



SENIOR TRAFFIC COMMISSIONER

Statutory Document No. 9

CASE MANAGEMENT

This document is issued pursuant to section 4C of the Public Passenger Vehicles Act 1981 (as amended). It has been the subject of public consultation.

Commencement:

Contents:

Page

GUIDANCE

2

Interim licences and variations

3 - 4

Listing of cases

4 - 6

Adjournments

6 - 7

Notice

7 - 8

Disclosure

8 - 9

Representation

9 - 10

Location of inquiries

10 - 11

Attendance of witnesses

11

Hearings 'in private'

11

Stay of decisions

12 - 13

Active Case Management

13 - 14

DIRECTIONS

15

Interim licences and variations

15 - 16

Late payment of fees

16

Submissions to traffic commissioners

16 - 18

Periods of Grace

18

Listing of cases

18

Pending prosecutions

19

Adjournments

20

Notification and disclosure of evidence

20 - 21

Appeals to obtain an Acquired Rights Certificate

21

Preliminary hearings

21

Location of inquiries

22

Stays

22 - 23

Annex 1 - EU regulations

24

Issued:

Beverly Bell

Acting Senior Traffic Commissioner
2 December 2011

GUIDANCE

1. The Senior Traffic Commissioner for Great Britain issues the following Guidance under section 4C(1) of the Public Passenger Vehicles Act 1981.

Guidance

2. This guidance is issued under section 4C(1)(a) of the 1981 Act to provide information as to the way in which the Senior Traffic Commissioner believes that traffic commissioners should interpret the law in relation to decisions ancillary to the final disposal of a case but which are essential to the fairness of proceedings and the decision making process. This Guidance may be subject to decisions of the higher courts and to subsequent legislation. The Senior Traffic Commissioner, however, has extracted the following principles from existing legislation and case law and applies to both Operator licence and vocational driver cases. As such the Senior Traffic Commissioner has deliberately adopted the generic terms: 'party' or 'parties' and 'hearings'.
3. The responsibility for taking action under the relevant legislation is vested in the individual traffic commissioner dealing with a case. That responsibility cannot be properly fettered, and the Public Passenger Vehicles Act 1981 and the Goods Vehicles (Licensing of Operators) Act 1995 both make it clear that a presiding commissioner may hold such an inquiry as he or she thinks necessary for the proper exercise of his or her functions. Whilst there is a strong argument in favour of consistency of approach this should not be mistaken for uniformity of decisions and consistency must not be pursued at the expense of the merits of individual cases. Traffic commissioners act as a single person tribunal. They therefore exercise their discretion with regard to the principle of proportionality as enshrined in British, European and human rights law¹. The independence and impartiality of traffic commissioners is guaranteed as part of the obligations on the State².
4. "The role of any traffic commissioner is essentially a judicial one, but a public inquiry is an inquiry and a traffic commissioner has a public duty, as regulator, to inquire carefully and diligently. It is a pro-active role, although the traffic commissioner must always be careful to maintain an open mind until the conclusion of evidence and submissions, and must never assume the role of prosecutor. Nevertheless, the duty of the traffic commissioner will often involve ascertaining the true facts, which means exploring and testing the evidence, and resisting so far as practicable those witnesses who attempt to pull the wool over his or her eyes"³.
5. Any interlocutory decision, i.e. a decision which is ancillary to the actual final decision, but which is so closely linked to that final decision so that it cannot be considered 'procedural' or merely administrative, must also meet these requirements as it might impact on the fairness of the final disposal of a case. In reaching those ancillary decisions the traffic commissioner must also act in the interests of justice⁴. They are therefore judicial functions⁵. Like any tribunal,

¹ Human Rights Act 1998

² Al-Le Logistics Limited etc [2010] EWHC 134 (Admin) paragraph 92 and 2000/065 AM Richardson

³ 2011/025 Asset 2 Asset Ltd

⁴ Al-Le Logistics Limited etc. paragraph 100

⁵ 2011/364 Heart of Wales Bus & Coach Co Ltd & C Jones

traffic commissioners must comply with the Article 6 right to a fair hearing in deciding issues of civil law. The jurisdiction of traffic commissioners includes granting applications, curtailment of authorisation, suspension of licences to operate, revocation of licences to operate and personal disqualification of operators and directors, as well taking action against transport managers who do not work to the requisite standard. Traffic commissioners also consider the conduct of drivers who hold or apply for licences to drive large goods and passenger-carrying vehicles⁶. In considering those PSV operators who fail to operate in accordance with registered timetables traffic commissioners are required to follow a correct judicial approach⁷ which might also result in the imposition of financial penalties and/or the restriction of current and/or future registrations.

6. The legislation is concerned with road safety and fair competition but traffic commissioners must have regard to the decisions of the higher courts and the principle of proportionality in deciding what is commensurate with the circumstances of each individual case⁸. Where there has been non-compliance traffic commissioners must have regard to the potential impact on an operator of any regulatory action and make an assessment of the operator as at the date of the decision. Case management plays an important part in ensuring the traffic commissioner has all the necessary evidence available to inform that final decision.
7. Case management may for, instance, involve providing time to consider and prepare evidence, to seek representation and providing an interpreter when required⁹.

Interim Licences and Variations

8. Authority to operate on an interim basis is only available to applicants for a goods vehicle operator's licence and is at the discretion of the traffic commissioner.
9. An operator's licence is defined under Section 58 of the 1995 Act as having the meaning given in Section 2(1) of the Act - a licence which authorises the use of a goods vehicle on a public road for the carriage of goods:-
 - For hire or reward, or
 - For or in connection with any trade or business carried on by the operator.
10. Section 24(2) in turn, states that an interim licence is an operator's licence. A traffic commissioner therefore needs prima facie to be satisfied that the requirements of professional competence, financial standing¹⁰ and good repute have been considered before interim authority is issued for a standard licence. As a matter of consistency this has been interpreted to include fitness and the availability of finance for a restricted licence.

⁶ See Statutory Guidance and Statutory Directions on Vocational Driver Conduct

⁷ 2009/030 Pilkington

⁸ 2002/217 Bryan Haulage (No 2) (Transport Tribunal Appeal), Muck It Limited and Others v Secretary of State for Transport [2005] EWCA Civ 1124 and Crompton v Department for Transport North West Area [2003] EWCA Civ 64, Priority Freight Limited and Paul Williams (Transport Tribunal appeal 2009/225) and Statutory Guidance and Statutory Directions on the Principles of Decision Making.

⁹ Including the Welsh Language Act 1993

¹⁰ 1984/V2 Michael John Mortimer

11. A traffic commissioner may issue an interim licence/variation in the same terms as those applied for or in different terms in respect of:
- the number of vehicles authorised;
 - different motor vehicles specified;
 - weight restrictions on the vehicle(s) and/or trailer(s);
 - that no trailers are authorised to be used;
 - that all vehicle to be used must be specified;
 - the maximum number of vehicles and/or trailers whose relevant weight exceeds a specified weight;
 - fewer places are specified as operating centres;
 - conditions which restrict the use of an operating centre.
12. The traffic commissioner may take account of any undertakings given when reaching a decision on interim authority.
13. A full licence can have no effect before the interim licence terminates. Sections 24(8) and 25(6) provide that a decision to refuse an interim licence/variation cannot be appealed. The interim licence/variation terminates when any of the following occur:
- the date on which the full licence comes into force or the traffic commissioner takes action to revoke the interim licence under section 26 and/or 27 as appropriate;
 - the time at which the application is withdrawn;
 - the date on which the application is finally disposed or such earlier date as is specified.
14. An application is finally disposed of at the earliest date by which the application and any appeal to the Upper Tribunal arising out of the application have been determined, or any time for bringing such an appeal has expired, or the date on which the application or appeal is withdrawn.

Listing of cases

15. The listing of cases for hearing can often be complicated and will inevitably require an estimation of how long a case will require. Other factors might also impact on listing such as the availability of a traffic commissioner and/or tribunal room. Traffic commissioners have a number of different judicially related tasks where the administration and interests of justice require an individual traffic commissioner to devote time, for instance submissions so that new businesses can start operating or to the preparation of written decisions where parties may be anxious to learn the outcome of a hearing. Generally, whilst the interests of justice must be considered, there are no specific time requirements for the listing of cases, although impounding hearings must take place within 28 days of the receipt of the application¹¹ (subject to the power of the traffic commissioner to extend this period¹²).

¹¹ Regulation 11 of the Goods Vehicles (Enforcement Powers) Regulations 2001 as amended by the Goods Vehicles (Enforcement Powers) (Amendment) Regulations 2009, and regulation 12 of the Public Service Vehicle (Enforcement Powers) Regulations 2009.

¹² Regulation 23 of the Goods Vehicles (Enforcement Powers) Regulations 2001 as amended, and regulation 25 the Public Service Vehicles (Enforcement Powers) Regulations 2009

16. Where there are obvious issues in common, it would clearly be unsatisfactory for the traffic commissioner(s) to come to what might be seen as inconsistent conclusions. It may therefore be desirable to list those related cases together¹³. This also applies where there is the possibility of conflicting evidence so that a driver's conduct hearing might be held at the same time as an operator's inquiry¹⁴.
17. The effect of concurrent criminal proceedings needs to be considered carefully by a traffic commissioner. The Court of Appeal has considered the potential impact of regulatory proceedings on the fairness of other proceedings:

"When assessing the weight of the considerations... the intrinsic importance of the disciplinary process is clearly a very significant but not an overriding factor; it will also be necessary to evaluate the degree of public importance of the case under consideration, the seriousness of the allegation of professional incompetence and/or professional misconduct, and the urgency of their resolution in the disciplinary context. Thus, for example, allegations of dishonesty or other professional malpractice which, if proved, would be likely to lead to the striking off of a member, must clearly weigh heavily or perhaps even overwhelmingly on the institute's side of the scale"¹⁵.

Traffic commissioners, however, must also consider road safety, which lies at the heart of the legislation. There may be an urgent public interest in resolving the issues before criminal proceedings¹⁶. Traffic commissioners can face a difficult decision in which advocates are expected to assist the tribunal. If the traffic commissioner decides to proceed in advance of criminal proceedings steps should be taken to protect the fairness of those proceedings. If the traffic commissioner decides to wait it may, in the end, prove impossible to deal with other aspects of the hearing fairly, in advance of the evidence, which is to be given at the criminal trial. The inevitable consequence is delay, which carries with it other issues such as witness memory and the need for a more up to date assessment of compliance.

18. Where a traffic commissioner concludes that a hearing must await the outcome of criminal proceedings it is important that steps are taken to keep the delay to a minimum. It is acceptable for a traffic commissioner to inform the Crown Prosecution Service or Procurator Fiscal and the relevant courts pending a disciplinary hearing, and ask for regular information about the progress of the criminal proceedings. Where the traffic commissioner decides that a hearing must await the conclusion of the criminal case steps should be taken to ensure that the traffic commissioner's hearing is resumed as soon as possible thereafter¹⁷.
19. In deciding where to hold a hearing traffic commissioners will wish to ensure the objects of the legislation are met so that relevant information might be taken in to account and the fairness of proceedings ensured (allowing a party the opportunity to test the evidence). There may be other factors which also need to

¹³ 2001/041 Tate Fuel Oils, 2009/240 AM Kydd t/a Sandy Kydd Road Transport, 2010/030-32 Canalside UK Ltd & Lewis Robly Horn t/a LR Horn

¹⁴ 2001/68 Dukes Transport (Craigavon) Ltd, and 2002/025 H J Lea Oakes Ltd

¹⁵ R v. Institute of Chartered Accountants in England & Wales and Others, ex parte Brindle and Others (1994 BCC 297) at 310

¹⁶ 2004/255 M Oliver

¹⁷ 2006/149 A & C Nowell, 2010/049 Aspey Trucks Ltd

be taken into account¹⁸. In some cases evidence might be heard in private so that regulatory action is not delayed but the risk of prejudice to future proceedings is minimised.

Adjournments

20. *"The decision whether to grant an adjournment does not depend upon a mechanical exercise of comparing previous delays in other cases with the delay in the instant application. It is not possible or desirable to identify hard and fast rules as to when an adjournment should or should not be granted. The guiding principle must be that (traffic commissioners) should fully examine the circumstances leading to applications for delay, the reasons for those applications and the consequences to (the parties). Ultimately, they must decide what is fair in the light of all those circumstances. The court will only interfere with the exercise of ...discretion ... in cases where it is plain that a refusal will cause substantial unfairness to one of the parties"*¹⁹.
21. In considering a request for an adjournment, the purpose of the adjournment should be clear as the traffic commissioner will properly be concerned with the potential impact on road safety. An adjournment may have to be balanced against the age of the case but the pressure to get a case to a hearing can lead to a far greater delay than a limited adjournment if justice cannot be done. Traffic commissioners have been urged to think very carefully when asked to adjourn stale cases²⁰. There may be occasions when the adjournment is simply a device to postpone the impact of a decision and the correct course may be to refuse but there may also be other cases where a relatively short adjournment of a hearing will avoid a real risk of a much greater delay if it later appears either during the hearing or on appeal that the interests of justice and fairness require an adjournment. A traffic commissioner is entitled to take into account the alleged conduct of the operator in relation to any VOSA or police investigations²¹. Any tribunal will be concerned to ensure that all the relevant documentation is available to the parties so that they can properly answer all matters that may be addressed to it/them in respect of the possible conduct. The situation might well change in the course of a hearing and there is therefore a need to be aware of the requirement to keep a request for an adjournment under constant review²².
22. There is a considerable public interest in hearings taking place on the date set and so hearings should not be adjourned unless there is good and compelling reason to do so. In considering the competing interests of the parties, traffic commissioners should examine the likely consequences of the proposed adjournment and its likely length. The reason that the adjournment is required should be examined and if it arises through the fault of the party seeking the adjournment, that is a factor against granting the adjournment, carrying weight in accordance with the gravity of the fault. The administration of an effective and efficient system will bring about great benefits to users of the traffic commissioners' tribunals²³. Requests for adjournments on medical grounds should be supported by medical evidence which states if and why a party

¹⁸ 2001/056 Paul Williams t/a Garden Materials Landscaping regarding a traffic commissioner's inspection of the relevant site.

¹⁹ Lord Bingham in *R. v. Hereford Magistrates* (1998) 163 JP 433; (1997) 2 Cr App R 340 at p.353

²⁰ 2008/413 Al-Le Logistics Ltd and others

²¹ 2010/064 JWF (UK) Ltd

²² Al-Le Logistics Limited etc. [2010] EWHC 134 (Admin) paragraph 48

²³ *Visvaratnam* (2010) 174 JP 61; (2009) EWHC 3017 Admin

cannot attend a hearing²⁴. Any court is not automatically bound by a medical certificate and may exercise its discretion to disregard a certificate²⁵, which it finds unsatisfactory and in particular where:

- the certificate indicates that the party is unfit to work (rather than to attend the hearing);
- the nature of the ailment (e.g. a broken arm) does not appear to be capable of preventing attendance at a hearing;
- the party is certified as suffering from stress/anxiety/depression and there is no indication of the party recovering within a realistic timetable.

23. Any application for an adjournment requires a decision and must be referred to a traffic commissioner²⁶ and similarly the decision must be communicated to the party²⁷. If the traffic commissioner accepts that a party's absence from the hearing is not the fault of that party the general rule is to not proceed in absence unless there is a compelling reason to proceed²⁸. If the traffic commissioner does not believe the explanation, reasons should be given²⁹. Where an operator has opportunity to engage in a professional and cooperative way but fails to do so then repeated avoidance may result in the loss of that licence³⁰.

24. Section 54(4) of the Public Passenger Vehicles Act 1981 and schedule 4 of the Goods Vehicles (Licensing of Operators) Regulations 1995 set out the provisions relating to the giving of notice of a public inquiry. The date, time and place may be varied, but, if so, the full notice period may have to be recalculated. An irregularity, however, in the notice can be cured and the hearing can proceed if the traffic commissioner is satisfied that no injustice or inconvenience will be caused³¹. Where the operator has been properly alerted to the hearing date and fails to attend, in the absence of medical evidence³² or a good reason, then the traffic commissioner is entitled to proceed in absence³³.

Notice

25. Each Traffic Area produces publications which contain details of all applications during a given period. Inspection of licence applications only can be requested under the provisions of Regulation 9 of the Goods Vehicles (Licensing of Operators) Regulations 1995 or Regulation 4 of the Public Service Vehicles (Operators' Licences) Regulations 1995. Where full notice has not been provided it might still be possible to see the operator. At times it may be appropriate for an operator to be seen without the full notice period having expired. Section 27 of the Goods Vehicles (Licensing of Operators) Act 1985 and regulation 9 of the Public Service Vehicles (Operators' Licences) Regulations 1995 require notice of the grounds upon which the traffic

²⁴ 2010/024 Hedley Simcock

²⁵ R V Ealing Magistrates' Court (ex parte Burgess) (2011) 165 JP 82

²⁶ 2000/002 Grifpack

²⁷ 2005/110 G DEM

²⁸ R (on the application of M) v Burnley, Pendle and Rossendale Magistrates' Court 174 JPR 102 , 2004/362

Britannia Hotels

²⁹ 2006/192 S Shirley

³⁰ JWF (UK) Ltd (as above)

³¹ 2009/524 Ocean Transport Ltd

³² 2010/023 Taj the Grocer Ltd

³³ 2010/69 John Francis Donnelly

commissioner might take action, with time to make representations. The party must first have the opportunity to present a case and there is no scope for the equivalent of an interim injunction based on a one-sided view of the evidence³⁴. This does not prevent a traffic commissioner from considering preliminary matters such as interim authority³⁵ without a full hearing. A preliminary or case management hearing can be beneficial in narrowing or crystallising the issues³⁶. Where a party is called to a preliminary hearing³⁷ to resolve a particular matter the Human Rights Act 1998 still applies.

- 26.** Driver conduct hearings are public hearings but their event and the outcome is not published. Decisions are a matter of public record and copies may be requested from the office of the relevant traffic commissioner.

Disclosure

- 27.** A traffic commissioner is required to give notice in writing of what action might be in contemplation. A notice must state the grounds on which the traffic commissioner is considering that action and invite the party to make representations³⁸. The party should know the case it has to meet but there is no obligation to set all of this out in the call up letter, it can equally be communicated through disclosure of reports³⁹. *“It would be impracticable for a traffic commissioner to be expected to disclose everything which that commissioner has ever seen. The traffic commissioner’s staff should identify the evidence which is to be considered at the hearing”* to ensure that the party is given proper notice so that the party can prepare for the hearing⁴⁰. Where it emerges that the evidence has not been disclosed the traffic commissioner should order an adjournment to allow time for preparation⁴¹. The length of the adjournment will depend on the particular case. The deliberate tactic of waiting to see what evidence the traffic commissioner has before making admissions or representations has been deprecated and may impact on repute⁴².
- 28.** Call-up letters are not to be viewed as pleadings. The essential requirement is one of fairness but there should be no doubt as to the issues being raised. Some matters are so obviously relevant that they can be included without further justification; others are so obviously irrelevant that they must be excluded. In between there are two categories that require more care: 1) material the relevance of which only becomes apparent when some explanation is given; 2) material where a decision on whether or not it is relevant requires further investigation in the course of the hearing. A call-up letter may have to be drafted with these distinctions in mind⁴³.
- 29.** *In a fluid jurisdiction such as this, where operators continue to operate after the preparation of initial evidence and a call-up letter, it is entirely appropriate that there be scope for raising additional matters, subject to ensuring that an*

³⁴ 2006/487 D & H Travel

³⁵ Only available under section 24 Goods Vehicles (Licensing of Operators) Act 1985

³⁶ 2003/300 Andrews (Sheffield)

³⁷ It was previously custom to refer to these hearings as ‘In Chambers’ but because of the connotations from other jurisdictions that these hearings are not in public that term is no longer to be used.

³⁸ 2001/072 AR Brooks

³⁹ 2010/025 Skip It (Kent) Ltd and others

⁴⁰ 2001/039 BKG Transport, 2001/072 AR Brooks

⁴¹ 2000/005 M Williams, 2005/357 John Bayne & Sons

⁴² 2006/313 D Lloyd, see Statutory Guidance and Statutory Directions on Good Repute and Fitness

⁴³ 2007/104 S Lloyd

*operator has proper notice*⁴⁴. Where new issues emerge during the hearing that have not been raised in the call-up letter this is not fatal to the fairness of the proceedings as long as the relevant party is given time to consider those issues and any new material. It may not be necessary to adjourn to another date⁴⁵. Once a traffic commissioner has received answers which suggest a relevant line of enquiry then it is legitimate for the traffic commissioner to pursue the issue because it raises the question of whether the traffic commissioner should have jurisdiction over the party in the future. The traffic commissioner will consider whether there needs to be a full adjournment to allow time to consider the new material and fresh notification sent to clarify which matters are at issue⁴⁶.

Representation

30. The traffic commissioner is entitled to expect that the operator or applicant will attend a hearing. Where a company or other corporate body is called to a hearing it is reasonable to expect a director or equivalent, authorised to speak on behalf of the board, to attend that hearing. If the traffic commissioner cannot be satisfied that the person before them has the requisite authority the traffic commissioner is entitled to ask for authority to be produced⁴⁷.
31. As indicated above, a traffic commissioner has a wide discretion as to the manner in which s/he conducts a hearing. Any person entitled or permitted to appear may do so on his or her own behalf or can be represented by counsel (barrister) and/or a solicitor. There is no provision for free representation before a traffic commissioner's tribunal. If a party wishes to be represented then that it is a matter for the party. There are no active costs provisions in relation to public inquiries or driver conduct hearings and therefore all costs are borne by a party.
32. Other potential representatives such as transport consultants can only appear with the permission of the traffic commissioner. Whilst traffic commissioners generally allow unqualified advocates to appear before them this is always at the discretion of the traffic commissioner. Consequently in appropriate cases traffic commissioners may refuse to hear representatives other than counsel or solicitors: this distinction is based on the fact that unlike that of other representatives the conduct of counsel and solicitors is regulated by the Bar Standards Board and the Solicitors Regulation Authority and therefore the submissions from counsel and solicitors carry more weight than those from other representatives⁴⁸. Transport consultants and representatives who are not counsel or solicitors are nevertheless expected to display a degree of competence and openness with the tribunal⁴⁹. Nor can they expect to be permitted to act as both an advocate and a witness in the same proceedings⁵⁰. Union representatives often appear to assist vocational drivers and traffic commissioners; whilst they may have limited experience of this type of hearing they are expected to demonstrate the same level of openness.

⁴⁴ 2011/359 Paul Coleman t/a Coach UK Travel

⁴⁵ AR Brooks (as above), 2009/516 Ahmed & Ahmed.

⁴⁶ 2006/405 Transclara

⁴⁷ Upper Tribunal stay decision in Eurofast (Europe) Ltd 22 October 2010

⁴⁸ 2005/385 K Grant

⁴⁹ 2006/252 A Hayden trading as Trans Consult

⁵⁰ 2010/001 Denise & Peter Walsh trading as Walsh Skip Hire

- 33.** Paragraph 3(5) of Schedule 4 of the Goods Vehicles (Licensing of Operators) Regulations 1995 gives the traffic commissioner discretion to allow any person to appear at a hearing and if s/he does so, that person may be permitted to be represented by counsel or solicitor, including VOSA. That representative may participate and make submissions to the degree permitted by the presiding traffic commissioner and that kind of assistance should generally be encouraged⁵¹. The provisions relating to PSV licences are less specific but general comments from the Transport Tribunal in respect of hearings make it clear that representation of VOSA has the effect of making the traffic commissioner and indeed the Upper Tribunal better able to understand the issues and that assistance of this sort is generally to be encouraged. More recent case law suggests that VOSA may take an active role but this does not preclude the traffic commissioner from acting as 'devil's advocate' and, even where VOSA is represented the inquiry remains an inquiry, with a duty on the traffic commissioner to inquire⁵². The extent to which assistance is required is a matter for the traffic commissioner in the individual case⁵³ not another party. Traffic commissioners have successfully adopted a practice in some cases where the advocate representing VOSA suggests areas or topics, which might be put to an operator's witness. There is a risk that this might become too artificial and in some cases the traffic commissioner has allowed direct cross-examination, similar to other inquisitorial processes⁵⁴. It is for the traffic commissioner to decide what is most appropriate, in the interests of justice.
- 34.** In deciding on an application for an adjournment based on an advocate's unavailability the practice of the higher courts is that "counsel's convenience" will rarely be the sole basis for granting an adjournment. The above public interest must be balanced against a party's right to representation by an advocate of choice. The interests of justice may be equally served by the instruction of one of the number of alternative advocates who appear before a traffic commissioner.
- 35.** The majority of hearings before traffic commissioners are inquisitorial in nature with parties present in order to assist a traffic commissioner in reaching a determination⁵⁵. Impounding hearings, however, are adversarial and therefore both parties are likely to be represented.

Location of inquiries

- 36.** One of the great strengths of the traffic commissioner system is the "intimate knowledge of their areas"⁵⁶. Section 54 of the Public Passenger Vehicles Act 1981 allows a traffic commissioner to hold a hearing at any place that the traffic commissioner considers convenient. Paragraph 1(2) of Schedule 4 of the Goods Vehicles (Licensing of Operators) Regulations 1995 allows the traffic commissioner to vary the location of a hearing at his or her discretion. Whilst there may be a public interest argument for local justice there are few other formal considerations beyond the attendance of witnesses⁵⁷. In environmental cases it will usually be necessary for the traffic commissioner to conduct a site

⁵¹ 2001/049 Norbert Dentressangle

⁵² Asset 2 Asset Ltd (as above)

⁵³ 2001/068 Dukes Transport

⁵⁴ Interested persons may cross examine witnesses during an inquest.

⁵⁵ See Statutory Guidance and Statutory Directions on Principles of Decision Making

⁵⁶ 2010/067 Pemberton Transport Ltd

⁵⁷ 2004/364 Pallas Transport Ltd

visit of the actual premises in question, which may also influence the choice of location⁵⁸.

Attendance of Witnesses

- 37.** As suggested above the traffic commissioner has a wide discretion as to the witnesses and evidence which he or she may call. Subject to the above guidance on disclosure, a traffic commissioner is entitled to take hearsay evidence into account but the non-attendance of a witness may undermine the weight which can be attached to the evidence rather than making it inadmissible. If a serious point of conflict arises it is incumbent on the party to raise it so that the traffic commissioner can then decide whether to adjourn to enable the witness to attend⁵⁹. The party must be able to show real prejudice if the witness does not attend and it may be that the traffic commissioner chooses to proceed on the basis of edited evidence which is largely or wholly accepted⁶⁰. The traffic commissioner should be alive to the significance of evidence and may proactively decide to adjourn a case to secure the attendance of a witness (such as a VOSA Examiner) even where that evidence is agreed where the interests of justice require it⁶¹.

Hearings 'in private'

- 38.** Paragraph 2(2) of Schedule 4 of the Goods Vehicles (Licensing of Operators) Regulations 1995 and the general discretions referred to above give a traffic commissioner power to exclude certain persons from proceedings. Hearings or parts of hearings where the public and others are excluded used to be referred to as 'in camera'. The courts in general have moved away from using Latin terms and traffic commissioners now refer to them as 'in private'. Any hearing will usually be open to the public unless the case involves evidence where the traffic commissioner is of the opinion that the interests of justice demand that all or part of the proceedings should be heard in private such as financial and/or commercially sensitive information. In addition legislation requires traffic commissioners to process personal data (within the meaning of the Data Protection Act 1998). The processing⁶² of personal data⁶³ should be only what is required for the lawful exercise of the traffic commissioner's functions.

⁵⁸ 2001/056 Paul Williams t/a Garden Materials Landscaping

⁵⁹ 2001/053 M Williams

⁶⁰ 2003/147 W C Hockin

⁶¹ Skip It (Kent) Ltd and others (as above)

⁶² "Processing" is defined as including "obtaining, recording or holding", "organising, adapting or altering", "retrieving, consulting or using", "disclosing, disseminating or making available", and "aligning, combining, blocking, erasing or destroying" data.

⁶³ "Personal data" is defined under the DPA as "data which relate to a living individual who can be identified ... from those data, or ... from those data and other information which is in the possession of, or is likely to come into possession of, the data controller".

39. Traffic commissioners have discretion to direct that certain decisions, usually relating to suspension or revocation of an operator's licence, shall not take effect until an appeal is lodged and dealt with by the Upper Tribunal (previously the Transport Tribunal)⁶⁴. The relevant provisions are to be found at section 29 of the Goods Vehicles (Licensing of Operators) Act 1995 and section 50 of the Public Passenger Vehicles Act 1981 (as substituted by section 31 of the Transport Act 1985). Commissioners should be careful to note that Section 50(7) of the 1981 Act enables a traffic commissioner to withdraw a stay at any time. However commissioners should carefully consider the implications of such a direction. There is no similar provision in the 1995 Act.
40. The Transport Tribunal has indicated that any application for a stay which is supported by new material which was not before the presiding traffic commissioner at the time of a public inquiry should only be considered if it could not have been obtained, with reasonable diligence, for use at the Public Inquiry⁶⁵. The Upper Tribunal has not indicated that *"where there are no concerns about road safety or fair competition and a history of compliant operation it seems to us that even if the appeal is hopeless, (as so many of appeals of this nature appear to be), it will nevertheless be appropriate to grant a stay in order to ensure that the operator can remain in business"*⁶⁶ although an appellant cannot expect to postpone the inevitable where an appeal is obviously not going to succeed⁶⁷: *If it is clear that no grounds have been advanced which might lead to the conclusion that the traffic commissioner was plainly wrong then the conclusion will be that the appeal is likely to fail. In those circumstances other factors, especially safety and fair competition, are likely to carry greater weight.* The starting point may suggest an unfettered right of appeal but the safety of the public is an equally important consideration. Where an appeal is without merit and therefore bound to fail the Upper Tribunal has upheld a decision to refuse a stay on the basis that allowing an operator to continue to operate pending the hearing *would mislead other operators into thinking that responding to reasonable requests and providing evidence of finance is not considered to be particularly important*⁶⁸.
41. Where a traffic commissioner's decision is due to come into effect very shortly after a stay has been refused, it will be appropriate for a traffic commissioner to consider whether to defer the coming into effect of his or her decision. The party will need to decide whether they wish to appeal. In relevant cases even where a stay is refused deferred application of a decision may enable a further application to be lodged with the Upper Tribunal. A judge of the Upper Tribunal has 14 days in which to make a decision (section 29(4) of the Goods Vehicles (Licensing of Operators) Act 1995, section 50(8) of the Public Passenger Vehicles Act 1981). Rule 20(A) of the Tribunal Procedure (Upper Tribunal) Rules 2008 as amended, states that a traffic commissioner has 7 days to supply a copy of a decision relating to a stay to the Upper Tribunal. In practice the timescale may be much shorter.

⁶⁴ See Statutory Guidance and Statutory Directions on Appeals

⁶⁵ 2002/040 Thames Materials

⁶⁶ 2010/011 TW Walton & C Walton t/a TW & C Walton Builders

⁶⁷ Upper Tribunal stay decision in Asif Mohammed Din t/a Ribble Valley Private Hire

⁶⁸ Upper Tribunal stay decision in Tubular Solutions UK Ltd

42. There are no specific provisions for a stay in relation to vocational drivers. If a driver lodges a complaint in the magistrates' or Sheriff court by way of appeal then any stay application must in the first instance be directed to them and not the traffic commissioner. A right of appeal is provided by section 119 of the Road Traffic Act 1988. There is no equivalent power in the Road Traffic Act 1988 to that provided for by section 29(2) of the Goods Vehicle (Licensing of Operator's) Act 1995 to stay decisions pending appeal but the Magistrates or Sheriff are given power to make "such order as it thinks fit"... "on any appeal" in section 119(3)⁶⁹.

Active Case Management

43. The Upper Tribunal has made clear that the public inquiry process cannot function where a party fails to adhere to the process and timescales as determined by the traffic commissioner but substitutes his/her own timeframe for the submission of evidence and the determination of matters. *In this day and age, and especially in the essentially inquisitorial framework of the public inquiry system, there is in our view a clear duty on operators to help the Traffic Commissioner deal with cases fairly and justly – and to avoid delay, so far as compatible with the proper consideration of the material issues. The modern trend is to expect parties to tribunal proceedings (and, by analogy, operators) to co-operate generally. This will be especially important, and in the interests of the compliant operator, if it emerges that their operation is under scrutiny by VOSA or the traffic commissioner. A wise operator will take whatever steps are required to ensure that he takes advantage of every opportunity to submit relevant and helpful evidence before, and not after, matters come to a head, and well before a traffic commissioner sits down to make his or her final decisions*⁷⁰.
44. The Senior Traffic Commissioner is aware that in practice the majority of public inquiry hearings are dealt with expeditiously and efficiently and that invariably they will not be listed for longer than half a day and that this time frame will be sufficient. Indeed traffic commissioners are accustomed to dealing with cases to conclusion (including delivery of the decision) within that time scale and this is generally regarded as best and normal practice. Commissioners do not adopt an "overly legalistic" approach to their jurisdiction and are keen to adopt an approach at public inquiry that will have the effect of achieving operator licence compliance. This will often involve a clear engagement with the operator at both the evidence stage and the decision stage. This type of approach is to be encouraged.
45. However there will always be cases where it is clear that a particular public inquiry will be complex and time consuming and the presiding commissioner will have to become involved in "case management" at an early stage. In these cases traffic commissioners are reminded that useful guidance as to the principles of case management is available from the 'overriding objectives' referred to in the Procedure Rules in both the civil and criminal jurisdictions. By analogy the Senior Traffic Commissioner considers that in these cases traffic commissioners will be able to actively manage the case whilst ensuring that cases are dealt with justly and expeditiously, so far as is practicable by

⁶⁹ An appeal falls within the civil jurisdiction.

⁷⁰ 2010/043 Stephen Mcvinnie t/a Knight Rider

- (a) ensuring that all evidence is served by the Office of the Traffic Commissioner in a timely manner;
- (b) ensuring that any written evidence and representations from the operator and/or its representative is provided to the presiding traffic commissioner sufficiently in advance of the hearing so that it can be read and considered by the commissioner in advance
- (c) ensuring that operators provide the documents requested by the Office of the Traffic Commissioner in advance of the public inquiry where requested to do so;
- (d) identifying the issues for determination by the traffic commissioner at an early stage
- (e) ensuring value for money in the use of time and resources (including considering the need to call witnesses whose evidence may be agreed)
- (f) dealing with the case in ways which are proportionate to –
 - (i) the size and type of licence/s involved
 - (j) the nature and scale of the breaches
 - (ii) the complexity of the issues
 - (iii) the likely orders and directions to be made
 - (iv) the likely effect upon the operator of the proposed orders and directions;
and
- (g) ensuring that the public inquiry is listed expeditiously and that an appropriate time estimate is allocated.

DIRECTIONS

Basis of Directions

46. The Senior Traffic Commissioner for Great Britain issues the following Directions to traffic commissioners under section 4C(1) of the Public Passenger Vehicles Act 1981. The aforementioned Guidance relates to matters which may influence decisions in respect of listing, adjournments, disclosure and any other matter ancillary to the final disposal of a case but which might impact on the fairness of proceedings. These Directions are addressed to the traffic commissioners in respect of the approach to be taken by staff acting on behalf of individual traffic commissioners and are intended to assist in ensuring the fairness of proceedings involving operator/applicant or transport manager (parties).

Interim Licences/Variations

47. As stated at paragraph 8 above authority to operate on an interim basis is only available to applicants for a goods vehicle operator's licence. There is no absolute right to operate under interim authority. The application form makes clear an interim licence/variation can only be granted where the application is complete and all supporting documents have been supplied.
48. The exact wording of the legislation suggests a discretion and the higher courts have been reluctant to intervene to restrict this. For instance a traffic commissioner may allow an interim licence for less vehicles than the total authority sought. A commentary to the preceding 1968 Act indicates that the equivalent provision was to enable grants on a temporary or trial basis and that interim licences would not normally be granted until the period for representations on environmental grounds had expired. It goes on to refer to special reasons why the applicant needs a licence earlier than the statutory timetable or where there may be unavoidable delays in processing the application. The example given is where accounts are provided as evidence of financial standing or possibly more on point where objections and/or representations have been lodged and need to be considered.
49. Interim licences may only be granted under delegated powers where all mandatory requirements such as repute, financial standing and professional competence are met and the criteria set out in Statutory Guidance on the Delegation of Authority at Annex 2, sections 2c) or d) are satisfied.
50. Where interim requests cannot be granted under current delegations the application must be referred to a traffic commissioner who may require to be satisfied as to the reasons for allowing the applicant to enter the industry early or increase authority ahead of the full application process e.g. the award of a new contract or the need to increase vehicle/fleet size for commercial reasons and the like. Where interim authority has previously been refused by a traffic commissioner any resubmission should in the normal course be made to the same traffic commissioner and only where there has been a material difference in the application from the first submission.

51. It is a condition of the licence that traffic commissioners are informed of any relevant changes within 28 days. This includes any changes to the mandatory requirements for a standard licence as set out in Article 3; whilst those changes may not attract a fee it is important that the operator is given an opportunity to apply for a period of grace⁷¹. This may then require submission to the traffic commissioner for a decision on the time to be allowed, within the maximums allowed under Article 13.

Late payment of fees

52. The provision to accept a late fee is contained within section 45(5) of the Goods Vehicles (Licensing of Operators) Act 1995 and section 52(2E) of the Public Passenger Vehicles Act 1981. These provisions give a Traffic Commissioner discretion to determine that a licence does not terminate at the time when the fee is due by and not paid but continues in force if a fee is received or has been received after the due date but only on a finding that there have been exceptional circumstances.
53. In the leading case⁷² the Transport Tribunal found that there is no legal requirement for a reminder and therefore an applicant cannot properly seek to rely on circumstances where they have not received the same. Similarly where there is a case of *mere oversight, more is required before exceptional circumstances may properly be found*⁷³. The obligation is on the operator to pay the fee on time. However precedent has imported some further considerations. In answering the question: *is it right or fair to impose the time, cost and trouble of applying for a new licence* traffic commissioners are obliged to consider whether there are any other factors which might be termed exceptional circumstances⁷⁴:
- was there an attempt to pay?
 - what is the amount of money involved?
 - should non-receipt of licence documentation have alerted the operator to the fact that payment had not been received?
 - has the Central Licensing Office or other official contributed to the non-payment?
54. Any submission regarding an application to make a late payment should outline the circumstances which led to the late payment and attempt to address the above factors as well as identifying any other fact which might persuade the traffic commissioner to find that there are exceptional circumstances.

⁷¹ See Statutory Guidance and Statutory Directions on Repute & Fitness, Statutory Guidance and Statutory Directions on Finance, Statutory Guidance and Statutory Directions on Operating Centres & Stable Establishments, and Statutory Guidance and Statutory Directions on Principles of Decision Making

⁷² 2008/569 David Collingwood t/a Construction & Services, 2009/492 Clemente Fanciulli t/a PB Haulage

⁷³ 2001/062 T S G Smith t/a Western International, 2010/018 Horsebox Mobile Repairs Ltd

⁷⁴ 2010/016 Alan Cooper t/a Alan Cooper Haulage conjoined with 2010/021 Jeanette Wootten t/a Woodhouse Furniture

Submissions - deciding whether to call to a hearing

55. The decision on whether to call to a hearing falls within the traffic commissioner's discretion⁷⁵. *The decision to call to a public inquiry falls to the traffic commissioner, not to officials, and it is part of the traffic commissioner's independent judicial function. The traffic commissioner may have regard to recommendations from his staff or others...*⁷⁶ In reaching that decision traffic commissioners are assisted by the case submissions prepared by members of Office of the Traffic Commissioner (OTC) and Central Licensing Office staff. A submission should refer the traffic commissioner to the operator's history and size of fleet.
56. The Upper Tribunal (and its predecessor) has made clear on many occasions that each case must be considered on its own merits. Consistency of approach should not be mistaken for uniformity of decisions⁷⁷. Inevitably the concept of proportionality requires that interventions be graduated but each case will involve a collection of different and variable factors such that it is impossible to set anything more than starting points. Caseworkers should refer to appropriate Statutory Guidance and Statutory Directions including those on the Principles of Decision Making as to the potential outcome.

Submissions

57. As the case law makes clear there is no requirement on traffic commissioners to engage in discussions with applicants and/or operators before reaching a preliminary decision on whether to call to a hearing. Operators are usually provided with an opportunity to comment in response to the findings of a VOSA investigation. It may, however, be appropriate to request further comments on the first occasion when operators are found to have incurred a small number of prohibitions; minor failings in their maintenance system; a small number of tachograph errors; vehicle excise duty offences; minor convictions and any other offences not proceeded with. In these cases a letter can be sent to the operator requesting an explanation within a given timetable as to the reasons for the shortcomings and the steps being taken to overcome them, and to seek further assurances. In the event of convictions the operator will be asked to confirm whether any further offences are outstanding. A satisfactory reply might result in a recommendation to issue a warning letter.
58. Even the best organised operator may occasionally make a genuine mistake and, unless this is serious, action may not be required. It is expected, however, that an operator will learn from an incident and take prompt corrective action. A more serious view will be taken of repeated failings or a combination of apparent infringements.
59. Where one or more warning letters have been issued in the past five years, it is anticipated that the traffic commissioner will wish to consider calling the operator to a Public Inquiry. The traffic commissioner, however, might also consider a 'final' warning letter. In appropriate cases the traffic commissioner may request VOSA Enforcement Officers to carry out a routine check to ensure compliance.

⁷⁵ See Statutory Guidance and Statutory Directions of Delegations and Multiple Licence Holders

⁷⁶ 2011/364 Heart of Wales Bus & Coach Co. Ltd & C Jones

⁷⁷ 2003/327 The Fox (A1) Ltd

60. Members of staff should anticipate in preparing written submissions that the traffic commissioner will wish to consider calling to a Public Inquiry if:
- The operator does not appear to heed the warning letter, and non-compliance continues.
 - The initial report is so serious that a public inquiry (PI) is immediately justified by an apparent risk to road safety, fair competition or where the operator appears to have set out to flout the law deliberately.
61. If the measures imposed at an earlier PI appear to have been effective and/or the relevant suspension or curtailment has expired, it will not normally be appropriate to call a further PI if the operator applies for the licence to be restored to the previous authorisation, or even further increased after an appropriate period, provided the traffic commissioner is satisfied that standards have been restored and maintained. If appropriate, VOSA will be asked to carry out checks to establish suitability. A case submission should be made to the traffic commissioner to this effect.
62. Allegations on matters of fact relating to potential exercise of powers under section 17 of the Public Passenger Vehicles Act 1981, the Road Traffic Act 1988, and/or sections 26 and 27 of the Goods Vehicles (Licensing of Operators) Act 1995 will need to be considered by the traffic commissioner. Reference should be made to the relevant Statutory Guidance and Statutory Directions.

Periods of Grace

63. For standard licences Regulation (EC) 1071/2009 (Annex 2) allow but do not require the traffic commissioner to provide a period of time to rectify the situation. The operator must be notified and should be given a limited time (because of the implications for fair competition), for instance 14 days, to make written representations before the traffic commissioner decides whether to allow time for rectification and for what period by way of a notice served under section 27(3A) of the Goods Vehicles (Licensing of Operators) Act 1995 and section 17(1A) of the Public Passenger Vehicles Act 1981. The maximum periods allowed under the legislation are as follows:

Shortcoming		Maximum Period of Grace
Transport Manager	Departure	6 months
	Death or physical incapacity	6 + 3 months
Effective & Stable Establishment		6 months
Financial Standing		6 months to demonstrate that the requirement will be met <i>on a permanent basis</i>

Listing of cases

64. Once a traffic commissioner has called a case to a hearing the case papers will be transferred to the staff in the relevant Office of the Traffic Commissioner for preparation and for the case to be listed. The Office of the Traffic Commissioner seeks to list public inquiries within twelve weeks of the traffic commissioner calling the inquiry. This is subject to available resources and includes consideration of the traffic commissioner's diary. The period may also be extended if the traffic commissioner believes that it is in the interests of the case to do so to allow proper consideration.

Pending Prosecutions

65. Occasions will arise when the traffic commissioner has decided to call a case to a hearing and information is received that a prosecution is pending against a potential party or an employee. Such cases will be referred to the traffic commissioner to decide whether the public inquiry should proceed or be delayed until the court proceedings have been concluded. The submission should take account of the fact that:
- the traffic commissioner will be considering the operator's suitability to continue to hold an operator's licence in the round, as opposed to the court making a finding on a specific offence(s);
 - the likely time delay before the criminal proceedings are heard. In particular the traffic commissioner will want to consider the scale of the implications that this will have for road safety or fair competition in the interim;
 - the seriousness of the offence(s), and whether the outcome if determined before the PI is likely one way or the other to lead the traffic commissioner to reach a very different conclusion than he/she might otherwise expect to reach;
66. In cases where a public inquiry precedes court proceedings, the commissioner may need to consider whether the interests of justice require part or all of the evidence to be heard in private. They may also need to consider whether to exclude certain individuals who are giving evidence even if this evidence is being given in private. For example, if a VOSA prosecution is pending in the criminal courts it may be appropriate for the VOSA witnesses to be excluded after they have given their evidence and whilst the operator is giving their evidence. This will always be a question of fact and degree according to the circumstances of each case and will often require very careful consideration by the presiding traffic commissioner who will want to seek a balance between the absolute requirement to ensure that the operator has a fair hearing and the need of the commissioner to admit all relevant evidence.
67. Article 19 of EC Regulation 561/2006 seeks to guard against the risk of what is sometimes termed 'double jeopardy'. The Article specifically refers to penalties and in that context reference to "procedure" would mean a procedure aimed at imposing punitive measures. Traffic commissioners are not concerned with punishment but traffic commissioner hearings are regulatory in nature. The limited protection against double jeopardy does not therefore apply⁷⁸ but can, if necessary be argued as part of any subsequent criminal proceedings.⁷⁹

⁷⁸ Regina v IK, Regina v AB, Regina v KA, Court of Appeal (Criminal Division), 16 May 2007.

⁷⁹ 2008/526 Kingman

Adjournments

68. Circumstances requiring adjournments can occur at any time leading up to or indeed during an inquiry. A traffic commissioner will adjourn the proceedings if he or she considers that it is required in the interests of justice, i.e. to ensure that the proceedings are fair to all parties. Parties can apply for an adjournment prior to the inquiry by submitting a written request to the traffic commissioner or by making a verbal application during an inquiry. Any request must contain a detailed reason as to why an adjournment is appropriate and, where possible, corroborating evidence should be included with the request (this may include details of a scheduled hospital appointment or pre-booked holiday confirmation). The traffic commissioner will take all relevant factors into account when considering adjournment requests, including the effect on road safety of allowing an operator to continue.
69. Applications for adjournments are to be submitted to the traffic commissioner immediately and decisions taken on adjournment requests should be communicated to the party or their representative as soon as possible, with the aim of communicating the decision within 3 working days. If verbal notification of the decision is appropriate it is to be confirmed in writing at the earliest opportunity.

Notification and disclosure of evidence

Publication

70. Notification of pending public inquiries should be placed in Notices and Proceedings or Applications and Decisions in accordance with legislative requirements. The Office of the Traffic Commissioner may also send a list of all pending hearings to the relevant press officer who acts for the traffic commissioner..

*Call-up letters*⁸⁰

71. A letter inviting a party to attend a public inquiry will be sent in accordance with the legislative requirements. Schedule 4 of the Goods Vehicles (Licensing of Operators) Regulations 1995 provides that “*at least 21 days notice before the date so fixed*” shall be given. Regulations 8 & 9 of the Public Service Vehicles (Operators’ Licences) Regulations 1995 provide that “*not less than 14 days notice*” shall be given. In many cases the Office of the Traffic Commissioner seeks to send call up letters between 28 and 35 days before the scheduled date for the public inquiry but this is not mandatory. The letter should detail the reasons for calling the public inquiry, the evidence that the traffic commissioner will consider and any further information that the traffic commissioner requires from the operator. The letter will also invite operators to make representations to the traffic commissioner prior to the inquiry.

⁸⁰ See Statutory Directions and Statutory Directions on Legal Entities and Service of Documents

- 72.** The Office of the Traffic Commissioner prepares a traffic commissioner's brief (or bundle of papers) which will include all information proposed to be considered by the traffic commissioner at the hearing. The traffic commissioner cannot and will not be bound by any recommendation or information received from officials. *Some of the information received may come from enforcement officers, for example traffic examiners or vehicle examiners employed by VOSA. Further information may come from the parties themselves, for example financial evidence and/or company records. It is open to a party to submit other documents and to make representations as to the scope of a hearing for the traffic commissioner to rule on⁸¹.* Any request for further material should therefore be referred to a traffic commissioner to apply the principles outlined in the attached Statutory Guidance (paragraphs 32-34 above) and the overriding objective and to then decide whether further directions are required and/or to seek further information as to potential relevance.

Appeals against decisions not to issue an Acquired Rights Certificate

- 73.** Under paragraphs 5 and 14 of Schedule 3 of the Road Transport Operator Regulations 2011, where the Secretary of State refuses an application for an exemption of the requirements of paragraph 6(1) of Schedule 3 of the Public Passenger Vehicles Act 1981 or paragraph 13(1) of Schedule 3 of Goods Vehicles (Licensing of Operators) Act 1995, the applicant may appeal to a traffic commissioner for a redetermination of that application, i.e. a revisiting of the process of deciding whether the exemption should apply. This will therefore be by way of a de novo (completely new) consideration of the application. It may be by hearing, if requested, or on the papers. It will be for the individual traffic commissioner to decide on the structure of any hearing and the information required. As it is a redetermination, as with appeals against traffic commissioner decisions, there will be no requirement for the Secretary of State or his nominee to be a party to that redetermination but the Secretary of State may apply to make representations and/or appear. There is no legislative bar to new evidence being placed before the traffic commissioner but the presiding commissioner may issue a timetable after which no new evidence will be admitted.

Preliminary hearings

- 74.** These are not public inquiries and there is therefore no requirement to publish a notice of the hearings. It was previously custom to refer to these hearings as 'In Chambers' but because of the connotations derived from other jurisdictions, namely that these hearings are closed to the public, that term is no longer to be used.
- 75.** In complex cases a preliminary or case management hearing can be beneficial in narrowing or crystallising the issues. It is a matter for the traffic commissioner to decide whether a case would benefit from this type of hearing. Where a party is called to any preliminary hearing the Human Rights Act 1998 still applies.

⁸¹ Al-Le Logistics Limited (as above) paragraph 36

Location of inquiries

- 76.** The majority of all public inquiries, impounding appeals, and driver conduct hearings will be held in the tribunal room of the relevant Office of the Traffic Commissioner. It is, however, an established principle that public inquiries held on environmental grounds should be held as close as possible to the proposed operating centre as it is highly likely that the presiding traffic commissioner will conduct a site visit and it is important that the representors who will be local residents will be able to easily attend
- 77.** Where a public inquiry has been called to consider bus punctuality matters it may be in the public interest to hold the inquiry at a venue which is local to the operator's base because of the local interest that the case may have generated.
- 78.** The traffic commissioner alone must make the decision on whether or not a public inquiry should be held locally to the operator. The decision shall not be delegated.
- 79.** In cases that relate to an operator who holds a licence in more than one traffic area the lead traffic commissioner⁸² will normally hold the public inquiry in the tribunal room of the Office of the Lead Traffic Commissioner. The lead traffic commissioner will usually decide to hear all matters together to consider all allegations of non-compliance which relate to that operator. Whilst the legislation enables an operator's licence to be subject to revocation, suspension or curtailment (or in the case of PSV operators, a reduction in the number of authorised vehicles) the traffic commissioner hearing the case will have regard to the evidence available at that hearing with the object of reaching a decision on licences which are the subject of the public inquiry.
- 80.** A multiple licence holder (MLH) may, therefore, face some action against one or more of its operator licences, and any determination which is made may only relate to those operators' licences which fall to be considered by the traffic commissioner. Even if all of a Multiple Licence Holder's operator licences are before a traffic commissioner at a single hearing, the traffic commissioner may decide to make a direction against some, rather than all of the licences. A revocation of one operator's licence will not necessarily lead to a revocation of all licences⁸³.

Stays

- 81.** Any request for a stay needs to be carefully considered and full written reasons should be given for the decision reached. Where a stay is refused the party has a right of appeal, either through oral argument or in writing, to a judge of the Administrative Appeals Chamber of the Upper Tribunal⁸⁴.

⁸² See Statutory Guidance and Statutory Directions on Delegations

⁸³ Subject to Statutory Directions and Statutory Directions on Good Repute and Fitness

⁸⁴ See Statutory Guidance and Statutory Directions on Appeals

82. Time is of the essence when a stay request has been received. Whilst a judge of the Upper Tribunal has 14 days in which to make a decision in practice the time period will often be much shorter due to the impending date of implementation of the traffic commissioner's decision . A traffic commissioner therefore has 7 days to supply a copy of a decision relating to a stay to the Upper Tribunal.. On refusal of a stay, staff should arrange for the following to be forwarded to the Upper Tribunal as a matter of urgency:

- in the case of an oral decision, an immediate transcript of the decision, together with a summary of the background to the case;
- in the case of a written decision, a copy of the same with any additional comment as appropriate.
- a copy of the full written reasons for the refusal of the stay

83. All relevant papers should be copied to the person lodging the Appeal.

ANNEX 1: EU LEGISLATION

Regulation 5 of the Road Transport Operator Regulations 2011 states that a standard licence constitutes an authorisation to engage in the occupation of road transport operator for the purposes of:

Regulation (EC) 1071/2009 establishing common rules concerning conditions to be complied with to pursue the occupation of road transport operator repealed Council Directive 96/26 EC and applicable from 4th December 2011

Article 3 - Requirements for engagement in the occupation of road transport operator

1. Undertakings engaged in the occupation of road transport operator shall:

(a) have an effective and stable establishment in a member State;

(b) be of good repute;

(c) have appropriate financial standing; and

(d) have the requisite professional competence; and

2. Member States may decide to impose additional requirements, which shall be proportionate and non-discriminatory, to be satisfied by undertakings in order to engage in the occupation of road transport operator.

Article 13 - Procedure for the suspension and withdrawal of authorisations (i.e. to pursue the occupation of road transport operator

1. Where a competent authority establishes that an undertaking runs the risk of no longer fulfilling the requirements laid down in Article 3, it shall notify the undertaking thereof. Where a competent authority establishes that one or more of those requirements is no longer satisfied, it may set one of the following time limits for the undertaking to rectify the situation:

(a) a time limit not exceeding 6 months, which may be extended by 3 months in the event of the death or physical incapacity of the transport manager, for the recruitment of a replacement transport manager where the transport manager no longer satisfies the requirement as to good repute or professional competence;

(b) a time limit not exceeding 6 months where the undertaking has to rectify the situation by demonstrating that it has an effective and stable establishment;

c) a time limit not exceeding 6 months where the requirement of financial standing is not satisfied, in order to demonstrate that that requirement will again be satisfied on a permanent basis.

2. The competent authority may require an undertaking whose authorisation has been suspended or withdrawn to ensure that its transport managers have passed the examinations referred to in Article 8(1) prior to any rehabilitation measure being taken.

3. If the competent authority establishes that the undertaking no longer satisfies one or more of the requirements laid down in Article 3, it shall suspend or withdraw the authorisation to engage in the occupation of road transport operator within the time limits referred to in paragraph 1 of this Article.