



**REGULATORY SERVICES SERVICE PLAN  
2018 - 2021**

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## INTRODUCTION

The progress of this service plan will be monitored in the following ways:

- Through regular discussion at departmental management team (DMT) and Section Heads meetings and logged in the version control section of this document
- Performance indicator monitoring by the Council's Management Board on a quarterly basis
- By Committee reports twice a year (at the end of quarters two and four)

Service Plans will be formally updated on an annual basis, taking into account internal and external influences arising from monitoring arrangements throughout the year.

## SECTION 1: INPUTS

### 1.1 Budgets

	2018/19 Latest £	2019/20 Latest £	2020/21 Latest £
Net Cost of <u>Regulatory Services</u> (Direct cost / Income Only)	<b>(124,850)</b>	<b>(188,860)</b>	<b>(162,090)</b>
Net Cost of <u>Environmental Health Commercial</u> (Direct cost / Income Only)	<b>206,490</b>	<b>209,850</b>	<b>213,350</b>

[Further financial analysis can be found by using this link](#)

## SECTION 2: OUTPUTS AND OUTCOMES

### 2.1 Performance management

#### 2.1.1 Contribution to the Councils' Strategic Aims and Objectives

Strategic Plan Priority theme	Strategic Plan objective (inc. ref)	Measure (including the reference)	Contribution of Regulatory Services to the Strategic Plan objective/measure	Target
<b>Better Neighbourhoods</b>	1.1.1 Maintain high quality local neighbourhoods and streets	CP18 Reduce the level of pavement parking in the District	Consideration and implementation of future policy and enforcement to reduce the level of pavement parking in the District.	Reduction in pavement parking in accordance with agreed targets.
		CP20 Reduce the sale of cars on verges and highways	Officers from the Projects & Compliance Team to work with other Council departments to support measures to reduce car sales on verges and highways.	Reduction of vehicles for sale on verges and highways.
	1.1.3 Preserve the Green Belt	ESD04 Percentage of new homes built on previously developed land.	<p>Continue to carry out Council duties in relation to street naming and numbering</p> <p>DM01 – NI157a major planning applications (target period for decision is 13 weeks)</p> <p>DM02 – NI157b minor planning</p>	<p>Provision of a cost neutral service with a consensus agreement on street naming and numbering.</p> <p>60% of major applications determined within 13 weeks</p> <p>65% of minor</p>

	1.2.1 Encouragement for business	ESD06 Change in employment floorspace	applications (target period for a decision is 8 weeks)  Receipt of and consideration of specialist consultee comments and incorporation in all relevant planning application reports	applications determined in 8 weeks  All consultee comments received are considered.
<b>Healthier Communities</b>	2.1.1 Improve or facilitate access to housing.	ESD01 – Net additional homes provided.	DM01 – NI157a major planning applications (target period for decision is 13 weeks)  DM02 – NI157b minor planning applications (target period for a decision is 8 weeks)	60% of major applications determined within 13 weeks  65% of minor applications determined in 8 weeks
		ESD02 – Number of affordable homes delivered (gross).  PS04 – provide additional temporary accommodation in the district.		
	2.4.1 Ensure the safety of people in the district.	EHC12 – Percentage of food establishments in the area which are <b>broadly compliant</b> with food hygiene law  EHC04 & EHC05 – All high risk and other food premises inspected	Carry out planned inspections of food premises according to risk rating and inspect high risk establishments at least once per year.  Respond appropriately to notifications of accidents, dangerous occurrences, notifications of infectious diseases and complaints of unsafe workplace conditions.	All consultee comments received are considered.  100% of planned inspections of high risk premises.

## 2.1.2 Performance indicators

Performance indicators are used to aid the decision making process as well as assess the efficiency and effectiveness of service delivery. The data that we use must be accurate, reliable and timely. To meet these requirements we have adopted the Audit Commission's Standards for Better Data Quality. Further details of the Council's commitment to data quality can be found in the Strategic Plan.

Ref	Description	2016/17 Actual	2017/18 Target (Current year)	2018/19 Target (Next year)	2019/20 Target	2020/21 Target
DM01	Issue decisions for major planning applications within 13 week period	100%	60%	60%	60%	60%
DM02	Issue decisions for minor planning applications within 8 week period	92.83%	65%	65%	65%	65%
DM03	Issue decisions for other planning applications within 8 week period	97.23%	80%	80%	80%	80%
DM08	Percentage of planning application appeals allowed (by PINS)	28.57%	35% or lower	35% or lower	35% or lower	35% or lower
DM09	Percentage of planning application decisions that are overturned at appeal by PINS each quarter.	New in 2018/19	N/A	10% or lower	10% or lower	10% or lower
SU01	Land and Property Services – turn around all land and property searches within 5 working days	Not reported.	70%	70%	70%	70%
EHC03	Respond to all requests for services within 24 hours (food inspection, disease control, notified accidents and related enquiries no.)	98%	95%	95%	95%	95%
EHC04	The % of food premises inspections due that were carried out for high risk premises	100%	95%	95%	95%	95%
EHC05	The % of food premises inspections due that were carried out for other risk premises	99%	95%	95%	95%	95%
EHC10	Respond to all requests for service within 24 hours (Health and Safety Enforcement)	100%	95%	95%	95%	95%
EHC12	Food establishments in the area which are broadly compliant with food hygiene law. (Annual report to FSA, no longer a national indicator)	93%	91.2%	91.2%	91.2%	91.2%
New – CP18	Reduce the level of pavement parking in the District	New in 2017/18	N/A	20%	TBC, once baseline year	TBC, once baseline year

					completed	completed.
New – CP20	Reduce the sale of cars on verges and highways	New in 2017/18	N/A	20%	TBC, once baseline year completed	TBC, once baseline year completed

The Head of Regulatory Services is responsible for the source data, data entry and checking the data. The purpose of collating this data is to ensure that our services improve.

**2.2 Projects**

[See the Project Management Framework for further details](#)

Project details		Project timescales		
Project title	Proposed outcome	2018/19	2019/20	2020/21
Review of Statutory Notices and associated costs (specifically DM but could contribute to wider review both in Regulatory Services and corporately)	Reduction in costs whilst maintaining legislative requirements	Ongoing until end of 2018/19		
Comprehensive DM Procedure Manual (recommendation of Autumn 2017 audit)	Ensure consistency in processes	April 2018 (reviewed bi-annually)		
Review of DM Consultation Letters sent	Ensure most efficient processes followed/reduction in paper and electronic communication/increasing 'self service'	Ongoing until end of 2018/19		
Developing and establishing a licensing pre application service	Recovery of costs and redirection of resources	Ongoing until end of 2018/19		



Transfer of Licensing and Environmental Health – case management data from M3 Northgate to Uniform	Improved joined up working and increased efficiencies in working practices	Case management data transferred end of 2017 but continued efficiencies in working practices to be realised through 2018/19		
Review of Council Parking Services	Provision of a cost neutral service.	Ongoing		
Contract agreed between HBC and 7 LA's (HA7), giving LA1 delegated authority to manage HBC on behalf of HA7	LA1 to manage the contract, ensuring HBC is adhering to agreed service levels. LA1 to be signing decision notices and completion certificates on behalf of HA7.	April 2018 to have contract agreed with ongoing implementation	Ongoing	Ongoing
Pavement parking in District	Reduction in pavement parking in District – agreed Policy.	Continued formation and implementation of project proposals with other departments (joint working)	Continued implementation of agreed actions	Continued implementation of agreed actions
Reduce the sale of cars on verges and highways	Reduction in sale of vehicles on verges and highways in District – agreed Policy.	Continued formation and implementation of project proposals with other departments (joint working)	Continued implementation of agreed actions	Continued implementation of agreed actions

Review processes for Local Land Charges Searches	Service resilience and efficiencies	Ongoing until end of 2018		
Review of processes for Street Naming and Numbering	Electronic service, resilience and efficiencies	Ongoing until end of 2018		
Developing EH service to provide a commercial food service to new businesses, including continuing to offer Primary Authority arrangements for large or established businesses	New pre-application advice service launched May 2016. Minimal uptake (one enquiry). Approaches to offer Primary Authority Agreements with existing businesses will be made subject to the appropriate skillset becoming established within the EH Commercial Team.			Ongoing (will be affected by staff resources)
Explore alternative means of providing the Commercial Environmental Health Service, in terms of partnerships or shared service within the HCC family of authorities or with neighbouring District Authorities	Reduction in costs (bearing in mind service generates little income) whilst maintaining mandatory performance.	To be investigated in 2018/19	Potential commencement of partnerships/collaborative working in specialist areas	
As recommended by the 2016 Annual Status Report (accepted by Defra in May 2017) to carry out a detailed assessment of nitrogen dioxide levels at the M25 J18 AQMA to ascertain whether this AQMA is still required in its current form.	Outcome unknown at present.  AQMA likely to be retained but if not the requirement to produce and deliver an AQAP is removed, so it is worth investigating.	Investigations commence	Assessment to be commissioned	

To continue AQ monitoring along the A412 at Mill End to ascertain the need, or otherwise, for a new AQMA at this location.	Early data obtained from the vicinity of Belfry House indicates that a detailed assessment may be required for nitrogen dioxide at this location. Relevant residential exposure at houses that front directly onto the highway will be considered.		Cumulative results obtained by end May 2018 will inform the next step	Ongoing

## 2.3 Risk Management

### [Risk Management Strategy and guidance](#)

#### RISK REGISTER

Service Plan: Regulatory Services 2017-2020							
Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
	<i>Brief Description – Title of Risk</i>	<i>See Impact Table</i>	<i>See Impact Table</i>	<i>See Likelihood Table</i>	<i>Use this box to describe how the score has been derived</i>		
<b>a) Common Risks - shared across the whole section</b>							
1	Insufficient staff	Service Disruption	III	C	Staff numbers have been reduced over last three years. New and existing corporate projects cannot all be supported without increased staff resources.	Requires Treatment	Yes
		Financial Loss	III			Last Review Date	01/10/17
		Reputation	II			Next Milestone Date	
		Legal Implications	I			Next Review Date	31/03/18
		People	I			Date Closed	--
2	Total failure of ICT systems	Service Disruption	III	D	Delays in implementation of new software resulting in inefficiencies and affecting service levels.	Requires Treatment	Yes
		Financial Loss	III			Last Review Date	01/10/17
		Reputation	III			Next Milestone Date	
		Legal Implications	III			Next Review Date	31/03/18
		People	III			Date Closed	--
3	Loss of accommodation	Service Disruption	III	E	Could impact on service provision	Requires Treatment	Yes
		Financial Loss	III			Last Review Date	01/10/17
		Reputation	III			Next Milestone Date	
		Legal Implications	III			Next Review Date	31/03/18
		People	III			Date Closed	--
4	Fraudulent activity	Service Disruption	III	E	Fraud by officers, relating either to income, expenditure or stock. Potential through misreporting of income	Requires Treatment	Yes
		Financial Loss	III			Last Review Date	01/10/17
		Reputation	III			Next Milestone Date	
		Legal Implications	III			Next Review Date	31/03/18
		People	III			Date Closed	--

<b>b) Regulatory Service Risks</b>							
5	The parking programme may not be completed in full, due to resourcing and the consultative and iterative nature of the legal process for introducing parking restrictions and limited resources within the Council.	Service Disruption	II	C	Difficulties in recruiting Traffic Engineer role. Staffing restructure and award/commencement of parking enforcement service (April 2018) to new provider may affect service provision.	Requires Treatment	Yes
		Financial Loss	II			Last Review Date	01/10/17
		Reputation	II			Next Milestone Date	
		Legal Implications	II			Next Review Date	31/03/18
		People	II			Date Closed	--
6	Increase in workloads/major planning applications submitted.	Service Disruption	III	B	Current indicators show a continued increase in major applications	Requires Treatment	Yes
		Financial Loss	III			Last Review Date	01/10/17
		Reputation	III			Next Milestone Date	
		Legal Implications	III			Next Review Date	31/03/18
		People	III			Date Closed	--
7	Local Planning Authority placed in special measures allowing applicants to submit applications directly to Secretary of State.	Service Disruption	II	E	Planning application performance is currently significantly above thresholds for designation. New thresholds introduced for appeal decisions	Requires Treatment	Yes
		Financial Loss	III			Last Review Date	01/10/17
		Reputation	III			Next Milestone Date	
		Legal Implications	II			Next Review Date	31/03/18
		People	III			Date Closed	--
8	Disruption to services during transfer of part of Local Land Charges functions to Land Registry.	Service Disruption	III	B		Requires Treatment	Yes
		Financial Loss	III			Last Review Date	01/10/17
		Reputation	III			Next Milestone Date	
		Legal Implications	III			Next Review Date	31/03/18
		People	III			Date Closed	--
9	Insufficient staff and inadequate skills set	Service Disruption	III	C	New and existing departmental projects cannot all be supported, and service levels maintained, without increased staff resources.	Requires Treatment	Yes
		Financial Loss	III			Last Review Date	01/10/17
		Reputation	III			Next Milestone Date	
		Legal Implications	III			Next Review Date	31/03/18
		People	III			Date Closed	--
					Experiencing difficulties in recruiting appropriately		

					trained staff across all areas of the Service.		
10	Inaccuracy of appropriate data/records	Service Disruption	III	D	Particularly affecting property information on Uniform and ArcMap software.	Requires Treatment	Yes
		Financial Loss	II			Last Review Date	01/10/17
		Reputation	III			Next Milestone Date	
		Legal Implications	III			Next Review Date	31/03/18
		People	II			Date Closed	--
					In process of designating specialist Officer within Council to maintain mapping systems		
					Inadequate skills/failing IT		
11	Failure to agree measures to meet the £180K parking deficit and future parking income forecasts	Service Disruption	IV	D	A Parking Services Review is currently being undertaken	Requires Treatment	Yes
		Financial Loss	IV			Last Review Date	01/10/17
		Reputation	III			Next Milestone Date	
		Legal Implications	II			Next Review Date	31/03/18
		People	II			Date Closed	--
12	Near term Air Quality Action Plans not progressed	Service Disruption	III	E		Requires Treatment	Yes
		Financial Loss	III			Last Review Date	01/10/17
		Reputation	III			Next Milestone Date	
		Legal Implications	III			Next Review Date	31/03/18
		People	III			Date Closed	--
13	Long term Air Quality Action Plans not progressed	Service Disruption	II	C		Requires Treatment	Yes
		Financial Loss	II			Last Review Date	01/10/17
		Reputation	II			Next Milestone Date	
		Legal Implications	II			Next Review Date	31/03/18
		People	II			Date Closed	--
14	Local Authority placed in special measures for Gazetteer should we fall constantly below National Standard.	Service Disruption	II	E	Performance is generally above threshold but some issues with areas of matching due to levels of resource and authority wide records.	Requires Treatment	Yes
		Financial Loss	III			Last Review Date	01/10/17
		Reputation	III			Next Milestone Date	
		Legal Implications	II			Next Review Date	31/03/17
		People	III			Date Closed	--


<b>Likelihood</b>	A					
	B			6, 8		
	C		5, 13	1, 9, 11		
	D			2, 10		
	E			3, 4, 7, 12, 14		
	F					
		I	II	III	IV	V
<b>Impact</b>						

**Impact**  
 V = Catastrophic  
 IV = Critical  
 III = Significant  
 II = Marginal  
 I = Negligible

**Likelihood**  
 A = ≥98%  
 B = 75% - 97%  
 C = 50% - 74%  
 D = 25% - 49%  
 E = 3% - 24%  
 F = ≤2%

**Version Control**

Version No.	Date	Reason for Update / Significant Changes	Made By
1.0	11/10/17	Draft prepared for Committee cycle	KR
1.1	19/02/18	Final plan	KR
1.2	20/02/2018	Contents page and small formatting	GG