



**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) Including			
Development Management	195,150	61,830	72,390
Sustainable Transport	120,350	120,350	120,350
Parking Services	(183,370)	(182,310)	(181,830)
Licensing	(107,370)	(106,420)	(105,460)
Net Cost of <u>Environmental Health Commercial</u> (Direct cost / Income Only)	206,200	207,990	209,790

[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
Better Neighbourhoods	1.1.1 Maintain high quality local neighbourhoods and streets	CP18 Reduce the level of anti-social parking in the District	<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 10 working days	New for 19/20	New for 19/20	90%	90%	90%
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	75%	75%	TBC once pilot completed.	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 and to assist existing staff	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 with a view of implementing new fees towards the end of 2019 or new financial year		
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 Online DBS procedure/checks in place		
Integration of Uniform and	Electronic submission of	PID submitted and		

Firmstep to allow benefits of above electronic working projects to be realised.	information/forms will feed directly into Uniform software. Improve efficiencies in process and reduce Officer time spent on data input.	agreed. On-going.		
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. Service delegation to WBC expected to commence 1 May 2019.	Bedding down of service	Ongoing
Developing EH service to provide a commercial food service to new businesses,	New pre-application advice service launched May 2016. Minimal uptake (one enquiry).	Ongoing but poor take up. Watford BC to		

including continuing to offer Primary Authority arrangements for large or established businesses	Approaches to offer Primary Authority Agreements with existing businesses will be made subject to the appropriate skillset becoming established within the EH Commercial Team.	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 departments (joint working)	Continued implementation of agreed actions	Continued implementation of agreed actions
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 REGISTER

Service Plan: Regulatory Services 2019-2022					
Ref	Nature of Risk	Consequence	Control Measures	Response (tolerate, treat terminate, transfer)	Risk Rating (combination of likelihood and impact)
REG01	Insufficient staff	New and existing corporate projects cannot all be supported without increased staff resources	Cross departmental working; Service continuity plan to prioritise service delivery; Keep job descriptions and person specifications up to date to reflect the requirements of the posts; Monitor market forces for specialist pots and bid to compete where necessary; Staff training including HR programmes for Mental Health awareness	Treat	6 - Medium
REG02	Total failure of ICT systems	Delays in implementation of new software resulting in inefficiencies and affecting service levels	Corporate Business Continuity Plan, Service Continuity Plan and Disaster Recovery contract, logging of ICT service calls	Treat	6 - Medium
REG03	Loss of accommodation	Could impact on service provision	BCP and SCP are tested annually; Disaster Recovery contract includes alternative accommodation	Treat	4 - Low
REG04	Fraudulent Activity	Fraud by officers, relating either to income, expenditure or stock. Potential through misreporting of income	Risk limited to isolated areas of the service, with limited staff having an overview. Scrutiny from senior management and service transparency.	Treat	4 - Low
REG05	The parking programme may not be completed in full, due to resourcing and the consultative and	Number of competing priorities for the service. Commencement of parking enforcement service (April 2018) to new provider being embedded including shared Traffic Engineer	Annual agreement of Parking Programme priorities by Members, monitoring the Parking Programme, monitoring of budget and re-phasing as appropriate, early consultation with Ward members and residents	Treat	3 - Low

	iterative nature of the legal process for introducing parking restrictions and limited resources within the Council.				
REG06	Increase in workloads/major planning applications submitted	Current indicators show continuation of high application numbers and continued complexity of major applications including those coming forward at pre application stage.	Monitoring of workloads and indications as to future submissions according to market signals; changes to policy background and information from developers as to upcoming projects; Review of resources and recruitment/training as appropriate to provide flexibility to deal with anticipated workload; Staff development to take on increased/additional responsibility.	Treat	8 – High
REG07	Local Planning Authority placed in special measures allowing applicants to submit applications directly to Secretary of State.	Planning application performance is currently significantly above thresholds for designation; New thresholds introduced for appeal decisions	Monitoring of workloads and capacity to deal with these; Communication with applicants to agree extensions to time limit in appropriate cases; Training for officers and Councillors as to determination of applications and justified reasons for refusal of permission.	Treat	4 – Low
REG08	Disruption to services during transfer of part of Local Land Charges functions to Land Registry	Staff resilience; Deadline for transfer not yet known - expected prior to 2020; early identification of resource to cleanse the existing data; data cleansing incorporated into existing resource.	Staff resilience; Deadline for transfer not yet known - expected prior to 2020; early identification of resource to cleanse the existing data; data cleansing incorporated into existing resource.	Treat	8 – High
REG09	Insufficient staff and inadequate skills set	New and existing departmental projects cannot all be supported, and service levels maintained, without increased and appropriately trained staff resources.	Praise and incentives to recruit and retain existing staff ie market factors, long service awards; Cross departmental working; Service continuity plan to prioritise service delivery; Keep job descriptions and	Treat	6 – Medium

			person specifications up to date to reflect the requirements of the posts; Monitor market forces for specialist pots and bid to compete where necessary; Staff training including HR programmes for Mental Health awareness; Use of agency staff if required		
REG10	Inaccuracy of appropriate data/records	Particularly affecting property information on Uniform and ArcMap software.	Staff training, liaison with IT and other departments	Treat	6 – Medium
REG11	Failure to agree measures to meet the parking deficit and future parking income forecasts	A Parking Services Review continues including formulation of a Parking Strategy	Identification of new parking measures, review of existing schemes, formulation of a parking Strategy, early involvement of Lead Member to discuss measures in advance of Committee, external consultants reviewing proposals, consideration of new costs as part of early review of measures, publicity of the new measures in advance of their implementation, wider review of displacement parking to be considered.	Treat	9 – High
REG12	Near term Air Quality Action Plans not progressed	Failure in obtaining grant funding for projects from DEFRA	Monitoring of funding; Management of situation by EH Commercial Manager	Treat	4 – Low
REG13	Long term Air Quality Action Plans not progressed	To a large extent these are yet to be devised and TRDC await the next iteration of the national strategy to inform upon what might be attempted. Actions will rely upon DEFRA funding to proceed	Monitoring of the national situation and any requirements delegated to the local authority, monitoring of funding, management of situation by Commercial Standards Manager	Treat	3 – Low
REG14	Local Authority placed in special measures for Gazetteer should	Performance is generally above threshold but some issues with areas of matching due to levels of resource and authority wide records.	Increased awareness by staff, staff training and resilience on the process, sharing of existing relevant Council records with the team to	Treat	4 - Low

	we fall constantly below National Standard.		assist ie business rate data		
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Very Likely ----- Likelihood ----- Remote	4	8	12	16
	3	6	9	12
	2	4	6	8
	1	2	3	4
	Impact Low -----> Unacceptable			

Impact Score

- 4 (Catastrophic)
- 3 (Critical)
- 2 (Significant)
- 1 (Marginal)

Likelihood Score

- 4 (Very Likely (≥80%))
- 3 (Likely (21-79%))
- 2 (Unlikely (6-20%))
- 1 (Remote (≤5%))

* Responses:

- Tolerate – the risk is effectively mitigated by internal controls, or it cannot be mitigated cost-effectively or the risk opens up greater benefits.

- Treat – continue with the activity which gives rise to the risk, but add in controls to mitigate the likelihood or impact of the risk occurring.
- Terminate – do things differently to remove the risk altogether.
- Transfer – some aspects of the risk could be transferred to a third party, e.g. insurance or paying a third party to take the risk

Version Control

Version No.	Date	Reason for Update / Significant Changes	Made By
1.0	08/10/18	Draft prepared for Committee cycle	KR
1.1	6/03/19	Final amendments – Final Service Plan 2019-22	KR
1.2	07/03/19	Risk Register updated (new format)	PK