signage requirements enshrined in the Code will be the same irrespective whether a car park is surface or multi-storey, publicly accessible or restricted to certain groups like customers or residents only, the Scheme does not require to sample sites by car park type.
- A2.18 However, sampling of sites must be reflective of the type of enforcement. That is, whether parking restrictions are enforced by an enforcement officer issuing notices of parking charge at the time of the contravention or enforced remotely using surveillance technologies such as ANPR or CCTV and notices issued by post. This is because the Code provides standards for both enforcement methods and it is important compliance with both enforcement methods is assessed. To illustrate, where a certified operator manages 60 sites of which 30 are patrolled by enforcement officers and another 30 by surveillance technologies, the sample of sites shall include 50% (or 15 sites) overseen by enforcement officers and another 50% (15 sites) by cameras. Entire sample (100% [30 sites]) will then be assessed against general processes applicable to all sites, for example against M2.ES (operating enforcement schemes and erecting signage) and then sites where surveillance technology is used against M2.SURV (Use of Surveillance Technology).
- A2.19 Where organisational size permits, sample of sites in year 2 of annual surveillance should not include previously sampled sites.

Audits of Parking Charges, Appeals, and Complaints

- A2.20 Where the certified organisation size permits, all sampled complaints and parking charges should be from different sites. Sampling parking charges and complaints from different sites will ensure representation from the wider population.
- A2.21 Parking charges sampled should include appeals to allow CABs to also assess the Code's requirements related to handling appeals.
- A2.22 Where an organisation has been certified against modules 2 and/or 3, annual surveillance audits of parking charges shall sample separate sets of parking charges, one set to review issuance of parking charges under module 2, and another set to review recovery of unpaid parking charges under module 3. This is to ensure that annual surveillance of parking charges includes both paid and unpaid parking charges.
- A2.23 Where a parking charge or associated appeal has been issued, processed, or administered by a certified third party on behalf of a parking operator (the creditor), CABs shall sample the parking operator who is the creditor as part of audits of parking charges and appeals, irrespective of whether the operational activity was undertaken by a third party. This is to ensure that CABs assess the operator's processes as a whole, having regard to the fact that third parties may not have access to, or custody of, evidence the Creditor will, for example: notices issued to drivers at the time of the contravention.
- A2.24 Where, as part of such sampling, a CAB identifies a non-conformity that appears to arise from the processes of a third party acting on behalf of the parking operator, the

CAB shall determine whether the root cause lies with the parking operator/creditor, the third party's processes or a combination of both, and shall require the appropriate party(s) to address them in line with the Section 7 of the Scheme.

A2.25 Where a non-conformity is attributed in whole or in part to a third party that is certified by another CAB under this Scheme, the CAB that identified the non-conformity shall notify the CAB that certified the third party of the identified issue in writing within 24 hours. This will enable the CAB that certified the third party to investigate the non-conformity following the process for handling breaches reported by interested parties - ILD3-9, and consider appropriate remedial action within the scope of the third party's certification and in line with Section 7 of the Scheme. Nothing in this paragraph removes the responsibility of the CAB auditing the parking operator/creditor to manage non-conformities identified within the scope of that certification in accordance with Section 7 of the Scheme.

Process for Sampling and Auditing Sites

- i. On the first and second anniversary of the date a certificate was issued, CAB shall request a list of all sites the certified organisation operates in. The site list should contain at least the following:
 - Location
 - Method(s) of enforcement
 - Type of car park
 - Number of spaces
- ii. CAB randomly samples the sites to be audited in line with paragraphs A2.2 – A2.19.
- iii. CAB requests the certified organisation to provide within 4 weeks the following evidence to be reviewed:
 - Landowner agreement, where applicable;
 - Site map;
 - Images of entrance and T&Cs signs*,
 - Images of surface markings, where applicable;
 - Signs installation and maintenance records which as a minimum should provide the following information: material the signs are made of, when installed, inspection, any repair or replacement dates, its positioning, and where relevant how illuminated;
 - APA consent to apply the consideration periods, where applicable;
 - APA consent to enforce no-stopping, where applicable;
 - Self-ticketer's registration with APA and a record of operator's audit of self-ticketing site, where applicable.

** Images of signs, surface markings and, where relevant, site boundaries shall depict how those appear to a driver entering, using and leaving the site, both in daylight and in hours of darkness. All images must include date and time metadata showing that the images were taken in the last 12 months. However, recent images should be provided where terms and/or signs have changed in position or in any material detail.*

- iv. CAB evaluates the evidence provided to assess site boundaries, signage, surface markings and any other relevant site features against the applicable requirements of the Code.
- In assessing site boundaries, the CAB shall review the site map, landowner agreement and any boundary plans to verify that the area being enforced corresponds with the land authorised by the landowner and that the boundaries of the managed land are clearly identifiable to motorists.
 - In assessing signage, the CAB shall:
 - ✓ review the site map to determine the location and distribution of entrance signs and parking terms and conditions signs across the site;
 - ✓ review close-up images of signs to confirm that signage content, wording, font size, charges, and other mandatory information comply with the Code;
 - ✓ review contextual photographs showing signage in situ to assess visibility, readability, positioning, illumination (where applicable), durability and whether signs are sufficiently prominent from locations likely to be used by motorists;
 - ✓ review signage installation and maintenance records to verify that signage has been correctly installed, inspected and maintained, that its positioning corresponds with the site map, and that any defects affecting visibility, readability, illumination or condition have been identified and rectified.
 - In assessing surface markings, the CAB shall:
 - ✓ review photographs and site plans to determine whether parking bays, restricted areas and other marked areas are clearly identified and maintained;
 - ✓ verify that markings correspond with the areas shown on the site map;
 - ✓ assess whether shared-use areas, restricted areas and site boundaries are clearly distinguished through markings and/or signage; and
 - ✓ assess whether markings remain sufficiently visible to a motorist under normal site operating conditions.
- v. The CAB may use publicly available mapping, aerial imagery or street-level imagery services as supplementary evidence to corroborate evidence supplied by the certified organisation but shall not rely solely on such services to determine conformity.
- vi. Where documentary or photographic evidence is insufficient to determine conformity, where evidence appears inconsistent, or where a significant risk of non-conformity exists, the CAB shall request additional evidence and may undertake an on-site audit.
- vii. Where major non-conformities are identified, CABs can increase sampling size to determine the extent of nonconformity repeating steps ii – iii.
- viii. All non-conformities identified are dealt in line with Section 7 of the Scheme.

Process for Sampling and Auditing Parking Charges

- i. On the first and second anniversary of the date a certificate was issued, CABs shall request a list of all parking charges issued by the certified organisation within the last 12 months. Where notices are issued by third parties on behalf of the parking operator, the CAB should sample the creditor in line with paragraphs A2.23-25. The parking charge list should contain at least the following:
 - the date of the parking charge;
 - the site where the parking charge was issued;
 - the value of the parking charge;
 - the reason for the parking charge;
 - Whether the parking charge was appealed and if so the outcome appeal;
 - Whether the parking charge resulted in court proceedings;
 - If paid the amount paid and stage it was paid at.
- ii. CAB samples parking charges to be reviewed in line with paragraphs A2.2 – A2.25.
- iii. CAB requests the certified organisation to provide the sampled parking charges within 4 weeks. A sample of parking charges should include at least the following:
 - Copy of the original Notice to Driver and/or Notice to Keeper;
 - Evidence of the contravention;
 - Where notice was posted, a record of the date of posting of a notice (e.g. the date that any third party Mail Consolidator actually put it in the postal system);
 - Motorists Appeal;
 - Response to the appeal, including a record of evidence of posting or emailing the response;
 - Any correspondence received/sent relating to the parking charge;
 - Traces conducted, where applicable;
 - Details of any corrective action following the appeal (where applicable).
- iv. CAB evaluates the parking charges sampled to determine compliance with the specified standards;
- v. Where major non-conformities are identified, CAB can increase sampling size to determine the extent of nonconformity repeating steps ii – iv.
- vi. All non-conformities identified are dealt in line with Section 7 of the scheme.

Process for Sampling and Auditing Complaints

- i. On the first and second anniversary of the date a certificate was issued, the CAB shall request a copy of organisation's complaints log, which as a minimum should include:
 - Complaint date;
 - Complaint topic;
 - Whether resolved or unresolved.
- ii. CAB samples complaints to be reviewed in line with paragraphs A2.2 – A2.25;

- iii. CAB requests the organisation to provide all the information related to the sampled complaints, which should include all the correspondence received and sent relating to the complaint, and where applicable details of any corrective action following the complaint.
- iv. CAB evaluates the complaints sampled to determine compliance with the specified standards;
- v. Where major non-conformities are identified, CAB can increase sampling size to determine the extent of nonconformity repeating steps ii – iv.
- vi. All non-conformities identified are dealt in line with Section 7 of the Scheme.

Process for conducting Interviews:

- i. The Scheme requires to conduct interviews with compliance and complaints officers. The aim of the interview is to determine whether:
 - a. the training has been provided, and
 - b. the role is performed in line with the specified requirements.
- ii. In order to determine whether the training has been provided, CABs shall request the certified organisation to provide training records for the selected employees. The training records should include:
 - Employee name;
 - Job title, including explanation of key tasks.
 - Start date;
 - Reporting line;
 - Details of training provided, including its date(s) and who provided training (in house or external).
- iii. Additionally, CABs can use technical or knowledge-based questions during the interview to test whether the training has been provided.
 - **Technical Questions** assess specific knowledge related to standards, regulations, or policies to verify technical competence. Technical Question Example: “*What are the key requirements of [specific standard or policy] that apply to your role?*”
 - Knowledge-Based Questions** test factual understanding of policies, standards, or regulations. Question Example: “*What is the purpose of [specific task or process]?*”
- iv. In order to determine whether the role is performed in line with the specified standards, CABs can use procedural and behavioural or situational questions during the interviews.
 - **Procedural Questions** assess whether the employee understands and follows established procedures. Example: “*Can you walk me through the steps you follow when [specific task]?*”
 - Behavioural Questions** focus on past actions to test adherence to established procedures and/or standards. Example: “*Tell me about a time you [specific action]. What did you do?*”

➤ **Situational Questions** present hypothetical scenarios to assess problem-solving and decision-making. Question Example: “*What steps would you take to [specific situation]?*”

- v. To ensure the interviews are conducted consistently, the Scheme limits interview time to 30 minutes per interview. However, these times can increase where an employee performs multiple roles, for instance, handles organisational complaints and monitors compliance.
- vi. Any non-conformities identified during the interview shall be dealt in line with Section 7 of the Scheme.

Annex 3: Letter of approval template

[Conformity Assessment Body Name]

<<Address >>

<<Contact Email Address>

<<Date>>

Our ref: XXXX

Dear <<Contact Name>>,

APPOINTMENT OF [CONFORMITY ASSESSMENT BODY NAME] AS APPROVED CONFORMITY ASSESSMENT BODY UNDER THE PRIVATE PARKING CERTIFICATION SCHEME

The Ministry of Housing, Communities and Local Government, Certification Scheme Owner of the Private Parking Certification Scheme, approves [Conformity Assessment Body Name] to act as Conformity Assessment Body under the scheme.

The [Conformity Assessment Body Name] is required to confirm its acceptance of the approval and the terms and conditions of its **APPROVED** status contained in this letter prior to commencing any conformity assessment activity in respect of this Scheme.

Confirmation should be emailed to Parking@communities.gov.uk

Yours sincerely

[Authorised person]

[Certification Scheme Owner]

Ministry of Housing, Communities and Local Government

Terms and conditions of appointment

1. The approval shall remain in force until it is withdrawn by the Scheme Owner under paragraph 4 or after the elapse of a period of 180 days after the [Conformity Assessment Body Name] has notified the Scheme Owner in writing that it wishes to withdraw from the scheme and for the approval to be terminated under paragraph 6.
2. This approval is subject to the following conditions:
 - a. The [Conformity Assessment Body Name] shall comply with the obligations of the Private Parking Certification Scheme;
 - b. The [Conformity Assessment Body Name] shall obtain and maintain UKAS accreditation at all times while operating the Scheme and shall undergo reassessment or reaccreditation by UKAS at the intervals required by UKAS. ;
 - c. The [Conformity Assessment Body Name] shall inform the Scheme Owner of any changes which have a bearing upon its status as Conformity Assessment Body or its ability to perform the duties and functions of Conformity Assessment Body under the Private Parking Certification Scheme;
 - d. The [Conformity Assessment Body Name] shall inform the Scheme Owner of the following events as soon as they occur:
 - i. the [Conformity Assessment Body Name] is unable to pay its debts as they fall due, or is deemed unable to pay its debts or becomes insolvent within the meaning of the Insolvency Act 1986 section 123 or any other enactment;
 - ii. a winding up or an administration order is made in relation to the [Conformity Assessment Body Name], or the [Conformity Assessment Body Name] petitions or applies to the court for such an order, passes a resolution to present such a petition or application, or convenes a meeting for the purpose of considering such a resolution;
 - iii. any steps are taken with a view to proposing any kind of composition, scheme of arrangement, compromise or arrangement involving the [Conformity Assessment Body Name] and its creditors generally, or any class of them;
 - iv. any administrative receiver, receiver, manager or other person with functions like those of an administrative receiver, receiver or manager is appointed to the [Conformity Assessment Body Name] or any significant part of its assets, or the [Conformity Assessment Body Name] requests the appointment of such a person;
 - v. the directors of the [Conformity Assessment Body Name] take any steps to obtain a moratorium for the company within the meaning of the Insolvency Act 1986; or

- vi. the [Conformity Assessment Body Name] becomes a subsidiary of any company of which it is not a subsidiary at the date of this letter or ceases to be a subsidiary of any company of which it is a subsidiary at the date of this letter. The word “subsidiary” shall be interpreted in accordance with the definitions in Section 1159 of the Companies Act 2006.
- e. The [Conformity Assessment Body Name] shall maintain its impartiality and independence from all certification applicants and certificate holders and in no circumstances should it take on the role of authorised representative or consultant for any applicant;
- f. In cases where it is necessary to exercise judgement or interpret a standard or requirement are implicit or explicit in a decision to grant or withhold certification, the [Conformity Assessment Body Name] shall have procedures for achieving consistency;
- g. Should multiple Conformity Assessment Bodies administer the Private Parking Certification Scheme, all these bodies shall at least once a year come together to discuss the certification activities, assessment issues, and the Code’s standards, to achieve a common understanding, interpretation and assessment methodology which should then be documented into operational documents and reported to the Scheme Owner;
- h. The [Conformity Assessment Body Name] shall authorise, at any reasonable time, access by or on behalf of the Scheme Owner to documentation arising out of its duties and functions under this approval. The [Conformity Assessment Body Name] shall ensure that its certification agreements with certification applicants and certified organisations make provision for such disclosures and inform clients that relevant certification information may be shared with the Scheme Owner for the purposes of administering, monitoring and assuring the Scheme.;
- i. Where the [Conformity Assessment Body Name] receives a request for information relating to a conformity assessment activity from a market surveillance or enforcement authority they shall inform the Scheme Owner of such request;
- j. Documentation to be retained:
 - i. The [Conformity Assessment Body Name] is required to maintain an up to date record of all certifications that it has issued, to whom it has been issued and to what it applies. These records shall be retained by the Conformity Assessment Body and made available on request to the Scheme Owner, or such other person as may be authorised by the Scheme Owner, subject to the usual provisions relating to confidentiality. The [Conformity Assessment Body Name] is required to keep available on request a complete electronic copy of all of the information detailed above. All of the above shall be supplied to the Scheme Owner on

ceasing to be Conformity Assessment Body or other time as directed.

3. The Scheme Owner may, by notice in writing, add conditions or vary or delete any conditions, to this approval; such additions, variations or deletions shall have effect thirty days after the date of that notice unless a different period is agreed in writing between the Scheme Owner and the [Conformity Assessment Body Name].
4. This approval may be withdrawn or suspended if it appears to the Scheme Owner that the [Conformity Assessment Body Name] no longer meets the requirements relating to Conformity Assessment Body as specified under the Private Parking Certification Scheme and/or the terms of this letter.
5. In the case of suspension, the approval of the [Conformity Assessment Body Name] as Conformity Assessment Body may be reinstated subject to the [Conformity Assessment Body Name] satisfying the Scheme Owner that steps have been taken to address the non-compliance with the requirements relating to Conformity Assessment Body as specified under the Private Parking Certification Scheme and/or the terms of this letter.
6. This approval may be terminated at the request of the [Conformity Assessment Body Name] upon the expiry of 180 days' notice in writing to the Scheme Owner.
7. This approval is subject to the following additional conditions in the event of it being withdrawn or terminated under paragraphs 4 or 6:
 - a. the [Conformity Assessment Body Name] shall prepare and submit to the Scheme Owner within three calendar months of the date on which the termination of the approval takes effect or, if appropriate, of the date of withdrawal, a report in writing on the exercise of its duties and functions under the Private Parking Certification Scheme; this report shall contain such information as may have been agreed in writing between the Scheme Owner and the [Conformity Assessment Body Name];
 - b. the [Conformity Assessment Body Name] shall no longer accept new certifications and will communicate this clearly to prospective certification applicants;
 - c. the [Conformity Assessment Body Name] shall inform every organisation it certified of the withdrawal or termination;
 - d. the [Conformity Assessment Body Name] shall allow and help facilitate the transfer of valid certificates to another, Scheme Owner approved, Conformity Assessment Body.
 - e. When transferring the certificates, the [Conformity Assessment Body Name] shall also provide all the documents and information requested by another Conformity Assessment Body accepting the certificates.
8. If the above terms and conditions of approval are acceptable, the [Conformity Assessment Body Name] should signify its consent by email to parking@communities.gov.uk . The approval will be confirmed once the [Conformity Assessment Body Name]'s consent is received.