

## SCHEDULE

Regulation 14(1)

### PROCEDURE IN ADJUDICATION PROCEEDINGS

#### PART 1

#### INTERPRETATION

##### **Interpretation of Schedule**

**1.—(1)** In this Schedule—

“appeal period” means the period of 28 days beginning with the date of service of a notice of rejection under regulation 10(1), 33(4) or 36(4) (as the case may be);

“hearing” means an oral hearing and includes a hearing conducted in whole or in part by video link, telephone or other means of instantaneous two-way electronic communication;

“register” means the register maintained by the proper officer in accordance with paragraph 21.

**(2)** In this Schedule in relation to an appeal or any process connected with an appeal—

“the charging authority” means the charging authority which made the decision which is the subject of the appeal;

“the original representations” means the representations made to the charging authority under regulation 8(1), 32(3) or 35(3) (as the case may be);

“the relevant notice of rejection” means a notice of rejection issued by the charging authority under regulation 10(1), 33(4) or 36(4) (as the case may be).

#### PART 2

#### PROCEDURE RELATING TO APPEALS

##### **Initiating an appeal**

**2.—(1)** An appeal is to be made by serving a notice of appeal to the proper officer.

**(2)** A notice of appeal—

(a) must be in writing and signed by the appellant or someone authorised by the appellant to sign the notice of appeal;

(b) must state the name and address of the appellant;

(c) may specify some other address as being the address at which the appellant wishes documents to be served in connection with the appeal;

(d) must state the date and any reference number of the penalty charge notice being appealed against and the name of the charging authority by which the decision to impose the penalty charge was made; and

(e) may include any representations which the appellant desires to make in addition to the original representations.

**(3)** The notice of appeal must be served on the proper officer within the appeal period.

**(4)** If the notice of appeal is served on the proper officer after the expiry of the appeal period, the appellant must include in the notice a statement of the reasons on which the appellant relies

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for justifying the delay, and the adjudicator must treat any such statement of reasons for delay as a request to extend the appeal period.

### **Action upon receipt of notice of appeal and copy of such notice**

3.—(1) On receiving a notice of appeal the proper officer must—

- (a) serve an acknowledgement of its receipt to the appellant; and
- (b) enter particulars of the appeal in the register.

(2) Subject to sub-paragraph (3), if satisfied that the notice is in accordance with paragraph 2, the proper officer must serve on the charging authority a copy of the notice of appeal and any directions extending the time limit for appealing.

(3) The requirement under sub-paragraph (2) does not apply where the adjudicator has declined a request under paragraph 2(3) to extend the appeal period.

(4) Upon receipt of a copy of the notice of appeal served on it under sub-paragraph (2) the charging authority must within 14 days serve on the proper officer copies of—

- (a) the penalty charge notice giving rise to the appeal;
- (b) the original representations; and
- (c) the relevant notice of rejection.

(5) If the proper officer receives a notice of appeal and considers that it may not be in accordance with paragraph 2, the proper officer must refer the issue of its validity to an adjudicator.

(6) If the adjudicator determines that a notice of appeal referred under sub-paragraph (5) is in accordance with paragraph 2, the proper officer must deal with it in accordance with sub-paragraph (2).

(7) If—

- (a) a notice of appeal is served outside the appeal period with a request to extend the appeal period and the adjudicator declines to direct that the period be extended; or
- (b) the adjudicator determines that a notice of appeal is not in accordance with paragraph 2,

the proper officer must inform the appellant that the adjudicator has declined the request for an extension or, as the case may be, of the reasons why the adjudicator considers that the notice does not accord with paragraph 2 and must record the action taken in the register.

### **Further representations**

4.—(1) Any party may serve representations in relation to the matters referred to in regulations 8(3), 32(4) or 35(4) (as the case may be) on the proper officer at any time before the appeal is determined.

(2) The adjudicator may invite a party to serve on the proper officer representations dealing with such matters relating to the appeal as may be specified and any such representations must be so served within the time and in the manner specified.

(3) Where a party fails to respond to an invitation under sub-paragraph (2), the adjudicator may draw such inferences as appear proper to the adjudicator.

(4) Any representations served under this paragraph must be signed by the party in question or someone authorised by that party to sign those representations.

(5) Where an appellant serves representations on the proper officer under this paragraph the proper officer must serve a copy of the representations on the charging authority.

(6) Where the charging authority serves representations on the proper officer under this paragraph, it must at the same time serve a copy of the representations on the appellant.

(7) This paragraph is without prejudice to the powers of an adjudicator under paragraph 10.

### **Adjudicator's power to require attendance of witnesses and production of documents**

5.—(1) The adjudicator may, by notice in writing served on any person (including a party to the proceedings), require that person—

- (a) to attend, at a time and place specified by the adjudicator, to give evidence at the hearing of an appeal; and
- (b) to produce any documents in that person's custody or under that person's control, relating to any matter in the proceedings,

and any such notice must contain a statement of the effect of sub-paragraphs (2) to (5) below.

(2) A person in respect of whom a requirement has been made under sub-paragraph (1) may apply to the adjudicator to vary or set aside the requirement.

(3) A person is bound to comply with a requirement under sub-paragraph (1) if that person has been given at least 7 days' notice of the hearing or, if less than 7 days' notice has been given, that person has informed the adjudicator that the shorter notice period is accepted.

(4) No person, other than the appellant, is bound to comply with a requirement under sub-paragraph (1) unless the necessary expenses of that person's attendance are paid or tendered to that person.

(5) No person is required to give any evidence or produce any documents under sub-paragraph (1) which that person could not be required to give or produce in the trial of an action in a court of law.

### **Disposing of an appeal without a hearing**

6.—(1) Subject to the following provisions of this paragraph, the adjudicator may dispose of an appeal without a hearing.

(2) The adjudicator must not dispose of an appeal without a hearing if, in the adjudicator's opinion, the appeal raises issues of public importance such as to require that a hearing be held.

(3) The adjudicator must not dispose of an appeal without a hearing if either party has requested a hearing unless—

- (a) the party who made the request withdraws it before notice of a hearing has been served on the other party under paragraph 7;
- (b) both parties have subsequently consented to the appeal being disposed of without a hearing; or
- (c) the party requesting the hearing having been served with a notice of the hearing of an appeal under paragraph 7, fails to attend or be represented at the hearing.

(4) Where the adjudicator is minded to dispose of an appeal without a hearing, the appeal must not be disposed of unless and until either—

- (a) there has elapsed a period of 28 days beginning with the date on which an acknowledgement is served in accordance with paragraph 3(1)(a) during which neither party has requested a hearing; or
- (b) both parties have consented to its disposal without a hearing.

### **Notice of time and place of hearing**

7.—(1) This paragraph has effect where a hearing is to be held for the purpose of disposing of an appeal.

(2) The proper officer must—

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- (a) fix the time and place of the hearing; and
- (b) not less than 21 days before the time so fixed, or such shorter time as the parties agree—
  - (i) serve on each party a notice that the hearing is to be at that time and place; or
  - (ii) inform them of those matters in such other manner as the proper officer thinks fit.
- (3) The adjudicator may alter the time and place of any hearing, and, not less than 7 days before the date on which the hearing is then to be held, or such shorter time as the parties agree, the proper officer must—
  - (a) serve on each party notice of the new time and place of the hearing; or
  - (b) inform them of those matters in such other manner as the proper officer thinks fit.
- (4) This paragraph applies to an adjourned hearing but, if, before the adjournment, the time and place of the adjourned hearing are notified to all persons expected to attend, no further notice is required.

#### **Admission to a hearing**

- 8.—(1) Subject to the provisions of this paragraph, a hearing is to be held in public.
- (2) The adjudicator may direct that the whole or any part of a hearing be held in private if satisfied that it is just and reasonable to do so by reason of—
  - (a) the likelihood of disclosure of intimate personal or financial circumstances;
  - (b) the likelihood of disclosure of commercially sensitive information or information obtained in confidence; or
  - (c) exceptional circumstances not falling within paragraph (a) or (b).
- (3) Any other adjudicator is entitled to attend the hearing of an appeal which is held in private.
- (4) The adjudicator, with the consent of the parties, may permit any other person to attend the hearing of an appeal which is held in private or, where part of it is so held, that part.
- (5) Without prejudice to any other powers an adjudicator may have, the adjudicator may exclude from the hearing of an appeal, or part of it, any person whose conduct has disrupted or is likely, in the opinion of the adjudicator, to disrupt the hearing.

#### **Appearances at a hearing**

- 9.—(1) The appellant and the charging authority are entitled to appear at the hearing of an appeal.
- (2) Any other person may appear at a hearing at the discretion of the adjudicator.
- (3) At the hearing of an appeal, the appellant may conduct the appellant's case in person (with assistance from any person if the appellant wishes) or may be represented by a solicitor, counsel or any other person.
- (4) If in any particular case the adjudicator is satisfied that there are sufficient reasons for doing so, the adjudicator may prohibit a particular person from assisting or representing either party at the hearing.

#### **Procedure at a hearing**

- 10.—(1) At the beginning of the hearing of an appeal the adjudicator must explain the order of proceedings.
- (2) Subject to the provisions of this paragraph, the adjudicator must conduct the hearing of an appeal in the manner most suitable to the clarification of the issues and generally to the just handling

of the proceedings, and the adjudicator must seek to avoid formality in the proceedings, so far as appears to the adjudicator to be appropriate.

- (3) At the hearing of an appeal—
  - (a) the parties are entitled to give evidence, to call witnesses and to address the adjudicator both on the evidence and generally on the subject matter of the appeal;
  - (b) the adjudicator may receive evidence of any fact which appears to the adjudicator to be relevant notwithstanding that such evidence would be inadmissible in proceedings before a court of law.

(4) Without prejudice to paragraph 6(3)(c), where a party who has been served with notice of the hearing of an appeal, or has otherwise been notified of the hearing in accordance with paragraph 7 fails to attend the hearing, the adjudicator may dispose of the appeal in that person's absence.

### **Decisions on appeals**

- 11.—(1) The adjudicator must give the reasons for a decision on an appeal.
  - (2) Where an appeal is disposed of at a hearing, the adjudicator may give the decision and the reasons orally at the end of the hearing, or may reserve the decision and give it and the reasons subsequently in writing.
  - (3) Upon the decision being given (whether at a hearing or otherwise), the proper officer must—
    - (a) as soon as practicable record the decision in the register, together with the adjudicator's reasons and any directions given; and
    - (b) serve a copy of the register entry to each party.

### **Review of adjudicator's decision**

- 12.—(1) The adjudicator may, on the application of a party, review—
  - (a) any interlocutory decision; or
  - (b) any decision to determine that a notice of appeal does not accord with paragraph 2 or to dismiss or allow an appeal, or any decision as to costs, on one or more of the following grounds—
    - (i) the decision was wrongly made as the result of an administrative error;
    - (ii) the adjudicator was wrong to reject the notice of appeal;
    - (iii) a party who failed to appear or be represented at a hearing had good and sufficient reason for failing to appear;
    - (iv) where the decision was made after a hearing, new evidence has become available since the conclusion of the hearing, the existence of which could not reasonably have been known of or foreseen;
    - (v) where the decision was made without a hearing, new evidence has become available since the decision was made, the existence of which could not reasonably have been known of or foreseen; or
    - (vi) the interests of justice require such a review.
- (2) An application under sub-paragraph (1) must—
  - (a) be served on the proper officer within the period of 14 days beginning with the date on which the decision is given to the parties; and
  - (b) state the grounds in full.

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(3) The parties must have the opportunity to be heard on any application for review under sub-paragraph (1). The adjudicator considering the application may direct the means by which that hearing will be conducted.

(4) Having reviewed the decision the adjudicator may direct that it be confirmed, revoked or that it be varied.

(5) If, having reviewed the decision, the adjudicator directs that it be revoked, the adjudicator must substitute a new decision or order a re-determination by that adjudicator, the original adjudicator or a different adjudicator.

(6) Paragraph 11 applies to the confirmation, revocation or variation of a decision under this paragraph as it applies to a decision made on the disposal of an appeal.

### **Costs**

**13.**—(1) The adjudicator is not normally to make an order awarding costs and expenses, but may, subject to sub-paragraph (2) make such an order—

- (a) against a party (including an appellant who has withdrawn an appeal or a charging authority which has consented to an appeal being allowed) if the adjudicator considers that the party has acted frivolously or vexatiously or that their conduct in making, pursuing or resisting an appeal was wholly unreasonable; or
- (b) against the charging authority where the adjudicator considers that the decision made by it giving rise to the appeal was wholly unreasonable.

(2) An order must not be made under sub-paragraph (1) against a party unless that party has been given an opportunity of making representations against the making of the order.

(3) An order under sub-paragraph (1) must require the party against whom it is made to pay to the other party a specified sum in respect of the costs and expenses incurred by that other party in connection with the proceedings.

### **Consolidation of proceedings**

**14.**—(1) Where there are pending two or more appeals and at any time it appears to an adjudicator that—

- (a) some common question of law or fact arises in both or all appeals; or
- (b) for some other reason it is desirable to make an order under this paragraph,

the adjudicator may order that both or all of the appeals, or those specified in the order, are to be considered together and may give such consequential directions as may appear to the adjudicator to be necessary.

(2) An order must not be made under this paragraph unless all parties concerned have been given an opportunity of making representations against the making of the order.

### **Miscellaneous powers of adjudicators**

**15.**—(1) An adjudicator may—

- (a) extend the time appointed by or under this Schedule for doing any act notwithstanding that the time appointed has expired;
- (b) if an appellant at any time gives notice of the withdrawal of an appeal, dismiss the proceedings;
- (c) if the charging authority consents to an appeal being allowed, allow the appeal;

- (d) if both or all of the parties agree in writing on the terms of a decision to be made by an adjudicator, decide accordingly; or
  - (e) adjourn a hearing.
- (2) An adjudicator may exercise the powers conferred by this Schedule (other than paragraph 12) on the application of a party or on the adjudicator's own motion.

### **Clerical errors**

16. Clerical errors in any document recording a direction or decision of the adjudicator, or errors in such a document arising from an accidental slip or omission, may be corrected by the proper officer on the direction of the adjudicator.

## **PART 3**

### **SERVICE OF DOCUMENTS AND NOTICES IN ADJUDICATION PROCEEDINGS**

#### **Service of documents on the parties**

17.—(1) This paragraph has effect in relation to any notice or other document required or authorised by these Regulations to be served on a party to an appeal.

- (2) A document is to be regarded as having been served on that party if it is—
  - (a) delivered to that party;
  - (b) left at that party's proper address
  - (c) sent by first class post to that party at that address; or
  - (d) transmitted to that party by fax or other means of electronic transmission in accordance with sub-paragraph (3).
- (3) A document may be transmitted to a party by fax or by other means of electronic transmission where—
  - (a) the party has indicated in writing to the party sending the notice or document that this form of communication is acceptable if it is transmitted to a specified fax telephone number or, as the case may be, a specified electronic address or website; and
  - (b) the document is transmitted to that number, address or website.
- (4) In the case of an enforcement authority, an indication under sub-paragraph 3(a) may be expressed to apply in relation to any appeal to which it is the respondent.
- (5) Where the proper address includes a box number at a document exchange the service of such a document may be effected by leaving the document addressed to that box number—
  - (a) at that document exchange; or
  - (b) at a document exchange which transmits documents every working day to that exchange, and any such document so left is to be taken, unless the contrary is proven, to have been served on the second working day after the day on which it was left.
- (6) For the purposes of this Schedule, and of section 7 (references to service by post) of the Interpretation Act 1978<sup>(1)</sup> ("the 1978 Act") in its application to this paragraph—

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(1) 1978 c.30.

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- (a) the proper address of the appellant is the address for service specified under paragraph 2(2)(b) or, if such an address is so specified, the address specified under paragraph 2(2)(c) or ascertained in accordance with sub-paragraph (7), and
  - (b) the proper address of a charging authority in proceedings in which it is the respondent is such address as the charging authority may from time to time specify in a notice delivered to the proper officer as being the charging authority's address for service in all such proceedings.
- (7) If no address for service has been specified, the proper address for the purposes of this Schedule, and section 7 of the 1978 Act, is—
- (a) in the case of an individual, their usual or last known address;
  - (b) in the case of a partnership, the principal or last known place of business of the firm within the United Kingdom;
  - (c) in the case of an incorporated or unincorporated body, the registered or principal office of the body.
- (8) A party may at any time, by notice in writing served on the proper officer, change their proper address for the purposes of this Schedule and section 7 of the 1978 Act.
- (9) A party may, by notice in writing served on the proper officer, vary or revoke any indication given under sub-paragraph (3)(a).
- (10) Unless the contrary is proved, a notice or document—
- (a) delivered to a party or left at the proper address of a party is to be taken to have been served on the first working day after the day on which it was delivered or left;
  - (b) sent by first class post is taken to have been served at the time at which the notice or document would be delivered in the ordinary course of post;
  - (c) sent by fax or other means of electronic transmission is to be taken to have been served on the first working day after the day on which it was transmitted.

### **Service of notices or documents to the proper officer**

**18.—**(1) This paragraph has effect in relation to any notice or other document required or authorised by or under this Schedule to be served on the proper officer.

(2) Any such notice or document may be served on the proper officer by being transmitted to the proper officer by fax or other means of electronic transmission, but only to a telephone number or, as the case may be, electronic address or website for the time being published by the proper officer for the purpose of accepting service of such notices or documents.

(3) Unless the contrary is proved, any notice or document transmitted to the proper office in accordance with sub-paragraph (2) is to be taken to have been delivered on the second working day after the day on which it was transmitted.

(4) Where the address of the proper officer includes a box number at a document exchange the service of such a document may be effected by leaving the document addressed to that box number—

- (a) at that document exchange; or
- (b) at a document exchange which transmits documents every working day to that exchange, and any such document so left is to be taken, unless the contrary is proved, to have been served on the second working day after the day on which it was left.

(5) Paragraphs 2(2)(a) and 4(4)—

- (a) are satisfied, in the case of a document transmitted by facsimile copy, if a copy of the signature of the relevant person appears on the transmitted copy; and



- (b) do not apply in relation to a document transmitted by other means of electronic transmission.

## PART 4

### DIRECTIONS AS TO INVALID NOTICES

#### Scope of Part 4

19. Paragraph 20 applies where—

- (a) the order of a county court which has been made against a person (“a relevant person”) in accordance with regulation 18 is deemed under regulation 19(4) to have been revoked following the making of a witness statement; and
- (b) the charging authority has referred the case to the adjudicator for directions.

#### Procedure

20.—(1) In a case to which this paragraph applies—

- (a) the proper officer must enter particulars of the case in the register; and
- (b) the adjudicator must give directions as to the conduct of the proceedings unless the adjudicator decides that no such directions are necessary.

(2) The adjudicator may, in particular—

- (a) if it appears to the adjudicator that no appeal has been made by the relevant person in relation to the subject matter of the case, direct that the case proceed as an appeal and, in that event, this Schedule (except paragraphs 2 and 3) applies as if an appeal had been duly made by the relevant person; or
- (b) if it appears to the adjudicator that an appeal has been made by the relevant person in relation to the subject matter of the case and that the appeal has been dismissed, direct that the case proceed as an application under paragraph 12 to review that decision.

## PART 5

### THE REGISTER

#### The register

21.—(1) The proper officer must establish and maintain, in accordance with the following provisions of this paragraph, a register for the purpose of recording proceedings conducted under these Regulations.

(2) The register must be kept open for inspection by any person without charge at all reasonable hours at the principal office of the adjudicators.

(3) The register may be kept in electronic form.

(4) If the register is kept in electronic form, the duty to allow inspection is to be treated as a duty to allow inspection of a reproduction in legible form of the recording of the entry the inspection of which is being sought.

(5) A document purporting to be certified by the proper officer to be a true copy of any entry of a decision in the register is to be evidence of the entry and of the matters contained in it.

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