



**REGULATORY SERVICES SERVICE PLAN
2020 - 2023**

DRAFT

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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.

[Link to Strategic Plan, Service Plans and Performance Indicators Folder](#)

SECTION 1: INPUTS

1.1 Budgets

Budgets will be added by Finance and Performance and Projects Manager, after budgets are agreed at Council in February

	2020/21 Latest £	2021/22 Latest £	2022/23 Latest £
Net Cost of Service (Direct cost / Income Only)			

Further financial analysis can be found by using this link

Business Continuity and Single Points of Failure**Job title of SPOF:** Head of Regulatory Services

Succession Planning for this post	Risks, Skills required,	Knowledge and Networks	Impact on Service	Future options for providing the services
<p>External recruitment</p> <p>Internal recruitment of staff if possess the right attributes, skills and knowledge</p>	<p>Wide range of disciplines in service - need ability to be able to grasp the basics of each service area</p> <p>Management of services and resources</p> <p>Budgets</p> <p>MRTPI qualification and relevant 5-10 years experience in planning, EH or other regulatory service</p> <p>Contract Management</p> <p>Liaison with Members and a variety of both internal and external stakeholders</p>	<p>A detailed working knowledge of the Town and Country Planning legislation and planning policy guidance and associated fields ie listed buildings, Conservation Areas, viability and affordable housing etc.</p> <p>Working knowledge of other disciplines including EH, Licensing, Building Control, Traffic Engineering and parking</p>	<p>Loss of knowledge and experience across a number of service areas</p> <p>Delay and potential failure in all areas of service delivery</p> <p>Failure to achieve service PIs</p> <p>Failure to achieve budgets</p>	<p>Continue to delegate responsibility as appropriate to other managers to assist their understanding of the role and responsibilities (succession planning)</p> <p>Restructure of the Regulatory Services team to divide responsibilities differently</p> <p>Provide opportunities for work shadowing</p>

Job title of SPOF: DM Team Leaders

Succession Planning for this post	Risks, Skills required,	Knowledge and Networks	Impact on Service	Future options for providing the services
<p>External recruitment</p> <p>Internal recruitment of Principal Planning Officers subject to qualifications and experience</p>	<p>MRTPI qualification and relevant 5-10 years experience.</p> <p>Recognised shortage of planners in East of England. Inability to recruit.</p> <p>Specific roles are generic and require experience in different areas: development management, planning, enforcement, licensing, contract management, IT</p>	<p>Significant experience and knowledge of the Town and Country Planning legislation and planning policy guidance and associated fields ie listed buildings, Conservation Areas, viability and affordable housing etc.</p> <p>Detailed working knowledge of IDOX/Uniform systems</p> <p>Applicants/agents/developers HCC and other Herts LPAs, Herts DM Planning Group</p>	<p>Loss of knowledge and experience across a number of service areas</p> <p>Failure to determine planning applications within prescribed time limits – increased number of appeals</p> <p>Failure to achieve national PIs for planning application performance. LA could be placed in special measures with applications determined by Central Government</p> <p>Failure to achieve budget targets</p>	<p>Continue to delegate responsibility as appropriate to more junior officers to assist their understanding of the more senior roles and responsibilities</p> <p>Restructure of the DM team to divide responsibilities differently</p> <p>Provide opportunities for work shadowing</p>

Job title of SPOF: Principal Planners

Succession Planning for this post	Risks, Skills required,	Knowledge and Networks	Impact on Service	Future options for providing the services
<p>External recruitment</p> <p>Internal recruitment of Senior Planning Officers subject to qualifications and experience</p>	<p>At least 2 years relevant experience</p> <p>Degree in a planning related subject</p>	<p>A detailed working knowledge of the Town and Country Planning legislation and planning policy guidance and associated fields ie listed</p>	<p>Loss of knowledge and experience</p> <p>Failure to determine planning applications within prescribed time</p>	<p>Delegate responsibility as appropriate to more junior officers to assist their understanding of the more senior roles and responsibilities</p>

	MRTPI qualification Recognised shortage of planners in East of England. Inability to recruit.	buildings, Conservation Areas, viability and affordable housing etc.	limits – increased number of appeals Failure to achieve national PIs for planning application performance. LA could be placed in special measures with applications determined by Central Government	Restructure of the DM team to divide responsibilities differently
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Job title of SPOF: Senior Planners

Succession Planning for this post	Risks, Skills required,	Knowledge and Networks	Impact on Service	Future options for providing the services
External recruitment Internal recruitment of Planning Officers subject to qualifications and experience	At least 2 years relevant experience Degree in a planning related subject MRTPI qualification desirable Recognised shortage of planners in East of England. Inability to recruit.	A detailed working knowledge of the Town and Country Planning legislation and planning policy guidance and associated fields ie listed buildings, Conservation Areas, viability and affordable housing etc.	Loss of knowledge and experience. Failure to determine planning applications within prescribed time limits – increased number of appeals Failure to achieve national PIs for planning application performance. LA could be placed in special measures with applications determined by Central Government	Delegate responsibility as appropriate to more junior officers to assist their understanding of the more senior roles and responsibilities, although recognised that would not be appropriate to delegate all to Planning Officers Restructure of the DM team to divide responsibilities differently

Job title of SPOF: Planning Officers

Succession Planning for this post	Risks, Skills required,	Knowledge and Networks	Impact on Service	Future options for providing the services
CSC Academy Secondments External recruitment	Relevant experience desirable, but not essential if willing to learn on job	Basic understanding of the Town and Country Planning legislation and planning policy guidance and associated fields ie listed buildings, Conservation Areas, viability and affordable housing etc. Work towards MRTPI qualification	Previously has been an inability to recruit Vacancies would result in reduction in service/failure to meet national PIs. LA could be placed in special measures with applications determined by Central Government	Develop internal CSC academy approach for staff progression Continue to consider lower entry requirements Consider apprentice opportunities

Job title of SPOF: Systems Administrator (IDOX/Uniform)

Succession Planning for this post	Risks, Skills required,	Knowledge and Networks	Impact on Service	Future options for providing the services
External recruitment	Specialist Systems Administrator post for IDOX and related software	Detailed knowledge and understanding of IDOX software and systems and integration with other corporate IT systems Significant specialist knowledge developed over a number of years.	Significant as currently no other staff with level of understanding or expertise in role. Impact wider than Regulatory Services (ie. all Idox users)	Look at options for alternative ways of providing the service ie IT, potential outsourcing of service/shared service Internal training on specific aspects of the software/system to recognised IDOX key users to ensure day to day responsibilities can progress

Job title of SPOF: Lead Licensing Officer

Succession Planning for this post	Risks, Skills required,	Knowledge and Networks	Impact on Service	Future options for providing the services
External recruitment Assistant Licensing Officer	At least 3 years relevant experience in a licensing role (especially in relation to taxi licensing outside of London) Inability to recruit due to lack of shortage of experienced licensing officers	Significant experience and working knowledge of licensing legislation and procedures including taxis.	Loss of knowledge and experience across a number of service areas Absence of relevant knowledge for decision making. Poor and delayed decision making may result.	Succession planning with delegation of responsibilities and sharing of information with Assistant Licensing Officer Licensing fee review may assist in providing a further resource / restructure

Job title of SPOF: Senior Transport Planner

Succession Planning for this post	Risks, Skills required,	Knowledge and Networks	Impact on Service	Future options for providing the services
External recruitment	Experience across a number of inter related disciplines including transport planning, parking, traffic engineering, sustainable travel, GIS system use. Difficulty in recruiting due to current skill set of existing Officer and the diversity of the role.	Significant experience and knowledge across a range of inter related transport disciplines Range of external stakeholders across disciplines including HCC and other LAs, consultants, public transport and parking bodies.	Loss of knowledge and experience Delays in project/programme implementation. Lack of specialist support affecting other services	Succession planning with delegation of responsibilities and sharing of information with Project Officer in TPP team

Job title of SPOF: Senior Land and Property Information Officer

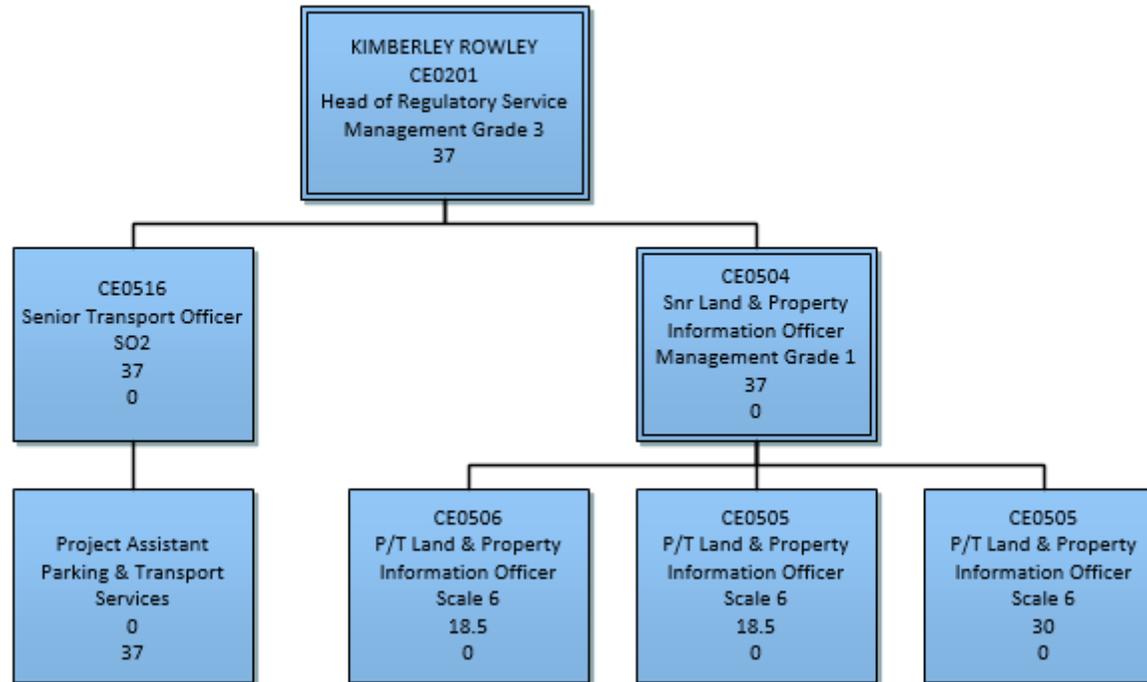
Succession Planning for this post	Risks, Skills required,	Knowledge and Networks	Impact on Service	Future options for providing the services
<p>External recruitment</p>	<p>Shortage of experienced Local Land Charges Officers. Role is generic and requires experience in different areas: Local Land Charges; Street Naming and Numbering, Assets of Community Value, Corporate Land and Property Gazetteer, Section 106 Monitoring</p>	<p>Experience of Local Land Charges vital, especially with Land Registry Project in near future. Other roles can be learnt with necessary training but would be difficult to lead team without knowledge in these areas.</p>	<p>Possible inability to recruit or for succession planning due to part time staff.</p> <p>Significant impact on services internally and externally.</p> <p>Lack of specialist support affecting other services</p>	<p>Continue to delegate responsibility as appropriate to more junior officers to assist their understanding of the more senior roles and responsibilities.</p> <p>Possible outsourcing/shared service opportunities to investigate but limitations in the service breadth others may offer</p> <p>CENSUS role is given due to Gazetteer, but could be allocated elsewhere with assistance for Gazetteer.</p>

1.2.1 Summary of Team Skills/Qualifications

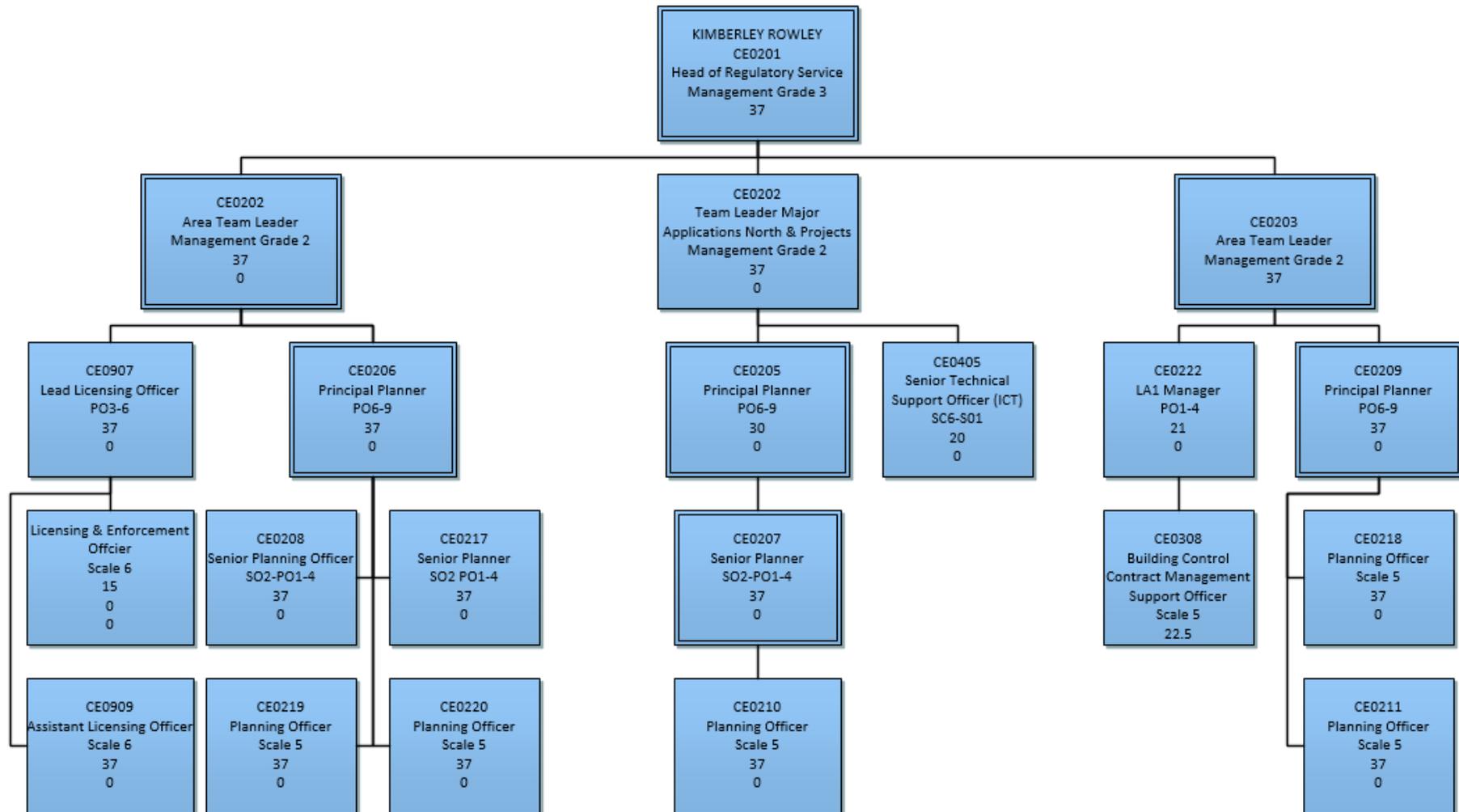
Please provide a summary of the Skills and Qualifications you require in order to provide your service to your customers.

Job Title	Qualification	Continuing Professional Development required?
Senior Planning Officers, Principal Planning Officers and Team Leaders – Development Management	MRTPI desirable but not essential	Yes 50 hours over 2 years
Senior Transport Planner	Project Management qualification desirable, confident with use of GIS systems	No
Lead Licensing Officer	BIIAB qualification desirable	No
Senior Land and Property Information Officer	Knowledge of Local Land Charges essential. NVQ is available but not essential.	No

Regulatory Services



Development Management



SECTION 2: OUTPUTS AND OUTCOMES

2.1	Performance management
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2.1.1 Contribution to the Councils' Strategic Aims and Objectives

As identified in the draft Strategic Plan 2020-2023 ('Lead Service'). Measures and targets should be developed further.

Strategic Plan Priority theme	Strategic Plan objective (inc. ref)	Service contribution to the Strategic Priorities
Housing and Thriving Communities	-	<p>Implementation of relevant Local Plan policies for new development including requirement for affordable housing contributions or provision on small sites</p> <p>Assessment and determination of planning applications for new development.</p> <p>Transport and Parking Project team programmes – programmes consider sustainable transport opportunities (reduction in private motor car/increased use of public transport etc).</p> <p>Transport and Parking Project programmes promote healthy lifestyles by increasing active travel</p>
Sustainable Environment	-	<p>Implementation of relevant Local Plan policies for new development</p> <p>Receipt and incorporation of specialist consultee comments in assessment of planning applications</p> <p>Implementation of Licensing Policy ie low vehicle emission vehicles</p>

		Transport and Parking Project team programmes – programmes consider/support sustainable transport opportunities (reduction in private motor car/increased use of public transport etc)
Successful Economy	-	Implementation of relevant Local Plan policies for new development Transport and Parking Project team programmes actively contribute to increase and enhance visitor economy.
High Performing, Financially Independent Council	-	

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2.1.2 Performance indicators

[See Data Quality Strategy for further details](#)

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	2018/19 Actual	2019/20 Target (Current year)	2020/21 Target (Next year)	2021/22 Target	2022/23 Target
DM01	Issue decisions for major applications within 13 week period	100%	60%	60%	60%	60%
DM02	Issue decisions for minor planning applications within 8 week issue period	92%	65%	65%	65%	65%
DM03	Issue decisions for other planning applications within 8 week period	94.5%	80%	80%	80%	80%
DM08	Percentage of planning application appeals allowed (by PINS)	43.25%	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	1.5%	10% or lower	10% or lower	10% or lower	10% or lower
SU01	Land and Property Services – turn around all land and property services within 10 working days	New for 19/20	90%	90%	90%	90%
EHC01	All new food businesses to be inspected within 3 months of opening	NEW PI	90%	90%	90%	90%
EHC02	All food businesses inspected within 28 days either side of target date (except Category E Premises)	NEW PI	90%	90%	90%	90%
EHC03	Substantive response to all requests for service within 3 working days	NEW PI	90%	90%	90%	90%
EHC04	24 hour response to urgent matters, subject to risk assessment for impact upon public health, health & safety.	NEW PI	90%	90%	90%	90%
EHC05	Food establishments in the area which are broadly compliant with food hygiene law.	REPORTED ANNUALLY	95%	95%	95%	95%

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.

NOTES:

EHC01 - To report on the number of primary food hygiene inspections that are carried out within 3 months of the date of opening. A full unannounced inspection of a new food business should take place within three months of the date the business starts trading. In many cases, including those where the business hasn't proactively registered, or registers after starting to trade, the inspection should take place within 28 days. Within the 3 month period it is also likely an advisory visit would have occurred to assist the new business.

EHC02 - This performance requirement is a national one and we are required to report this to the Food Standards Agency annually. Category E premises are the very lowest risk premises and are subject to self-assessment by questionnaire. Every year we verify a random 10% of self-assessment returns for quality control purposes. They include sweetshops and small retailers, childminders and some home caterers making cakes etc. CHECK

EHC04 - An urgent, possibly immediate response may be required for serious incidents. These include infectious disease outbreaks, emergency closure of a failing food business, a work related injury or death at a workplace where the Council is the enforcement authority, not the Health & Safety Executive

EHC05 - This is a national indicator which is reported to the Food Standards Agency every year. In terms of hygiene ratings (scores on the doors) it means a rating 3, 4 or 5 has been awarded.

2.2

Project Management

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

Add the following information for Each of your projects

Project details				Project Manager: Claire Westwood Project Sponsor: Kimberley Rowley	
Project title				Proposed outcome	
Review of Statutory Notices and associated costs (specifically DM but could contribute to wider review both in Regulatory Services and corporately)				Streamlining of Statutory Notices and reduction in costs	
2020/21 Milestones				2021/22 Milestones	2022/23 Milestones
Quarter 1	Quarter 2	Quarter 3	Quarter 4		
National planning body survey results on Statutory Notices expected. Await.	Project commences. Existing costs reviewed. Identify other departments involved.	Review - liaise with other departments	Ongoing review with determination of process and costs.	Project completed	

Project details				Project Manager: Adam Ralton Project Sponsor: Kimberley Rowley	
Project title				Proposed outcome	
Review and document DM processes – move to a paperless service with increased efficiencies				Paperless planning files	
2020/21 Milestones				2021/22 Milestones	2022/23 Milestones
Quarter 1	Quarter 2	Quarter 3	Quarter 4		
Review 'Enterprise' (new electronic workflow system) to consider best set up for service.	Initial set up of 'Enterprise' for DM.	Review set up and implement. Staff training provided	Continued implementation of Enterprise Review use of Enterprise and being used to its full	Enterprise in full use across DM	

			capacity to assist performance and efficiencies		
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Project details				Project Manager: Matthew Roberts Project Sponsor: Kimberley Rowley	
Project title				Proposed outcome	
Unauthorised advertisement procedure				To set up a procedure in-house which will allow Officers to claim costs back for removal of unauthorised adverts.	
2020/21 Milestones				2021/22 Milestones	2022/23 Milestones
Quarter 1	Quarter 2	Quarter 3	Quarter 4		
-	Project commences. Existing practices to be reviewed	Ongoing review including liaison with Environmental Protection	Ongoing with final procedures determined	Project completed.	

Project details				Project Manager: Matthew Roberts Project Sponsor:	
Project title				Proposed outcome	
Integration of Uniform and Firmstep to allow benefits of above electronic projects to be realised.				Customers will be able to submit licensing applications online with data stored within Uniform, reducing administrative tasks and officer time.	
2020/21 Milestones				2021/22 Milestones	2022/23 Milestones
Quarter 1	Quarter 2	Quarter 3	Quarter 4		
Review progress with Carl Harris to ensure project can be completed.	Project implementation, preparation of relevant forms	Test new applications and liaise with CSC Training provided	Review processes and create manuals	Project completed.	

Project details				Project Manager: Julie Scott Project Sponsor: Kimberley Rowley	
Project title				Proposed outcome	
Local Land Charges – Land Registry Project				Transfer of part of local land charge function (LAC1) to the Land Registry.	
2020/21 Milestones				2021/22 Milestones	2022/23 Milestones
Quarter 1	Quarter 2	Quarter 3	Quarter 4		
Review current position – October 19/20 still awaiting a date for TRDC Ongoing data cleansing	Ongoing data cleansing in preparation	Ongoing data cleansing in preparation	Ongoing data cleansing in preparation		

Project details				Project Manager: Julie Scott Project Sponsor: Kimberley Rowley	
Project title				Proposed outcome	
Review of Street Naming and Numbering Procedures				Detailed Street Naming and Numbering Procedures and creation of a manual	
2020/21 Milestones				2021/22 Milestones	2022/23 Milestones
Quarter 1	Quarter 2	Quarter 3	Quarter 4		
Commence review - investigate/liase with colleagues/other LAs, consider use of TLC /Uniform software	Determine new procedures and complete manual				

Project details				Project Manager: Kimberley Rowley/Adam Ralton/Jo Hewitson Project Sponsor: Geof Muggeridge	
Project title				Proposed outcome	
Audit of LA1 – risk assurance				LA1 and its sign off processes deemed resilient or amended if recommended	
2020/21 Milestones				2021/22 Milestones	2022/23 Milestones
Quarter 1	Quarter 2	Quarter 3	Quarter 4		
Identify service provider Audit scope determined Discuss with HBC and other LAs	Audit ongoing	Final audit report issued. Share with other LAs/stakeholders. Recommendations considered and implemented as necessary	Any identified Implementation Plan agreed and initiated. Project completed.		
Project details				Project Manager: Kimberley Rowley Project Sponsor: Geof Muggeridge	
Project title				Proposed outcome	
Review of GIS systems, use and functionality				A high performing, centrally managed GIS system	
2020/21 Milestones				2021/22 Milestones	2022/23 Milestones
Quarter 1	Quarter 2	Quarter 3	Quarter 4		
Outcome of PID awaited. Recruitment of a GIS Officer	Existing GIS system reviewed and evaluated with recommendations made	Ongoing – recommendations implemented Training of staff	Ongoing – recommendations implemented Training of staff	Ongoing implementation of a centrally managed GIS system	Management of a centrally managed GIS system

				Investigate customer facing GIS opportunities to increase efficiencies Continued roll out of Officer training Preparation of a GIS strategy	Implement customer facing GIS system to increase efficiencies Continued roll out of Officer training Implementation of a GIS strategy
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Project details				Project Manager:	
Project title				Project Sponsor:	
Review of Council parking services				Proposed outcome	
Provision of a cost neutral parking service and investigation of revenue opportunities					
2020/21 Milestones				2021/22 Milestones	2022/23 Milestones
Quarter 1	Quarter 2	Quarter 3	Quarter 4		
Review and implementation of parking projects	Ongoing	Ongoing	Ongoing		

Project details				Project Manager: Peter Simons	
Project title				Project Sponsor: Kimberley Rowley	
Parking Improvement and Management Plan – policies				Proposed outcome	
Parking Policy document adopted					
2020/21 Milestones				2021/22 Milestones	2022/23 Milestones
Quarter 1	Quarter 2	Quarter 3	Quarter 4		

Policies to be presented to relevant Committee	Policy consultation	Analysis of consultation responses	Policy adopted		
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Project details				Project Manager: Peter Simons Project Sponsor: Kimberley Rowley	
Project title				Proposed outcome	
Parking Strategy				Parking Strategy adopted	
2020/21 Milestones				2021/22 Milestones	2022/23 Milestones
Quarter 1	Quarter 2	Quarter 3	Quarter 4		
Preparation of Parking Strategy via consultants Procured end of 19/20	Review of Strategy, presentation to relevant Committees for adoption	Implementation of Parking Strategy	Implementation of Parking Strategy	Implementation of Parking Strategy	Implementation of Parking Strategy

Project details				Project Manager: Peter Simons Project Sponsor: Kimberley Rowley	
Project title				Proposed outcome	
Parking Management				Introduction of measures and parking controls in response to parking management issues as local parking authority under agency from HCC.	
2020/21 Milestones				2021/22 Milestones	2022/23 Milestones
Quarter 1	Quarter 2	Quarter 3	Quarter 4		
Refer to work programme	Refer to work programme	Refer to work programme	Refer to work programme	New parking measures and controls introduced	New parking measures and controls introduced

Project details				Project Manager: Peter Simons Project Sponsor: Kimberley Rowley	
Project title				Proposed outcome	
Retail Parade enhancement and Highway Enhancement schemes					
2020/21 Milestones				2021/22 Milestones	2022/23 Milestones
Quarter 1	Quarter 2	Quarter 3	Quarter 4		
Refer to work programme	Refer to work programme	Refer to work programme	Refer to work programme	Promotion and introduction of retail enhancement schemes and highway enhancement schemes	Promotion and introduction of retail enhancement schemes and highway enhancement schemes

Project details				Project Manager: Peter Simons Project Sponsor: Kimberley Rowley	
Project title				Proposed outcome	
Better Buses				Promoting Three Rivers priorities for buses	
2020/21 Milestones				2021/22 Milestones	2022/23 Milestones
Quarter 1	Quarter 2	Quarter 3	Quarter 4		
Refer to work programme	Refer to work programme	Refer to work programme	Refer to work programme	See work programme	See work programme

Project details				Project Manager: Peter Simons Project Sponsor: Kimberley Rowley	
Project title				Proposed outcome	

Cycling and Walking Strategy				Managing the Cycling Strategy mainly through the introduction and promotion of cycling and walking schemes to improve routes and connectivity	
2020/21 Milestones				2021/22 Milestones	2022/23 Milestones
Quarter 1	Quarter 2	Quarter 3	Quarter 4		
Refer to work programme	Refer to work programme	Refer to work programme	Refer to work programme	Refer to work programme	Refer to work programme

Project details				Project Manager: WBC EH (Nick Egerton) Project Sponsor: Kimberley Rowley	
Project title				Proposed outcome	
Review the locations of the existing diffusion tubes to ensure that they are suitably located and work with HCC to identify the highest risk locations for monitoring. Monitoring however will continue in the current locations until January 2021 so that a full years data can be reported in the Annual Screening Assessment (ASR). Ongoing monitoring continues at the M25 J18 location with retention of the AQMA.				Effective monitoring of air quality and implementation of any relevant actions	
2020/21 Milestones				2021/22 Milestones	2022/23 Milestones
Quarter 1	Quarter 2	Quarter 3	Quarter 4		
Monitoring diffusion tubes in the current locations	Monitoring diffusion tubes in the current locations	Monitoring diffusion tubes in the current locations Submission of Annual Screening Assessment (ASR) to DEFRA	Review of annual report and alternative locations determined if required.	Diffusion tube locations all reviewed and new locations monitored.	

Project details				Project Manager: WBC EH (Nick Egerton) Project Sponsor: Kimberley Rowley	
Project title				Proposed outcome	
Continue to monitor at Uxbridge Road to establish if there is the likelihood of an exceedance of the Air Quality Objectives. The results will be reported in the 2021 ASR, and identify if there is a need to progress to a Detailed Assessment.				Effective monitoring of air quality and implementation of any relevant actions	
2020/21 Milestones				2021/22 Milestones	2022/23 Milestones
Quarter 1	Quarter 2	Quarter 3	Quarter 4		
Ongoing	Ongoing	Ongoing	Ongoing	Results reported in the 2021 ASR to DEFRA and any relevant action identified progressed.	

2.3

Contracts[See the Contracts Register for your contracts.](#)

Title of Agreement	Service Area	Service Contact	Description of the goods and / or services being provided	Supplier Name	Contract Sum £	Start Date	End Date	Review Date	Option to extend and length of extension
Parking Management	Regulatory Services	Head of Service	Provision of the Council's parking enforcement service including permit issue	Hertsmere BC	£370,000	April 2018	March 2023		3 years
IDOX software	Regulatory Services	Head of Service	IT software provided across a number of Council services	IDOX	TBC	1 April 2020			To be negotiated –
Advertising – press notices	Development Management	Head of Service	Advertising of statutory notices	Havas People	£30,000	Ongoing			

2.4

Risk Management

[Risk Management Registers](#)

Risk Description	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
Insufficient staff - New and existing corporate projects cannot all be supported without increased staff resources	3	2	6
Total failure of ICT systems - Delays in implementation of new software resulting in inefficiencies and affecting service levels	3	2	6
Loss of accommodation - Could impact on service provision	2	2	4
Fraudulent activity - Fraud by officers, relating either to income, expenditure or stock. Potential through misreporting of income	2	2	4
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.	3	1	3
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.	4	2	8
Local Planning Authority placed in special measures allowing applicants to submit applications directly to Secretary of State -	2	2	4
Disruption to services during transfer of part of Local Land Charges functions to Land Registry	4	2	8
Insufficient staff and inadequate skills set LOSS OF KEY STAFF	3	2	6
Inaccuracy of appropriate data/records - Particularly affecting property information on Uniform and ArcMap software.	3	2	6
Failure to agree measures to meet the parking deficit and future parking income forecasts	3	3	9
Near term Air Quality Action Plans not progressed	2	2	4
Long term Air Quality Action Plans not progressed	3	1	3
Local Authority placed in special measures for Gazetteer should we fall constantly below National Standard	2	2	4
Failure of the parking service provider, Hertsmere BC, to provide the service, including insufficient CEOs	2	2	4
Failure of EH commercial service provider, Watford BC, to provide the service in a professional, efficient and timely manner	2	2	4
Individual project risks ie delays, decrease in service uptake`			

Very Likely ----- Likelihood ----- ----- ----- Remote	Low 4	High 8	Very High 12	Very High 16
	Low 3	Medium 6	High 9	Very High 12
	Low 2	Low 4	Medium 6	High 8
	Low 1	Low 2	Low 3	Low 4
Impact -----> Unacceptable				

Impact Score	Likelihood Score
4 (Catastrophic)	4 (Very Likely (≥80%))
3 (Critical)	3 (Likely (21-79%))
2 (Significant)	2 (Unlikely (6-20%))
1 (Marginal)	1 (Remote (≤5%))

Version Control

Version No.	Date	Reason for Update / Significant Changes	Made By
V1	October 2019	First draft of 2020-2023 Service Plan	KR