



# Strategic Planning & Environment

## Overview & Scrutiny

### Agenda

**TUESDAY 14 MARCH 2017 AT 7.30 PM**

#### **Conference Room 2 - The Forum**

The Councillors listed below are requested to attend the above meeting, on the day and at the time and place stated, to consider the business set out in this agenda.

#### Membership

Councillor G Adshead  
Councillor Anderson (Chairman)  
Councillor Ashbourn  
Councillor E Collins  
Councillor Fisher  
Councillor S Hearn

Councillor Hicks  
Councillor Howard  
Councillor Matthews  
Councillor Ransley  
Councillor Riddick  
Councillor C Wyatt-Lowe (Vice-Chairman)

#### **Substitute Members:**

Councillors Birnie, Link, Ritchie, R Sutton, Timmis and Tindall

For further information, please contact Katie Mogan or Member Support

### **AGENDA**

#### **8. PLANNING, DEVELOPMENT AND REGENERATION Q3 PERFORMANCE REPORT** (Pages 2 - 16)

Report to follow

# Agenda Item 8



|                         |   |
|-------------------------|---|
| <b>Report for:</b>      | <b>Strategic Planning and Environment<br/>Overview &amp; Scrutiny Committee</b> |
| <b>Date of meeting:</b> | <b>14 March 2016</b>  |
| <b>PART:</b>            | <b>1</b>  |
| If Part II, reason:     |   |

|                                |  |
|--------------------------------|--|
| <b>Title of report:</b>        | <b>Quarter 3 Performance Report – Planning, Development and Regeneration</b>   |
| Contact:                       | Cllr Graham Sutton, Portfolio Holder for Planning and Regeneration<br><br>James Doe, Assistant Director – Planning, Development and Regeneration |
| Purpose of report:             | To report on service performance for the third quarter of 2016/17, and to provide an update on the Operational Risk Register.                    |
| Recommendations                | That the report be noted.  |
| Corporate objectives:          | The report focuses on the service plan for the area and key performance indicators. All corporate objectives are therefore relevant.             |
| Implications:                  | <u>Financial</u><br><br>None arising directly from this report.  |
| 'Value For Money Implications' | <u>Value for Money</u><br><br>None arising directly from this report.  |
| Risk Implications              | Risk Assessment completed as part of the service plan.   |
| Equalities Implications        | None arising from this report.   |

|                                |   |
|--------------------------------|---|
| Health And Safety Implications | None arising from this report.  |
| Consultees:                    | <p>Cllr Graham Sutton, Portfolio Holder for Planning and Regeneration.</p> <p>Mark Gaynor, Corporate Director for Housing and Regeneration</p> <p>Sara Whelan, Group Manager for Development Management and Planning</p> <p>Chris Taylor, Group Manager for Strategic Planning and Regeneration</p> |
| Background papers:             | Performance information held on the CorVu system.   |

### Introduction

1. The report provides the performance report for the third quarter of the current business year. The detailed performance information is at Appendix 1.
2. Performance on service delivery continues to be strong, with all non-financial indicators at green except one at red (planning application validation).
3. The operational risk register is at Appendix 2 and has been updated since the last report to the Committee on 22 November 2016.

### Performance Indicators

4. Building Control. Performance is again strong, with 100% of all applications determined within 2 months (BC01).
5. Development Management. This has been a strong quarter. Performance on all categories of applications is running at green. 100% of all major applications were determined on time (DMP04), 85% of the 'minor' category, and nearly 90% of the 'others' which comprise the bulk of the planning caseload (DMP05 and 06 respectively).
6. The number of planning applications that were received in quarter 3 (DMP02) was down on quarter 1 at 537 proposals compared to 606 in June-September.
7. Refusals of planning applications (DMP07) remains low at just under 5%.
8. The only process-based performance indicator at red this quarter is on the validation of planning applications within three working days (DMP08), which is at 48% compared to the 70% target where IT problems have persisted. Relatively slow validation of applications has not however affected performance in application processing overall, as can be seen above.
9. Planning Enforcement. The Council's approved Local Enforcement Plan sets out priorities for investigations into three categories. All Priority 1 cases were visited within 1 working day (PE01). Priority 2 cases (PE02) were under target

at 59% for the target visiting time of 10 working days. For priority 3 cases (PE03) to be visited within 15 working days, the outcome was 80.9%. There was some slippage from quarter 2, with a vacancy in the team being filled. The enforcement team is now back up to full strength.

10. Land Charges. This is a competitive service and workload and business remains very high, though the number of property searches received (LC01) held steady at 481 searches compared to 483 in quarter 2 and 589 in quarter 1. Performance (LC02) is good at an average processing time of 5.81 days against the target of ten.
11. Strategic Planning and Regeneration. The house building market was active during Q3 with 156 new homes built, up from 111 in quarter 2 (SPR05). This brings the total to date this business year to 431 units, at this stage already meeting the annual Core Strategy target of 430 units.
12. Finance. The main issue continues to be under-recovery of planning fees against budgeted target income (FIN16). This is due to a fall off in the number of major applications being submitted across the year, but activity has picked up again. Fees received amounted to nearly £520,000 against the expected trajectory of £610,000, but the gap between receipts and trajectory has narrowed from quarter 2. The income issue remains a risk, but will be monitored closely.
13. Land Charges income (FIN17) is slightly under target by around £7,000.
14. For building control fees, the income situation has improved with almost £413,000 received against the anticipated target at this stage of the year of £406,000.

### **Operational Risk Register**

15. The quarter 3 report is at Appendix 2. The residual risk rating has been raised in two areas.
16. The first, reference PDRF03 relates to income streams failing to meet budgeted targets. This reflects what has taken place this year, as referred to in this report.
17. The second, reference PDRR01 relates to the Local Plan (formerly the Local Development Framework) not meeting key milestones. The risk rating has been raised slightly to reflect that the Council is commencing a full Local Plan Review this year and issues such as new legislation and timescales set by the Planning Inspectorate as part of the process can lead to delays. Progress on the Local Plan is being managed as a corporate project of the Council.

# SPE OSC QUARTERLY PERFORMANCE REPORT

## Planning, Development and Regeneration

December 2016



| Measure   | Owner & Updater              | Dec 2016 Result                   | Sep 2016 Result                   | Dec 2015 Result                  | Sign Off | Comments  |
|---|------------------------------|-----------------------------------|-----------------------------------|----------------------------------|----------|---|
| BC01 - Percentage of Building Control Applications determined within 2 months | Sara Whelan<br>Andrew Howard | 100%<br>(177/177)<br>Target: 100  | 100%<br>(178/178)<br>Target: 100  | 100%<br>(149/149)<br>Target: 100 | ✓        | <b>Updater</b><br>Target met. 100%<br><br>Comparison to 3rd Quarter 2015. 150 Applications received and processed.<br><b>Owner</b><br>Noted an increase in applications compared to this time last year |
| DMP02 - Number of planning applications received                              | Sara Whelan<br>Fiona Bogle   | 537<br>Applications<br>Info Only  | 606<br>Applications<br>Info Only  | 614 Applications<br>Info Only    | ✓        | <b>Updater</b><br><br><b>Owner</b><br>Noted slightly lower than previous quarters   |
| DMP04 - Percentage of major applications determined within 13 weeks (YTD)     | Sara Whelan<br>Fiona Bogle   | 100%<br>(5/5)<br>Target: 60       | 57.14%<br>(4/7)<br>Target: 60     | 85.71%<br>(6/7)<br>Target: 60    | ✓        | <b>Updater</b><br>4 of these were within an agreed extension of time.<br><b>Owner</b><br>Good result  |
| DMP05 - Percentage of minor applications determined within 8 weeks            | Sara Whelan<br>Fiona Bogle   | 85%<br>(68/80)<br>Target: 65      | 83.33%<br>(65/78)<br>Target: 65   | 70.51%<br>(55/78)<br>Target: 65  | ✓        | <b>Updater</b><br><br><b>Owner</b><br>Excellent result for quarter considering Christmas period and IT difficulties   |
| DMP06 - Percentage of other applications determined within 8 weeks            | Sara Whelan<br>Fiona Bogle   | 89.31%<br>(259/290)<br>Target: 80 | 93.54%<br>(275/294)<br>Target: 80 | 85.6%<br>(220/257)<br>Target: 80 | ✓        | <b>Updater</b><br><br><b>Owner</b><br>good result   |

Monitoring Information

| Measure   | Owner & Updater             | Dec 2016 Result                | Sep 2016 Result                 | Dec 2015 Result                 | Sign Off | Comments  |
|---|-----------------------------|--------------------------------|---------------------------------|---------------------------------|----------|---|
| DMP07 - Percentage of planning applications refused                         | Sara Whelan<br>Fiona Bogle  | 6.8%<br>(33/485)<br>Target: 10 | 4.56%<br>(23/504)<br>Target: 10 | 6.47%<br>(22/340)<br>Target: 10 | ✓        | <b>Updater</b><br><br><b>Owner</b>  |
| DMP08 - Percentage of planning applications validated within 3 working days | Sara Whelan<br>Jason Seed   | 48%<br>(303/632)<br>Target: 70 | 49%<br>(292/593)<br>Target: 70  | 77%<br>(579/751)<br>Target: 70  | ✓        | <b>Updater</b><br><br><b>Owner</b><br>Planning registry have suffered delays from IT difficulties with re indexing work and staff sickness  |
| FIN15 - Building Control Income ytd actual against profiled budget          | James Doe<br>Caroline Souto | £412873<br>Target:<br>405783   | £295703<br>Target:<br>287297    | £410625<br>Target: 412751       | ✗        |   |
| FIN16 - Planning Fees ytd actual against profiled budget                    | James Doe<br>Caroline Souto | £519382<br>Target:<br>609533   | £276008<br>Target:<br>406355    | £733477<br>Target: 600675       | ✗        |   |
| FIN17 - Search Fees ytd actual against profiled budget                      | James Doe<br>Caroline Souto | £181091<br>Target:<br>210000   | £124125<br>Target:<br>140000    | £224491<br>Target: 210000       | ✗        |   |
| LC03 - Volume of Local Land Charges Searches Received                       | Sara Whelan<br>Ann Stowe    | 481 Searches<br>Info Only      | 483 Searches<br>Info Only       | 582 Searches<br>Info Only       | ✓        | <b>Updater</b><br>Only a very slight decrease in searches from last quarter. We are however down on searches from this period in 2015 due to the slow down in the Housing Market. This period does tend to be the quietest.<br><b>Owner</b><br>Noted 100 cases down compared to this time last year. I have reallocated staff resources accordingly |
| LC04 - Average time taken to process an official Local Land Charges search  | Sara Whelan<br>Ann Stowe    | 5.81 Days<br>Target: 10        | 5.18 Days<br>Target: 10         | 6.44 Days<br>Target: 10         | ✓        | <b>Updater</b><br>The search turnaround times remain constant.<br><b>Owner</b><br>good result   |

| Measure  | Owner & Updater                   | Dec 2016 Result               | Sep 2016 Result               | Dec 2015 Result                 | Sign Off | Comments  |
|--|-----------------------------------|-------------------------------|-------------------------------|---------------------------------|----------|---|
| PE01 - Percentage of priority 1 enforcement cases visited within 1 working day   | Sara Whelan<br>Philip Stanley     | 100%<br>(6/6)<br>No Target    | 75%<br>(3/4)<br>Target: 0     | 100%<br>(8/8)<br>Target: 100    | ✓        | <b>Updater</b><br>Priority 1 cases were all visited within 24 hours<br><b>Owner</b><br>good result  |
| PE02 - Percentage of priority 2 enforcement cases visited within 10 working days | Sara Whelan<br>Philip Stanley     | 59%<br>(36/61)<br>No Target   | 96.9%<br>(62/64)<br>Target: 0 | 91.9%<br>(57/62)<br>Target: 100 | ✓        | <b>Updater</b><br>The team had only one Enforcement Officer for much of this period.<br><b>Owner</b><br>New enforcement officer now started                                       |
| PE03 - Percentage of priority 3 enforcement cases visited within 15 working days | Sara Whelan<br>Philip Stanley     | 80.9%<br>(38/47)<br>No Target | 100%<br>(64/64)<br>Target: 0  | 98.4%<br>(63/64)<br>Target: 100 | ✓        | <b>Updater</b><br>A good effort considering the team had only one Enforcement Officer for much of this period.<br><b>Owner</b><br>agree a good result considering staffing levels |
| SP005 - Number of new homes completed  | Chris Taylor<br>Francis Whittaker | 156 Homes<br>Info Only        | 111 Homes<br>Info Only        | 149 Homes<br>Info Only          | ✗        |   |

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# OPERATIONAL RISK REGISTER

December 2016



**Planning Development & Regeneration - James Doe**

**PDR\_F01 Market fails to bring forward because of continuing economic uncertainty**

|  |  |  |   |  |                            |
|--|--|--|---|--|----------------------------|
| <b>Category:</b><br>Financial  | <b>Corporate Priority:</b><br>Regeneration | <b>Risk Owner:</b><br>James Doe  | <b>Portfolio Holder:</b><br>Graham Sutton | <b>Tolerance:</b><br>Treating  |                            |
| <b>Inherent Probability</b>  | <b>Inherent Impact</b>                     | <b>Inherent Risk Score</b>   | <b>Residual Probability</b>               | <b>Residual Impact</b>   | <b>Residual Risk Score</b> |
| 3<br>Likely  | 4<br>Severe                                | 12<br>Red  | 3<br>Likely                               | 2<br>Medium  | 6<br>Amber                 |
| <b>Consequences</b>  |  | <b>Current Controls</b>  |   | <b>Assurance</b>   |                            |
| Needs of the community in terms of housing, jobs and local services will not be met. |  | <ul style="list-style-type: none"> <li>-Enterprise Zone for Maylands secured, due to be operational by April 2017</li> <li>- Developments coming forward at the Maylands Aviva site (out of town retail) and Prologis/Aviva (new commercial floorspace)</li> <li>- Economic Development Strategy in place with review process planned in</li> <li>- Dacorum Development Programme in place with dedicated team and budget</li> <li>- Participation in county-wide initiatives and Partnership</li> <li>- Corporate actions; developments monitored and managed through Corporate Regeneration Group;</li> <li>- Role of CRG updated into a new Growth and Infrastructure Board</li> <li>- Submission made to the LEP's bid for Growth Deal 3 fund for a range of projects to boost the economy;</li> <li>- Town Centre Strategy now approved;</li> </ul> |   | <p>Economic Development Strategy published at <a href="http://www.dacorumlooknofurther.co.uk/docs/default-document-library/ed-strategy-brochure-web-pdf.pdf?sfvrsn=0">http://www.dacorumlooknofurther.co.uk/docs/default-document-library/ed-strategy-brochure-web-pdf.pdf?sfvrsn=0</a></p> <p>Dacorum Development Programme at <a href="http://www.dacorum.gov.uk/docs/default-source/strategic-planning/ddpjanuary2013.pdf?sfvrsn=0">http://www.dacorum.gov.uk/docs/default-source/strategic-planning/ddpjanuary2013.pdf?sfvrsn=0</a></p> <p>Regeneration proposals generally at <a href="http://www.dacorum.gov.uk/home/regeneration">http://www.dacorum.gov.uk/home/regeneration</a></p> <p>See promotional information at <a href="http://www.dacorumlooknofurther.co.uk">www.dacorumlooknofurther.co.uk</a></p> <p>Town Centre Strategy at</p> |                            |



# OPERATIONAL RISK REGISTER

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|                              |  |   |
|------------------------------|--|---|
|                              |  | <a href="http://www.dacorum.gov.uk/home/council-democracy/meetings-minutes-and-agendas/events/2014/10/21/cabinet/cabinet">http://www.dacorum.gov.uk/home/council-democracy/meetings-minutes-and-agendas/events/2014/10/21/cabinet/cabinet</a> |
| <b>Sign Off and Comments</b> |  |   |
| Sign Off Complete            |  |   |

## PDR\_F02 External funding sources are reduced or disappear

|                                    |  |   |   |   |                            |
|------------------------------------|--|---|---|---|----------------------------|
| <b>Category:</b><br>Financial      | <b>Corporate Priority:</b><br>Regeneration | <b>Risk Owner:</b><br>James Doe   | <b>Portfolio Holder:</b><br>Graham Sutton | <b>Tolerance:</b><br>Treating   |                            |
| <b>Inherent Probability</b>        | <b>Inherent Impact</b>                     | <b>Inherent Risk Score</b>  | <b>Residual Probability</b>               | <b>Residual Impact</b>  | <b>Residual Risk Score</b> |
| 3<br>Likely                        | 4<br>Severe                                | 12<br>Red   | 2<br>Unlikely                             | 4<br>Severe   | 8<br>Amber                 |
| <b>Consequences</b>                |  | <b>Current Controls</b>   |   | <b>Assurance</b>  |                            |
| Key projects fail to come forward. |  | Robust project management procedures in place to minimise risk to the Council in seeking new funds and to ensure timely spend to avoid clawback of grant funding.<br><br>Ongoing liaison with Herts LEP on external funding proposals, with submission made to the Growth Deal 3 programme in 2016<br><br>Participation in the Herts Enviro-Tech Enterprise Zone at Maylands / East Hemel to secure funding for major infrastructure improvements<br><br>Corporate Project Management systems |   | Corvu project updates<br><br>Cabinet reports on Water Gardens project<br><br>Cabinet reports on Maylands Urban Realm Project<br><br>Bid submission to Herts LEP |                            |

# OPERATIONAL RISK REGISTER

December 2016



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|---|
| Management of cases through Dacorum Regeneration Programme Board. |
| <b>Sign Off and Comments</b>                                      |
| Sign Off Complete   |

**PDR\_F03 Key income streams do not meet planning fees, building regulations and local land charges income budgets**

|   |  |  |   |                               |                            |
|---|--|--|---|-------------------------------|----------------------------|
| <b>Category:</b><br>Financial   | <b>Corporate Priority:</b><br>Regeneration | <b>Risk Owner:</b><br>James Doe  | <b>Portfolio Holder:</b><br>Graham Sutton | <b>Tolerance:</b><br>Treating |                            |
| <b>Inherent Probability</b>   | <b>Inherent Impact</b>                     | <b>Inherent Risk Score</b>   | <b>Residual Probability</b>               | <b>Residual Impact</b>        | <b>Residual Risk Score</b> |
| 3<br>Likely   | 4<br>Severe                                | 12<br>Red  | 3<br>Likely                               | 3<br>High                     | 9<br>Amber                 |
| <b>Consequences</b>   |  | <b>Current Controls</b>  |   | <b>Assurance</b>              |                            |
| Unable to meet government and local targets.<br>- Bad press<br>- Shortfall on budget and potential staff cuts/service reduction<br>- possibility of Govt intervention in the planning service if performance declines as a result |  | Monthly monitoring of development levels and income with Accountancy at GM and AD level<br><br>Review of major developments monthly to help track income trajectory<br><br>Building Control fees are to be increased from 1 April 2017 |   |                               |                            |

|                              |
|------------------------------|
| <b>Sign Off and Comments</b> |
| Sign Off Complete            |

# OPERATIONAL RISK REGISTER

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Income from Planning fees now unlikely to meet the increased income target set in the 16/17 budget. impact has been mitigated by the later than expected arrival of major planning applications

## PDR\_I01 Failure to deliver on the Regeneration and Sustainability Agenda by Insufficient Capac

| <b>Category:</b><br>Infrastructure                         | <b>Corporate Priority:</b><br>Regeneration | <b>Risk Owner:</b><br>James Doe   | <b>Portfolio Holder:</b><br>Graham Sutton | <b>Tolerance:</b><br>Treating   |                     |
|--|--|---|---|---|---------------------|
| Inherent Probability                                       | Inherent Impact                            | Inherent Risk Score   | Residual Probability                      | Residual Impact   | Residual Risk Score |
| 3<br>Likely  | 4<br>Severe                                | 12<br>Red   | 2<br>Unlikely                             | 3<br>High   | 6<br>Amber          |
| Consequences   |  | Current Controls  |   | Assurance   |                     |
| Regeneration projects fail, are delayed or go over budget. |  | <ul style="list-style-type: none"> <li>- SPAR team fully in place</li> <li>- Formation of corporate regeneration group has brought in further support and capacity</li> <li>- Projects monitored through Dacorum Regeneration Programme Board and Steering Group</li> </ul> |   | <p>Project PIDs and governance in place, particularly Corporate Regeneration Group and Dacorum Regeneration Programme Board.</p> <p>See Cabinet report Dec 2013 regarding Hemel Evolution project management arrangements<br/> <a href="http://www.dacorum.gov.uk/docs/default-source/council-democracy/cabinet---13-12-17---hemel-evolution-report---final-report-jd-comments.pdf?sfvrsn=0">http://www.dacorum.gov.uk/docs/default-source/council-democracy/cabinet---13-12-17---hemel-evolution-report---final-report-jd-comments.pdf?sfvrsn=0</a></p> <p>Work now progressing on site for the Marlowes Shopping Zone improvements and on schedule.</p> |                     |
| Sign Off and Comments                                      |  |   |   |   |                     |
| Sign Off Complete  |  |   |   |   |                     |

# OPERATIONAL RISK REGISTER

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## PDR\_I02 Failure to deliver on the Regeneration and Sustainability Agenda by lack of internal expertise

| <b>Category:</b><br>Infrastructure                         | <b>Corporate Priority:</b><br>Regeneration | <b>Risk Owner:</b><br>James Doe   | <b>Portfolio Holder:</b><br>Graham Sutton | <b>Tolerance:</b><br>Treating  |                     |
|--|--|---|---|--|---------------------|
| Inherent Probability                                       | Inherent Impact                            | Inherent Risk Score   | Residual Probability                      | Residual Impact  | Residual Risk Score |
| 3<br>Likely  | 4<br>Severe                                | 12<br>Red   | 2<br>Unlikely                             | 3<br>High  | 6<br>Amber          |
| Consequences   |  | Current Controls  |   | Assurance  |                     |
| Regeneration projects fail, are delayed or go over budget. |  | Qualified staff appointed.<br><br>Specialist expertise has been brought in using project finance on cost management, Design monitoring and Health and Safety. |   | See Dec 2013 Cabinet report for Hemel Evolution project management arrangements<br><a href="http://www.dacorum.gov.uk/docs/default-source/council-democracy/cabinet---13-12-17---hemel-evolution-report---final-report-jd-comments.pdf?sfvrsn=0">http://www.dacorum.gov.uk/docs/default-source/council-democracy/cabinet---13-12-17---hemel-evolution-report---final-report-jd-comments.pdf?sfvrsn=0</a> |                     |
| Sign Off and Comments                                      |  |   |   |  |                     |
| Sign Off Complete  |  |   |   |  |                     |

## PDR\_I03 Failure to deliver on the Regeneration and Sustainability Agenda by Failure of partners to engage

| <b>Category:</b><br>Infrastructure | <b>Corporate Priority:</b><br>Regeneration | <b>Risk Owner:</b><br>James Doe | <b>Portfolio Holder:</b><br>Graham Sutton | <b>Tolerance:</b><br>Treating |                     |
|------------------------------------|--|---------------------------------|---|-------------------------------|---------------------|
| Inherent Probability               | Inherent Impact                            | Inherent Risk Score             | Residual Probability                      | Residual Impact               | Residual Risk Score |
| 3<br>Likely                        | 4<br>Severe                                | 12<br>Red                       | 3<br>Likely                               | 3<br>High                     | 9<br>Amber          |
| Consequences                       |  | Current Controls                |   | Assurance                     |                     |
|                                    |  |                                 |   |                               |                     |

# OPERATIONAL RISK REGISTER

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|  |  |  |
|--|--|--|
| Regeneration projects fail, are delayed or go over budget. | Regular engagement with key partners and stakeholders through direct project management and through Dacorum Regeneration Programme Board.<br><br>Infrastructure delivery plan in place and plans to engage key providers to address needs of development growth within Dacorum<br><br>new Two Waters masterplan in draft and engaging key partners | HH Town Centre Masterplan at <a href="http://www.dacorum.gov.uk/home/regeneration/hemel-evolution/hemel-hempstead-masterplan">http://www.dacorum.gov.uk/home/regeneration/hemel-evolution/hemel-hempstead-masterplan</a><br><br>Water Gardens funding report to Cabinet at <a href="http://www.dacorum.gov.uk/home/council-democracy/meetings-minutes-and-agendas/events/2014/07/22/cabinet/cabinet">http://www.dacorum.gov.uk/home/council-democracy/meetings-minutes-and-agendas/events/2014/07/22/cabinet/cabinet</a> |
|--|--|--|

**Sign Off and Comments**

Sign Off Complete

Residual risk rating raised to reflect increased delivery of regeneration and development in the Borough by the private sector and therefore with less direct control. Challenge to match the needs generated by new developments with necessary infrastructure improvements.

**PDR\_I04 Failure of Business Continuity Plan to keep critical and key services running**

| <b>Category:</b><br>Infrastructure  | <b>Corporate Priority:</b><br>Dacorum Delivers | <b>Risk Owner:</b><br>James Doe   | <b>Portfolio Holder:</b><br>Graham Sutton | <b>Tolerance:</b><br>Tolerating    |                     |
|---|--|---|---|------------------------------------|---------------------|
| Inherent Probability  | Inherent Impact                                | Inherent Risk Score   | Residual Probability                      | Residual Impact                    | Residual Risk Score |
| 2<br>Unlikely   | 3<br>High                                      | 6<br>Amber  | 1<br>Very Unlikely                        | 3<br>High                          | 3<br>Green          |
| Consequences  |  | Current Controls  |   | Assurance                          |                     |
| <ul style="list-style-type: none"> <li>- loss of service to the public</li> <li>- harm to Council's reputation</li> <li>- duty to meet legal requirements is impaired</li> <li>- potential loss of income and business</li> </ul> |  | Actions in Corporate Business Continuity Plan<br><br>Prioritisation of key service in the event of disaster or other failure. |   | Corporate Business Continuity Plan |                     |

# OPERATIONAL RISK REGISTER

December 2016



**Sign Off and Comments**

Sign Off Complete

**PDR\_I05 Workforce Planning fails to prevent service failure**

|  |  |  |   |                               |                            |
|--|--|--|---|-------------------------------|----------------------------|
| <b>Category:</b><br>Infrastructure                                     | <b>Corporate Priority:</b><br>Dacorum Delivers | <b>Risk Owner:</b><br>James Doe  | <b>Portfolio Holder:</b><br>Graham Sutton | <b>Tolerance:</b><br>Treating |                            |
| <b>Inherent Probability</b>  | <b>Inherent Impact</b>                         | <b>Inherent Risk Score</b>   | <b>Residual Probability</b>               | <b>Residual Impact</b>        | <b>Residual Risk Score</b> |
| 3<br>Likely  | 4<br>Severe                                    | 12<br>Red  | 2<br>Unlikely                             | 4<br>Severe                   | 8<br>Amber                 |
| <b>Consequences</b>  |  | <b>Current Controls</b>  |   | <b>Assurance</b>              |                            |
| Service cannot be delivered effectively if staffing levels are reduced |  | Workforce development plan as drafted<br><br>Timely filling of posts and rearrangement of responsibilities where appropriate when staff leave<br><br>Review of need for trainees to be developed in house to deal with recruitment and retention issues caused by a strong professional jobs market in 2015. |   | Workforce Development Plan    |                            |

**Sign Off and Comments**

Sign Off Complete  
 Growing difficulty in retaining and recruiting Building Control staff, yet recent recruitment in early 2017 has secured 3 trainee appointments.

# OPERATIONAL RISK REGISTER

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## PDR\_R01 Local Development Framework (LDF) fails to meet milestones in Local Development Scheme

|  |  |  |   |  |                            |
|--|--|--|---|--|----------------------------|
| <b>Category:</b><br>Reputational   | <b>Corporate Priority:</b><br>Dacorum Delivers | <b>Risk Owner:</b><br>James Doe  | <b>Portfolio Holder:</b><br>Graham Sutton | <b>Tolerance:</b><br>Tolerating  |                            |
| <b>Inherent Probability</b>  | <b>Inherent Impact</b>                         | <b>Inherent Risk Score</b>   | <b>Residual Probability</b>               | <b>Residual Impact</b>   | <b>Residual Risk Score</b> |
| 3<br>Likely  | 4<br>Severe                                    | 12<br>Red  | 2<br>Unlikely                             | 3<br>High  | 6<br>Amber                 |
| <b>Consequences</b>  |  | <b>Current Controls</b>  |   | <b>Assurance</b>   |                            |
| <p>The Council is left without and up to date development plan and unable to resist inappropriate new developments (eg in the Green belt) and unable to plan effectively for future growth and development</p> |  | <ul style="list-style-type: none"> <li>- Core Strategy adopted September 2013 - a major task and milestone achieved, to make the rest of the process achievable</li> <li>- Project management and monitoring of progress against the Local Development Scheme</li> <li>- Site Allocations DPD nearing adoption (summer 2017)</li> <li>- New Local Development Scheme approved by DBC in December 2016 to cover production of the new Dacorum Local Plan by 2019</li> </ul> |   | <p>Core Strategy published on line at <a href="http://www.dacorum.gov.uk/home/planning-development/planning-strategic-planning/local-planning-framework/core-strategy">http://www.dacorum.gov.uk/home/planning-development/planning-strategic-planning/local-planning-framework/core-strategy</a></p> <p>Report to Cabinet <a href="http://web.dacorum.gov.uk/docs/default-source/council-democracy/core-strategy-adoption---report-(373-kb).pdf?sfvrsn=0">http://web.dacorum.gov.uk/docs/default-source/council-democracy/core-strategy-adoption---report-(373-kb).pdf?sfvrsn=0</a></p> <p>supplementary report to Cabinet on 17 Sep at <a href="http://web.dacorum.gov.uk/docs/default-source/council-democracy/core-strategy-adoption---report-supplement---core-strategy-legal-challenge-(572-kb).pdf?sfvrsn=0">http://web.dacorum.gov.uk/docs/default-source/council-democracy/core-strategy-adoption---report-supplement---core-strategy-legal-challenge-(572-kb).pdf?sfvrsn=0</a></p> <p>Further report to Cabinet on next steps with Local Planning Framework Dec 2013 <a href="http://www.dacorum.gov.uk/docs/default-">http://www.dacorum.gov.uk/docs/default-</a></p> |                            |

# OPERATIONAL RISK REGISTER

December 2016



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|---|--|--|
|   |  | <p>source/council-democracy/annual-monitoring-report-and-lpf---report-(187-kb).pdf?sfvrsn=0</p> <p>Local Development Scheme at <a href="http://www.dacorum.gov.uk/docs/default-source/strategic-planning/lds-2014-final-version.pdf?sfvrsn=0">http://www.dacorum.gov.uk/docs/default-source/strategic-planning/lds-2014-final-version.pdf?sfvrsn=0</a></p> <p>Other cabinet reports on Local Planning Framework progress</p> |
| <b>Sign Off and Comments</b>  |  |  |
| <p>Sign Off Complete</p> <p>Residual risk rating raised as the new Local Plan gets underway. Potential for delays are quite high with introduction of new evidence throughout the process (eg new housing data) and reliance on the Planning Inspectorate to set up Examinations to align to the timescale.</p> |  |  |

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