



**REGULATORY SERVICES SERVICE PLAN
2019 - 2022**

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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)			
Net Cost of <u>Environmental Health Commercial</u> (Direct cost / Income Only)			

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
<p>Better Neighbourhoods</p>	<p>1.1.1 Maintain high quality local neighbourhoods and streets</p>	<p>CP18 Reduce the level of anti-social parking in the District</p>	<p>Consideration and implementation of future policy and enforcement to reduce the level of anti-social parking in the District.</p> <p>Continue to carry out Council duties in relation to street naming and numbering</p> <p>DM09 - Percentage of planning application decisions that are overturned at appeal by PINS each quarter</p>	<p>Reduction in anti-social parking in accordance with agreed targets.</p> <p>Consensus agreement on street naming and numbering.</p> <p>Quality of decision making assured.</p>

	<p>1.1.3 Preserve the Green Belt</p> <p>1.1.5 Minimise energy and water consumption, reduce CO₂ emissions and increase the use of renewable energy.</p> <p>1.2.1 Encouragement for business</p>	<p>ESD04 Percentage of new homes built on previously developed land.</p> <p>ESD11 – Greenhouse gas emissions reported as CO₂ equivalent</p> <p>ESD06 Change in employment floorspace</p>	<p>DM01 – NI157a major planning applications (target period for decision is 13 weeks)</p> <p>DM02 – NI157b minor planning applications (target period for a decision is 8 weeks)</p> <p>Implementation of relevant Local Plan sustainability policies for new development including requirement for submission of Energy Statements as part of validation process. Receipt of and consideration of specialist consultee comments and incorporation in all relevant planning application reports</p> <p>Receipt of and consideration of specialist consultee comments and incorporation in all relevant planning application reports</p>	<p>60% of major applications determined within 13 weeks</p> <p>65% of minor applications determined in 8 weeks</p> <p>All relevant applications are accompanied by an Energy Statement and compliance with appropriate policy seeking reduction in CO₂ emissions in new development.</p> <p>All consultee comments received are considered.</p> <p>All consultee comments received are considered.</p>
Healthier Communities	2.1.1 Improve or facilitate access to housing.	ESD01 – Net additional homes provided.	DM01 – NI157a major planning applications (target period for	60% of major applications

	<p>2.4.1 Ensure the safety of people in the district.</p>	<p>ESD02 – Number of affordable homes delivered (gross).</p> <p>PS04 – provide additional temporary accommodation in the district.</p> <p>EHC12 – Percentage of food establishments in the area which are broadly compliant with food hygiene law</p> <p>EHC04 & EHC05 – All high risk and other food premises inspected</p>	<p>decision is 13 weeks)</p> <p>DM02 – NI157b minor planning applications (target period for a decision is 8 weeks)</p> <p>Receipt of and consideration of specialist consultee comments and incorporation in all relevant planning application reports</p> <p>Carry out planned inspections of food premises according to risk rating and inspect high risk establishments at least once per year.</p> <p>Respond appropriately to notifications of accidents, dangerous occurrences, notifications of infectious diseases and complaints of unsafe workplace conditions.</p>	<p>determined within 13 weeks</p> <p>65% of minor applications determined in 8 weeks</p> <p>All consultee comments received are considered.</p> <p>100% of planned inspections of high risk premises.</p>
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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	2017/18 Actual	2018/19 Target (Current year)	2019/20 Target (Next year)	2020/21 Target	2021/22 Target
DM01	Issue decisions for major planning applications within 13 week period	100% In - 26 Complete - 26	60%	60%	60%	60%
DM02	Issue decisions for minor planning applications within 8 week period	81.21% In - 197 Completed - 160	65%	65%	65%	65%
DM03	Issue decisions for other planning applications within 8 week period	95.84% In - 913 Completed - 875	80%	80%	80%	80%
DM08	Percentage of planning application appeals allowed (by PINS)	30.36%	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	70%	70%	70%	70%	70%
EHC03	Respond to all requests for services within 24 hours (food inspection, disease control, notified accidents and related enquiries no.)	100%	95%	95%	95%	95%
EHC04	The % of food premises inspections due that were carried out for high risk premises	95.25%	95%	95%	95%	95%
EHC05	The % of food premises inspections due that were carried out for other risk premises	93.5%	95%	95%	95%	95%
EHC10	Respond to all requests for service within 24 hours (Health and Safety Enforcement)	99.5%	95%	95%	95%	95%
EHC12	Food establishments in the area which are broadly	94%	91.2%	91.2%	91.2%	91.2%

	compliant with food hygiene law. (Annual report to FSA, no longer a national indicator)					
New – CP18	Reduce the level of anti-social parking in hotspot areas.	New in 2018-19	new in 18-19	75%	75%	TBC, once pilot 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	2019/20	2020/21	2021/22
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 2019/20		
Comprehensive DM Procedure Manual (recommendation of Autumn 2017 audit)	Ensure consistency in processes	Spring 2019 (reviewed bi-annually)		
Comprehensive Planning Enforcement Procedure Pack including manuals (to be linked up with DM manual)	Ensure consistency in processes	Spring 2019 (reviewed bi-annually)		
Review of Planning Enforcement Plan	Updated policy to ensure consistency throughout decision making	First quarter 2019/20		

Review of Advertisement removal cost recovery	Provision of a cost neutral service with the recovery of costs	Ongoing		
Review and document DM processes – move to a paperless service with increased efficiencies	Ensure most efficient processes followed/reduction in paper and electronic communication/increasing 'self service'	Ongoing until end of 2019/20		
Developing and establishing a licensing pre application service	Recovery of costs and redirection of resources	Ongoing		
Licensing fee review	To consider locally set fees on all types of licensing application to ensure cost recovery.	Ongoing. Initial results to be presented early part of quarter 1 2019/20		
Review and document licensing processes - move to a more streamlined and efficient service with a reduction in paper. To include: Online submission of licensing applications and online DBS checks	Ensure most efficient processes followed/reduction in paper and electronic communication/increasing 'self service' Recovery of costs and redirection of resources	Ongoing		
Integration of Uniform and Firmstep to allow benefits of above electronic working projects to be realised.	Electronic submission of information/forms will feed directly into Uniform software. Improve efficiencies in process and reduce Officer time spent on data input.	PID submitted 18/19. Ongoing		

Review processes for Local Land Charges Searches including formulation of a comprehensive Local Land Charges Procedure manual (recommendation of 2018 Audit)	Service resilience and efficiencies. Continued use of CSC to assist with administrative processes. Ensure consistency in processes.	Ongoing		
Local Land Charges – Land Registry project	Transfer of part of local land charge function (LAC1) to the Land Registry. Data cleansing of register information prior to transfer	Project commenced in 2018 with initial group of LAs. Other LA's to follow in due course.	Ongoing	
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	Service resilience. Reduction in costs (bearing in mind service generates little income) whilst maintaining mandatory performance.	Arrangements to transfer EH Commercial to Watford commenced in July 2018.	Bedding down of service	Ongoing
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 but poor take up. Watford BC to implement own pre-app process with terms of S101 delegation		

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.	2 Detailed assessments commissioned	To be progressed by Watford BC in partnership with South Bucks. New AQMA on Uxbridge Road likely to be needed if detailed assessment confirms relevant exposure. AQMA at J18 might be revoked	
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.	As above	As above	Ongoing
Review of GIS systems, use and functionality	Cleansing of existing mapping data held to allow improved access and use, corporate specialist provided, GIS training rolled out, understand full potential of the system and its impact on service provision.	Ongoing	Ongoing	
Review of Council Parking Services	Provision of a cost neutral service and investigation of revenue opportunities	Ongoing	Ongoing	Ongoing
Anti social parking in District	Reduction in anti social parking in District – agreed Policy/PI	Continued formation and implementation of project proposals with other	Continued implementation of agreed actions	Continued implementation of agreed actions

		departments (joint working)		
Parking Management	Introduction of measures and parking controls in response to parking management issues as local parking authority under agency from HCC.	Ongoing	Ongoing	Ongoing
Retail Parade enhancement and Highway Enhancement schemes	Promotion and introduction of retail enhancement schemes and highway enhancement schemes	Ongoing	Ongoing	Ongoing
Better Buses	Promoting Three Rivers priorities for buses	Ongoing	Ongoing	Ongoing
Cycling & Walking Strategy	Managing the Cycling Strategy mainly through the introduction and promotion of cycling and walking schemes to improve routes and connectivity	Ongoing	Ongoing	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>		
a) Common Risks - shared across the whole section							
1	Insufficient staff	Service Disruption	III	C	New and existing corporate projects cannot all be supported without increased staff resources.	Requires Treatment	Yes
		Financial Loss	III			Last Review Date	25/09/18
		Reputation	II			Next Milestone Date	
		Legal Implications	I			Next Review Date	31/03/19
		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	25/09/18
		Reputation	III			Next Milestone Date	
		Legal Implications	III			Next Review Date	31/03/19
		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	25/09/18
		Reputation	III			Next Milestone Date	
		Legal Implications	III			Next Review Date	31/03/19
		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	25/09/18
		Reputation	III			Next Milestone Date	
		Legal Implications	III			Next Review Date	31/03/19
		People	III			Date Closed	--

b) Regulatory Service Risks							
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	Number of competing priorities for the service. Commencement of parking enforcement service (April 2018) to new provider being embedded including shared Traffic Engineer	Requires Treatment	Yes
		Financial Loss	II			Last Review Date	25/09/18
		Reputation	II			Next Milestone Date	
		Legal Implications	II			Next Review Date	31/03/19
		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	25/09/18
		Reputation	III			Next Milestone Date	
		Legal Implications	III			Next Review Date	31/03/19
		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	25/09/18
		Reputation	III			Next Milestone Date	
		Legal Implications	II			Next Review Date	31/03/19
		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	25/09/18
		Reputation	III			Next Milestone Date	
		Legal Implications	III			Next Review Date	31/03/19
		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 and appropriately trained 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	--

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	25/09/18
		Reputation	III			Next Milestone Date	
		Legal Implications	III			Next Review Date	31/03/19
		People	II			Date Closed	--
					Need to review provision of a specialist Officer within Council to maintain systems and access potential of systems		
					Inadequate skills/failing IT		
11	Failure to agree measures to meet the parking deficit and future parking income forecasts	Service Disruption	IV	D	A Parking Services Review continue including formulation of a Parking Strategy	Requires Treatment	Yes
		Financial Loss	IV			Last Review Date	25/09/18
		Reputation	III			Next Milestone Date	
		Legal Implications	II			Next Review Date	31/03/1
		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	025/09/18
		Reputation	III			Next Milestone Date	
		Legal Implications	III			Next Review Date	31/03/19
		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 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	25/09/18
		Reputation	III			Next Milestone Date	
		Legal Implications	II			Next Review Date	31/03/19
		People	III			Date Closed	--

Likelihood	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
Impact						

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	08/10/18	Draft prepared for Committee cycle	KR