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# **POLICY AND RESOURCES COMMITTEE**

## **VIRTUAL MEETING NOTICE AND AGENDA**

For a virtual/remote meeting to be held on Monday, 6 December 2021 at 7.30 pm

Councillors:

Sarah Nelmes (Chair)  
Matthew Bedford  
Stephen Cox  
Stephen Giles-Medhurst  
Alex Hayward  
Paula Hiscocks  
Chris Lloyd

Dominic Sokalski (Vice-Chair)  
Reena Ranger  
Andrew Scarth  
Roger Seabourne  
Phil Williams  
Debbie Morris

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*Joanne Wagstaffe, Chief Executive  
Monday, 29 November 2021*

“The Local Authorities and Police and Crime Panels Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020 made under the Coronavirus Act 2020 enable Council / Committee meetings to be held in a virtual format and enables remote attendance.

The meeting will start at 7.30pm and will be virtual / remote, in that they will be conducted at no specific location and all participants are at various locations, communicating via audio and online.

The Council welcomes contributions from Members of the public to its discussion on agenda items at Planning Committee meetings. Contributions will be limited to one person speaking for and one against each item for not more than three minutes. Please note that in the event of registering your interest to speak on an agenda item but not taking up that right because the item is deferred, you will automatically be given the right to speak on the item at that next meeting of the Committee. Details of the procedure are provided below:

Members of the public wishing to speak will be entitled to register and identify which application(s) they wish to speak on from the published agenda for the remote meeting. Those who wish to register to speak must do so by notifying the Committee team by e-mail ([CommitteeTeam@threerivers.gov.uk](mailto:CommitteeTeam@threerivers.gov.uk)) 48 hours before the meeting. The first 2 people to register on any application (1 for and 1 against) will be sent a link so that they can join the meeting to exercise that right. This will also allow the Committee Team to

prepare the speaker sheet in advance of the remote meeting to forward to the Chair of the meeting.

In accordance with The Openness of Local Government Bodies Regulations 2014 any matters considered under Part 1 business only of the meeting may be filmed, recorded, photographed, broadcast or reported via social media by any person.

Recording and reporting the Council's meetings is subject to the law and it is the responsibility of those doing the recording and reporting to ensure compliance. This will include the Human Rights Act, the Data Protection Act and the laws of libel and defamation.

**Please note that the meeting is being held virtually. The business of the meeting will be live streamed at –**

**1. APOLOGIES FOR ABSENCE**

**2. MINUTES**

(Pages 5  
- 14)

To confirm as a correct record the Minutes of the Policy and Resources Committee meeting held on 1 November 2021.

**3. NOTICE OF OTHER BUSINESS**

Items of other business notified under Council Procedure Rule 30 to be announced, together with the special circumstances that justify their consideration as a matter of urgency. The Chair to rule on the admission of such items.

**4. DECLARATIONS OF INTEREST**

**To receive any declarations of interest.**

**5. TO RECEIVE THE FOLLOWING PETITION SIGNED BY OVER 600 PEOPLE**

Three Rivers District Council has designated the Red Cross Centre as a site for future development with 6 dwellings to be built on the land.

This decision will remove a vital, well-used community space, which was built using funds raised directly from Croxley Green residents.

Three Rivers District Council own the land where the Centre is and it is completely their decision to build dwellings there instead. This cannot be allowed to happen.

In 2019 the Parish Council made an offer to take over the Centre to ensure that it remained open and available to Croxley Green residents, community groups and organisations. This has not been accepted.

Croxley Green needs spaces such as this where the community can come together to enable Croxley's great community spirit to thrive and grow.

Three Rivers District Council have not been open and transparent with Croxley Green residents over their plans for the Centre and the decision to mark this site for development is an affront and an insult to our community and must be stopped. Please sign this petition to help support Croxley Green Parish Council in their efforts to take over the Centre to ensure that it remains

open for our community.

## Policy

- 6. THREE RIVERS DISTRICT COUNCIL - TREE STRATEGY 2022-2027** (Pages 15 - 56)
- The purpose of this report is to summarise the content and implications of the Final Tree Strategy for the District, and recommend that the Final version of the Strategy is adopted by Three Rivers District Council (Appendix B – Final Tree Strategy).
- 7. RENT ARREARS FINANCIAL SUPPORT SCHEME FOR 2021-22** (Pages 57 - 60)
- To provide the Committee with the proposed Rent Arrears Financial Support Scheme for 2021/22. This details how the Council will assist renters using the funding granted to the Council from the Government. The full policy can be found in Appendix One.
- 8. REVIEW OF STRATEGIC RISKS** (Pages 61 - 66)
- The purpose of this report is to agree the current risk ratings, mitigations and action plans for each strategic risk.

## Resources

- 9. STRATEGIC, SERVICE AND FINANCIAL PLANNING 2022-2025** (Pages 67 - 212)
- This report enables the Committee to comment on its draft service plans.
- 10. BUSINESS RATES POOLING** (Pages 213 - 224)
- To seek approval to enter into a business rates pool with Hertfordshire County Council (HCC) and a number of other Districts within the County for 2022/23
- 11. EXEMPTION FROM PROCUREMENT PROCEDURE RULES - LIVESTREAMING/HYBRID MEETINGS** (Pages 225 - 226)
- To advise Members that an exemption to the Procurement process was approved by the Shared Director of Finance under the Exceptional Circumstances exemption as permitted by the Council's Constitution.
- 12. ADDITIONAL RESTRICTIONS GRANT (ARG) FUNDING PROPOSALS** (Pages 227 - 234)
- To receive a report.
- 13. WORK PROGRAMME** (Pages 235 - 240)
- To receive the Committee's work programme.
- 14. OTHER BUSINESS - if approved under item 3 above**
- 14.1 PROPOSALS FOR SPENDING OF HOUSEHOLD SUPPORT FUND** (Pages 241 - 248)
- As part of efforts to recover following the pandemic, Hertfordshire County Council has been provided with £6.172m funding from the Government's Household Support Fund (HSF). This funding will be used to help people in need this winter with things like the cost of food and energy.

Hertfordshire County Council are working with a range of partners across the county to make sure we can get the right help to those who need it, at the right time. This targeted approach will mean that residents can be supported and get professional assistance from the county council, borough and district councils and organisations such as HertsHelp, our Money Advice Service and local Citizens Advice services.

Three Rivers District Council will receive a total of £33,000 for food support and £44,000 for fuel support.

## **15. EXCLUSION OF PRESS AND PUBLIC**

If the Committee wishes to consider the remaining item in private, it will be appropriate for a resolution to be passed in the following terms:-

“that under Section 100A of the Local Government Act 1972 the press and public be excluded from the meeting for the following item of business on the grounds that it involves the likely disclosure of exempt information as defined under paragraph X of Part I of Schedule 12A to the Act. It has been decided by the Council that in all the circumstances, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.”

(Note: If other confidential business is approved under item 3, it will also be necessary to specify the class of exempt or confidential information in the additional items.)

## **1. OTHER BUSINESS - IF APPROVED UNDER ITEM 3 ABOVE**

**To receive any declarations of interest.**

**General Enquiries: Please contact the Committee Team at [committeeteam@threerivers.gov.uk](mailto:committeeteam@threerivers.gov.uk)**

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**POLICY AND RESOURCES COMMITTEE****MINUTES**

Of a meeting held in the Penn Chamber, Three Rivers House, Northway, Rickmansworth on 1 November 2021 at 7.30pm to 8.20pm.

Councillors present:

Dominic Sokalski (Vice-Chair in the Chair) (Resources and Shared Services)	Chris Lloyd (Leisure)
Stephen Cox	Andrew Scarth (Housing)
Matthew Bedford (Infrastructure & Planning Policy)	Reena Ranger
Paula Hiscocks	Roger Seabourne (Community Safety and Partnerships)
Steve Drury (for Cllr Sarah Nelmes)	Debbie Morris
Raj Khiroya (for Cllr Stephen Giles-Medhurst)	Phil Williams (Lead Member for Environmental Services, Climate Change & Sustainability)

Other Councillors in attendance – None

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Officers Present: Alison Scott, Shared Director of Finance  
Geof Muggerridge, Director of Community and Environmental Services  
Sarah Haythorpe, Principal Committee Manager

**PR37/21 APOLOGIES FOR ABSENCE**

Apologies for absence were received from Councillors Stephen Giles-Medhurst and Sarah Nelmes with the substitute Members being Councillors Steve Drury and Raj Khiroya.

**PR38/21 MINUTES**

The Minutes of the Policy and Resources Committee meeting held on 13 September 2021 were confirmed as a correct record and were signed by the Chair subject to the following amendment:

Page 7 under Minute PR32/21 in line 2 “the word able to read unable”

**PR39/21 NOTICE OF OTHER BUSINESS**

The Vice Chair advised that a new item of business had been added to the agenda after it was published – item 8a with regard to an Exemption from Procurement Procedure Rules – Eastbury Outdoor Gym.

There was no decision to be made just to note the exemption but it was agreed by the Chair (Cllr Sarah Nelmes) to add the item to the agenda as an urgent item of business so that the exemption can be noted and the project can move forward by officers.

The taking of the item as urgent was agreed by the Committee by general assent.

**PR40/21      DECLARATION OF INTERESTS**

None received.

**PR41/21      HARDSHIP RATE RELIEF POLICY**

The Shared Director of Finance introduced the item advising that there was a minor amendment required to the policy which was being brought to the Committee. The amendment was in response to an investigation by the Ombudsman that found in the Council's favour but noted that our policy was not clear on the process if someone objected or wanted to appeal a decision under the Hardship Rate Relief scheme. The policy had been amended at Section 1.9, Paragraph 1.9.1 to allow someone to object or appeal a decision within 30 days. This was the only amendment proposed.

A Member queried Paragraph 1.4.1 and one of the issues which needed to be considered "The potential amount of any relief may in some cases constitute state aid and therefore adherence to EU regulations must be followed" and thought this issue needed to be taken out of the policy now.

The Shared Director of Finance advised that there was still rules around state aid which still remained at present under transition rules but the rule would be revised once the UK rules came into force.

The Member also queried that as the relief was rewarded retrospectively what would happen if they could not pay and was why they were asking for relief.

The Shared Director of Finance advised that the Council would always work with people who apply for hardship relief and who approach us about payments and we could arrange a payment plan with them until the outcome of the relief was heard. This was available to anyone who approached us for help and was included in a wider policy which sat above this policy. Details on the policy were included on the website. It was highlighted to the Committee that the retail, hospitality and leisure relief had been extended for next year and could reduce the amount of requests received.

A Member said it would be helpful to have tracked changes highlighted in the policy when a revised policy was being presented to the Committee for agreement.

Councillor Chris Lloyd moved, seconded by Councillor Alex Hayward, that the changes to the policy be agreed.

On being put to the Committee the motion was declared CARRIED by the Vice Chair the voting being unanimous.

RESOLVED:

Agreed the changes to the policy at Paragraph 1.9 Point 1.9.1

**PR42/21      BUDGET MONITORING – QUARTER 2 (SEPTEMBER)**

The Shared Director of Finance presented the budget monitoring report to the Committee advising of some changes to the Leisure area as detailed in the revenue summary which were around realigning the budgets. Other key changes were in terms of the Government Income Relief Scheme where more guidance had now been received around the income relief scheme and that we may only be able to claim for the first quarter of SLM management fee waiver although we had put in an application for the whole amount to see whether this would be paid. A more prudent assumption was that we would only get relief in relation to the first quarter.

Members raised the following points:

Some Members had held a briefing before the meeting raising some points on the budget but had not been provided with any responses to their enquiries. The Shared Director of Finance would look into this after the meeting.

Made reference to the budget changes in Leisure, particularly regarding playing fields and open spaces and the increase in £15k in the budget due to on-going repairs and maintenance in play areas and £5k to replace play equipment – could details be provided on which play areas this related to.

Could information be provided on what determines whether TRDC or a Parish/Community Council pay for maintenance and repairs in play areas?

On Paragraph 5.2 with regard to debtors it would be useful if comparative data could be provided to check against.

With regard to not getting the full Government grant for SLM had we good provision to fund this? The Member was aware they were paying the amount back over 20 years. How would this work.

On staff vacancies there were quite a few but a lot of them stated in the appendices that they are not currently advertised.

On Three Rivers House transformation it stated there were no set plans this year but work had clearly been undertaken, particularly in the reception area, so did not understand how there are no set plans but work had already been done. Could officers confirm how much the costs incurred so far were?

On CCTV the budget had increased from £6k to £12k. On the basis it was a demand led service the Member assumed more CCTV cameras had been brought but where were they brought for?

On outdoor fitness zones where were these and were TRDC covering the total cost.

Did we waive the first quarter's fee for SLM, how much are they behind and how much effectively do they owe the Council? Are we proposing to raise the management fee to recoup the money if the Government don't pay?

Car parking bays there was an £110k underspend which had been re-phased into the work programme for next year. Where there is a need in South Oxhey for parking bays why had there been an underspend?

On the Apprenticeships there were 3 vacancies and the Member wondered if we were going to colleges and higher education places to advertise the roles as we had received Government grants for this.

Asked for clarification on the pay award as detailed in Paragraph 3.1 and what is being asked for and what happens if we don't achieve what is being asked for.

SLM contract - are SLM in charge of the building or the actual provision of the leisure facility or all that plus the ground that it is on as the extreme weather was impacting on the Golf course. Whose responsibility is it?

As CCTV was demand led – can it be demanded and can we get it – it seemed this subject was across two Committees and wondered if it could be just at one.

On the TRDC footpaths, alleyways and the planned works budget this included the two rainbow crossings but when we voted for them we were told they would cost £1k each.

Croxley Green Skate Park – no income expected as post is vacant how do we get an income on a skate park?

Sharing ASB casework management systems so will not need to put someone in post that is new – can this be explained.

Play equipment damages and cost of repairs how was this covered – is it included in our Insurance or are they not insured.

Member quoted from an email that the insurance does not cover play areas or outdoor gyms was this correct?

Responses to the Member questions were provided as follows:

The remedial work was around Pavilions and where we had to replace some play equipment at the Barton Way play area. The Lead Member advised that if some damage was done we had to make the play equipment safe.

The Director of Community and Environmental Services said in terms of who pays for repairs it would depend on how the project was funded in the first place. If TRDC paid for the equipment then we take on the repairs and maintenance but if it was a project through one of the Parish Councils/Community Council then they would fund the repairs and maintenance. If it was a mixture of both then both parties would fund the repairs and maintenance depending on how much funding they put forward for the project. Any specific details on each project can be provided to Members.

On Debtors comparative data the Shared Director of Finance would provide this for the next budget report. In terms of the debtors the details provided in Section 5 showed we were slightly below our target. We had set ourselves a target of 98% and we were 0.5% below our target but would include the targets in the future.

To provide Members with a better understanding of the variances to the Leisure budget – written response to be provided.

The Director of Community and Environmental Services pointed out that if you take items 1, 4, 7 and 8 of the leisure and landscape variances they all balance out.

On SLM the Shared Director of Finance advised it would require a call on reserves, as it was uncertain on the recovery of that money, although it would depend on timescales. We would have a saving on management fees in future years and would take income that way.



The Shared Director of Finance said some of vacancies will be where services are looking at how they provide the service. In Finance it had been very difficult to recruit due to the current market place. There were 4 vacancies in finance at present but there were 3 interims working for us on a long term basis which allows us to look at how we want to structure the team before we go out to recruit. The Director of Community and Environmental Services said there were a number of vacancies but made reference to having to advertise 3 or 4 times for some posts which costs the Council a significant amount of money in recruitment. It was difficult at this time to recruit due to the jobs market but the Council were exploring all opportunities.

On the Three Rivers House transformation the Shared Director of Finance said work which had been done was at very minimal cost as we had used staff working in the building and had less tasks to do as the building was closed. The costs had been for flooring or furniture. The rest of the budget was being retained for when we get a tenant or attract a tenant to the ground floor offices so we can undertake the work at that point. Details on the costs incurred so far would be provided to Members.

On the CCTV the increased cost had been covered by additional COVID funding and not from Council funds.

On the outdoor fitness zones the Lead Member advised that the equipment had needed replacing in our parks and was covered at the Leisure Committee and was in the budget last year. The locations were Leavesden Country Park, Barton Way and in Rickmansworth Aquadrome near to the café area.

The Shared Director of Finance said Members would recall that an urgent decision was taken with all the Group Leaders as a result of Covid to waive the management fee for this year and to provide additional cost support of £790,000. The management fee is covered by the Government income guarantee for the first quarter but the Council are claiming for the whole year although we are not sure if we will receive that and may just receive the first quarter.

On car parking bays unfortunately the curb stones are very different to obtain due to Covid and in order to introduce the bays you have to change the curbs to make the space useable.

The Lead Member advised that work had been done at the Golf Club and Ward Cllrs had been notified – the Lead Member agreed to forward the email to be forward to Ward Cllrs

With regard to apprenticeships it was advised on 2 occasions officers had organised interviews at the job centre but nobody had turned up for the interviews.

On the pay award, 1.75% was the current offer. If it was to go above 2% that would impact on the reserves but the Council were waiting to see the outcome of the ballots. We do know the public sector pay freeze had been abandoned but understand there will be some Government funding but will see this when we get the settlement details in December.

The footpaths and alleyways budget was not just for the rainbow crossings they were included in the budget and this was a much wider programme. The Shared Director of Finance agreed to provide a fuller breakdown of the costs for the rainbow crossings to Members.

Written answer to be provided on income from the skate park by the Shared Director of Finance

The sharing of the ASB system provided the Council with the opportunity to share costs

We have blanket insurance to cover all of our equipment in our play areas. Would the insurance cover if there were any repairs required this would depend on whether it was wear and tear or vandalism. Details on the Council's insurance on play areas to be provided to BCC.

The motion on being put to the Committee was declared CARRIED by the Vice Chair the voting being 8 For, 1 Against and 4 Abstentions

**RECOMMEND:**

That the revenue and capital budget variations as shown in the table at paragraph 6.1 be approved and incorporated into the three-year medium-term financial plan

**PR43/21 WORK PROGRAMME**

The Principal Committee Manager presented the work programme to the Committee advising that the Business Rates Pooling report would be coming to the December meeting, an update had been provided with regard to Community Infrastructure Levy (CIL) and that a report on the Community Interest Company had been taken off the work programme as this was not being progressed by the Council.

On the matter of CIL a Member asked if that was a review of the areas or just the rates. The Director of Community and Environmental Services said once the Local Plan was approved that process would follow with both the areas and rates reviewed.

A Member queried why Livestreaming/hybrid meetings was not included on the work programme. It was advised that the Council had received a grant for this and an urgent decision had been agreed by the four Group Leaders so that officers could move ahead and complete the project. A report would be presented to Council in December as required under Rule 11(6) but there was no financial support/budget required.

**RESOLVED:**

Noted the work programme.

**PR44/21 EXEMPTION FROM PROCUREMENT PROCEDURE RULES – EASTBURY OUTDOOR GYM**

The Director of Community and Environmental Services presented the report to the Committee. The report advised that Batchworth Community Council had provided additional funds for the Eastbury outdoor gym area. This was a great piece of work between the Council and the Community Council.

A Member referred to the report a Paragraph 2.8 where it stated that any additional cost related to the equipment would be recharged to the Community Council which included items such as day to day maintenance, repairs, replacement items etc. Should the costs of this should be borne in proportion

to contributions of each party but it seemed the Community Council were being asked to pay 100% of the costs.

The Director of Community and Environmental Services advised that was not the case they were only being asked for the costs related to the additional equipment and understood that had been advised to the Community Council but would clarify that with them outside the meeting.

The Member further referred to insurance of the equipment which was not featured or detailed in the costs to be borne by anyone and asked was that because the equipment was uninsured or would not be insured.

The Shared Director of Finance advised that the Council have a blanket insurance policy to cover all our play areas.

The Director of Community and Environmental Services said it would depend on the nature of the damage and whether it was wear and tear or vandalism and whether it was covered by the insurance, and if it was, there would be no additional costs.

On being put to the Committee the recommendation to note the exemption was declared CARRIED by the Vice-Chair the voting being unanimous.

RESOLVED:

Noted the exemption taken.

**CHAIR**

### **Addendum to the Minutes**

To provide Members with a better understanding of the variances to the Leisure budget

*The budget movements within the Leisure and Landscape have been requested to enable more effective budget management as they bring budgets in line with current service management arrangements. They do not reflect a change in activity or service delivery. A breakdown of the variances of £77k within leisure is provided at the end of the addendum*

- Three Rivers House - to provide details on the costs incurred so far to Members

*TRH Transformation budget – Total spend and committed expenditure relates to the works to the foyer at Three Rivers House. Value £41,039 to include new flooring, electrical works, upgrade to CCTV, IT infrastructure, Furniture and signage. The budget was created to not only transform the building but to support the customer experience strategy. This is an on-going project so the carry forward was requested to support this in the future. Much of the work would have been required due to the need to improve electrical work, IT and CCTV regardless of the transformation project.*

- Urgent decision taken with all the Group Leaders as a result of Covid to waive the management fee for this year to SLM and to provide additional cost support of £790,000. – *provided to the Councillor*

- Footpaths and Alleyways budget – to provide a fuller breakdown of the costs for the Rainbow crossings to Members

*The installation cost was £1800, the additional costs were for the design and off site manufacture not included for the original rainbow design as the requirement was revised to the specific design*

- Written answer to be provided on income from the skate park by the Shared Director of Finance

*The income we receive is in relation to skate camps we run, where participants are charged a fee. We pay a provider to deliver the skate camps. The provider collects and retains the income and charges a net fee. The expenditure budget is shown net of the income.*

- Details on the Council's insurance on play areas to be provided to BCC

*The Council carries a blanket Public Liability cover that is not site specific. In terms of play equipment and other outdoor leisure facilities, we do not insure for damage or vandalism as the cost is prohibitive.*

- On Community CCTV the budget had increased from £6k to £12k. On the basis it was a demand led service the Member assumed more CCTV cameras had been brought but where were they brought for?

*The Community CCTV Capital budget has been rephased from 2020/21 to 2021/22 as it was not spent in 2020/2021 in part due to the need not to replace any cameras and ongoing difficulties with the contractor. We have recently entered a new contract with a different provider Herts CCTV Partnership. The capital CCTV budget is only to replace existing cameras when the lifetime of the camera comes to an end or when they are broken or damaged and need replacing. No new cameras have or are being purchased. This funding remains in the budget this year to ensure we can fix or replace any cameras if necessary.*

All Budgets Moved from Environmental Initialtives to Trees and Landscapes following realignment of service	47,470
Budget moved from Trees and Landscapes to Development Management to pay for Ecology Study fees (planning)	(16,000)
Active Community Development Fund - Tea Dance project no longer running.	300
Playing Fields & Open Spaces - budget increase required due to remedial works to ensure that Pavilions comply with statutory requirement ACOPL8 - Legionella	6,000
Playing Fields & Open Spaces - Increased costs which exceed current budget - Contract to be reviewed	600
Playing Fields & Open Spaces - increase required due to on-going repairs and maintenance in play areas	5,000
Playing Fields & Open Spaces - increase required due to on-going repairs and maintenance	10,000
Playing Fields & Open Spaces - increase required as budget already spent half way through the year need to accommodate further purchases	4,000
Playing Fields & Open Spaces - estimated costs of £15,000 to clear sewer tank at the aquadrome and carry out repairs to pumps	15,000
Croxley Green Skateboard Park - No income expected as post is vacant	3,500
Grounds Maintenance - 2.4% annual uplift in vehicle maintenance contract	1,145
	<b>77,015</b>

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## POLICY AND RESOURCES COMMITTEE - 6 DECEMBER 2021

## LEISURE, ENVIRONMENT AND COMMUNITY COMMITTEE - 12 JANUARY 2022

### PART I - DELEGATED

#### 6. THREE RIVERS DISTRICT COUNCIL - TREE STRATEGY 2022 -2027

##### 1. Summary

- 1.1 The purpose of this report is to summarise the content and implications of the Final Tree Strategy for the District, and recommend that the Final version of the Strategy is adopted by Three Rivers District Council (Appendix B – Final Tree Strategy).

##### 2. Background

- 2.1 The Tree Strategy is a new document for the Council, which will address the authority's approach to a range of tree issues within the District.
- 2.2 It identifies a number of actions for the Council to achieve over the next five years to ensure it continues to fulfil its duties and responsibilities as a tree owner and Local Planning Authority.
- 2.3 A draft version of the strategy was consulted on during August and September 2021.
- 2.4 A brief summary of the main areas of feedback received is provided (Appendix A), including a response from officers.
- 2.5 The strategy will be reviewed and updated in five years' time and any new actions identified.

##### 3. Public Consultation

- 3.1 A two month period of consultation was held from 2nd August, until 30th September 2021.
- 3.2 A total of 45 responses were received, detailing a wide range of views on the strategy, and broader tree issues in the District.
- 3.3 Appendix A of the report provides a summary of the main issues raised (ranked 1 to 10, from most frequently raised, to least frequently raised).
- 3.4 An officer response to each issue, and how it is addressed in the strategy is also provided.

##### 4. Outcomes/Recommendations

- 4.1 That the Policy & Resources Committee and the Leisure, Environment & Community Committee approve the Final Tree Strategy.

##### 5. Options and Reasons for Recommendations

- 5.1 Option 1 - Approve the Final Tree Strategy. A final version will then be presented to the Leisure, Environment & Community Committee on 12th January 2022. If the LEC Committee approves the Strategy, it will then be formally adopted by Three Rivers District Council.
- 5.2 Option 2 - Not approve the Final Tree Strategy. Officers will make further changes to the strategy, before presenting the Final version to a future P&R committee. This may result in a delay to the implementations of some of the actions within the strategy.

## **6. Policy/Budget Reference and Implications**

- 6.1 The purpose of the Tree Strategy is to clearly set out the Council's approach to a wide range of tree issues, and identify areas for change and improvement according to best practice.
- 6.2 The proposed policy will impact on the following performance indicators:
1. EP16 - Satisfaction with quality/provision of parks and open spaces;
  2. LL34 - To maintain accreditation for Green Flag;
  3. LL32 - To manage TRDC woodland estate to an assured standard (Year 1 to achieve UKFS Management Plans for woodland estate);
  4. LL35 - To ensure all of our key open spaces have a current management plan in place; and
  5. CO02 – Public perception of how well informed they feel about public services.
- 6.3 The impact of the recommendations on these performance indicator(s) are:
1. To provide more information to the public on management of the Council's trees and woodlands, including new tree planting;
  2. To ensure all the Council's trees and woodlands are safe and managed in accordance with best practice;
  3. To ensure the Council's trees and woodlands are managed sustainably, in accordance with the UK Forestry Standard;
  4. Support the production of new management plans for TRDC owned open space;
  5. To enable the public to gain a better understanding of the Council's approach to a wide range of tree issues in the district.

## **7. Financial Implications**

- 7.1 The cost of implementing some of the actions within the strategy will be dependent on development work and a review of a number of areas of the Trees & Landscape work. The actions within the strategy that would require additional funding are as follows:
- Commission woodland inventory work to obtain data to feed into a district tree ecosystem services survey;
  - Organise basic tree safety training for relevant TRDC staff;
  - Consult on the findings of the Biodiversity Opportunities Audit and develop a five year plan for new tree planting on minor open spaces;
  - Investigate arboricultural training and development for a member of the grounds maintenance team to specialise in tree establishment and early years' maintenance;
  - Develop a capital bid to fund resurveying and serving of replacement TPOs where necessary.



- 7.2 The majority of the development work and review would be carried out by existing Trees & Landscape staff, any additional resources required to implement the findings of this work would be costed and submitted as part of a growth bid or external funding opportunities for consideration as part of the annual budget setting process.
- 7.3 Funding has already been confirmed for the action to:
- *Consider recruiting a community / education officer to work with local communities on biodiversity and tree planting schemes on TRDC owned land.*
- This post will be funded through existing resources and is currently being recruited for.
- 7.4 A growth bid has already been submitted for the action:
- *Investigate arboricultural training and development for a member of the grounds maintenance team to specialize in tree establishment and early years' maintenance.*
  - This growth bid is for a new member of staff within Grounds Maintenance for the above point and to support existing play area inspections and maintenance.
- 7.5 The decision on whether to take other actions forward and allocate additional funding would be made at future committees.

## 8. Legal Implications

- 8.1 The strategy will help ensure that the Council is complying with its duties under the Town and Country Planning Act 1990, as amended, and the Town and Country Planning (Tree Preservation) (England) Regulations 2012, in respect of protected trees and planning.
- 8.2 It will also ensure it is meeting best practice in respect of Health and Safety legislation and its duty of care as a land (and tree) owner.

## 9. Equal Opportunities Implications

- 9.1 Relevance Test

Has a relevance test been completed for Equality Impact?	Yes, Appendix C
Did the relevance test conclude a full impact assessment was required?	No

## 10. Staffing Implications

- 10.1 There are no staff resource implications at present. The strategy will help guide the work of the Trees & Landscape department.
- 10.2 As mentioned in section 7, the findings of the development work and reviews may indicate that additional staff resource is required to implement changes.

## 11. Environmental Implications

- 11.1 The adoption and implementation of the strategy will help ensure the Council's trees and woodlands are managed to the highest environmental standards.

11.2 The strategy will ensure that tree protection in the District is maintained and enhanced and that trees are fully considered in the planning process.

11.3 The strategy will also help bring focus to the Council's tree planting to enable additional tree planting to be undertaken in the District.

## 12. Community Safety Implications

12.1 The modified tree safety processes outlined in the strategy will ensure that the Council has a robust and defensible tree safety strategy to minimise risk to its open space users, neighbours and the general public.

## 13. Public Health Implications

13.1 Trees improve the air quality, give us heat-stroke protection, better breathing, stress relief, disease prevention and defence from depression. Trees and greenery may boost lifespan, this has been studied for 8 years by Harvard researchers and published in April Environmental Health Perspectives.

<https://health.usnews.com/wellness/articles/2016-12-09/the-many-health-benefits-of-trees>

## 14. Customer Services Centre (CSC) Implications

14.1 The strategy will assist CSC, providing call centre staff with clear guidance on the Council's policies regarding trees.

14.2 Information contained with the strategy will also be placed on the Council's website to enable residents to self-serve, rather than rely on CSC staff to answer queries.

## 15. Communications and Website Implications

15.1 See paragraph 14.2 above.

## 16. Risk and Health & Safety Implications

16.1 As described in section 12. The strategy sets out clear processes for tree safety.

16.2 It also sets out clear processes for dealing with subsidence and damage issues caused by Council-owned trees, so that the financial risk of trees is effectively managed.

<b>Nature of Risk</b>	<b>Consequence</b>	<b>Suggested Control Measures</b>	<b>Response</b> <i>(tolerate, treat, terminate, transfer)</i>	<b>Risk Rating</b> <i>(combination of likelihood and impact)</i>
Council trees causing harm to people	Death or serious injury	Robust tree safety processes, based on industry best practice	Tolerate	6
Council trees causing subsidence or	Insurance claims and legal / financial	Clear process of timely inspection	Tolerate	6

property damage	cost to the Council	and remedial action to prevent damage		
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- a. The above risks are scored using the matrix below. The Council has determined its aversion to risk and is prepared to tolerate risks where the combination of impact and likelihood scores 6 or less.

<b>Very Likely</b> Remote ↓ <b>Likelihood</b>	<b>Low</b> 4	<b>High</b> 8	<b>Very High</b> 12	<b>Very High</b> 16
	<b>Low</b> 3	<b>Medium</b> 6	<b>High</b> 9	<b>Very High</b> 12
	<b>Low</b> 2	<b>Low</b> 4	<b>Medium</b> 6	<b>High</b> 8
	<b>Low</b> 1	<b>Low</b> 2	<b>Low</b> 3	<b>Low</b> 4
	<b>Impact</b> 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%))

- b. In the officers' opinion none of the new risks above, were they to come about, would seriously prejudice the achievement of the Strategic Plan and are therefore operational risks. The effectiveness of the management of operational risks is reviewed by the Audit Committee annually.

**17. Recommendation**

- 17.1 That the Policy & Resources Committee approve the Final Tree Strategy subject to any comments made by the Leisure, Environment & Community Committee on 12 January 2022 and to be then formally adopted by Three Rivers District Council.

Report prepared by: Alex Laurie, Principal Tree & Landscape Officer

Data checked by: Ray Figg, Head of Community Services

Charlotte Gomes, Leisure and Landscapes Manager

Data rating:

<b>1</b>	<b>Poor</b>	
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<b>2</b>	<b>Sufficient</b>	✓
<b>3</b>	<b>High</b>	

**APPENDICES**

**Appendix A - Consultation Summary and Responses**

**Appendix B (Separate document) – Final Tree Strategy**

**Appendix C - Form A – Relevance Test**

## Appendix A

### Consultation Summary and Responses

	Issue	Background	Officer Response
1	New planting	Many requests received for additional new tree planting where possible.	The strategy contains an action to produce a 5 year plan for additional tree planting in the district. The action also hi-lights the Biodiversity Opportunities Audit, currently in production, as a key part in identifying locations for new planting on TRDC land.
2	Enforcement	Ensuring that unauthorised removals or pruning of protected trees are investigated and prosecuted, where appropriate.	The strategy includes a flow chart illustrating how investigations of alleged illegal tree destruction / damage will be investigated, and when legal action may be taken.
3	Greenbelt / new development	Concerns raised over trees being removed for development, and/or being protected by TPO prior to development.	The strategy sets out how the council assesses the impact on trees in relation to development, and the circumstances in which trees may be protected by a TPO. An action is included to review tree & landscape conditions that can be applied to planning applications.
4	TRDC tree work	Desire for the council to allocate sufficient resources to maintain its own trees and ensure work is carried out to a high standard.	The strategy includes actions to; continue checking contractor's credentials on an annual basis, and investigate employing additional grounds maintenance staff to assist with tree maintenance. A growth bid for additional GM support has been submitted for consideration.
5	Community Involvement & education	Desire expressed for volunteers to undertake tree planting and education sessions to be run for children and schools.	The strategy contains an action to employ a Community Biodiversity Officer to engage with the local community in tree planting and wildlife activities.
6	TPO information	Improved public access to information on TPOs and Conservation Areas.	The strategy contains an action to set up a public portal via the Council's Ezytrees database to enable residents to view and download copies of TPOs.
7	Technical amendments	Various comments on the accuracy and interpretation of aspects of legislation and guidance in relation to trees.	Officers will review these points and make amendments where appropriate.

8	Biodiversity	General desire for wildlife and biodiversity to be considered in the management of the council's trees and open spaces.	The strategy contains actions to employ a Community Biodiversity Officer; complete a Biodiversity Opportunities Audit; and develop new plans for tree planting. Plans also are being developed to produce a Biodiversity Strategy for the district.
9	Pests & Diseases	General comments on the need to be aware of existing and emerging tree pests & diseases.	The Council's approach to pest & disease issues is outlined in the strategy.
10	Safety	General comments on the need to ensure the Council's tree stock is maintained in a safe condition.	The strategy includes an action to revise the Council's current approach to tree safety for more frequent, targeted inspections, based on the level of risk.

## Appendix C

### Form A – Relevance Test

Function/Service Being Assessed: TRDC Final Tree Strategy

Officer completing form: Alex Laurie

Date of completion: 10.11.2021

#### 1. Populations served/affected:

Universal (service covering all residents)?

Targeted (service aimed at a section of the community –please indicate which)?

#### 2. Is it relevant to the general equality duty? (see Q and A for definition of ‘general duty’)

Which of these three aspects does the function relate to (if any)?:

1 – Eliminating discrimination, harassment and victimisation

2 – Advancing equality of opportunity

3 – Fostering good relations

Is there any evidence or reason to believe that some groups could be differently affected?

Yes

X No

Which equality categories are affected?

Race

Age

Sexual Orientation

Disability

Gender

Religion

Gender reassignment

Marriage / civil partnership

Maternity / Pregnancy

#### 3. What is the degree of relevance?

In your view, is the information you have on each category adequate to make a decision about relevance?

Yes

Are there any triggers for this review (for example is there any public concern that functions/services are being operated in a discriminatory manner?) If yes please indicate which:

Yes

No

#### **4. Conclusion**

On the basis of the relevance test would you say that there is evidence that a medium or high detrimental impact is likely? (See below for definition)

Yes

No – The strategy aims to promote the highest quality of tree management and site accessibility for the benefit of all groups.



**THREE RIVERS  
DISTRICT COUNCIL  
TREE STRATEGY  
2022 - 2027**



**THREE RIVERS  
DISTRICT COUNCIL**





## Tree Strategy Foreword

In Three Rivers we are lucky to have a wealth of outstanding green spaces right on our doorstep: from award-winning parks and open spaces including Leavesden Country Park and The Aquadrome, to wildlife-rich nature reserves and woodlands.



In a recent residents' survey, 81% of respondents said parks and open spaces were their favourite thing about living in the area[i]. Trees and woodlands are at the very heart of our local landscape and we all enjoy the benefits when we go for a walk or run, having proven benefits to health and wellbeing.

But even more crucially, they provide food, fibre, shade, shelter, and habitat for wildlife. Trees filter air pollution, reduce flooding and soil erosion, and absorb carbon dioxide while releasing oxygen. Trees are therefore critical in supporting local biodiversity and helping to combat climate change.

Three Rivers District Council (TRDC) manages more than 240 hectares of public woodland, much of which is centuries-old, including Bishop's Wood Country Park and Carpenters Wood. Our natural heritage is quite simply irreplaceable. That's why we must do everything we can to both conserve and enhance our trees and woodlands for the benefit of future generations.

This new Tree and Woodland Strategy identifies the actions TRDC will take over the next five years to protect and sustainably manage existing trees and woodlands. It also sets out our plans to increase the number of trees by planting new ones, while ensuring the right trees are planted in the right places and are properly maintained.

By recognising the importance of trees in mitigating and adapting to the climate and ecological crises we face, this strategy will play a crucial part in helping to deliver our Climate Emergency and Sustainability Strategy and achieving our long-term goal of a sustainable District.

Thank you,

*Sarah Nelmes*

Sarah Nelmes  
Cllr Sarah Nelmes  
Leader of Three Rivers District Council



**TRDC TREE STRATEGY 2022 – 2027**

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## Introduction

1. Trees and woodlands are an integral part of our countryside and urban landscapes. They support a wide variety of wildlife and provide many benefits to people's local environment and wellbeing. At global, national and local scale, trees play a key role in combating climate change and air pollution, and can make positive contributions to local economies through sustainable forestry and woodland products.
2. As a landowner, TRDC values its remarkable tree heritage and is committed to the management of its tree and woodlands according to current best practice. As a Local Planning Authority (LPA), TRDC recognises the importance of its role as a regulator, ensuring that trees of significant public amenity value are protected, and that trees are fully considered during the planning process.
3. TRDC is also keen to support other tree owners in the district to plant and care for trees that will benefit local communities, and visitors to the district, over the long term.
4. To ensure that the most pressing issues concerning trees and woodlands in TRDC are being addressed, it is important that TRDC's resources and actions are focused effectively. The production of a tree strategy is the process by which TRDC will assess its roles and responsibilities in relation to trees in the district.
5. TRDC's previous Tree Management Strategy (2015-2020) was primarily focused on tree safety. This new strategy is intended to assess TRDC's wider roles and responsibilities; as a landowner; regulator; and advocate for trees.
6. The new tree strategy sets out TRDC's approach to a whole range of tree issues, and identifies a number of specific and deliverable actions for TRDC to achieve over the next five year period (2022-2027). These actions are intended to address many of the aims of TRDC's Climate Change Emergency & Sustainability Strategy and serve as a 'road map' towards the sustainability goals of TRDC.







## Trees and Why They Matter

### Climate Change & Pollution

7. With predictions of increasing global temperatures of 4C° by the 2080s, trees provide a significant means of combating climate change. Trees and woodlands represent a substantial 'Carbon Sink' removing and storing CO<sub>2</sub>. Local air quality can be improved by trees, which take up polluting gases and capture microscopic particles, known as particulates from traffic and industry.
8. Wood products harvested from sustainably managed woodlands are renewable, carbon neutral energy sources, which can offset carbon emissions by reducing fossil fuels. Noise nuisance and pollution can be reduced by shelterbelts of trees, particularly low shrubby growth that can be maintained and enhanced by active woodland management.
9. It is possible to calculate the benefits and ecosystem services that trees provide, and value them in monetary terms. This can assist in an evidence based approach to developing urban forestry programs, management plans and projects. However it requires substantial data on the structure and composition of trees and woodlands to be able to accurately measure these benefits.

***Action – Commission woodland inventory work to obtain data to feed into a district tree ecosystem services survey.***

### Biodiversity

10. Trees and woodlands act as 'corridors' allowing wildlife to move between urban green spaces and the wider countryside and they support some of our most distinctive native wildlife, such as Bluebells, Badgers and Stag Beetles.
11. An individual Oak tree can support hundreds of different insects and provide shelter and a source of food for birds such as Tree Creeper; butterflies such as Purple Emperors and legally protected species such as bats. Management of trees collectively as woodland creates a variety of habitats, which can support an even wider range of wildlife.



## Recreation & Health

12. Trees are an integral part of our open spaces creating a pleasant environment for walking and cycling, which can benefit people's physical health. Woodlands are a 'natural' play area for our children and can act as an outdoor classroom for school students to learn about the world around them. High quality trails through wooded areas provide attractive routes, encouraging commuting on foot and by bicycle.
13. An attractive wooded landscape can be a calming environment providing a space for stress relieving activities, such as dog walking and horse riding. Involving communities in woodlands and greens spaces, through Friends groups and volunteer activities, can bring local people together; reduce social isolation and improve people's well-being.
14. In urban areas a lack of evapotranspiration and the retention of heat in built structures means temperatures can remain up to 10C° higher overnight. This can have serious implications for human health and has been linked with higher death rates in urban areas. Tree cover helps reflect heat and provide shade making the urban environment a more pleasant place for residents, particularly in the summer months

## Landscape

15. The landscape can be significantly enhanced by the well-planned planting of appropriate species of trees, and with good design pleasant views can be created and enhanced. Screening urban areas with new trees provides attractive landscapes and creates 'Green Infrastructure' for people and wildlife. Trees can also benefit water quality by filtering pollutants and can help reduce surface water flooding by slowing the runoff of rainwater.

## Economic

16. Mature trees have long been known to increase the value of property, with housing in wooded environments attracting greater interest from buyers. Urban areas with extensive treescapes have been found to attract more inward investment than those without.
17. Trees can shelter buildings from cold winds and severe weather, helping to reduce heating costs and exterior maintenance. The cost of managing wooded public open space is less than maintaining large expanses of short grass, particularly when wooded areas are managed to produce saleable woodland products.





## TRDC owned Trees

### Safety

18. TRDC is a significant landowner and is responsible for a large number of parks, woodlands, nature reserves and play areas. These open spaces all contain large numbers of trees, in a variety of forms, including veteran specimens, conifers, woodland, orchard and formal avenues.
19. The vast majority of these open spaces are publically accessible and many sites receive large numbers of visitors every year. Much of TRDC's land is also bordered by residential property, roads and footpaths.
20. TRDC has a responsibility to ensure that its trees do not pose an undue risk to people and property. The Health and Safety Executive and The National Tree Safety Group advise that tree owners should have some form of risk-based tree safety strategy in place.
21. Based on historical guidance, TRDC has undertaken formal inspections of its tree stock at approximately three year intervals, with reactive inspections when issues with trees have arisen.
22. However, national good practice guidance has changed and now advises that tree safety inspection should be risk-based, with the rigour and interval of inspections based on level of risk trees may pose.
23. Larger sites may also be zoned, with areas of particular risk being inspected more frequently, and any potential risks identified being abated with higher priority.
24. These formal tree safety inspections will be recorded using a computerised database known as Ezytreev. This system will also be used to record tree works required and produce works orders for contractors.

### ***Action - Set up tree database (Ezytrees) training for key users within TRDC***

### Work priority

25. Urgent safety works will either be rectified the day they are observed, or the immediate drop zone cordoned off until the tree can be made safe.
26. High priority works will be undertaken within 6 weeks of a defect being observed.
27. Low priority, or routine works will be undertaken within 6 to 9 months. In this instance competitive quotes for work will be sought from tree work contractors.
28. In future, the key elements of TRDC's tree safety strategy will be as follows:
  - To maintain an asset register in the form of a computerised database of TRDC's trees & woodlands, with records of inspections; defects observed and works carried out.





**Action - Review TRDC's tree asset register and add any additional sites**

- At an 18 month interval, trees and zones of sites identified as being of greatest risk will be formally inspected by tree safety consultants, and any actionable defects recorded.

**Action - Revise the current zoning system prior to the start of a new 18 month inspection cycle**

- On an annual basis, the main visitor routes and public areas of TRDC's open spaces will be formally inspected by a trained Tree Officer and any actionable defects recorded. Lower priority areas will be inspected on a 5 yearly basis.

**Action - Set up annual inspection and recording process for Tree Officers**

- Any trees in high risk areas with suspected defects will be inspected more thoroughly for signs of internal decay or hidden weaknesses;
- Following inspections, any actionable defects will be rectified in the timescale relevant to the level of risk identified.

29. Allied to these key elements, other elements that will support the strategy include:

- Staff who work on Council-owned open space will receive basic tree inspection training, to increase the likelihood that any issues will be detected at an early stage;

**Action - Organise basic tree safety training for relevant TRDC staff**

- Planned tree and woodland management works for public access and biodiversity will also seek to deal with potential safety issues at an early stage.

**Reactive works**

30. In the event that a tree fails, TRDC will always have a member of the trees and landscape team available during normal office hours (Mon-Fri, 9am to 5pm) to co-ordinate reactive tree works.


31. Outside of these hours, TRDC has an informal process of dealing with trees on Council owned land through the Grounds Maintenance team. However, a more formal system for dealing with issues will be developed as part of the new Tree Strategy.

**Action - Establish a formal system of dealing with Council owned trees outside of normal office hours**

32. Where deemed by a Tree Officer that work is urgent or high priority a call out to one of several vetted tree works contractors will be made. Quotes for work will not be sought, and this work will be spread across contractors as necessary.

33. TRDC grounds maintenance team will continue to provide support for dealing with minor tree works, for example where footpaths are blocked by small fallen trees.



- 
34. In the event that a District Council tree blocks, or endangers the highway, Hertfordshire Highways (part of Hertfordshire County Council) will normally undertake the minimum works required to make the tree safe and remove the obstruction. TRDC will then complete the works and removal of any debris.

## Management

35. Alongside maintaining a safe tree stock, TRDC will undertake management of its trees and woodlands to maintain them in a healthy, biodiverse and resilient condition.
36. However, TRDC also recognises that its trees have the potential to cause damage and serious nuisance to its own, and neighbouring property and may, on occasion need to undertake works to trees to abate issues.
37. Following enquiries from residents and the local community regarding Council-owned trees, TRDC will inspect and take action where appropriate.

## Planned tree works

38. As part of its commitment to maintaining its land for the benefit of biodiversity and public recreation, TRDC will continue to develop and maintain detailed management plans for its major woodlands and open spaces.
39. For many years TRDC has maintained Forestry Commission (FC) format management plans for its major woodland sites. These plans accord with the UK Woodland Assurance Standard and ensure that TRDC's woodlands are managed sustainably.
40. These plans are also in line with two of the leading global forest certification schemes; Forest Stewardship Council (FSC) and Programme for the Endorsement of Forest Certification (PEFC).
41. Alongside these plans, TRDC also produces GAPs (Green Space Action Plans) for its major open spaces. These plans are designed to; identify a range of biodiversity, access and interpret improvements; consult users and local residents on actions identified; and plan the delivery of identified actions over a five year period.
42. TRDC will continue to work in partnership with Hertfordshire County Council's Countryside & Rights of Way Service to develop and deliver the actions identified in these GAPs.
43. TRDC's minor open spaces and woodlands do not currently have management plans in place. Planned management of trees in these open spaces will be addressed through development of a basic, generic plan and actions identified in a Biodiversity Opportunities Audit of minor open spaces, currently being undertaken.

***Action – Prepare generic management plans for minor open spaces and woodlands***

## Routine tree works

44. Where tree works are deemed low priority, or routine, contractors who qualify will be required to provide written quotes. TRDC currently contracts its tree work out to several local tree surgery firms.
45. To ensure a high standard of work, and safe working practices, TRDC will require all contractors undertaking work for TRDC to meet a number of legal requirements and standards, as follow.
  - All staff and operatives should be fully trained and experienced to undertake the works they are involved in.
  - Contractors should ensure that an appropriate level of first aid training is maintained on site.
  - Contractors should have a health and safety policy in place.
  - Contractors should have risk assessments in place for the work being undertaken and which are regularly reviewed. Method statements may also be required for major works.
  - Contractors should have suitable levels of insurance for public liability; personal accident; and employer liability.
46. These details will be held on file by TRDC, and contractors will be required to provide updated details on an annual basis. Contractors will also be visited, once a year, whilst working on site to ensure they are working in a safe and appropriate way.

***Action – Establish process of annual checks of tree contractor’s health, safety and insurance details***





## Pests & Diseases

47. Trees can be subject to a range of pests & diseases that are detrimental to tree health, and in a small number of cases, can have an impact on human health.
48. The number and range of pests and diseases has increased in recent decades, due primarily to an increase in the global trade of live plants and wood products. It is also evident that Climate Change is leading to some of these pests and diseases becoming more prevalent.
49. Two pests and diseases currently having most impact on trees in TRDC District are Ash Die Back (ADB) and Oak Processionary Moth (OPM).


### Ash Die Back (ADB)

50. ADB is caused by an airborne fungus, and affects a range of Ash species (*Fraxinus Sp.*). But notably Common Ash (*Fraxinus excelsior*) our native species, which is widespread across the district.
51. The disease has a high mortality rate (60-70%) rapidly killing saplings and young Ash. In mature specimens, it may re-infect trees in successive years, leading to a gradual decline in health. Eventually trees may succumb to ADB; become infected by other tree pathogens, and/or reach an unsafe condition and have to be felled.
52. Current advice on management of ADB recommends a risk-based approach, only felling trees where their condition poses a safety risk. This approach is also designed to avoid pre-emptive felling which may lead to the removal of Ash trees that may recover from the disease; be unaffected by it; or provide significant biodiversity benefits by being retained as standing deadwood.
53. TRDC will manage ADB within the framework of its tree safety strategy, felling and pruning infected trees where they pose an unacceptable safety risk.

### Oak Processionary Moth (OPM)

54. OPM is a moth species specific to Oak trees (*Quercus sp.*) thought to have been imported into Britain via infected trees from mainland Europe where it is native. Whilst in some years large infestation can substantially defoliate trees, the moth is primarily an issue for human health.
55. Fine hairs produced by the moth caterpillars as a defence mechanism for their nests can be a serious irritant to human skin and respiratory system, although it is unlikely to result in serious illness in most cases. Animals, in particular people's pets, may also suffer from contact with the hairs.
56. The first reported cases of OPM were in south-west London, from which the Moth has spread across London and the south east. The moth has been present in TRDC for several years, and is present on several sites owned and managed by TRDC.
57. OPM is currently a notifiable pest, meaning that landowners are required to report sightings to the FC. The FC are also currently conducting surveillance of OPM across the region. When detected, the FC will normally issue a plant





health notice to the tree owner, which requires them to undertake control of the infestation.

58. Presently the FC are providing financial support to undertake spraying treatment of trees with OPM. However, this treatment can be detrimental to a wide range of *Lepidoptera* species, and may not be appropriate for use in ecologically sensitive areas, such as nature reserves.
59. OPM nests can be mechanically removed from trees, although this is a more costly form of treatment, which is not financially supported by the FC. In addition, ongoing annual visits are normally required to remove nests from infested trees.
60. The removal, or pruning of infested Oak trees can provide more permanent control, but should be a method of last resort in most cases. In certain situations, such as ecologically sensitive areas with high public use where spraying is not appropriate, tree removal may be the most effective option.
61. It is anticipated that OPM will become more widespread, due to warmer and dryer summers resulting from Climate Change. In the future it is possible that control of OPM will be managed via a risk-based strategy, with control limited to areas of highest public use.

## Damage, Subsidence & Nuisance

### Damage to property

62. TRDC recognises that its trees have the potential to cause damage to its own and neighbouring property.
63. Following inspection by a Tree Officer, where it is clear a Council-owned tree has failed, or a tree's growth is a cause of damage to property, works to trees will be undertaken to remove the failed tree and / or prevent further damage.
64. Where a tree, or tree limb has caused damage, an assessment will be made as to whether the failure was foreseeable, had the tree been inspected prior to the failure.
65. TRDC and its insurers will only settle claims for damage where it judges that the likelihood of failure could have reasonably been foreseen due to the poor condition of the tree.
66. Where an apparently healthy tree fails, which could not have been reasonably foreseen, TRDC will expect a complainant to make a claim on their insurance, as appropriate.

### Subsidence

67. Damage to property can also result from the growth of tree roots drawing moisture from the surrounding soil. This drying can cause a change in soil volume that may cause structures to move, or subside, resulting cracks and other damage visible above ground.

68. However, this type of damage can also be caused by other issues, such as damaged water pipes and drying of soils during the summer months. As a result, any requests for mitigation will need to provide evidence that clearly implicates trees owned by TRDC. This could include:

- A structural engineers report;
- Seasonal levels monitoring;
- A heave risk assessment;
- DNA evidence linking implicated roots to specific trees.





## Nuisance issues


69. TRDC, as the owner of large numbers of trees receives substantial numbers of requests to prune or fell trees due to nuisance issues. This can include, the shading of gardens; dropping of leaves/twigs/seeds; branches over hanging boundaries; bird mess on cars and patios; and interference of TV or radio reception.
70. TRDC will inspect trees on request and assess each case on its own merits. However, TRDC will not normally undertake works, unless there is a clear safety issue or high likelihood of damage to property. If residents are unhappy with the outcome of an inspection, they can appeal the decision through TRDC's complaints procedure.
71. Under Common Law, landowners have the right to prune branches or encroaching roots that overgrow their boundary line. They do not require the tree owner's permission to do this, unless the trees are protected by Conservation Area status or a Tree Preservation Order. TRDC can provide this information on request. Those exercising their Common Law right, should seek professional arboricultural advice to ensure any works will not result in a tree becoming unsafe, or disfigured.
72. In some cases TRDC may give permission for neighbouring landowners or residents to prune its trees. However, the works must be agreed in advance with TRDC, who will issue written permission. Permission will not be given to heavily lop or top trees that will be disfiguring. TRDC will also require the works to be carried out by a reputable tree surgeon to British Standard (BS3998) 2010 Tree works – recommendations.

## New Planting

73. TRDC recently passed a motion on new tree planting, as follows:

'This Council agrees in conjunction with planning permissions granted, to direct our own efforts along with those of our partners including parish and county councils, to do as much possible to plant at least one tree for every new dwelling built and where appropriate replace one tree for every one removed in the District due to poor health or planning needs. Trees to be of native British stock, and full sized not miniature trees.'
74. TRDC undertakes a range of new tree planting, including replacements when existing trees are felled; planned woodland and hedge planting identified in GAPS; and occasional memorial trees in its open spaces.
75. The majority of TRDC's major open spaces already have significant tree cover and high levels of naturally regenerating trees. However, in tandem with TRDC's Climate Change Emergency & Sustainability Strategy, new plans are being developed to significantly increase tree cover on its minor open spaces.
76. This could include allowing some areas to regenerate naturally into woodland, alongside the planting of small copses, hedgerows and individual standard trees. These initiatives will aim to involve local communities in realising this increase in tree cover across the district.





**Action - Consult on the findings of the Biodiversity Opportunities Audit and develop a five year plan for new tree planting and establishment on minor open spaces**

**Action – Consider recruiting a community / education officer to work with local communities on new tree planting schemes on TRDC owned land**

#### Species selection

77. Trees currently face a number of threats to their health and longevity, principally from a wide range of pests and diseases; and a changing climate. One of the major aims of increasing tree cover in the district will be to create a resilient tree stock & urban forest, and mitigate against a changing climate.
78. A key means of ensuring that new tree planting is resilient to future threats is through the careful selection of tree species. A widely used adage in arboriculture and forestry for new planting is the 'right tree in the right place'. The choice of trees for new planting will be subject to a number of considerations, such as, landscape character, soil type, growth form and size, and drought tolerance.

#### Sourcing of tree stock

79. A key means of controlling the spread of tree pests and diseases, is to prevent the import of new pathogens through the movement of tree and plant material. To minimise the risk, TRDC will ensure all its tree planting stock is propagated and grown in Britain.
80. Only approved suppliers of plant material that accords with the Forest Reproductive Material Regulations FRM (2002) will be used, and tree stock will be required to have the necessary Plant Passport.
81. In the case of native species, TRDC will also ensure that trees are grown from seed collected in Britain. The Forestry Commission recognises a number of Regions of Provenance and Native Seed Zones for native species. TRDC district is in Region 40 (south central) and Seed Zone 5.

#### Species diversity

82. Utilising a wide variety of tree species and minimising single species plantings, reduces the risk of an entire planting scheme succumbing to a species specific pathogen.
83. An approach encouraged by the Forestry Commission for new tree planting is the '10/20/30 rule'. Where no more than; 10% of a particular species; 20% of a particular genus; and 30% of a particular family; should be used in a single planting scheme.

#### Native species




84. Approximately 10,000 years ago towards the end of the last Ice Age, the land bridge with mainland Europe was eventually extinguished. Plant and animal species thought to have been present in the British Isles at that time are generally considered to be native species. In contrast to non-native species that have been brought to Britain by human activity.
85. Our native trees are generally thought to support the widest range of native animals, as they are adapted to, and have co-existed with each other over thousands of years. In the context of tree planting, our native species are often best suited to the climate and growing conditions found in Britain.
86. However, not all native species are native to all parts of the British Isles, for example, Beech and Hornbeam occur only naturally in the south-east of England, and Scots Pine is thought native to only parts of Scotland.
87. In addition, in the past two thousand years, many tree species have been introduced from around the world, for example the Romans are thought to have brought Sweet Chestnut and English Elm to Britain.
88. Some of these species, such as Sycamore have become naturalised, i.e. they grow, produce seed and spread in a similar way to native species. Whereas, other introduced species may not produce viable seed and be reliant on propagation and subsequent planting.
89. In the majority of situations the use of native tree species will be the most suitable choice as they are most suited to the soil conditions, and fit with the local landscape character.
90. However, there are circumstances when non-native species will be more appropriate. A number of TRDC's open spaces have historical arboricultural features, such as the Pinetum at Leavesden Country Park, which is maintained through the planting of replacement Conifers.
91. In addition, in heavily urbanised settings, drought and the 'heat island' effect caused by built structures retaining then emitting heat, may mean that non-native species, more able to cope with warmer, dryer conditions, will provide more resilient tree cover.
92. The long term nature of tree planting and our changing climate will also mean that the climate conditions trees face in the future will be substantially different. As a result, the planting of non-native tree species that grow well in warmer, dryer conditions will be important. This may include species such as Sweet Chestnut, Walnut and False Acacia, which are already widely planted and grow well in TRDC.

#### Establishment

93. A critical aspect of new tree planting is early years' maintenance to ensure that trees establish quickly and thrive. As a general principle, the larger and more mature a tree is at time of planting, the longer it will need to be maintained until fully established.
94. Small bare root whips, typically trees of one to two years of age (approx. 30cm height at time of planting) establish quickly and require relatively little maintenance, other than to ensure they are not swamped by weed growth.





Mulching at time of planting can help prevent this and retain moisture in the soil. Fencing or tree tubes to protect trees from browsing animals is also necessary for the first few years, but again this will be installed when the trees are planted.

95. More mature standard trees, typically container grown (approx. 2-3 metres height at time of planting) require several years' maintenance to fully establish. Most critical to their establishment is regular watering during periods of drought. However also important is the checking and adjustment of supporting stakes to ensure they do not damage the tree as it starts to grow. The subsequent removal of the stakes once the tree is established is also important.

***Action – Investigate arboricultural training and development for a member of the grounds maintenance team to specialise in tree establishment and early years' maintenance***

#### Memorial trees

96. TRDC currently has a memorial tree scheme which enables local people to remember loved ones by supporting tree planting on TRDC sites. At present people can request a planting from a selection of species on a range of TRDC open spaces.
97. To encourage increased support for tree planting on TRDC open spaces, specific locations for planting will be identified. A range of tree species for these locations will also be selected, enabling people to choose a planting from a pre-determined list.
98. Locations will include a number of TRDC's most popular sites, which have the greatest potential for new planting, including Leavesden Country Park, Chorleywood House Estate, and The Aquadrome.

***Action - Develop plans for specific locations and tree varieties for new memorial tree planting and publicise opportunities to encourage support***

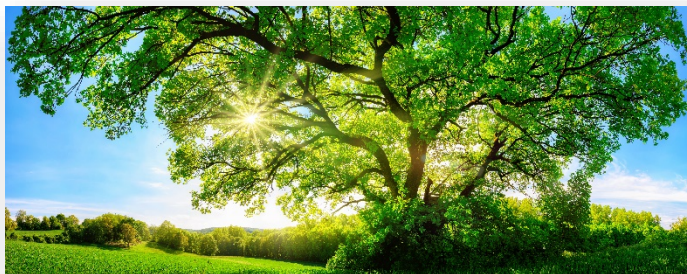
#### Protected Trees

99. As a Local Planning Authority (LPA) TRDC has statutory powers under the Town and County Planning Act 1990 to legally protect trees by Tree Preservation Orders (TPOs). TRDC is responsible for the making, serving, confirming and revoking of TPOs, and determining and administering applications to carry out works to protected trees.
100. TRDC contains a number of Conservation Areas, which provide protection of all trees within their boundary, other than the smallest of saplings. Tree owners are required by law to notify TRDC in writing if they intend to fell or prune trees, giving TRDC an opportunity to consider whether the trees should be protected permanently by TPO.
101. Under the Hedgerow Regulations, TRDC also has powers to protect hedgerows in the wider countryside and landowners are required to notify TRDC, if they intend to remove a hedge.

## Tree Preservation Orders


102. The Town and Country Planning Act 1990, gives LPAs the power to permanently protect trees by the making of a TPO. TRDC can protect any species of tree with a TPO, but should consider whether they have sufficient public amenity value, and whether it would be expedient to serve a TPO to protect them. In other words, are the trees visible from a publically accessible location, and is there, or could there be, a substantial threat of them being removed.
103. In addition to the landscape value of trees, TRDC will also consider whether trees have a biodiversity or heritage value that might warrant their protection by a TPO. Conversely, consideration will also be given as to whether trees are in poor health or condition, or are likely to out-grow their location, which might mean protection is not appropriate.
104. There are four different categorisations that can be used in a TPO document; Individual; Group; Woodland; and Area. Individual category protects single trees whose canopy does not adjoin any others. Group category protects multiple trees which form a single canopy, but where each tree is identifiable. Woodland category protects all named tree species in a woodland setting, including those that may grow up in the future.
105. Area category protects all trees present in a defined area at the time the TPO is served, but not those that may subsequently grow up or are planted within the area. Area TPOs are intended for use on potential development sites for a limited period. TPO guidance recommends that they are replaced with a more specific TPO based on the other three categories.
106. The location of TPOs in TRDC district are held on TRDC's GIS system and copies of the documents are stored electronically as pdfs. Currently anyone requiring information about a TPO is required to submit a request to TRDC for a copy. In the near future the aim is to enable the public, and anyone with an interest in TPO information to access it online via TRDC's Ezytreev database.

***Action - Migrate TPO data to Ezytrees portal to enable public access to TPO information***



### Making & Confirming TPOs

107. A TPO may be made and served by TRDC in a range of circumstances. TRDC may seek to protect trees where it becomes aware of a threat to remove important trees; or where it objects to proposed removal, or pruning of trees in a Conservation Area; or in response to a planning application. TPO guidance



also encourages LPAs to actively identify important trees for protection within its area of responsibility.

108. Members of the public can also make a request to TRDC that a tree is protected by a TPO. The request should be made in writing and include the location of the tree(s) and the nature of any threat to them. Where possible, the species / variety of tree, and the landowner details should also be provided.
109. Having taken the decision to make and serve a TPO, Council officers will draw up a TPO document, which will then be served, on a provisional basis, on the tree owner and any neighbouring landowners who may be impacted by the TPO. To make the TPO permanent TRDC must then confirm the TPO within six months of the date it was served.
110. By law TRDC is required to allow at least 28 days for any objections to the provisional TPO to be received in writing. If an objection is received within this timescale, the decision to confirm the TPO will be referred to TRDC's Planning Committee. The objector, and anyone with an interest in the TPO will have the opportunity to speak in favour, or against confirmation of the TPO at the Committee. If no objections are received the provisional TPO will be confirmed under delegated powers by Council Officers.
111. In the period between serving and confirming the TPO, TRDC can also decide to modify the TPO, either adding or removing trees to be protected. However by law, once the TPO has been confirmed no further modifications can be made.
112. Currently the making of a TPO is undertaken by the Tree & Landscape department with support from the Customer Services Centre and Legal departments. The provisional TPO is sealed with TRDC's seal at the point it is made. When a TPO is confirmed it is signed by a member of the Legal department. The process will be reviewed as necessary to ensure it is as swift as possible whilst fully complying with TPO legislation.

***Action – Review TRDC's TPO making process and make changes and improvements, if necessary.***

#### Revoking TPOs

113. TRDC also has the powers to revoke (cancel) a TPO where it is determined that the trees in question no longer warrant protection. This may be in instances where trees have died and / or become unsafe and have been removed.
114. As living organisms, trees decline in health, and die over time. As a result TPOs become out of date, as the trees they once protected are removed or fail.
115. TRDC will endeavour to carry out periodic reviews of its TPOs to ensure that they are up to date and valid. Where necessary old TPOs will be revoked and, if appropriate new TPOs served which reflect the current state of the trees.

***Action - Undertake desk top review of existing TPOs and identify those that require up dating***

***Action - Develop a capital bid to fund resurveying and serving of replacement TPOs where necessary***



## Conservation Areas

116. There are currently 22 designated Conservation Areas (CA) in TRDC District. In Conservation Area all trees with a stem diameter greater than 7.5cm, when measured at 1.5 metres from ground level, are protected. Tree owners are required to provide TRDC with six weeks notification in writing, if they intend to prune or fell a protected tree. TRDC will assess the tree(s) within this time period and decide whether or not it objects to the proposed works.
117. If TRDC does object it may serve a TPO to protect the tree permanently. Alternatively it may, at its own discretion provide the tree owner with the opportunity to withdraw their Notification, and not carry out the works, with the tree continuing to be protected by Conservation Area status.

### Carrying out works to protected trees

118. Owners of protected trees must apply to, or notify TRDC prior to undertaking any works to trees or works in close proximity to one, regardless of whether a tree is protected by TPO or Conservation Area status. Whilst much of the process is the same, there are important differences.
119. For both TPO trees and CA Notifications, applications can be made either via the 1App form, available to download from TRDC's website, or the Planning Portal, an external website which will submit an application to TRDC.
120. An applicant does not need to be the owner of a tree, and neighbours and agents can submit an application and notifications to carry out works. However TRDC will require the owners contact details and will notify them that an application or notification has been submitted.
121. TRDC issues a weekly Tree Bulletin to council members and interested parties, listing all the applications and notifications it has received. Each one includes a recommendation from Tree Officers as to whether it should be approved; not objected to; or refused.
122. Once applications and notifications have been determined, a decision letter will be issued to the applicant or their agent. If permission to carry out works is granted or not objected to, the applicant has up to two years from the date of the decision in which to carry out the works.

### Determining applications for works to TPO trees

123. TRDC has up to eight weeks to determine an application for works to a tree protected by a TPO. If TRDC refuses permission the applicant has the right to appeal the decision to the Planning Inspectorate. If TRDC does not determine the application within eight weeks, there is no automatic right for an owner to carry out the works. However, the applicant can appeal against TRDC for non-determination.
124. TRDC can also approve a lesser form of works to that which was applied for, for example to reduce the crown of a tree by up to one metre rather than three.





## Determining notifications to undertake works to trees in Conservation Area

125. For Conservation Area protected trees, TRDC has up to six weeks to determine notifications. However, unlike TPO trees, TRDC simply needs to confirm that it does not object to the proposed works. As previously stated, if TRDC does object to the proposals it must either serve a TPO to protect the tree or request that the applicant withdraws the notification. If TRDC does not respond to a notification within six weeks, the applicant has the right to proceed with the works.

## Replacement Planting

126. If TRDC gives permission to fell a tree protected by a TPO it will, in most circumstances place a condition on the approval, which requires the applicant to plant a new tree. TRDC will specify the size of tree to be planted, and will normally require the same or a similar species to be planted. If the applicant wishes to plant a different size or species of tree, this must be agreed in writing with TRDC. The replacement tree is not automatically protected by the existing TPO, and a new TPO would need to be made.

127. Unlike applications for TPO protected trees, TRDC cannot place a condition on a Conservation Area Notification that requires tree owners to plant replacement trees.

## Enforcement

128. The Town and Country Planning Act 1990 gives TRDC the powers to prosecute tree owners or persons who undertake unauthorised works to protected trees or cause damage to them. These may be trees protected by a TPO, or trees in a Conservation Area which TRDC judges would have warranted protection by a TPO.

129. TRDC will investigate any reports received of unauthorised tree work carried out. Figure 1 outlines TRDC's process for investigating alleged breaches. In the Magistrates' Court, the maximum penalty is a fine of up to £20,000 per tree for destruction and £2,500 per tree for damage. In the Crown Court, the amount of the fine is unlimited.

## Hedgerows

130. The Hedgerow Regulations 1997 give TRDC powers to prevent the removal of important hedgerows in the wider countryside. Hedgerows are protected under the Regulations if they are at least 30 years old and either; more than 20 metres long with gaps of 20 metres or less in its length; or less than 20 metres long, but meets another hedge at each end. However, hedgerows are not protected if they border private residential gardens.

131. Hedge owners should make a request in writing to TRDC if they wish to remove a hedgerow. TRDC has up to 42 days to consider a request to remove a hedgerow, during which time they will consult the relevant Parish Council. If

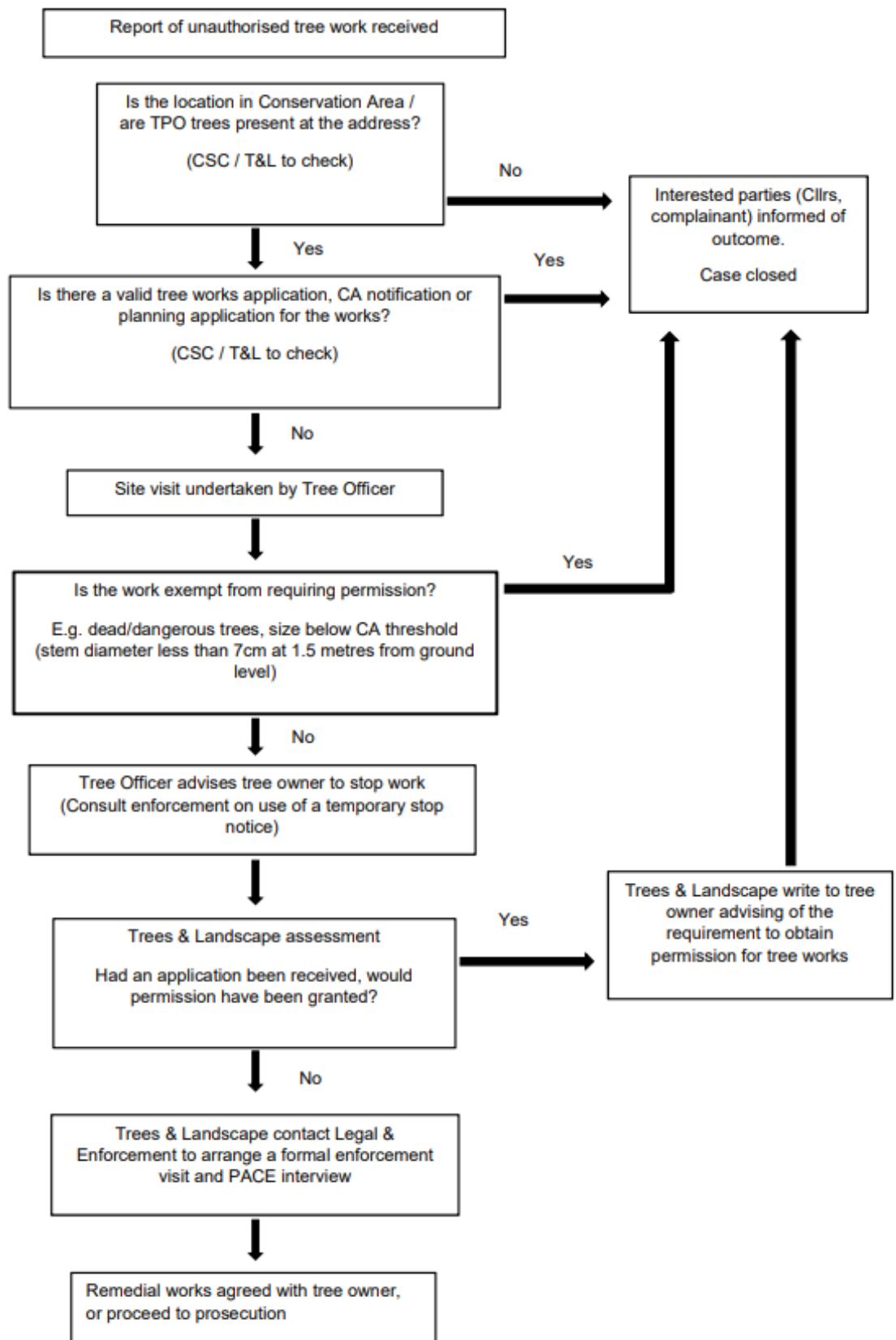
TRDC does not respond to a request within 42 days, the hedge owner has the right to go ahead with the removal.

132. If TRDC objects to the removal, it will serve a Hedgerow Retention Notice. If a hedge owner disagrees with the decision they have the right to appeal to the Planning Inspectorate within 28 days of receiving a Retention Notice.

133. If a hedge owner removes, or partially removes a hedgerow without permission, TRDC may serve a Replacement Notice, if it determines it would have objected to the removal. If TRDC does not object, it will issue written permission to remove the hedgerow. Hedge owners have up to 2 years from the date of the written notice to remove the hedgerow.



Figure 1. Enforcement process





## TREES AND PLANNING

134. As an LPA, TRDC is responsible for the assessment and determination of planning applications for new development in the district. Whilst the majority of trees have no specific protection within the planning system, TRDC is required to consider the impact on trees and landscape as part of the planning application process.
135. One of the roles of Tree and Landscape Officers employed by TRDC is to provide professional advice to the Planning department on tree and landscape matters. In this role, Officers will assess applications against a range of planning policy and guidance and make a recommendation as to whether an application should be approved or refused from a tree perspective.

### Planning Policy & Guidance

#### National Guidance

136. The key piece of national planning policy is the NPPF (National Planning Policy Framework) which sets out the approach LPAs should take to planning matters. The NPPF contains broad statements about the sustainability and good design of new developments. It also seeks to ensure approved developments provide adequate compensation, mitigation and remedial landscaping in respect to trees and landscape.
137. However, with the exception of veteran trees, NPPF has little detailed guidance on planning policy in relation to trees, but puts the emphasis on LPAs to produce and work to their own plans and policies for forward planning and development management.


#### TRDC Statutory Development Plan

138. TRDC statutory development plan currently consists of the Core Strategy (2011 – 2026) and Development Management Policies. The Core Strategy sets out the approach to future development. This includes a spatial plan which identifies types of development, e.g. residential, industrial, commercial, etc. that will be allowed in specific areas of the district, and the allocation of areas of open land for new development.
139. The more detailed Development Management Policies (July 2013) contain specific policies that relate to trees and landscaping. New development proposals should comply with these policies, the most relevant of which is DM6 Biodiversity, Trees, Woodland and Landscaping. TRDC is currently preparing a new Local Plan which will contain updated policies in relation to trees and landscaping.

#### BS5837

140. In addition to the policies of TRDC, specific guidance in relation to trees and development is provided by the British Standard Institute's BS5837:2012 'Trees in relation to design, demolition and construction – Recommendations'.



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141. This standard provides a framework for the assessment of trees on potential development sites, and a range of detailed guidance on how trees should be protected from damage during construction. It is the key guidance that planning applications will be assessed against by tree & landscape officers.
142. Where applied correctly, the guidance within BS5837, should ensure that new development results in a positive outcome for trees. The assessment process should identify good quality trees to be retained and protected, and poor quality trees that could be removed. Where trees are scheduled for removal, plans should identify space for new planting.

### Application assessment

143. Following the assessment of an application against the relevant policies and guidance, tree & landscape officers are encouraged to make a recommendation to planning officers as to whether a planning application should be approved, or refused from a tree and landscape perspective.
144. On occasion negotiation may be advised, where there is the prospect of making changes to an application that would reduce tree and landscape impacts to an acceptable level, and result in environmental enhancements.

### Conditions

145. TRDC has the power to attach conditions to approved planning applications. These may be used for a number of purposes, for example, to require the implementation of tree protection measures during construction; to retain existing trees for a time period post-development; and to undertake new tree planting and landscaping as part of the development.
146. Tree & Landscape officers are encouraged to advise on conditions that could be applied to protect trees and ensure development makes a positive contribution to the landscape of the district. TRDC currently has a number of standard tree and landscape conditions, which it can apply to developments. In consultation with the planning department, these will be reviewed, and revised if necessary.

### ***Action - Review existing standard tree & landscape conditions and make revisions where necessary***

147. Tree & Landscape officers also assess discharge of condition applications in relation to tree protection and remedial landscaping. These will also be assessed against national guidance, local planning policy and comments made at application stage. A recommendation will then be made to planning officers as to whether an application should be approved or refused.

### New planting

148. Where approval is given for trees to be removed to facilitate development, TRDC will require equitable tree planting in compensation. For example where a large growing species such as Oak is removed, an equally large growing

species should be planted. In most circumstances, the number of new trees planted will need to be at least equal to the number removed. Any condition imposed on the planning consent will be detailed regarding any replanting requirements.

#### Enforcement

149. Where TRDC becomes aware of potential breaches of planning conditions in relation to trees, the Tree and Landscape Officer will work closely with Planning Enforcement to investigate and provide technical advice in relation to tree and landscape issues.

150. Where the breach involves protected trees, the process outlined in Figure 1 will be followed.





## Trees in TRDC District

151. Despite the ownership of a substantial number of trees and woodlands by TRDC, the majority of trees in TRDC are owned and maintained by other organisations and individuals.
152. With the exception of legally protected trees, TRDC has limited powers to influence the management of third party owned trees. However, TRDC will always advise tree owners to have their trees inspected for safety on a regular basis by a qualified and reputable Tree Surgeon or Arboriculturalist.
153. TRDC will continue to encourage householders to plant new trees, particularly following the removal of existing trees, and will provide advice where possible. TRDC will also continue to work in partnership with the Countryside and Rights of Way Service, who can provide advice and support to landowners on the planting and management of trees and woodlands.


### Highways trees

154. The many trees growing on the roadside verge of public highways, and along Rights of Way, particularly in urban areas, are maintained by Hertfordshire County Council (HCC). Although in rural areas many are likely to be privately owned. As the highways authority, HCC Highways has a range of powers under the Highways Act to maintain a safe and accessible road and Rights of Way network.
155. This includes the felling and pruning of dangerous, dead, dying or diseased trees and that pose a danger to people or property and overhanging trees, or requiring neighbouring tree owners to, and the planting of new trees on the verge. Trees growing alongside the motorway verges of the M25 are maintained by National Highways.
156. Under TPO legislation, highways authorities are exempt from the requirement to submit tree works applications and Conservation Area Notifications to undertake works to protected trees. However, TRDC and HCC Tree Officers will continue to work closely together on tree management issues, and share information on protected trees in relation to future management works.

### Privately owned trees

157. Under Common Law (previous legal cases) it has been established that householders and landowners are responsible for all trees that are rooted on land in their ownership. Trees on boundaries normally have one owner, and in only rare cases is there dual ownership. Where land is leased from a landowner, the lease agreement should make it clear which party is responsible for management of the trees.
158. Tree owners are responsible for the safety of their trees. TRDC is not insured to inspect third party owned trees, and does not have the resources to provide safety advice to tree owners. TRDC does have powers under the Local Government (Miscellaneous Provisions) Act 1976 to undertake works to trees not in its ownership. However, these powers are very seldom required, and





would only be used in exceptional circumstances, such as where a dangerous tree has no known owner. However, Tree Officers will continue to provide advice in response to tree related queries from the public.

***Action – Update the Tree & Landscape section of the TRDC website to provide more information and guidance on third party owned trees***

159. Other principals that have been established by Common Law relate to trees overhanging ownership boundaries. Tree owners are not required to cut back their trees which overhang neighbouring boundaries, but they may be liable if their trees cause damage.
160. Neighbouring householders and landowners have the legal right to prune back overhanging trees to their boundary line and offer the cuttings back to the tree owner, who are not obliged to take them. If the trees are legally protected, they must first seek permission from TRDC via a tree works application or Conservation Area Notification.
161. Tree owners are also not required to clear leaves, branches or detritus that fall into neighbouring properties. Although in respect to overhanging fruit, such as apples neighbouring owners do not have the automatic right to keep them, but should offer it back to the owner in the first instance.

### High Hedges

162. The High Hedges Act 2003 provides a mechanism to resolve disputes between neighbours pertaining to the height and imposition of hedges. The Act is only relevant in cases where there are two or more evergreen trees or shrubs present.
163. TRDC has powers under the Act to require hedges to be reduced in height and spread. However it will only step in once evidence has been provided demonstrating that attempts have been made to resolve the dispute amicably.
164. There is no set height and spread to which a hedge must be reduced, each case will be considered independently, and any reduction work calculated via a number of factors, such as hedge height, distance from properties, and aspect.
165. As the matter of high hedges relates in the main to the impact on people's health and wellbeing, high hedge complaints are dealt with by TRDC's Environmental Health department. The Tree & Landscape department may provide technical advice and support on hedge management and species identification, where necessary.

### Nesting birds & bat roosts

166. It is an offence under the Wildlife and Countryside Act 1981 to disturb birds during the nesting season, normally between March and August. Under the same Act all bat species, their breeding sites and resting places are also fully protected. Tree owners intending to carry out any felling or pruning work should

consider the potential impact on protected wildlife, and seek advice from a qualified ecologist, where necessary.

167. However, TRDC does not have the powers to enforce the Act, and any suspected offences should be reported to Hertfordshire Police's Rural Operational Support Team. Further information on what constitutes an offence can also be sought from Natural England, the Government's advisor on wildlife.

### Felling licences

168. Where the felling of large numbers of trees is planned, normally as part of woodland management operations, a Felling Licence should be sought from the FC. As part of the process the FC will alert tree owners of the need to check with TRDC whether trees scheduled for felling are protected by TPO or Conservation Area status. The FC are also responsible for investigating any felling work that may have required approval via a felling licence.



## Draft Action Plan

Section	Actions	Timescale	Resource	Cost estimate
TRDC Trees	Review TRDCs tree asset register and add any additional sites	March 2022	Existing Staff resource	
	Revise the current tree inspection zoning system prior to the start of a new 18 month inspection cycle	June 2023	Existing Staff resource	
	Set up annual safety inspection and recording process for Tree Officers	December 2021	Existing Staff resource	
	Set up tree database (Ezytreev) training for key users within TRDC	June 2021	Funding for training	
	Organise basic tree safety training for relevant TRDC staff	June 2022	Funding for training	
	Establish a formal system of dealing with TRDC owned trees outside of normal office hours	December 2021	Existing staff resource	
	Establish process of annual checks of tree contractors health, safety and insurance details	March 2022	Existing staff resource	
	Prepare generic management plans for minor open spaces and woodlands	March 2025	Existing staff resource	
	Commission woodland inventory work to obtain data to feed into a district tree ecosystem services survey.	March 2022	Potential additional one off resource required	
	Consult on the findings of the Biodiversity Opportunities Audit and develop a five year plan for new tree planting on minor open spaces	From March 2022	Potential new staff resource required	
	Consider recruiting a community / education officer to work with local communities on biodiversity and tree planting schemes on TRDC owned land	November 2021	Community Biodiversity Officer agreed and being recruited to.	
	Investigate arboricultural training and development for a member of the ground maintenance team to specialize in tree establishment and early year's maintenance	May 2022	Funding for training and additional staff resource required for this work – PID submitted.	
	Develop plans for specific locations and tree varieties for new memorial / sponsored tree planting and publicise opportunities to encourage support	December 2022	Existing staff resource	
Protected Trees	Undertake desk top review of existing TPOs and identify those that may require up dating	March 2022	Existing staff resource	
	Develop a capital bid to fund resurveying and serving of replacement TPOs where necessary	June 2023	Additional resource required	
	Migrate TPO data to Ezytreev portal to enable public access to TPO information	From December 2021	Existing staff time	

	Review TRDC's TPO making process and make changes and improvements, if necessary.	March 2022	Existing staff time	
Planning	Review existing standard tree & landscape conditions and make revisions if necessary	March 2022	Existing staff time	
Trees in the District	Update the Tree & Landscape section of the TRDC website to provide more information and guidance on third party owned trees	March 2022	Existing staff time	

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## POLICY AND RESOURCES COMMITTEE - 6 DECEMBER 2021

### PART I - DELEGATED

#### RENT ARREARS FINANCIAL SUPPORT SCHEME FOR 2021-22 (DCES)

##### **1 Summary**

- 1.1 To provide the Committee with the proposed Rent Arrears Financial Support Scheme for 2021/22. This details how the Council will assist renters using the funding granted to the Council from the Government. The full policy can be found in Appendix One.

##### **2 Details**

- 2.1 On 23 October 2021 the Government announced that it would be granting additional funding to Councils to assist vulnerable renters that are struggling as a result of the pandemic.
- 2.2 The Council has been awarded grant of £59,137. The purpose of this exceptional one-off payment is to support low-income renters with COVID-19 related rent arrears to avoid eviction or find a new home where necessary in order to prevent homelessness, with the Council being able to target funding to those who need it most and help them get back on their feet.
- 2.3 As the grant is a one-off payment, the policy will only apply for 2021/22, the full grant amount must be paid out within this financial year.

##### **3 Options and Reasons for Recommendations**

- 3.1 It is recommended that the Committee agree the proposed Rent Arrears Financial Support Scheme to ensure that the Council supports vulnerable renters as a result of the pandemic using the grant money allocated by Government.

##### **4 Policy/Budget Reference and Implications**

- 4.1 The purpose of this proposed policy is to prevent and relieve homelessness caused by COVID-19 rent arrears over the winter of 2021/22. At the end of the financial year, it is anticipated that the policy will have achieved this by using the Government grant of £59,137.
- 4.2 The proposed policy will impact on the following performance indicators:
- 4.2.1 HN01- Maximum number of households living in temporary accommodation on the last day of the quarter (snapshot)
- 4.2.2 HN02- Maximum number of families in Bed & Breakfast for more than six weeks
- 4.2.3 HN03- Maximum number of households in temporary accommodation throughout the year
- 4.2.4 HN10- Number of households prevented from becoming homeless

##### **5 Financial Implications**

- 5.1 There are no financial implications for the Council as only the grant of £59,137 will be used.

**6 Legal, Equal Opportunities, Staffing, Environmental, Community Safety, Public Health, Customer Services Centre, Communications & Website, Risk Management and Health & Safety Implications**

6.1 None specific.

**7 Recommendation**

7.1 That the Policy and Resources Committee adopt the Rent Arrears Support Scheme for 2021/22, subject to any comments from the Infrastructure, Housing and Economic Development Committee.

7.2 That the Policy and Resources Committee delegate any amendments within the policy to the Infrastructure, Housing and Economic Development Committee .

Report prepared by: Kimberley Grout, Head of Housing Services

**APPENDICES / ATTACHMENTS**

Appendix One – Rent Arrears Support Scheme for winter 2021/22

**Three Rivers District Council**  
**COVID-19 Rent Arrears Financial Support Scheme 2021/22**

**Background**

On 23 October 2021 the Government announced that it would be granting additional funding to Councils to assist vulnerable renters that are struggling as a result of the pandemic.

The Council has been awarded a £59,137 grant. The purpose of this exceptional one-off payment is to support low-income renters with COVID-19 related rent arrears to avoid eviction or find a new home where necessary in order to prevent homelessness, with the Council being able to target funding to those who need it most and help them get back on their feet.

The condition of the funding is that the grant is ring-fenced for homelessness to target those most in need and to ensure the Council is resourced to take action to prevent homelessness and continue to implement the Homelessness Reduction Act 2017.

The Government expects that the grant is used to maximise upstream homelessness prevention for low-income private renters in COVID-19 related rent arrears in particular.

The grant cannot be used for temporary accommodation.

**Process**

All customers can contact the Housing Options Team if they are homeless or threatened with homelessness; a homeless application can be made online at [www.threerivers.homeconnections.org.uk](http://www.threerivers.homeconnections.org.uk).

Customers who are threatened with homelessness, due to arrears that have accrued due to the pandemic, will be considered for this Scheme.

Customers must have had financial hardship due to the Covid-19 pandemic that meant that customers have not been able to pay their rent, e.g. Customers will:

- have struggled to pay their rent or rent arrears due to Covid-19
- live in and hold a tenancy for a property in TRDC (which is not temporary accommodation)
- not have been able to fully pay their rent during the period when they went into arrears because of Covid-19.

Customers will not be able to get a grant if they have not experienced financial hardship due to Covid-19 and deliberately not paid their rent to their landlord or agent.

Customers will need to complete an online homeless application form and provide the following information:

- Completed income and expenditure form for the household
- Copies of bank statements
- Rent statements from the landlord
- Copies of wage slips/benefit entitlement
- Copy of tenancy agreement/landlord details
- Copy of a valid notice to vacate their home
- Reason for accrual of arrears

Customers will be expected to provide information on their income, how customers have been affected by the pandemic, and how this has affected their ability to pay their rent. The Council will also contact the customer's landlord or agent who will be asked to provide a written statement confirming that the customer is a tenant of theirs and that the customer is in rent arrears and by how much. The Council reserves the right to ask for additional information to assist in making a decision.

Once all required information has been provided, the case will be considered by the Housing Options Manager. Consideration will be given to the reason for the accrual of arrears, the continuing affordability of the property and the term remaining on the tenancy or the grant of a new tenancy if arrears are cleared. The Housing Options Manager can approve grants up to £2,000. Customers with arrears above £2,000 will be reviewed by the Head of Housing Services.

Grants will be paid direct to the Landlord to clear the arrears.

There is no right to review the decision, whether to award a sum to a customer under the Scheme or the amount of any such award that may be made to a customer under the Scheme or otherwise, made by the Housing Options Manager or Head of Housing Services.

Customers will only be considered for this Scheme whilst there is still grant money available. When the grant money of £59,137 has been spent or allocated, there will not be any continuing liability on the Council and the Scheme will be at an end.

Customers who receive a grant will be referred to Citizens Advice for financial advice to ensure that they do not accumulate further rent arrears in the future.

## POLICY AND RESOURCES COMMITTEE - 6 DECEMBER 2021

### PART I - DELEGATED

#### 8. REVIEW OF STRATEGIC RISKS (CED)

##### 1 Summary

1.1 The purpose of this report is to agree the current risk ratings, mitigations and action plans for each strategic risk

##### 2 Details

2.1 The Council's Risk Management Strategy was last approved by the Policy and Resources Committee at its meeting on 5 November 2018 and was last reviewed by the Audit Committee at its meeting on 24 September 2020. In accordance with the Strategy, the Policy and Resources Committee determines which of the Council's risks are 'strategic' and receives progress reports on their treatment. A strategic risk is defined as one that would seriously prejudice the achievement of the objectives of the Corporate Framework.

2.2 There are currently 7 risks on the Strategic Risk Register

Theme	Objective	Risk
Housing and Thriving Communities	We will work on a local plan to deliver sufficient housing and adopt that plan by 2021	(ST01) Failure to achieve the target of nett additional homes
Housing and Thriving Communities	We will continue to work with partners to tackle crime and anti-social behaviour and secure investment in priority interventions	(ST02) Failure to achieve community safety targets
Sustainable Environment	We will produce and deliver a Climate Change Strategy and action plan	(ST03) Failure to make progress on the Climate Change Strategy and action plan
Successful Economy	We will undertake a review of the Council's role in relation to the economy and agree an economic strategy	(ST04) Failure to make progress on the development of an Economic Strategy
Successful Economy	We will continue to participate in the Hertfordshire Growth Board and South West Herts Partnership and engage the Hertfordshire Local Enterprise Partnership to support the economy	(ST05) Failure to make progress on infrastructure investment by Hertfordshire Growth Board



High Performing, Financially Independent Council	We will develop and deliver an improved Property Investment Strategy to maximise income from our assets and support the Commercial Strategy	(ST06) Failure to deliver the Property Investment Strategy
High Performing, Financially Independent Council	We will generate enough income to continue to provide services for the district	(ST07) The medium term financial position worsens

2.3 The Heads of Service that are responsible for the strategic risks have reviewed and updated their entries on the Strategic Risk Register, which is attached at appendix 1.

2.4 The Corporate Management Team has reviewed the updated register and propose that risk ST05 (failure to make progress on infrastructure investment by Hertfordshire Growth Board) be closed as no sites in the district have been identified. It is also proposed that the following 2 risks be added to the Strategic Risk Register:

- Failure to retain or recruit well trained and experienced staff, resulting in reduction of high quality services.
- Increase in likelihood of a cyber attack.

2.5 The risk of having insufficient staff will continue to be included in each service operational risk register. It is now proposed to also have the risk included in the Strategic Risk Register, as various departments have struggled to recruit staff recently, and should that continue, there could be a significant impact on the Council and could prejudice the achievement of the objectives of the Corporate Framework.

2.6 Should there be a cyber attack on the Council, ICT systems could be rendered inoperable or inaccessible. It is proposed that this is now included on the Strategic Risk Register as should it occur, it could prejudice the achievement of the objectives of the Corporate Framework. Watford Borough Council is the Lead Authority for the ICT Shared Service and therefore, does not present their Service Plan/Operational Risk Register to Three Rivers. By including this risk on the Strategic Risk Register, this committee will have sight of the risk rating and the mitigations in place.

2.7 The proposed additional two risks have been added to the Strategic Risk Register, which is attached at appendix 1.

### **3 Options and Reasons for Recommendations**

3.1 The Policy and Resources Committee is responsible for monitoring the treatment of strategic risks.

### **4 Policy/Budget Reference and Implications**

4.1 The recommendations in this report are within the Council's agreed policy and budgets. The relevant policy is entitled Risk Management Strategy and was agreed on 5 November 2018.

**5 Financial, Legal, Equal Opportunities, Staffing, Environmental, Community Safety, Public Health, Customer Services Centre, Communications & Website, Risk Management and Health & Safety Implications**

None specific.

**6 Recommendation**

6.1 That the Policy and Resources Committee note the updated Strategic Risk Register and agree to the closing of risk ST05 and the inclusion of two new strategic risks.

**Data Quality**

Data sources:

Risk Management Strategy

Strategic Risk Register

Data checked by:

Phil King, Emergency Planning and Risk Manager

Data rating:

<b>1</b>	<b>Poor</b>	
<b>2</b>	<b>Sufficient</b>	✓
<b>3</b>	<b>High</b>	

**Background Papers**

Risk Management Strategy

**APPENDICES / ATTACHMENTS**

Appendix 1 – Strategic Risk Register

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Date risk added to register	Risk ref	Risk owner	Category	Risk description	Comment	Likelihood score (inherent)	Impact score (inherent)	Inherent risk score	Risk controls	Risk control owners	Likelihood score (residual)	Impact score (residual)	Residual risk score	Risk direction	Action plan	Action plan owners	Action plan completion dates	Comments on last risk review
Jan-21	ST01	Head of Planning Policy	Strategic	Failure to achieve the target of nett additional homes		4	3	12	Local Development Scheme. Local Plan Sub-Committee. To get the Local Plan adopted in 2023	Head of Planning Policy	3	3	9	⇒	Local Plan Sub-Committee, Policy and Resources Committee and full Council have to agree Regulation 18, 19 and submission of the Local Plan in accordance with the Local Development Scheme	Head of Planning Policy	Dec-23	Reg. 18 consultation undertaken and number of representations received means that Reg 19 stage likely to be delayed until Q4 of 2022. LDS will be updated once all responses have been considered by Officers and LPSC.
Apr-08	ST02	Head of Community Partnerships	Strategic	Failure to achieve Community Safety targets		3	2	6	Quarterly performance reports to Community Safety Board and Co-ordination Group; 6 monthly reports to Members via MIB; Briefings with Leader and Lead Member; Participation in Families First, Adults with Complex Needs, Offender Management Group, South West Herts Youth Action Panel, Domestic Abuse Partnership Board and ASB Action Group; Equality impact monitored; Strategy overall is on target; Where individual targets not met new action plans have been put in place and targets revised annually.	Head of Community Partnerships	1	2	2	⇒	Continue to develop joint funding bids for projects and bid to PCC funds for larger projects once a year; Community Safety Board to review funding position of successful project and alternative funding strategies to be explored	Head of Community Partnerships	Ongoing	Impact and likelihood scores have not changed since last review. Action Plan has been updated
Jan-21	ST03	Head of Community Partnerships	Strategic	Failure to make progress on the Climate Change Strategy and action plan		4	3	12	Permanent staff recruited and in post. Strategy and Action plan agreed.	Head of Community Partnerships	2	2	4	⇒	Ensure the action plan is delivered and monitored regularly. BI annual updates at LEC Committee. Grant opportunities sought to ensure funding and partnerships can deliver strategy.	Head of Community Partnerships	Ongoing	Impact and likelihood scores have not changed since last review. Risk Controls and Action Plan have been updated
Jan-21	ST04	Head of Planning Policy	Strategic	Failure to make progress on the development of an Economic Strategy		4	3	12	2 x Economic Development Officer posts agreed	Head of Planning Policy	3	2	6	⇒	Appointment of Economic Development Officers	Head of Planning Policy	Dec-21	Economic Development Officer post is still vacant and there is a question about whether a permanent role can still be sought (ARG funding requirements). Economic Development Consultant contracted until end of December 2021 when Economic Strategy Completed. Without a dedicated Economic Development Officer it is unclear how the action plan from the strategy can be implemented. Action Plan completion date extended to December 2021
Jan-21	ST05	Head of Planning Policy	Strategic	Failure to make progress on infrastructure investment by Hertfordshire Growth Board (Accelerated housing provision)		3	3	9	Hertfordshire Growth Board prepare consolidated bid for the whole county	Head of Planning Policy	2	3	6	⇒	Accelerating housing delivery project - assessing list of potential sites	Head of Planning Policy	Dec-21	Advised that Herts Growth Board are waiting for the Autumn Statement to see if Hertfordshire have been successful in a bid. No potential sites in Three Rivers have been identified. Recommend that risk is closed.
Jan-21	ST06	Director of Community and Environmental Services	Strategic	Failure to deliver the Property Investment Strategy		3	3	9	Property Investment Board. Property Strategy approved.	Head of Property	2	3	6	⇒	Continue with PIB meetings	Head of Property	Ongoing	There have been no fundamental changes to the impact or likelihood of the risk since the last review. Continued monitoring and regular oversight from the PIB will ensure that this risk is managed adequately and within acceptable limits
Jul-14	ST07	Director of Finance	Strategic	The Medium term financial position worsens.	In that the general fund balance falls below the minimum prudent threshold and capital funding is insufficient to meet the capital programme. <b>The financial impact of COVID-19 will place a burden on the Council's Revenue account through loss of income and additional expenditure</b>	4	4	16	Regular budget monitoring reports to committees; Budgetary and Financial Risk Register reviewed and updated as part of the budget monitoring process; identification of budgetary pressure when reviewing the medium term financial plan during the budget setting process; Audited Statement of Accounts, including Annual Governance Statement. Currently the 2019/20 annual accounts are awaiting sign off from the external auditors and 2020/21 annual accounts are well progressed.	Head of Finance	3	2	6	⇒	Regular budget monitoring reports to be taken to P&R. The monitoring reports include the latest forecast for income and expenditure, including the impact of COVID-19 and related government support. The finance team continue to work with external audit to conclude the audit of the 2019/20 accounts and work will commence on the 2020/21 audit in Autumn.	Head of Finance / Heads of Service	Ongoing	Impact and likelihood scores have not changed since last review
Nov-21	ST08	Executive Head of HR and Organisational Development	Strategic	Failure to retain or recruit well trained and experienced staff resulting in reduction of high quality services	Low morale, uncompetitive salary/terms and conditions. Bouyant local job market and competition from London authorities and other local organisations. Lack of career opportunities. Retirement and lack of succession planning	3	3	9	Monitoring of staff workloads, staff appraisals, staff satisfaction survey, benchmarking of salaries, consider market factor supplements. Each service area to develop succession planning	Executive Head of HR and OD / Heads of Service	3	3	9	NEW	Continue with existing risk controls	Executive Head of HR and OD / Heads of Service	Ongoing	New Risk
Nov-21	ST09	Group Head of Transformation (WBC)	Strategic	Loss of service to internal departments and therefore external customers and / or potential for financial or data fraud.	Lack of appropriate security controls, failure to report security breaches, lack of training for all staff to identify when a security incident has taken place, failure to remediate identified vulnerabilities, failure to patch systems appropriately, unsupported software in place	3	4	12	Systems regularly backed up. IT Health check conducted once a year and follow-up actions completed. All non-supported operating systems and third party software either removed or isolated from the network. Annual external audit focussing on Cybersecurity. Threat alerts and advice received from National Cyber Security Centre	Head of ICT	2	4	8	NEW	increased all backup frequencies across all major systems. Reviewing options to increase threat management on desktops	Head of ICT	Ongoing	New Risk

Risk Management scoring matrix

		LIKELIHOOD			
IMPACT		1 Remote (≤5%)	2 Unlikely (6-20%)	3 Likely (21-79%)	4 Very Likely (≥80%)
4 Catastrophic	4 LOW	8 HIGH	12 VERY HIGH	16 VERY HIGH	
3 Critical	3 LOW	6 MEDIUM	9 HIGH	12 VERY HIGH	
2 Significant	2 LOW	4 LOW	6 MEDIUM	8 HIGH	
1 Marginal	1 LOW	2 LOW	3 LOW	4 LOW	

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Impact Classification	Service disruption	Financial loss	Reputation	Failure to meet legal obligation	People
4 Catastrophic Impact	Total loss of service	>£500k	Adverse national media coverage / many complaints	Litigation, claim or fine >£500k	Fatality of one or more clients or staff
3 Critical Impact	Significant service disruption	£100k - £500k	Adverse local media coverage / several complaints	Litigation, claim or fine £100k - £500k	Serious injury, permanent disablement of one or more clients or staff
2 Significant Impact	Service disruption	£25k - £100k	Local public interest / some complaints	Litigation, claim or fine £25k - £100k	Major injury to an individual
1 Marginal Impact	Minor service disruption	<£25k	Isolated complaints	Litigation, claim or fine <£25k	Minor injury to less than 5 people



## POLICY AND RESOURCES COMMITTEE – 6 DECEMBER 2021

### PART I – NOT DELEGATED

#### 9. **STRATEGIC, SERVICE AND FINANCIAL PLANNING 2022-2025** (DoF/DCES)

##### 1. **Summary**

1.1 This report enables the Committee to comment on its draft service plans.

##### 2. **Details**

###### ***Strategic Priorities***

2.1 At the Policy and Resources Committee meeting on 13 September 2021 (Minute PR34/21 refers) the Committee agreed the process whereby the strategic, service and financial plans for the period 2022-2025 would be agreed.

2.2 At this meeting, officers advised the Policy and Resources Committee of the four strategic priorities:

- Housing and Thriving Communities
- Sustainable Environment
- Successful Economy
- High Performing, Financially Independent Council

###### ***Service Plans***

2.3 Attached at Appendix 1 is the draft service plan(s) for the service(s) that report to this Committee. Members are asked to note that not all sections of a service plan are applicable to the Committee to which it is presented (for example the Environmental Protection and the Environmental Health Service Plan has different performance indicators which apply to different committees).

2.4 Heads of Service will attend the meeting to answer questions on their plans. The Committee is asked to comment on the content of the plans. The final version of the service plans will come back to the Committee in March 2021 for approval to Council.

2.5 In the Performance Indicator section of the Service Plans, Members will see a note explaining that all Indicators are currently being reviewed. This review is on-going at present and a full report will be submitted to Committees in January 2022.

##### 3. **Options/Reasons for Recommendation**

3.1 The recommendations enable the Committee to comment on the draft service plans.

##### 4. **Policy/Budget Reference and Implications**

4.1 The recommendations in this report are not within the Council's agreed policy and budgets. Consultation with Committees forms part of the Budget and Policy Framework Procedure Rules under Part 4 of the Council's Constitution.

##### 5. **Financial, Legal, Equal Opportunities, Staffing, Environmental, Community Safety, Customer Services Centre, Communications & Website, Risk Management and Health & Safety Implications**

5.1 Included in the appendices to this report.

6. **Risk Management and Health & Safety Implications**

6.1 These are contained within the draft service plans. There are no risks associated with the decisions members are being asked to make in relation to this report.

7. **Recommendation**

7.1 That the Committee comment on the draft service plans attached at Appendix 1 and receive the final service plans in March 2022 for recommendation to Council.

Report prepared by: Gordon Glenn – Performance and Projects Manager

**Data Quality**

Data sources: Data sources are specific to each service plan and mainly comes from Performance Indicators and the Corporate Framework

Data checked by: Gordon Glenn– Performance and Projects Manager

1	<i>Poor</i>	
2	<i>Sufficient</i>	✓
3	<i>High</i>	

**Background Papers**

Report to the Policy and Resources Committee – Strategic, Service and Financial Planning 2022-2025 – 13 September 2021

**APPENDICES / ATTACHMENTS**

1 *Draft Service Plans 2022-2025*



# **COMMITTEE SERVICE PLAN 2022 - 2025**

Service Plan Template

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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 Corporate Management Team 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: THE SERVICE CONTEXT

### 1.1 Service Overview

#### The Role of the Service

The Committee Team is part of the Legal Team within the Chief Executive's Directorate and is responsible for meeting the Governance needs of the Leader of the Council, Deputy Leader of the Council, Lead Members, Group Leaders, Chairs of the Committees, Chair and Vice-Chair of the Council and other Elected Members. We provide support to the Chief Executive and Directors and provide advice to Officers of the Council on Committee processes and procedures and clerk the public meetings of the Council as well some internal management meetings.



**1.2 Budgets**

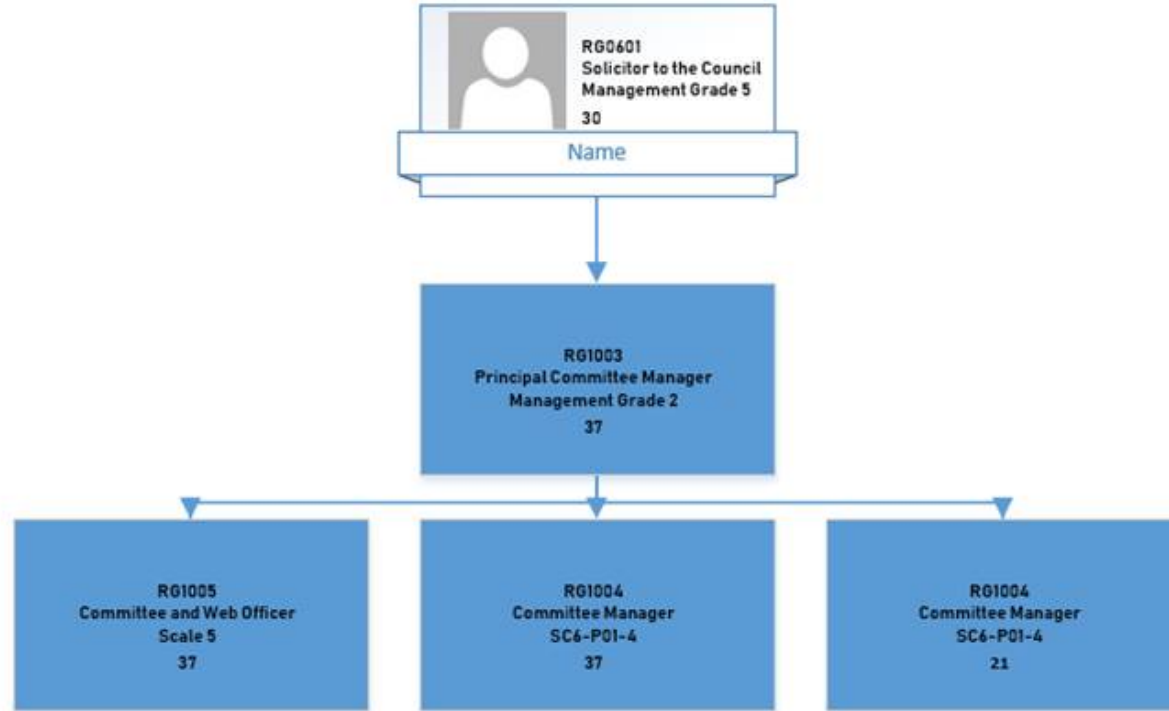
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	<b>2021/22 Latest £</b>	<b>2022/23 Latest £</b>	<b>2023/24 Latest £</b>
Net Cost of Service (Direct cost / Income Only)			

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Further financial analysis can be found by using this link

Service Plan Template



## SECTION 2: SERVICE DELIVERY

### 2.1 Performance Management

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

Strategic Plan Priority theme	Strategic Plan objective (inc. ref)	Service contribution to the Strategic Priorities
<b>Housing and Thriving Communities</b>	<ul style="list-style-type: none"> <li>• We will work on a local plan to deliver sufficient housing and adopt that plan by 2023</li> <li>• Through our joint ventures and partnerships we will take all available practicable action to increase the supply of affordable homes in the district</li> <li>• We will complete the delivery of the main and learner pools and refurbishment to the leisure venue at South Oxhey</li> <li>• We will seek to increase the number of Green Flag accredited parks and open spaces</li> <li>• We will work towards reducing inequalities, prevent homelessness and encourage healthy lifestyles</li> <li>• We will continue to work with partners to tackle crime and anti-social behaviour</li> </ul>	<p>Committee agendas published within statutory deadlines and in accordance with the Councils constitution and procedures to enable Service Departments to achieve their objectives.</p> <p>Minutes drafted and circulated within timescales to enable Council decisions to be enacted.</p> <p>Meetings planned and run ensuring proper democratic accountability and transparency. All decision making meetings have to be held as face to face meetings.</p> <p>Moving all non-decision making meetings to a virtual format/hybrid meeting style with the installation of the required equipment to ensure this can happen although all Councillors on the Committee making the decision have to by law attend the meeting.</p>

	and secure investment in priority interventions.	
<b>Sustainable Environment</b>	<ul style="list-style-type: none"> <li>• We will produce and deliver a Climate Change Strategy and action plan</li> <li>• We will continue to improve the energy efficiency of the Council's buildings</li> <li>• We will deliver and implement a Cycling and Walking Strategy</li> <li>• We will seek to maintain our position as the highest recycling authority in Hertfordshire.</li> </ul>	<p>Committee agendas published within statutory deadlines and in accordance with the Councils constitution and procedures to enable Service Departments to achieve their objectives.</p> <p>Minutes drafted and circulated within timescales to enable Council decisions to be enacted.</p> <p>Meetings planned and run ensuring proper democratic accountability and transparency. Decision making meetings have to be held as face to face meetings.</p> <p>Moving all non-decision making meetings to a virtual format/hybrid meeting style with the installation of the required equipment to ensure this can happen although all Councillors on the Committee making the decision have to by law attend the meeting.</p> <p>Paperless Council/committee meetings now take place and only produce one copy of all Council/Committee agendas and minutes as required by law.</p> <p>Continued development of new Committee templates for reports, agendas and minutes to enable Members, Officers and Members of the public to navigate the documents easily and quickly thus reducing reliance on the need for paper copies. New mod.gov system being progressed with introduction by the end of the 2021.</p>
<b>Successful Economy</b>	<ul style="list-style-type: none"> <li>• We will undertake a review of the Council's role in relation to the economy and agree an economic strategy</li> <li>• We will continue to participate in the Hertfordshire Growth Board and South West Herts Partnership and engage the Hertfordshire Local Enterprise Partnership to support the economy</li> </ul>	<p>Committee agendas published within statutory deadlines and in accordance with the Councils constitution and procedures to enable Service Departments to achieve their objectives.</p> <p>Minutes drafted and circulated within timescales to enable Council decisions to be enacted.</p>

	<ul style="list-style-type: none"> <li>• Three Rivers will be recognised as a great place to do business</li> <li>• We will continue to improve our relationship with the local business community</li> <li>• We will continue to support Visit Herts and promote Three Rivers as the home of the internationally significant Warner Bros Studios.</li> </ul>	<p>Meetings planned and run ensuring proper democratic accountability and transparency. Decision making meetings have to be held as face to face meetings.</p> <p>Moving all non-decision making meetings to a virtual format/hybrid meeting style with the installation of the required equipment to ensure this can happen although all Councillors on the Committee making the decision have to by law attend the meeting</p> <p>New AV equipment was introduced in Three Rivers House to improve audio and visual arrangements at Council/committee meetings to enhance the experience of Members and Officers attending meetings. This included providing new drop down screens, larger TV screens, new microphones and click share for presentations. This project supported the move to paperless meetings as agendas can be followed easily on the screens and will be developed further in the next 2-3 years.</p> <p>The new AV set up for Planning Committee meetings gives the impression of a more professional well run meetings and will be developed further.</p> <p>Following the submission of a Council motion in July 2021 and the receipt of grant funding the Committee Team, Facilities and ICT are progressing the installation of equipment to be able to livestream our public meetings and have the ability to hold hybrid meetings.</p> <p>Continue to provide any admin assistance required to the Company Secretary for Three Rivers wholly owned housing company</p>
<p><b>High Performing, Financially Independent Council</b></p>	<ul style="list-style-type: none"> <li>• We will generate enough income to continue to provide services for the district</li> <li>• We will develop and deliver an improved Property Investment Strategy</li> </ul>	<p>Committee agendas published within statutory deadlines and in accordance with the Councils constitution and procedures to enable service departments to achieve their objectives.</p> <p>Minutes drafted and circulated within timescales to enable Council decisions to be enacted.</p>

	<p>to maximise income from our assets and support the Commercial Strategy</p> <ul style="list-style-type: none"> <li>• We will progress our Customer Service Strategy that provides a range of contact channels for customers and sets out corporate expectations of how they should be treated</li> <li>• We will produce an Organisational Development Strategy to support the Council in delivering its priorities and objectives.</li> </ul>	<p>Meetings planned and run ensuring proper democratic accountability and transparency. Decision making meetings have to be held as face to face meetings.</p> <p>Moving all non-decision making meetings to a virtual format/hybrid meeting style with the installation of the required equipment to ensure this can happen although all Councillors on the Committee making the decision have to by law attend the meeting</p> <p>Appropriate advice provided on report writing and checking that the Committee has the relevant authority to make the decision</p> <p>Provide advice on procedures for getting Committee reports produced to meet committee deadlines.</p> <p>PI dealing with speed of response in dealing with enquiries from the public about processes and procedures relating to planning committee meetings are met consistently.</p> <p>Ensure the Council Constitution is kept updated with supervision from the Council's Monitoring Officer on an ongoing basis</p> <p>Member training framework presented to P&amp;R Committee in July 2021 and agreed but with online mandatory training added to the framework on Safeguarding Adults and Children and Prevent. The Committee Team co-ordinates supports and organises member training within the budget. This is done annually.</p> <p>New virtual Member Induction provided following the Elections in May 2021</p> <p>Evaluation of training will continue to be undertaken to gauge experiences and expectations as well as ensuing value for money</p> <p>New AV equipment was introduced in Three Rivers House to improve audio and visual arrangements at Council/committee meetings to enhance the experience of Members and Officers attending meetings. This included providing new drop down screens, larger TV screens,</p>
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		<p>new microphones and click share for presentations. This project supported the move to paperless meetings as agendas can be followed easily on the screens and will be developed further in the next 2-3 years.</p> <p>The new AV set up for Planning Committee meetings gives the impression of a more professional well run meetings and will be developed further.</p> <p>Following the submission of a Council motion in July 2021 and the receipt of grant funding the Committee Team, Facilities and ICT are progressing the installation of equipment to be able to livestream our public meetings and have the ability to hold hybrid meetings.</p>
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Service Plan Template

### 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 via the link above.

#### Key Performance Indicators (KPIs) supporting the Corporate Framework – not applicable

Ref	Description	2020/21 Actual	2021/22 Target (Current year)	2022/23 Target (Next Year)	2023/24 Target	2024/25 Target
	Not applicable have no KPI's					

#### Service Performance Indicators (PIs)

Ref	Description	2020/21 Actual	2021/22 Target (Current year)	2022/23 Target (Next Year)	2023/24 Target	2024/25 Target
CM01	% of minutes/decisions completed by Committee Services within 4 working days of the meeting to be circulated to officers for review (excluding Full Council and Planning Committee)	100.00%	96.0%	96.0%	96.0%	
CM02	% of Full responses made within 2 working days to enquiries received on all process and procedures relating to a meeting of the Planning Committee	100.00%	85.00%	90.00%	95.00%	

**Please note that Performance Indicators are currently under review and some changes may be made for the final service Plans in March 2022**

The Principal Committee Manager 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.

<b>2.2</b>	<b>Project Management</b>
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<b>Project details</b>				<b>Project Manager: Sarah Haythorpe Project Sponsor: Alison Scott</b>	
<b>Project title</b>				<b>Proposed outcome</b>	
Committee management system				Implementation of new Committee Management System	
<b>2020/21 Milestones</b>				<b>2021/22 Milestones</b>	<b>2022/23 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		
			Implementation and Go-live In January 2022		

<b>Project details</b>	<b>Project Manager: Sarah Haythorpe, Caroline Harris, Kevin O'Brien Project Sponsor: Head of ICT, Emma Tiernan</b>				
<b>Project title</b>	<b>New IT equipment for Councillors</b>				
<b>Proposed outcome:</b>	<b>Implementation of new IT equipment for Councillors</b>				
<b>2020/21 Milestones</b>				<b>2021/22 Milestones</b>	<b>2022/23 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		
			Looking to distribute new equipment in Q4 of either a laptop or tablet to Cllrs. The distribution of the equipment will be dependent on the procurement of the equipment and therefore the project could move into Q1 of 2022/23. The project will be funded within		

			existing capital budgets and no funding is required.		
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**2.3 Contracts**  
[See the Contracts Register for your contracts.](#)

Information for this section can be taken from the Contracts Register, hyperlink above

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
E Petitions	Committee	Sarah Haythorpe	On line petition arrangements	Modern Mind-set Ltd					Termination notice given

**2.4 Risk Management**

Risk Description	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
Insufficient Staff.	2	2	4
Total failure of ICT systems	2	2	4
Loss of accommodation	2	2	4
Fraudulent activity	2	1	2
Loss of key staff	2	2	4
Covid 19	2	2	4

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
1	13 October 2021	New version of 2022-25	SH
2	25 October 2021	New version of 2022-25	SH
3	3 November 2021	New version of 2022-25	SH
4	26 November 2021	New version of 2022-25	SH



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# **CORPORATE SERVICES SERVICE PLAN 2022 - 2025**

Service Plan Template

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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: THE SERVICE CONTEXT

### 1.1 Service Overview

#### The Role of the Service

The Service Unit is part of the Chief Executive's Directorate and provides a corporate support to all staff across the organisation.

The Corporate Services Unit provides the corporate communications service, dealing with media/press enquiries, social media, design and general communications and engagement with all stakeholders.

The unit also co-ordinates and responds to requests for information in accordance with the Data Protection Act 2018, Freedom of Information Act 2000 and the Environmental Information Regulations. The unit also leads risk management, emergency planning and business continuity planning, in accordance with the requirements of the Civil Contingencies Act 2004.

**1.2 Budgets**

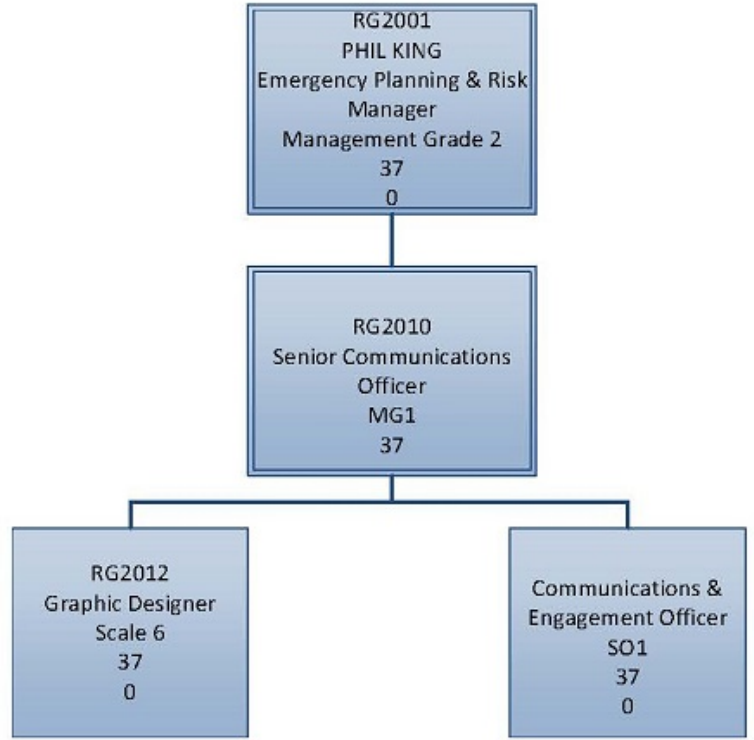
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	<b>2022/23 Latest £</b>	<b>2023/24 Latest £</b>	<b>2024/25 Latest £</b>
Net Cost of Service (Direct cost / Income Only)			

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Further financial analysis can be found by using this link

Service Plan Template





## SECTION 2: SERVICE DELIVERY

### 2.1 Performance Management

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

Corporate Framework Priority theme	Corporate Objectives	Service contribution to the Corporate Themes
<b>Housing and Thriving Communities</b>	<ul style="list-style-type: none"> <li>• We will work on a local plan to deliver sufficient housing and adopt that plan by 2021</li> <li>• Through our joint ventures and partnerships we will take all available practicable action to increase the supply of affordable homes in the district</li> <li>• We will complete the delivery of the main and learner pools and refurbishment to the leisure venue at South Oxhey</li> <li>• We will seek to increase the number of Green Flag accredited parks and open spaces</li> <li>• We will work towards reducing inequalities, prevent homelessness and encourage healthy lifestyles</li> <li>• We will continue to work with partners to tackle crime and anti-social behaviour and secure investment in priority interventions.</li> </ul>	Corporate Services will support the service departments to meet these priorities.

<b>Sustainable Environment</b>	<ul style="list-style-type: none"> <li>• We will produce and deliver a Climate Change Strategy and action plan</li> <li>• We will continue to improve the energy efficiency of the Council's buildings</li> <li>• We will deliver and implement a Cycling and Walking Strategy</li> <li>• We will seek to maintain our position as the highest recycling authority in Hertfordshire.</li> </ul>	<p>Corporate Services will support the service departments to meet these priorities.</p>
<b>Successful Economy</b>	<ul style="list-style-type: none"> <li>• We will undertake a review of the Council's role in relation to the economy and agree an economic strategy</li> <li>• We will continue to participate in the Hertfordshire Growth Board and South West Herts Partnership and engage the Hertfordshire Local Enterprise Partnership to support the economy</li> <li>• Three Rivers will be recognised as a great place to do business</li> <li>• We will continue to improve our relationship with the local business community</li> <li>• We will continue to support Visit Herts and promote Three Rivers as the home of the internationally significant Warner Bros Studios.</li> </ul>	<p>Corporate Services will support the service departments to meet these priorities.</p>
<b>High Performing, Financially Independent Council</b>	<ul style="list-style-type: none"> <li>• We will generate enough income to continue to provide services for the district</li> </ul>	<p>Corporate Services will support the service departments to meet these priorities.</p>

	<ul style="list-style-type: none"><li>• We will develop and deliver an improved Property Investment Strategy to maximise income from our assets and support the Commercial Strategy</li><li>• We will progress our Customer Service Strategy that provides a range of contact channels for customers and sets out corporate expectations of how they should be treated</li><li>• We will produce an Organisational Development Strategy to support the Council in delivering its priorities and objectives.</li></ul>	
--	---	--

Service Plan Template

## 2.1.2 Performance indicators

2.2	Project Management
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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 via the link above.

### Key Performance Indicators (KPIs) supporting the Corporate Framework

Ref	Description	2020/21 Actual	2021/22 Target (Current year)	2022/23 Target (Next Year)	2023/24 Target	2024/25 Target
CO02	To what extent do you know what services Three Rivers District Council provides in your local area	72%	72%	72%	72%	72%

### Service Performance Indicators (PIs)

Ref	Description	2020/21 Actual	2021/22 Target (Current year)	2022/23 Target (Next Year)	2023/24 Target	2024/25 Target
CO03	Percentage of FOI requests responded to, within timeframe	87.9%	85%	85%	85%	85%

**Please note that Performance Indicators are currently under review and some changes may be made for the final service Plans in March 2022**

The **Emergency Planning & Risk Manager** 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.

<b>Project details</b>				<b>Project Manager:</b>	
<b>Project title</b>				<b>Project Sponsor:</b>	
Website development				Proposed outcome	
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		

<b>Project details</b>				<b>Project Manager:</b>	
<b>Project title</b>				<b>Project Sponsor:</b>	
				Proposed outcome	
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		

## 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
Website hosting, licence and maintenance	Communications	EP & Risk Manager	Website hosting, licence and maintenance	Byte9	£19,700	2014			Annual renewal
Website monitoring	Communications	EP & Risk Manager	Website analytics, monitoring and quality assurance	Site improve	£5,600	2010			Annual renewal

2.4 Risk Management

[Risk Management Registers](#)

Risk Description	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
Insufficient staff	2	2	4
Total failure of ICT systems	2	2	4
Loss of accommodation	2	2	4
Fraudulent activity	1	2	2
Tests reveal that the Business Continuity Plan is not workable	2	2	4
The Council fails to manage its principle risks and that the likelihood of them occurring increases or the impact cannot be reduced	2	2	4
Non-compliance with data protection and Freedom of Information legislation	2	2	4
Loss of key staff	2	2	4



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 Low -----> 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
1.0	14/10/2021	Original document	PK

Service Plan Template



**CUSTOMER SERVICE CENTRE  
SERVICE PLAN  
2022 - 2025**

Service Plan Template

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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: THE SERVICE CONTEXT

### 1.1 Service Overview

The Customer Services Centre (CSC) is a department within the Community and Environment directorate. The CSC provides a front line service for the Council on behalf of all departments, supporting all Service and Corporate priorities contained within the Council's Strategic Plan.

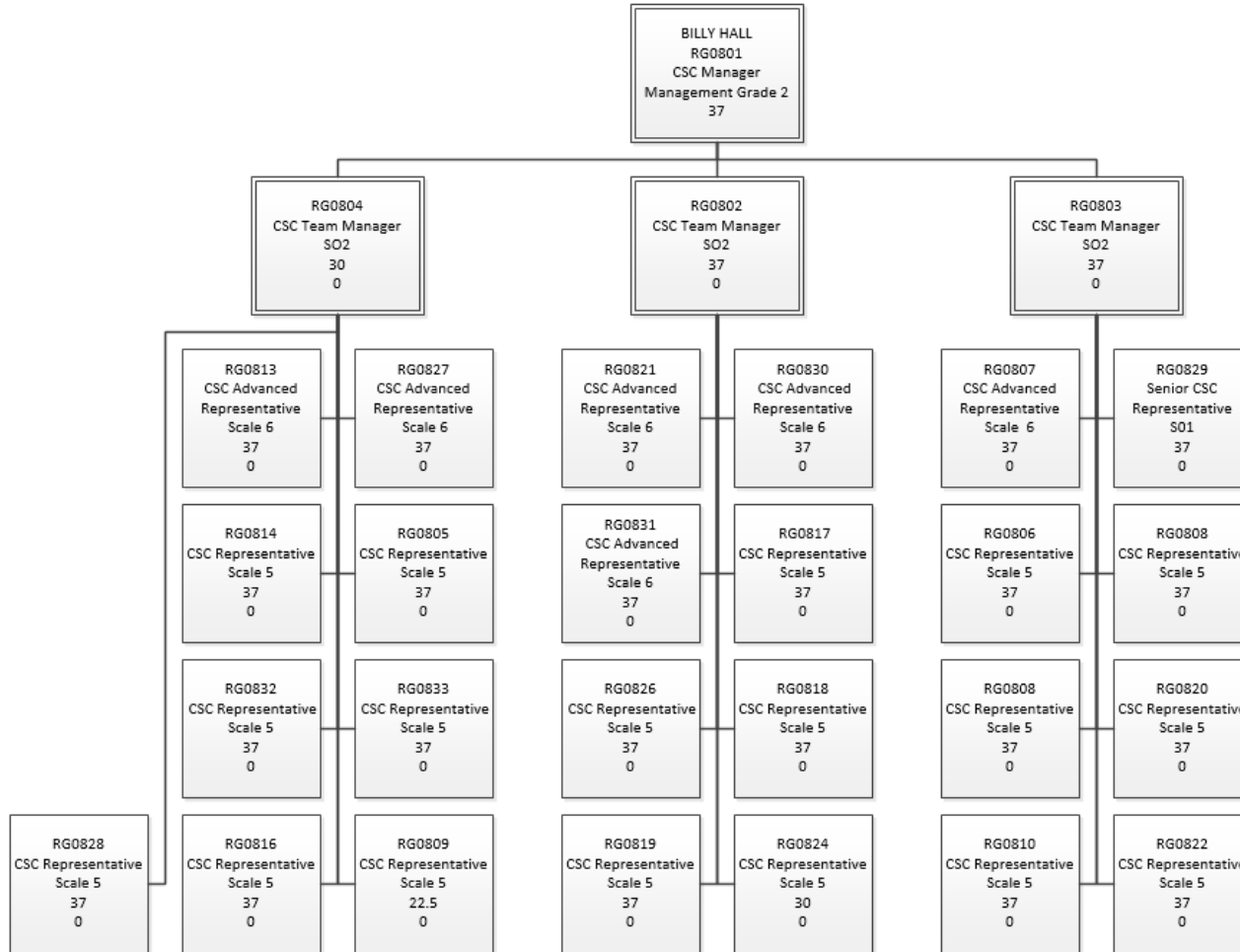
- The CSC provides a quality service to all those who contact the Council via the Customer Services Centre. It aims to provide improved access and high levels of customer care for customers to all Council services and is resourced to meet customer access requirements via email, telephone and visitors. Performance is reported weekly. The CSC follows the Corporate Customer Care Standards Policy which is published on the Intranet and Council website. Customer Care is monitored within the CSC monthly by Team Managers and through the use of Customer Satisfaction Surveys
- Ensure that the service we provide is sustained and sustainable by supporting all our staff with appropriate training and the tools to do the job
- Continue to develop the service in line with corporate and service priorities
- Develop the CSC Academy to recruit, corporately induct and develop staff to provide a pool of quality staff to support all council services with the potential to fill vacant departmental posts in the future.
- Support all service departments in identifying and implementing service improvements.
- Management of Corporate Complaints - to assist all Council departments to improve their services through managing complaints.
- Management of the Council's outsourced standby (out of hours emergency) service
- Delivery of administrative duties on behalf of all Council departments – to improve efficiency & reduce costs.

**1.2 Budgets**

	<b>2022/23 Latest £</b>	<b>2023/24 Latest £</b>	<b>2024/25 Latest £</b>
Net Cost of Service (Direct cost / Income Only)			

Further financial analysis can be found by using this link

### Customer Services





**SECTION 2: SERVICE DELIVERY**

**2.1 Performance Management**

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

<b>Corporate Framework Priority theme</b>	<b>Corporate Objectives</b>	<b>Service contribution to the Corporate Themes</b>
<p><b>Housing and Thriving Communities</b></p>	<ul style="list-style-type: none"> <li>• We will work on a local plan to deliver sufficient housing and adopt that plan by 2021</li> <li>• Through our joint ventures and partnerships we will take all available practicable action to increase the supply of affordable homes in the district</li> <li>• We will complete the delivery of the main and learner pools and refurbishment to the leisure venue at South Oxhey</li> <li>• We will seek to increase the number of Green Flag accredited parks and open spaces</li> <li>• We will work towards reducing inequalities, prevent homelessness and encourage healthy lifestyles</li> </ul>	<p>The CSC support council services to achieve corporate objectives through agreed CSC processes &amp; scripting, enabling CSC staff to correctly advise &amp; log reports from residents contacting the council regarding Housing &amp; Planning matters.</p> <p>We will support the Customer Experience Strategy through the monitoring of contacts to the CSC and by training CSC staff to support and make residents aware of online services and how to access them.</p> <p>We will work with services to review scripting and identify opportunities to improve online services to support the council's channel shift initiative and targets.</p>

	<ul style="list-style-type: none"> <li>• We will continue to work with partners to tackle crime and anti-social behaviour and secure investment in priority interventions.</li> </ul>	
<b>Sustainable Environment</b>	<ul style="list-style-type: none"> <li>• We will produce and deliver a Climate Change Strategy and action plan</li> <li>• We will continue to improve the energy efficiency of the Council's buildings</li> <li>• We will deliver and implement a Cycling and Walking Strategy</li> <li>• We will seek to maintain our position as the highest recycling authority in Hertfordshire.</li> </ul>	<p>The CSC support council services to achieve corporate objectives through agreed CSC processes &amp; scripting, enabling CSC staff to correctly advise &amp; log reports from residents contacting the council regarding refuse, recycling and waste services.</p> <p>We will continue to review CSC scripting &amp; web information with Head of Environmental Services &amp; consider training requirements for CSC staff.</p>
<b>Successful Economy</b>	<ul style="list-style-type: none"> <li>• We will undertake a review of the Council's role in relation to the economy and agree an economic strategy</li> <li>• We will continue to participate in the Hertfordshire Growth Board and South West Herts Partnership and engage the Hertfordshire Local Enterprise Partnership to support the economy</li> <li>• Three Rivers will be recognised as a great place to do business</li> <li>• We will continue to improve our relationship with the local business community</li> <li>• We will continue to support Visit Herts and promote Three Rivers as the home</li> </ul>	<p>The CSC support council services to achieve corporate objectives through agreed CSC processes &amp; scripting, enabling CSC staff to correctly advise &amp; log reports from residents contacting the council.</p>

	<p>of the internationally significant Warner Bros Studios.</p>	
<p><b>High Performing, Financially Independent Council</b></p>	<ul style="list-style-type: none"> <li>• We will generate enough income to continue to provide services for the district</li> <li>• We will develop and deliver an improved Property Investment Strategy to maximise income from our assets and support the Commercial Strategy</li> <li>• We will progress our Customer Service Strategy that provides a range of contact channels for customers and sets out corporate expectations of how they should be treated</li> <li>• We will produce an Organisational Development Strategy to support the Council in delivering its priorities and objectives.</li> </ul>	<p>The CSC support council services to achieve corporate objectives through agreed CSC processes &amp; scripting, enabling CSC staff to correctly advise &amp; log reports from residents contacting the council.</p> <p>We will support the Customer Experience Strategy through the monitoring of contacts to the CSC and by training CSC staff to support and make residents aware of online services and how to access them.</p> <p>We will work with services to review scripting and identify opportunities to improve online services to support the council's channel shift initiative and targets.</p>

## 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 via the link above.

### Key Performance Indicators (KPIs) supporting the Corporate Framework

Ref	Description	2020/21 Actual	2021/22 Target (Current year)	2022/23 Target (Next Year)	2023/24 Target	2024/25 Target
CS04	Volume of enquiries submitted on-line	15%	15%	15%	19%	23%
CSC03	Customer satisfaction measures (on-line, phone, face-to-face)		New PI	TBA		
New PI	First point of contact resolution		New PI	TBA		
Currently unable to measure the new PIs – The Customer Experience Strategy should help to identify and provide tools to report on these KPIs						

### Service Performance Indicators (PIs)

Ref	Description	2020/21 Actual	2021/22 Target (Current year)	2022/23 Target (Next Year)	2023/24 Target	2024/25 Target
CS01	% of calls answered	98%	97%	97%	97%	97%
CS02	% of calls answered within 20 seconds	81%	75%	75%	75%	75%

**Please note that Performance Indicators are currently under review and some changes may be made for the final service Plans in March 2022**

The Head of Customer 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.

<b>Project details</b>				<b>Project Manager: Customer Contact Programme Manager Project Sponsor: Geof Muggeridge</b>	
<b>Project title</b>				<b>Proposed outcome</b>	
Customer Experience Strategy				Review how customers access council services, improve access routes and develop online services to enable & encourage contact via the most appropriate channel	
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		
	All service reviews to have been completed		Ongoing review of the action plan, compile final action plan to take into last year of strategy	Existing strategy ends in 2024, new strategy to be drafted in preparation for 2025	New strategy launched

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
None specific									

Service Plan Template

2.4 Risk Management

Risk Description	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
Insufficient staff	2	2	4
Total failure of ICT systems	2	2	4
Loss of accommodation	2	2	4
Fraudulent activity	1	2	2
Total failure of telephone system	2	2	4
Physical assault on staff or visitors to TRH	2	2	4
Loss of key staff and management skills	2	2	4

Likelihood Very Likely -----> 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 Low -----> Unacceptable			

Impact Score	Likelihood Score
4 (Catastrophic)	4 (Very Likely (≥80%))
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**Version Control**

Version No.	Date	Reason for Update / Significant Changes	Made By
1.0	12.10.2021	First Draft	BH
2.0	05.11.2021	Second Draft – CES project notes	BH

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**ECONOMIC AND SUSTAINABLE DEVELOPMENT  
SERVICE PLAN  
2022 - 2025**

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Service Plan Template

## INTRODUCTION

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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: THE SERVICE CONTEXT

### 1.1 Service Overview

#### The Role of the Service

The Economic and Sustainable Development is part of the Directorate for Communities and Environmental Services and is responsible for the following:

**Local Plan:** The Local Plan sets out the vision for future development in the District and must be reviewed at least every five years. The Local Plan is used to determine planning applications and other planning related decisions. In effect, they are the local guide to what can be built where, shaping infrastructure investments and determining the future pattern of development in the District.

Preparation of the Local Plan is set out in legislation, national policy and guidance and consists of the following main stages: Gather evidence, consider options, Regulation 18 consultation, Regulation 19 consultation, Submission, Examination and Adoption.

We are also responsible for the evidence base studies that inform the Local Plan (Housing Needs Assessments, SFRA's, Green Belt Reviews, Heritage Impact Assessments, Landscape Assessments, Strategic Housing and Employment Land Availability Assessments, Sustainability Appraisals, Viability Appraisals, Transport Assessments etc.) In addition the following documents are also prepared in relation to the Local Plan: Local Development Scheme, Statement of Community Involvement, Infrastructure Delivery Plan and the online policies map.

**Neighbourhood Planning:** Provide assistance to Parish and Community Councils who are developing neighbourhood plans and undertake statutory consultations on submitted versions of plans, arrange for an independent assessment to ensure that the plan meets the statutory

'Basic' conditions, arrange for a Sustainability Assessment/HRA Scoping report and recommend to Council that plans should be subject to referendum. If successful the neighbourhood plan becomes part of the development plan for the area. Officers are currently assisting Abbots Langley Parish Council, Batchworth Community Council and Sarratt Parish Council with their neighbourhood plans.

**The South West Herts Joint Strategic Plan** – The Head of Planning Policy & Projects is part of the SW Herts JSP Strategic Planning Officer Group (SPOG) and is committed to a minimum of half a day every two weeks in addition to the regular monthly meetings to help deliver the Plan.

**Community Infrastructure Levy:** The Senior CIL Officer undertakes the administration (including enforcement, collection etc.) and monitoring of the Community Infrastructure Levy with the Head of Planning Policy & Projects acting as a checker and the DCES has delegated authority. Under The Community Infrastructure Levy Regulations 2010 (as amended) charging authorities are required to produce an Infrastructure Funding Statement (IFS) that sets out details about planning obligation receipts (CIL and S106), and anticipated expenditure. The IFS is published by the 31 December each year (alongside the Annual Monitoring Report) and covers the previous monitoring year. The preparation of the CIL Charging Schedule is the responsibility of the Head of Economic and Sustainable Development and Planning Officers. A review of the CIL Charging Schedule is due to begin in the latter stages of the Local Plan preparation as viability assessments that underpin the CIL must be based on the new Local Plan. Preparation of the CIL is set out in legislation and is subject to consultations and an independent examination similar to that of the Local Plan.

**Annual Monitoring Report:** Local Authorities are required by the Planning and Compulsory Purchase Act to produce an Annual Monitoring Report (AMR). The AMR is a report that assesses the implementation of the Local Development Scheme (LDS) and the extent to which policies in the Local Development Documents (LDDs) are being successfully implemented. It uses information against a variety of indicators and targets to assess the extent to which policies are being successfully implemented. The LDDs for TRDC are: The Core Strategy, Development Management Policies LDD and the Site Allocations LDD. Monitoring is important for effective planning to ensure that policies remain relevant and respond to changing needs and circumstances. The AMR is published by the 31 December each year and covers the previous monitoring year.

**Shop Survey:** As part of the Annual Monitoring Report and to monitor the effect of Covid, Officers undertake a Shop Survey twice a year. Although the survey represents a point in time it provides a baseline for monitoring. This survey along with any other relevant surveys undertaken by other stakeholders can be used to assist in providing the Council with an indication of the vitality of the High Streets.

**Article 4 Directions:** An Article 4 Direction restricts the scope of development rights either in relation to a particular area or site or a particular type of development anywhere in the District. The National Planning Policy Framework states that Article 4 Directions should be applied in a measured and targeted way, based on robust evidence, and apply to the smallest geographical area possible. The potential harm that the Article 4 Direction is intended to address needs to be clearly identified, and a particularly strong justification for the withdrawal of permitted development rights demonstrated. There are a number of Article 4 Directions relating to conservation areas and employment sites in the District. Where an Article 4 is in effect a planning application may be required for development that would otherwise have been permitted development thus increasing the number of planning applications that the Development Management Team need to consider.

**Brownfield Register:** The Town and Country Planning (Brownfield Land Register) Regulations 2017 requires local planning authorities to prepare, maintain and publish a Brownfield Land Register. This is reviewed annually and published by the 31 December each year. The Brownfield Land Register identifies previously developed sites in the District which meet a set of criteria. The Regulations require the Register to be kept in two parts:

- Part 1 is comprised of brownfield sites that meet the criteria and
- Part 2 (subset of Part 1) which comprise only of those sites that TRDC has decided would be suitable for a grant of permission in principle for residential development.

There is no requirement to place any sites on Part 2 of the Register. At this stage, the Three Rivers District Council Brownfield Land Register contains sites on Part 1 only.

**5 Year Housing Land Supply:** The National Planning Policy Framework (NPPF) requires local planning authorities to identify and update annually a supply of specific deliverable sites sufficient to provide a minimum of five years' worth of housing against their housing requirement plus a % depending on previous performance. TRDC's housing requirement is calculated against the standard method as the Core Strategy is over 5 years old. The 5 Year Housing Land Supply is reviewed annually and published by 31 December each year alongside the Annual Monitoring Report. The NPPF considers plan policies out of date where the local planning authority cannot demonstrate a five year supply of deliverable housing sites so it is therefore necessary to establish whether a five year supply can be demonstrated to provide a context for the consideration of planning applications. Where a 5year housing land supply cannot be demonstrated then the presumption in favour of sustainable development must be applied to the consideration of planning applications.

**Heritage (Conservation Service):** The Conservation Service is provided by Place Services and is paid for from the vacant Senior Planning Officer Post (0.6 FE). The work undertaken relates to providing specialist comments on planning applications/appeals in relation to Heritage Assets (Listed Buildings, Conservation Areas, and Locally Listed Buildings etc.). Any reduction in this service will have an impact on the Development Management Teams quality of decision making and KPIs relating to the determination of planning applications.

**Conservation Areas/Conservation Area Appraisals:** We are responsible for the designation of Conservation Areas which are defined by the National Planning Policy Framework as 'designated heritage assets'. Changes to the external appearance of a building in a conservation area may require planning permission and demolition or substantial demolition of a building in a conservation area normally requires Conservation Area Consent. In addition, we must be notified of any work planned to a tree in a conservation area at least six weeks in advance so that we may determine whether or how the work to the tree should take place. Therefore, conservation area designations result in planning applications to be considered by the Development Management Team and the Conservation Service and applications for works on trees for the Trees and Landscape department.

Conservation Area Appraisals define the special character of a conservation area and are used to help assess planning applications by Development Management and the Conservation Service. There is an agreed rolling programme of two new character appraisals each year. However, due to the increased number of planning applications relating to Heritage Assets that are prioritised the programme has been delayed.

**List of Locally Important Buildings:** We maintain a List of Locally Important Buildings (Local List) (over 160 entries) which are important buildings or structures of historical, or architectural, interest to the local community. Inclusion on the List means that its conservation as a non-designated heritage asset is a material consideration when determining planning applications. Locally Important Buildings are not afforded the protection that Listed Buildings are. For example, there is no legal requirement for permission to be sought to demolish a Locally Important Building unless it is in a Conservation Area.

**Right to Build Register:** The Self-build and Custom Housebuilding Act 2015 places a duty on local councils to maintain a register of people who are seeking to acquire land to build a home themselves in the authority's area. The Act requires local authorities to understand what the demand is in their areas for self-build and custom build housing and to have regard to that demand when exercising their strategic planning and other relevant functions.

**Economic Development:** An Economic Consultant was secured from July – December 2021 to complete an Economic Strategy and undertake Economic Development Recovery work funded by the ARG. The Head of Planning Policy & Projects undertook the monitoring of the above as well as a Business Grant Scheme that was delivered via the Herts Growth Hub also funded by the ARG. For 2022/2023 the Head of Planning Policy & Projects (together with other Heads of Service) will review projects implemented under ARG and look at funding opportunities for future projects in relation to economic development following implementation of the ARG projects. There is no dedicated Economic Development Officer to undertake any actions identified in the Economic Strategy so this work will need to be considered against other priorities and, where appropriate, disseminated amongst relevant Officers in the Council.

In addition to the above the Economic & Sustainable Development Team are responsible for providing policy comments on planning applications, responding to planning related consultations (both from MHCLG and neighbouring authorities), data monitoring returns to DLUHC, providing planning policy advice to Members, colleagues and other stakeholders. Officers also attend regular meetings of the Hertfordshire Planning Group (HPG).

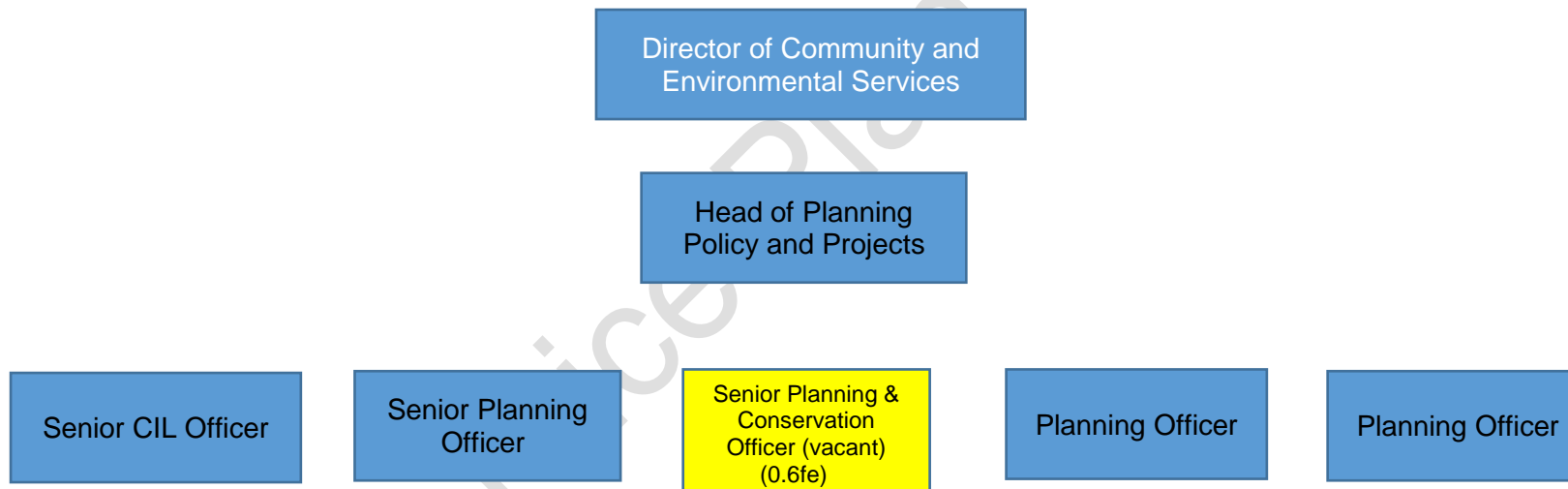


## 1.2 Budgets

	2022/23 Latest £	2023/24 Latest £	2024/25 Latest £
Net Cost of Service (Direct cost / Income Only)			

Further financial analysis can be found by using this link

## 1.3 Service Structure Chart



The Economic & Sustainable Development Team consists of Head of Planning Policy & Projects, Community Infrastructure Levy Officer, Senior Planning Officer and two Planning Officers. This is following an 8 month period of recruitment which left the Team under resourced for 2021/2022. The Conservation Service is provided by Place Services and is paid for from the vacant Senior Planning Officer Post (0.6 fe).

## SECTION 2: SERVICE DELIVERY

### 2.1 Performance Management

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

Corporate Framework Priority theme	Corporate Objectives	Service contribution to the Corporate Themes
<b>Housing and Thriving Communities</b>	<ul style="list-style-type: none"> <li>• We will work on a local plan to deliver sufficient housing and adopt that plan in 2023</li> <li>• Through our joint ventures and partnerships we will take all available practicable action to increase the supply of affordable homes in the district</li> <li>• We will complete the delivery of the main and learner pools and refurbishment to the leisure venue at South Oxhey</li> <li>• We will seek to increase the number of Green Flag accredited parks and open spaces</li> <li>• We will work towards reducing inequalities, prevent homelessness and encourage healthy lifestyles</li> <li>• We will continue to work with partners to tackle crime and anti-social behaviour and secure investment in priority interventions.</li> </ul>	<ul style="list-style-type: none"> <li>• The Local Plan will allocate land for housing, employment, education, open spaces etc. The Local Plan will contain policies on amount and type of housing required and policies that guide development to encourage healthy lifestyle – e.g. promoting walking, cycling, provision of open space etc.</li> </ul>
<b>Sustainable Environment</b>	<ul style="list-style-type: none"> <li>• We will produce and deliver a Climate Change Strategy and action plan</li> <li>• We will continue to improve the energy efficiency of the Council's buildings</li> <li>• We will deliver and implement a Cycling and Walking Strategy</li> <li>• We will seek to maintain our position as the highest recycling authority in Hertfordshire.</li> </ul>	<ul style="list-style-type: none"> <li>• Policies in Local Plan relating to protection and enhancements of Green Infrastructure and sustainable development and carbon emissions reductions</li> </ul>

<b>Successful Economy</b>	<ul style="list-style-type: none"> <li>• We will undertake a review of the Council's role in relation to the economy and agree an economic strategy</li> <li>• We will continue to participate in the Hertfordshire Growth Board and engage the Hertfordshire Local Enterprise Partnership to support the economy</li> <li>• Three Rivers will be recognised as a great place to do business</li> <li>• We will continue to improve our relationship with the local business community</li> <li>• We will continue to support Visit Herts and promote Three Rivers as the home of the internationally significant Warner Bros Studios.</li> </ul>	<ul style="list-style-type: none"> <li>• The Local Plan will allocate land for employment uses</li> <li>• Economic Strategy sets out actions to support economic growth</li> <li>• Review of projects implemented under Additional Restrictions Grant managed by Economic and Sustainable Development to support local business and look at funding opportunities for future projects in relation to economic development following implementation of the ARG projects.</li> </ul>
<b>High Performing, Financially Independent Council</b>	<ul style="list-style-type: none"> <li>• We will generate enough income to continue to provide services for the district</li> <li>• We will develop and deliver an improved Property Investment Strategy to maximise income from our assets and support the Commercial Strategy</li> <li>• We will progress our Customer Service Strategy that provides a range of contact channels for customers and sets out corporate expectations of how they should be treated</li> <li>• We will produce an Organisational Development Strategy to support the Council in delivering its priorities and objectives.</li> </ul>	<ul style="list-style-type: none"> <li>• Identify potential opportunities for development opportunities of council assets and non-council owned assets</li> </ul>

## 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 via the link above.

### Key Performance Indicators (KPIs) supporting the Corporate Framework

Ref	Description	2020/21 Actual	2021/22 Target (Current year)	2022/23 Target (Next Year)	2023/24 Target	2024/25 Target
ESD01	Net additional homes provided	115	630	630	630	630
ESD02	Number of affordable homes delivered (gross)	91	131	To be determined once housing land supply calculated in December		
ESD03	Housing land supply in years	To be determined in December 2021	5	5	5	5
ESD06	Change in employment floorspace	-0.4%	+/-5%	+/-5%	+/-5%	+/-5%
ESD07	Adoption of the Local Plan, with the Draft publication, submission, examination and adoption by 2023	N/A	Preparation of publication version	Consult on publication version/submission	Adoption	N/A
ESD08	Establishment of a timetable and development of a South West Herts Joint Strategic Plan	N/A	March 2022			
ESD10	Complete a review of Council Economic Role and Completion of Economic Strategy	N/A	Economic Strategy due December 2021	N/A	N/A	N/A
ESD11	The amount of employment floorspace developed in the employment site allocations	N/A	N/A	N/A	To be developed once the Local Plan is adopted	
ESD12	Business Satisfaction Survey - respondents that agree Three Rivers is a great place to do business	New KPI for 2021/24	60% as a baseline target	To be agreed once baseline has been established		
ESD13	Business Satisfaction Survey - respondents that agree Three Rivers is improving relationship with the local business community	New KPI for 2021/24	60% as a baseline target	To be agreed once baseline has been established		

### Service Performance Indicators (PIs)

Ref	Description	2020/21 Actual	2021/22 Target (Current year)	2022/23 Target (Next Year)	2023/24 Target	2024/25 Target
ESD04	Percentage of new homes built on previously developed land	83.3%	60%	60%	To be agreed once the Local Plan is adopted	
ESD05	Percentage of Conservation Areas in the local authority area with a character appraisal undertaken within the last 10 years.	36%	36%	36%	36%	36%
ESD09	Vacancy rate for town and district centres	7%	<6%	<6%	<6%	<6%

**Please note that Performance Indicators are currently under review and some changes may be made for the final service Plans in March 2022**

The Head of Planning Policy & Projects 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:

**ESD01.** Indicator measures the net increase in dwelling stock during each financial year (1 April to 31 March). This is reported in the Annual Monitoring Report (published every December). The net figure is calculated by subtracting the losses against the gross recorded completions. In 2020/2021 there were a total of 115 (net) new homes built.

**ESD02.** Indicator measures the gross number of affordable homes that have been delivered during each financial year (1 April to 31 March). And is also reported in the Annual Monitoring Report (published every December). The gross figure is calculated by identifying the number of affordable units that have been completed from the total gross completions within the financial year. Out of a total of 276 gross completions in 2020/2021, 91 were identified as being affordable. The target should be 35% of the *expected completions* for the following three years, as detailed in the Housing Land Supply update (which includes the 5 year housing supply details and published alongside the AMR).

**ESD03.** Indicator measures the Council's housing land supply over a five year period. This is calculated by dividing the amount of housing that can be built on deliverable sites for the five year period against the residual annual target. The Council sends out pro-formas to developers of housing sites of more than five dwellings, in order to calculate the amount of housing that can be delivered over a five year period. Calculated in December each year and published in The Housing Land Supply Report alongside the Annual Monitoring Report. From 2021/2022 this will be estimated on a quarterly basis and finalised in December each year and reported on an annual basis in the usual manner. Estimate for most recent quarter is 1.7years but the final figure is likely to be lower.

**ESD04.** This indicator measures the percentage of new homes that have been delivered on previously developed land (PDL) during each financial year (1 April to 31 March). This is also reported in the Annual Monitoring Report (published every December). The percentage is calculated by dividing the gross completions on PDL against the total gross completions within the financial year. Out of a total of 276 gross completions in 2020/2021, 230 were on PDL

ESD05. Indicator measures the percentage of Conservation Areas in the District that have a Conservation Area Character Appraisal that has been updated within the last 10 years. This is reported in the Annual Monitoring Report (published every December). The percentage is calculated by dividing the number of conservation areas in the District with character appraisals undertaken within the last 10 years against the total number of Conservation Areas within the district. The percentage increase assumes a rolling programme of two new Character Appraisals being prepared every year. For 2020/2021, 8 out of the 22 Conservation Areas had character appraisals dated within the last 10 years.

ESD06. This indicator is to monitor whether planning and other decisions are having an impact on the availability of floorspace for employment. This indicator measures the change in employment floorspace during each financial year (1 April to 31 March). This is also reported in the Annual Monitoring Report (published every December). The figure is calculated by dividing the net change in floorspace within the financial year against the baseline floorspace. During 2020/2021 there was a net decrease of 956sqm giving a total employment floorspace figure of 221,281sqm.

ESD09. Indicator measures the vacancy rate for the eight Retail Allocations (Rickmansworth Town Centre, South Oxhey, Abbots Langley, Chorleywood, Croxley Green (Watford Road), Rickmansworth Moneyhill Parade, Croxley Green (New Road) and Maple Cross) that are identified as Primary/Secondary Frontages and Local Shopping Centres in the Council's adopted Site Allocations LDD. The percentage is calculated by the number of vacant units against the total number of units. Site visits were undertaken by the Council at the end of the monitoring year (31 March) but will now be undertaken twice a year in September and March. The second survey scheduled for March 2021 was delayed due to Covid and took place in June 2021, so does not necessarily reflect the situation as of March 2021. 7% of units in the District were vacant both at September 2020 and June 2021. (This excludes South Oxhey Regeneration Area). The National Average Vacancy Rate is between 12% and 14% (Retail Study 2012) and 10% across the SW Herts area (Retail & Leisure Study 2018).

ESD07 Adoption of the Local Plan, with the Draft publication, submission, examination and adoption by 2023. This is to be measured against the milestones for publication, submission, examination and adoption as set out in the most recent Local Development Scheme.

ESD08 Establishment of a timetable and development of a South West Herts Joint Strategic Plan. Production and timetable for production of SWH JSP to be agreed by the SW Herts Member Group. KPI to be measured against agreed timetable due in December 2021.

ESD10 Complete a review of Council Economic Role and Completion of Economic Strategy. Review of economic role of the District to be undertaken by the end of 2021/22 and a decision to be made by the Council as to what the economic role should be. An Economic Strategy then to be completed by end of 2022/2023. Review of economic role of the Council and progression of Economic Strategy will depend on the Council's decisions as to the extent to which TRDC will progress economic development role and the provision of resources (staff and costs).

ESD11 The amount of employment floorspace developed in the employment site allocations. New employment allocations to be made through the Local Plan process. This KPI can't be measured until the Local Plan has been adopted which is anticipated to be May 2023.

ESD12 Business Satisfaction Survey - respondents that agree Three Rivers is a great place to do business. A survey to be sent out for completion to the business community on an annual basis. The survey is to include several questions with one question being: 'How satisfied are you that Three Rivers is a great place to do business? The satisfaction score will be calculated by combining the percentage responses to those stating (A) 'very satisfied' and (B) 'satisfied'. 60% will be used as baseline target for the first survey to be undertaken 2021/2022 and future targets to be agreed once baseline is established.

ESD13 Business Satisfaction Survey - respondents that agree Three Rivers is improving relationship with the local business community. A survey to be sent out for completion to the business community on an annual basis. The survey is to include several questions with one question being: 'How satisfied are you that Three Rivers is improving relationship with the local business community?'. The satisfaction score will be calculated by combining the percentage responses to those stating (A) 'very satisfied' and (B) 'satisfied'. 60% will be used as baseline target for the first survey to be undertaken 2021/2022 and future targets to be agreed once baseline is established.

**2.2 Project Management**

<b>Project details</b>				<b>Project Manager: Claire May Project Sponsor: Geof Muggerridge</b>	
<b>Project title</b>				<b>Proposed outcome</b>	
<b>Local Plan</b>					
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		
Officer recommendations to be reported to LPSC (April 2022)	Officer recommendations to be reported to LPSC Reg 19 version to be finalised. (July 2022)	LPSC to approve and recommend to P&R the Reg 19 version for consultation.(October 2022)	Full Council to approve Regulation 19 for consultation (November 2022) Regulation 19 consultation December 2022 – Jan 2023)	Submission version to be prepared and approved by LPSC. P&R & Council,(July 2023) Local Plan submitted for examination (Aug/Sept 2023	Adoption of Local Plan

<b>Project details</b>				<b>Project Manager: Claire May Project Sponsor: Geof Muggerridge</b>	
<b>Project title</b>				<b>Proposed outcome</b>	
<b>South West Herts Joint Strategic Plan</b>					
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		
Completion of Vision for SW Herts JSP (April 2022)	Preparation of and consultation on Regulation 18 (July – September 2022) Preparation of evidence base (on-going	Review responses to Regulation 18 (Nov – Dec 2022) Preparation of evidence base (on-going	Preparation of evidence base (on-going) Preparation of Regulation 19 (Jan – March 2023)	Consultation on Regulation 19 (Q2 and Q3)	Examination

<b>Project details</b>				<b>Project Manager: Claire May</b> <b>Project Sponsor: Geof Muggeridge</b>	
<b>Project title</b>				<b>Proposed outcome</b>	
<b>ARG Fund</b> Monitoring and review of projects implemented with and identification of funding opportunities for future projects to support economic development				Review of projects outcomes and identification of future work to support economic development in the District and funding opportunities	
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		
Monitoring and review of projects identified and implemented.	Monitoring and review of projects identified and implemented.	Monitoring and review of projects identified and implemented.  Identify future funding opportunities	Future projects/work identified with any funding opportunities	Review further funding opportunities for economic development support	Review further funding opportunities for economic development support

### 2.3 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/length of extension
Whole Plan Viability Assessment	ESD	CM	Viability Assessment of Local Plan	BNP Paribas Real Estate	£15,500	Oct 2019	Autumn 2022	N/A	N/A
SA/SEA/HRA	ESD	CM	Sustainability Appraisals for Local Plan	TRL Ltd	£43,950	June 2017	2023(depe nds on Local Plan)	each stage of the Local Plan	Ongoing until Local Plan adopted
Exacom	ESD	CM	CIL/S106 Software	Exacom/ESRI	£6,000pa	April 2015	Ongoing	Annually	N/A
Interactive Policies Map	ESD	CM	Local Plan Interactive Policies Map	Llovell John	£500 pa	2014	Ongoing	Annually	N/A



**2.4 Risk Management**

<b>Risk Description</b>	<b>Residual Likelihood Score</b>	<b>Residual Impact Score</b>	<b>Residual Risk Score</b>
Lack of suitably experienced staff	2	2	4
Total failure of ICT systems	2	1	2
Loss of accommodation	2	1	2
Fraudulent activity	1	2	2
Failure to progress/manage and maintain Community Infrastructure Levy income and expenditure.	2	2	4
Delays to decision making process of Local Plan	2	2	4
Failure/Delay in delivering Local Plan	3	2	6
Changes in National Policy & regulations which require a significant alteration to emerging Local Plan	2	2	4
Failure of external parties to meet project deadlines	2	2	4
Delays to decision making process	2	2	4
Failure to agree critical cross boundary strategic planning issues with prescribed 'Duty to Co-operate'	2	3	6
Capacity of Planning Inspectorate (PINS) and other statutory consultees	2	2	4
Local Plan found 'unsound'	2	3	6
Preparation of SW Herts Joint Strategic Plan fails to meet key project milestones.	2	2	4
Delays to decision making process in SW Herts JSP	2	2	4
Changes in national policy & regulations which require a significant alteration to emerging joint strategic plan	2	2	4
Changes in local politics of the participating authorities (SW Herts JSP)	2	2	4
Staff changes (SW Herts JSP)	2	2	4
Potential political change/issues within the partnership that could lead to a withdrawal or variation in support to the Programme from one of the partners.	2	2	4
SW Herts JSP not agreed by Districts, fail at examination or there is significant slippage in the timescales that are beyond the tolerance of the programme.	2	2	4
Delay in progressing Economic Strategy	2	2	4

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
1.0	29/09/2021	New Template	CM
2.0	3/11/2021	Article 4 Directions, Conservation Area Appraisals, List of Locally Important Buildings added and estimated dates added to Project Management tables and KPIs	CM

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# **ELECTIONS SERVICE PLAN 2022 - 2025**

Service Plan Template

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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: THE SERVICE CONTEXT

### 1.1 Service Overview

#### The Role of the Service

To compile and maintain a register of electors. Conduct an annual canvass and to maintain the register throughout the year as set out in legislation.

Ensure that elections are administered effectively without legal challenge and that, as a result, the experience of voters and those standing for election is a positive one. Voters are able to vote easily and know that their vote will be counted in the way they intended. It is easy for people who want to stand for election to find out how to get involved, what the rules are, and what they have to do to comply with these rules, and they can have confidence in the management of the process and the result.

**1.2 Budgets**

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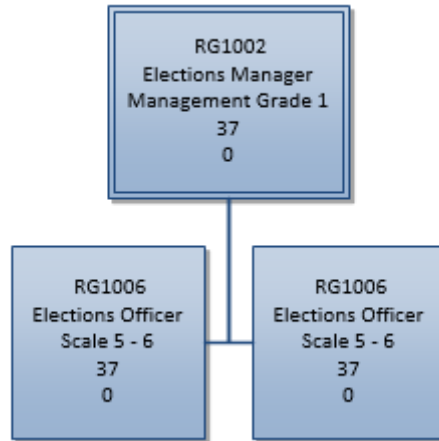
	<b>2022/23 Latest £</b>	<b>2023/24 Latest £</b>	<b>2024/25 Latest £</b>
Net Cost of Service (Direct cost / Income Only)			

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Further financial analysis can be found by using this link

Service Plan Template





**SECTION 2: SERVICE DELIVERY**

**2.1 Performance Management**

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

Corporate Framework Priority theme	Corporate Objectives	Service contribution to the Corporate Themes
<p><b>Housing and Thriving Communities</b></p>	<ul style="list-style-type: none"> <li>• We will work on a local plan to deliver sufficient housing and adopt that plan by 2021</li> <li>• Through our joint ventures and partnerships we will take all available practicable action to increase the supply of affordable homes in the district</li> <li>• We will complete the delivery of the main and learner pools and refurbishment to the leisure venue at South Oxhey</li> <li>• We will seek to increase the number of Green Flag accredited parks and open spaces</li> <li>• We will work towards reducing inequalities, prevent homelessness and encourage healthy lifestyles</li> <li>• We will continue to work with partners to tackle crime and anti-social behaviour and secure investment in priority interventions.</li> </ul>	<ul style="list-style-type: none"> <li>•</li> <li>•</li> </ul>

<b>Sustainable Environment</b>	<ul style="list-style-type: none"> <li>• We will produce and deliver a Climate Change Strategy and action plan</li> <li>• We will continue to improve the energy efficiency of the Council's buildings</li> <li>• We will deliver and implement a Cycling and Walking Strategy</li> <li>• We will seek to maintain our position as the highest recycling authority in Hertfordshire.</li> </ul>	<ul style="list-style-type: none"> <li>•</li> <li>•</li> </ul>
<b>Successful Economy</b>	<ul style="list-style-type: none"> <li>• We will undertake a review of the Council's role in relation to the economy and agree an economic strategy</li> <li>• We will continue to participate in the Hertfordshire Growth Board and South West Herts Partnership and engage the Hertfordshire Local Enterprise Partnership to support the economy</li> <li>• Three Rivers will be recognised as a great place to do business</li> <li>• We will continue to improve our relationship with the local business community</li> <li>• We will continue to support Visit Herts and promote Three Rivers as the home of the internationally significant Warner Bros Studios.</li> </ul>	<ul style="list-style-type: none"> <li>•</li> <li>•</li> </ul>
<b>High Performing, Financially Independent Council</b>	<ul style="list-style-type: none"> <li>• We will generate enough income to continue to provide services for the district</li> </ul>	<ul style="list-style-type: none"> <li>• We aim to raise awareness and increase participation levels of residents in the democratic processes of</li> </ul>

	<ul style="list-style-type: none"><li>• We will develop and deliver an improved Property Investment Strategy to maximise income from our assets and support the Commercial Strategy</li><li>• We will progress our Customer Service Strategy that provides a range of contact channels for customers and sets out corporate expectations of how they should be treated</li><li>• We will produce an Organisational Development Strategy to support the Council in delivering its priorities and objectives.</li></ul>	<p>registering to vote, and in having their say at elections through voting</p> <ul style="list-style-type: none"><li>• Through canvass reform and other legislative changes we aim to increase digital interactions for voters to increase efficiency and performance as options for voters will increase, costs will reduce, storage capacity needs will decrease as will the necessity for large volumes of paper registration forms to be managed.</li></ul>
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Service Plan Terms

## 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 via the link above.

### Service Performance Indicators (PIs)

Ref	Description	2020/21 Actual	2021/22 Target (Current year)	2022/23 Target (Next Year)	2023/24 Target	2024/25 Target
ES01	Annual Canvass Return – electoral register published on 1 <sup>st</sup> December (across the district and for individual wards)	93.80%	90%	90%	90%	90%
ES02	New electoral registrations – monthly alterations to the register including amendments, deletions as well as additions (under rolling registration process – during and outside of elections)	100%	100%	100%	100%	100%

**Please note that Performance Indicators are currently under review and some changes may be made for the final service Plans in March 2022**

The Head of Electoral 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 Project Management**

<b>Project details</b>				<b>Project Manager: Elections Manager Project Sponsor: Joanne Wagstaffe, RO</b>	
<b>Project title</b>				<b>Proposed outcome</b>	
Combined District & Parish council elections: 5 May 2022				Successfully delivered and unchallenged elections	
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		
Preparation, planning & consultation period	Combined local elections held on Thursday 5 May 2022	Post-election activities and review	Voter registration period	District & Parish council elections: 4 May 2023	TBC

<b>Project details</b>				<b>Project Manager: Elections Manager Project Sponsor: Joanne Wagstaffe, ERO</b>	
<b>Project title</b>				<b>Proposed outcome</b>	
To undertake the annual canvass and rolling registration				Successful continuance of revised electoral registration process in accordance with the latest legislation and EC guidance	
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>

## 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
Printing	Elections	TBC	Ballot papers, postal votes and poll cards	Civica Election Services	£8,000.00	01/11/2020	31/12/2022	05/06/2022	Yes
Printing & Automated response services	Electoral Registration	TBC	Online, telephone & text registration services for annual canvass & rolling registration	Civica Election Services	£10,000.00	01/04/2020	ongoing	05/06/2022	Yes
Polling Station equipment	Elections	TBC	Polling booths, presiding officer packs and polling station sundries	Shaw & Sons Ltd	£6,000.00	01/04/2020	ongoing	03/01/2022	Yes
Elections system software license	Elections & Electoral Registration	TBC	Software license for use of registration system incl telephone & online support	Civica Election Services	£15,000.00	01/09/2020	ongoing	05/06/2022	Yes
Elections Staff Training	Elections & Electoral Registration	TBC	Online and in-person training of core and wider elections staff	Association of Electoral Administrators	£8,000.00	01/10/2020	31/05/2021	01/02/2022	Yes

**2.4 Risk Management**

<b>Risk Description</b>	<b>Residual Likelihood Score</b>	<b>Residual Impact Score</b>	<b>Residual Risk Score</b>
Insufficient staff	2	2	4
Total failure of ICT systems	2	3	6
Loss of accommodation	1	3	3
Fraudulent activity	2	1	2
Failure to provide statutory elections or referenda	1	3	3



Likelihood Very Likely -----> 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
1.0	04/10/2021	First Draft Gordon Glenn	GG
1.1		Updates by GG, provided by Julie P	JP/GG
1.2	03/11/21	Final check by GG	GG



# **FINANCE SERVICE PLAN 2022 - 2025**

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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: THE SERVICE CONTEXT

### 1.1 Service Overview

#### The Role of the Service

The Finance Service is part of the Shared Services arrangement for Three Rivers District Council and Watford Borough Council and is overseen by the Shared Director of Finance who acts as Section 151 Officer for both authorities.

The Finance Service is an enabling service that supports the organisation to deliver its strategic objectives and service delivery targets through leading on a range of strategic, statutory and transactional processes:

- Budget Setting
- Financial Reporting
- Financial Monitoring
- Treasury Management
- Accounts Payable
- Financial Systems

**1.2 Budgets**

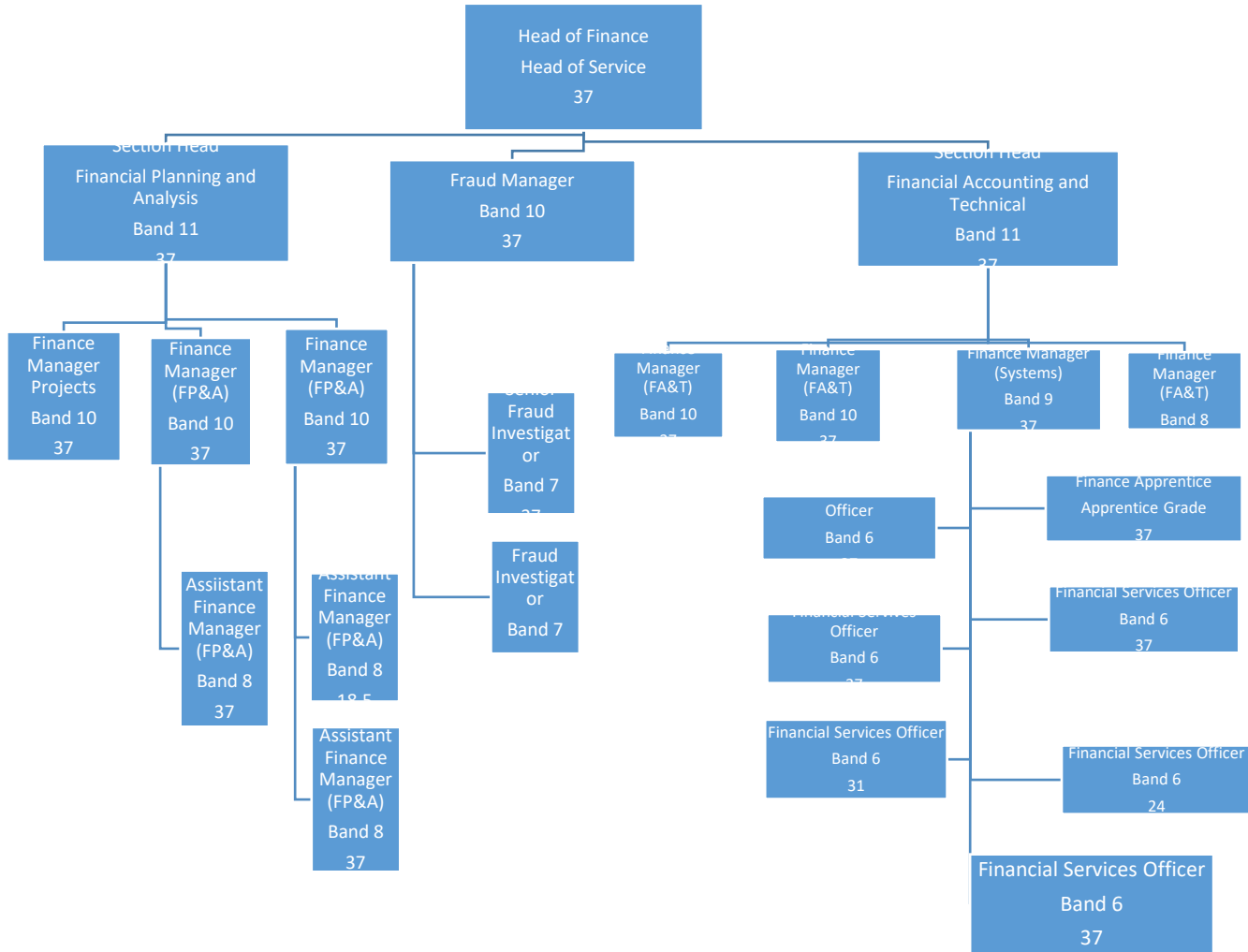
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	<b>2022/23 Latest £</b>	<b>2023/24 Latest £</b>	<b>2024/25 Latest £</b>
<hr/> Net Cost of Service (Direct cost / Income Only) <hr/>			

Further financial analysis can be found by using this link

1.3

Service Structure Chart



**SECTION 2: SERVICE DELIVERY**

**2.1 Performance Management**

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

<b>Corporate Framework Priority theme</b>	<b>Corporate Objectives</b>	<b>Service contribution to the Corporate Themes</b>
<b>Housing and Thriving Communities</b>	<ul style="list-style-type: none"> <li>• We will work on a local plan to deliver sufficient housing and adopt that plan by 2021</li> <li>• Through our joint ventures and partnerships we will take all available practicable action to increase the supply of affordable homes in the district</li> <li>• We will complete the delivery of the main and learner pools and refurbishment to the leisure venue at South Oxhey</li> <li>• We will seek to increase the number of Green Flag accredited parks and open spaces</li> <li>• We will work towards reducing inequalities, prevent homelessness and encourage healthy lifestyles</li> <li>• We will continue to work with partners to tackle crime and anti-social behaviour and secure investment in priority interventions</li> </ul>	<p>Finance will support services in the delivery of corporate plan objectives through:</p> <ul style="list-style-type: none"> <li>• The realignment of budgets to support priorities, effective budget management and identification of resources.</li> <li>• Direct involvement in commercial delivery of housing, governance of joint ventures and income generation.</li> <li>• Development of the Commercial Strategy.</li> <li>• Being a representative on any working groups project boards etc. for any new workstreams and initiatives to provide advice and support e.g. on VAT, budgets etc.</li> <li>• Finance projects to improve access for customers to pay for services</li> <li>• Review of financial regulations and procedures to make sure they are up to date and relevant for the way we operate and to have in place the appropriate safeguards for the Council and its staff.</li> </ul>
<b>Sustainable Environment</b>	<ul style="list-style-type: none"> <li>• We will produce and deliver a Climate Change Strategy and action plan 11</li> <li>• We will continue to improve the energy efficiency of the Council's buildings</li> <li>• We will deliver and implement a Cycling and Walking Strategy</li> </ul>	



	<ul style="list-style-type: none"> <li>• We will seek to maintain our position as the highest recycling authority in Hertfordshire</li> </ul>	<ul style="list-style-type: none"> <li>• Internal audits to assist managers in improving service delivery and in providing assurances that services are operating efficiently and effectively and are adequately protected from fraud and misuse.</li> </ul>
<b>Successful Economy</b>	<ul style="list-style-type: none"> <li>• We will undertake a review of the Council's role in relation to the economy and agree an economic strategy</li> <li>• We will continue to participate in the Hertfordshire Growth Board and South West Herts Partnership and engage the Hertfordshire Local Enterprise Partnership to support the economy</li> <li>• Three Rivers will be recognised as a great place to do business</li> <li>• We will continue to improve our relationship with the local business community</li> <li>• We will continue to support Visit Herts and promote Three Rivers as the home of the internationally significant Warner Bros Studios.</li> </ul>	
<b>High Performing, Financially Independent Council</b>	<ul style="list-style-type: none"> <li>• We will generate enough income to continue to provide services for the district</li> <li>• We will develop and deliver an improved Property Investment Strategy to maximise income from our assets and support the Commercial Strategy</li> <li>• We will progress our Customer Service Strategy that provides a range of contact channels for 12 customers and sets out corporate expectations of how they should be treated</li> <li>• We will produce an Organisational Development Strategy to support the Council in delivering its priorities and objectives</li> </ul>	

<b>Watford Borough Council</b>	<b><i>“To create a bold and progressive future for Watford”</i></b>
Manage the borough’s housing needs	We will support and enable the service departments to meet these priorities
Enable a thriving local community	
Enable a sustainable Town and Council	
Celebrate and support our community	

## 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 via the link above.

### Key Performance Indicators (KPIs) supporting the Corporate Framework - Three Rivers

Ref	Description	2020/21 Actual	2021/22 Target (Current year)	2022/23 Target (Next Year)	2023/24 Target	2024/25 Target
FN04 SSF7	Auditor Approval of the annual Statement of Accounts	Outstanding	Yes	Yes	Yes	Yes
	Private investment, leveraged through the capital investment by the council (simple calculation of amount)	New for 2021/22				
	% of Commercial income received	New for 2021/22	85%	85%	85%	85%
NEW	General Balances are above the risk assessed level	N/A	>£2.0m	>£2.0m	>£2.0m	>£2.0m
NEW	Variance to budget <1%	N/A	<1%	<1%	<1%	<1%

### Service Performance Indicators (PIs) - Three Rivers

Ref	Description	2020/21 Actual	2021/22 Target (Current year)	2022/23 Target (Next Year)	2023/24 Target	2024/25 Target
FN09 (1) SSF2	Creditor Payments paid within 30 days		97.5%	97.5%	97.5%	97.5%
FN08 SSF3a	Compliance with Treasury Management Policy		100%	100%	100%	100%

**Service Performance Indicators (PIs) - Watford**

Ref	Description	2020/21 Actual	2021/22 Target (Current year)	2022/23 Target (Next Year)	2023/24 Target	2024/25 Target
FN09 (1) SSF2	Creditor Payments paid within 30 days		97.5%	97.5%	97.5%	97.5%
FN08 SSF3a	Compliance with Treasury Management Policy	100%	100%	100%	100%	100%
FN03 SSF5	Budget Monitoring		100%	100%	100%	100%
FN04 SSF7	Auditor Approval of the annual Statement of Accounts	Outstanding	Yes	Yes	Yes	Yes

**Please note that Performance Indicators are currently under review and some changes may be made for the final service Plans in March 2022**

The **Head of Finance** 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 Project Management**

**Three Rivers**

<b>Project details</b>				<b>Project Manager:</b>	
<b>Project title</b>				<b>Project Sponsor:</b>	
<b>Fixed Asset Property System and implementation of IFRS 16</b>				To procure or develop a Fixed Asset module that categorises all the Council's assets including leasing terms and conditions. Two systems to be procured for Three Rivers and Watford as needs are different for each authority.	
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		
Identification of all lease and contracting arrangements impacted by IFRS16			System is used to provide data for final accounts and external audit	System forms part of BAU processes	

<b>Project details</b>				<b>Project Manager: Hannah Doney</b>	
<b>Project title</b>				<b>Project Sponsor: Alison Scott</b>	
<b>Adoption of the Financial Management Code of Practice</b>				The CIPFA FM Code of Practice sets out the gold standard for financial management within local authorities. All authorities are expected to comply with the code by 2021/22 and to develop an action plan where there are opportunities to improve practise and processes.	
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		
Production of Action Plan to enable compliance	Implementation and monitoring of action plan	Implementation and monitoring of action plan	Full compliance demonstrated and reported through the Annual Governance Statement	Ongoing compliance with best practice	Ongoing compliance with best practice

Project details				Project Manager: Project Sponsor:	
Project title				Proposed outcome	
Joint enforcement and intelligence functions				Resilience and economies in a shared enforcement team across the Council who bring cases forward to Court for prosecution – trees, environmental protection, Licensing, planning etc. This will further improve intelligence, share best practice and improve out turn prosecutions and enhance reputation of the Council with customers.	
2022/23 Milestones				2023/24 Milestones	2024/25 Milestones
Quarter 1	Quarter 2	Quarter 3	Quarter 4		

Project details				Project Manager: Alison Scott Project Sponsor: Joanne Wagstaffe	
Project title				Proposed outcome	
Commercial Strategy				The Commercial Strategy is an ongoing project that needs to evolve to meet the latest statutory guidance whilst continuing to generate opportunities for investment within Three Rivers. •	
2022/23 Milestones				2023/24 Milestones	2024/25 Milestones
Quarter 1	Quarter 2	Quarter 3	Quarter 4		
Refresh commercial strategy to reflect updated Prudential Code for Capital, Minimum Revenue Provision guidance and PWLB borrowing guidelines.					

<b>Project details</b>				<b>Project Manager: Hannah Doney Project Sponsor: Alison Scott</b>	
<b>Project title</b>				<b>Proposed outcome</b>	
<b>Team Development</b>				<p>To improve resilience and provide opportunities for career development within the team to maximise retention of staff and reduce the risk of not being able to recruit to key positions.</p> <p>Team development will be include formal training, shadowing and mentoring, knowledge and skill sharing.</p> <p>Project will run alongside the implementation of Office 365 which will give the opportunity to engage in the use of new tools to support communication within the team.</p>	
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		
Development of formal training programme including prioritisation and identification of necessary budget	Identification of opportunities within Office 365 roll out			Undertake an annual review training programme	Embed training programme

<b>Project details</b>				<b>Project Manager: Customer Contact Programme Manager Project Sponsor: Joanne Wagstaffe</b>	
<b>Project title</b>				<b>Proposed outcome</b>	
<b>Customer Experience Strategy</b>				Improved processes and procedures, combined with utilising technology to further channel shift and customer access points into service; for more self-help accessibility	
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		
		Completion of project	Lessons learned		

## Summary of key projects delivered to Watford Borough Council under Shared Service Arrangements

Project title	Proposed outcome
Riverwell	Continue to manage and develop relationship with Kier.
Town Hall Quarter	Development of solution to deliver housing and public realm improvements based on the Town Hall site
Watford Commercial Services and Hart Homes	Explore new opportunities for Watford Commercial Services and deliver a sustainable business plan for Hart Homes.
Temporary Accommodation and Complex Needs	Work with Housing to deliver accommodation to meet the Temporary Accommodation Strategy, including the complex needs scheme
West Herts Crematorium	Provide financial support to the West Herts Crematorium Joint Board, including the project to build a new crematorium



## 2.3

## Contracts

Title of Agreement	Service Area	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	
Office supplies and stationery	Accountancy	Office stationery	Lyreco	114,000	23/05/2018	02/04/2023	01/04/2022		
Cash in transit		Cash in transit	G4S	14,300	29/10/2014	31/03/2023	28/09/2022		
Banking		Banking	Lloyds	11,000					
Brokerage Services		Brokerage services	Aon	3,000	01/04/2019	02/01/2024	31/03/2023		
Insurance		Computer, Liability, Motor and Property	Zurich Municipal Ltd	190,000	01/04/2019	31/03/2025	31/03/2024		
		Personal Accident, Engineering and Fidelity		190,000	01/04/2019	31/03/2026	31/03/2025	Option for 2 years	
		Insurance - Terrorism	Aon	6,630	01/04/2019	02/01/2027	31/03/2026		
Internal Audit Services		Internal Audit Services for TRDC and WBC	SIAS	135,000	01/04/2013	Annual rolling contract	Annually		
External Audit Services		External Audit Services	Ernst & Young	50,000	01/04/2018	31/03/2023	31/03/2022		
Treasury Management Advice		Specialist Advice	Link Asset Services (formerly Capita)	9,200	01/11/2011	Ongoing	Annually		
Treasury Management		TM system	Logotech	1,500	01/01/2015				
VAT advice		VAT specialist advice	LAVAT	1,650					
National Anti-Fraud Network		Intelligence Organisation	Tameside MBC	2,500	Annual rolling contracts				
		National Fraud Initiative	Cabinet Office data matching	Cabinet Office				2,200	
ID Scan	Document verification	ID Scan Biometrics	1,200						
JSP Law	Solicitors	JSP Law	7,000						
Transcription Services	Preparation of Interview under caution transcripts	Transcription Services	1,500						
Translation services	Interview translation services	Language Direct	250						
Vehicle leases	Staff Vehicle leases	Alphabet (UK) Fleet Management Ltd	10,800						
Finance Accounting Systems	Finance accounting systems for TRDC and WBC	Advanced Business Solutions	321,620	01/06/2009		31/05/2021	01/04/2020	Contract extended	
Income Management system (AIM)	Income management, card processing and merchant services for TRDC and WBC	Capita	37,500	1/04/2011		1/04/2022	01/04/2021		

**2.4 Risk Management**

<b>Risk Description</b>	<b>Residual Likelihood Score</b>	<b>Residual Impact Score</b>	<b>Residual Risk Score</b>
The Medium term financial position worsens.	3	2	6
Revenue balances insufficient to meet estimate pay award increases	2	1	2
Revenue balances insufficient to meet other inflationary increases	1	2	2
Interest rates resulting in significant variations in estimated interest income	3	2	6
Inaccurate estimates of fees and charges income	2	2	4
Revenue balances insufficient to meet loss of partial exemption for VAT	1	4	4
The estimated cost reductions and additional income gains are not achieved	2	2	4
The Council is faced with potential litigation and other employment related risks	1	3	3
Fluctuations in Business Rates Retention	3	3	9
Failure to deliver the South Oxhey Initiative to desired outcomes and objectives resulting in a delay in the capital receipt	2	2	4
Failure of ICT systems	1	2	2
Property Investment	1	3	3
Commercial Investment	2	2	4
Loss of Key Personnel	1	3	3

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
1	14/10/2021	First version 2022/23	HLD



# **LEGAL SERVICES SERVICE PLAN 2022 - 2025**

Service Plan Template

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## INTRODUCTION

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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: THE SERVICE CONTEXT

<b>1.1</b>	<b>Service Overview</b>
------------	-------------------------

### The Role of the Service

<b>Job Title</b>	<b>Qualification</b>
Solicitor to the Council and Monitoring Officer All posts in department full time 37 hours	Qualified Solicitor/Barrister Significant experience in Local Government law across all areas This post holder is the statutory Monitoring Officer and requires significant experience of governance and constitutional arrangements. Ability to supervise and manage the Legal and Committee team Confidence to advise at Council and at meetings on the law and procedure
Principal Lawyer (criminal litigation) Current postholder is deputy MO, but this can be another Principal Solicitor post	Qualified Solicitor/Barrister with criminal litigation and criminal advocacy experience. Ability to advise on and draft proceedings in Court as part of a multi-disciplined enforcement team across the Council dealing with a wide range of different areas of the law. Post covers Anti Social Behaviour and community protection. Post holder is also required to have the knowledge and experience to

	cover Licensing advice and to sit as Legal adviser on Licensing hearings (shared with civil litigation/contracts role). Deals with legal advice on corporate complaints and Information law advice.
Principal Solicitor (civil litigation and contracts)	Qualified Solicitor/Barrister with civil litigation and civil litigation advocacy experience. Must be able to deal with High Court challenges such as Judicial review proceedings. Good working knowledge of housing and homelessness law is required. This post holder is also required to have the knowledge and experience to cover Licensing advice and to sit as Legal adviser on Licensing hearings(shared with criminal solicitor role) role now includes all contracts work and procurement
Principal Solicitor (Planning)	Qualified Solicitor/Barrister with significant experience in and knowledge of planning law (CIL, Enforcement, Clopuds, Cleuds, Section 106 planning obligations, and local plan advice) as it affects Local Government. Must be able to give high level advice and draft complex documents
Legal Officer (Property)	Qualified Solicitor/Barrister/Legal Executive with significant property experience given the Council's desire to maximise use of its own portfolio and to develop the opportunities to invest in property more widely –(joint ventures, loans )
Legal Apprentice.	Working towards Law Degree. Knowledge of working in a legal office, ability to daft legal documentation including court proceedings for charging orders and other debt recovery. Training includes assisting on property and litigation matters



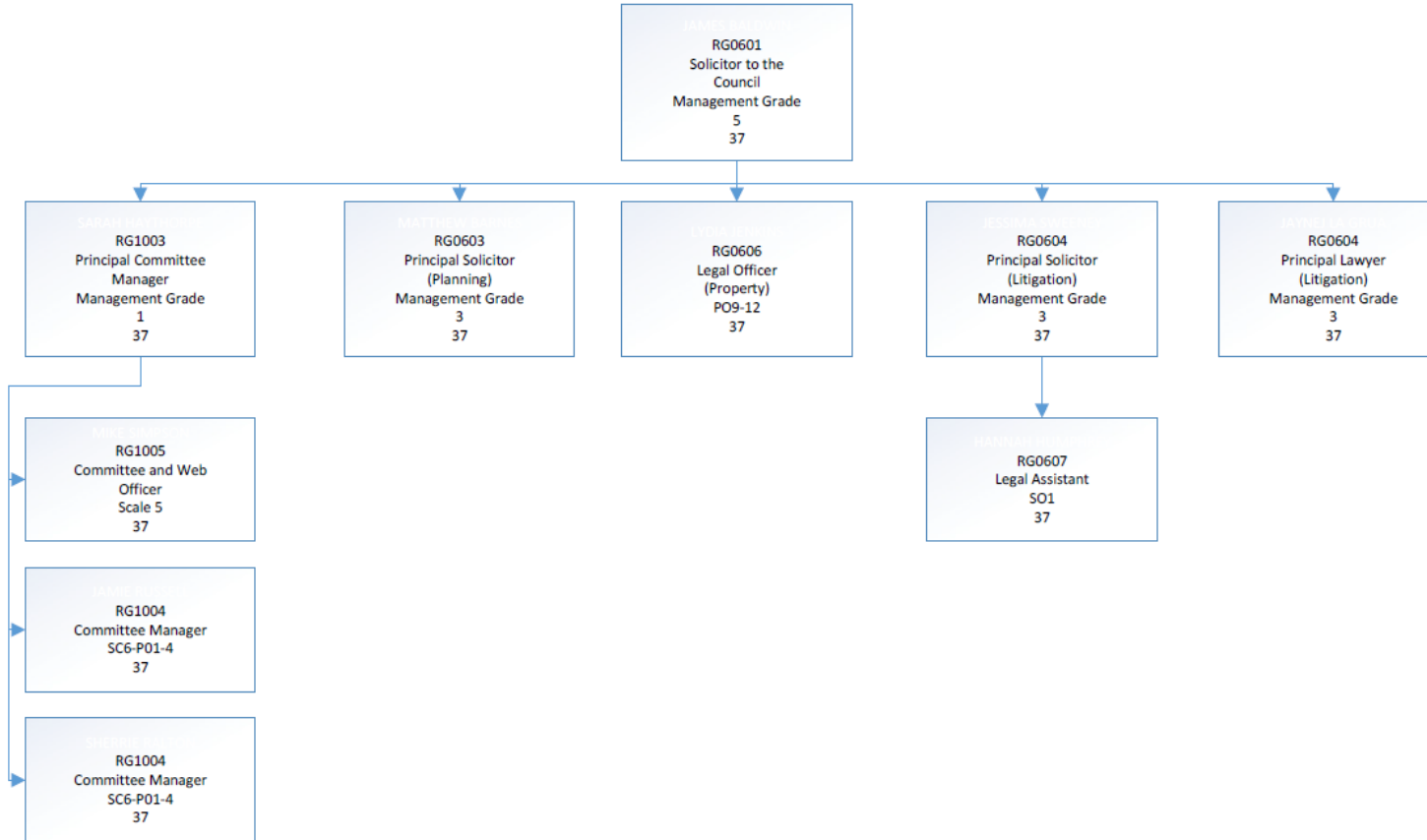
**1.2 Budgets**

	<b>2022/23 Latest £</b>	<b>2023/24 Latest £</b>	<b>2024/25 Latest £</b>
Net Cost of Service (Direct cost / Income Only)			

Further financial analysis can be found by using this link

Service Plan Template

### Legal & Democratic Service



## SECTION 2: SERVICE DELIVERY

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

Corporate Framework Priority theme	Corporate Objectives	Service contribution to the Corporate Themes
<b>Housing and Thriving Communities</b>	<ul style="list-style-type: none"> <li>• We will work on a local plan to deliver sufficient housing and adopt that plan by 2021</li> <li>• Through our joint ventures and partnerships we will take all available practicable action to increase the supply of affordable homes in the district</li> <li>• We will complete the delivery of the main and learner pools and refurbishment to the leisure venue at South Oxhey</li> <li>• We will seek to increase the number of Green Flag accredited parks and open spaces</li> <li>• We will work towards reducing inequalities, prevent homelessness and encourage healthy lifestyles</li> <li>• We will continue to work with partners to tackle crime and anti-social behaviour and secure investment in priority interventions.</li> </ul>	<p>Advice on wording for Planning conditions to be given in timely manner and section 106 obligations to be drafted within statutory period to be monitored by measuring performance through PI</p> <p>Legal will secure through Section 106 planning obligations drafted and completed within 8 and 13 week deadlines to ensure provision of affordable housing deadlines monitored on quarterly basis through PI LP03. We continue to be involved in the Council's development projects through joint venture with partner organisations-further details below.</p> <p>Alternatively will advise on use of appropriate planning conditions to secure affordable homes. Meet service level standards agreed.</p> <p>Agreements negotiated and drafted (e.g. nominations agreements with Housing Associations) in timely manner to meet any contractual deadlines</p> <p>Review of tenancy agreements</p> <p>Continue to advise on the new Leisure contracts</p> <p>Legal will secure through Section 106 planning obligations drafted and completed within 8 and 13 week deadlines to ensure provision of open spaces or commuted sums and undertake any necessary conveyancing work associated with the provision of open spaces 8 and 13 week deadlines monitored on quarterly basis through PI.</p>

		<p>Wholesale review of bylaws and implementation of up to date bylaws for the District part live in 2020 and ongoing</p> <p>Preparation and advice on new Nominations agreements  Legal work involved in the acquisition of property to use as TA  Advise on homelessness challenges and deal with judicial review applications and other appeals in a timely manner  Advice and drafting on children/ vulnerable adults safeguarding contracts including data sharing arrangements</p> <p>Enforce any Public Space Protection Orders in force and utilise Community Protection Notices (CPN) with issue of proceedings for breaches and advice on use of and wording for CPN generally</p> <p>Issue proceedings for offences (e.g. fly tipping/graffiti) in 15 working days of full instructions to be reported annually to members via MIB  COVID 19 has had implications for court hearings and this will be kept under review.  Advice on use of community protection warnings, community protection Notices and use of Fixed penalty notices to reduce the impact of fly tipping</p> <p>Provision of advice on, use of and training on powers under the Anti-Social Behaviour Crime and Policing Act 2014 to obtain remedies such as Closure orders, Public Spaces Protection orders. Some issues around prioritisation of such hearings at Court due to Covid 19</p> <p>Advice on legislation and interpretation. Assistance with interviews under caution. Drafting and issuing court proceedings where offence have been committed. Applications for food closure orders.</p> <p>Effective enforcement of breaches of planning where Green Belt Deed land involved  Enforcement notices issued in time. Few successful appeals.  Prosecutions or other action where failure to comply. Covid has affected Court hearings in 2020/21 and this will have to be kept under review but has by October 2021 largely returned to normal.</p>
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<p><b>Sustainable Environment</b></p>	<ul style="list-style-type: none"> <li>• We will produce and deliver a Climate Change Strategy and action plan</li> <li>• We will continue to improve the energy efficiency of the Council's buildings</li> <li>• We will deliver and implement a Cycling and Walking Strategy</li> <li>• We will seek to maintain our position as the highest recycling authority in Hertfordshire.</li> </ul>	<p>Advice on wording for Planning conditions with the necessary emphasis on sustainability and reduction /changes in transport /parking arrangements to be given in timely manner and section 106 obligations to be drafted within statutory period to be monitored by measuring performance through Performance indicators</p> <p>Appropriate advice on Community Infrastructure levy (CIL) will be provided as and when necessary</p> <p>Review of contract terms and conditions to ensure the Council achieves its objectives around sustainability</p> <p>Appropriate use of legal remedies such as cautions, prosecutions, FPN where there are offences reported to try to reduce incidences affecting the environment –fly tipping open spaces, trees, parks and woodland</p> <p>Provide advice on making tree preservation orders, including advice on breaches of TPO and prosecutions. Climate change will require more specific legal advice as the strategy is implemented. There is some specialist knowledge within the service but training will be needed on specialist areas and we will make use of some outside body memberships.</p>
<p><b>Successful Economy</b></p>	<ul style="list-style-type: none"> <li>• We will undertake a review of the Council's role in relation to the economy and agree an economic strategy</li> <li>• We will continue to participate in the Hertfordshire Growth Board and South West Herts Partnership and engage the Hertfordshire Local Enterprise Partnership to support the economy</li> <li>• Three Rivers will be recognised as a great place to do business</li> <li>• We will continue to improve our relationship with the local business community</li> </ul>	<p>Legal will secure financial contributions through Section 106 planning obligations drafted and completed within 8 and 13 week, monitored on quarterly basis through PI LP03</p> <p>Advise on any joint committee arrangements for the Herts Growth Board, if relevant and keep the legal implications under review.</p> <p>Give appropriate advice on Community Infrastructure levy (CIL) as and when necessary. Legal continue to advise on grant agreements and implications.</p>

	<ul style="list-style-type: none"> <li>• We will continue to support Visit Herts and promote Three Rivers as the home of the internationally significant Warner Bros Studios.</li> </ul>	<p>Legal have advised regularly on matters related to the studios and will continue to do so.</p>
<p><b>High Performing, Financially Independent Council</b></p>	<ul style="list-style-type: none"> <li>• We will generate enough income to continue to provide services for the district</li> <li>• We will develop and deliver an improved Property Investment Strategy to maximise income from our assets and support the Commercial Strategy</li> <li>• We will progress our Customer Experience Strategy that provides a range of contact channels for customers and sets out corporate expectations of how they should be treated</li> <li>• We will produce an Organisational Development Strategy to support the Council in delivering its priorities and objectives.</li> </ul>	<p>Provide timely advice on policies and procedures and on reports to meet committee deadlines including income generating initiatives.</p> <p>Continue to give advice as necessary around any changes in legislation/regulations affecting Council services including ongoing effects of pandemic and regulations revoked or applicable.</p> <p>Provide advice on legal powers and vires to enable the Council to undertake new investment opportunities including legal support for the Shareholders and Commercial Ventures and Panel, which reports to P &amp; R.</p> <p>A Legal Officer will continue to act as Company Secretary for Three Rivers wholly owned housing company –Legal officers will form part of project team on future joint developments for affordable housing and housing for sale as well as forming part of project team on other property investment matters including advising on vires and legal options</p> <p>Achieve Lexcel accreditation an independent assessment by the Law Society on legal practices</p> <p>Meet PI objectives consistently</p> <p>Work with the auditors on the annual governance review and regularly participate in the Governance Group meetings with senior management and Internal Audit.</p> <p>Monitor and encourage high standards of behaviour and ethics amongst Councillors. The new LGA Code of Conduct was adopted by Council in May 2021 and Member training carried out.</p>

	<p>Ensure the Council meets its legal and constitutional obligations and acts within the law and in accordance with its governance arrangements. Virtual meetings and new arrangements covered</p> <p>Work as part of internal governance group</p> <p>Keep the Council's Constitution under review to ensure it is up to date and fit for purpose –reviewed in October 2020 and on an ongoing basis with updates agreed by Council in May 2021.</p> <p>No decision has as at October 2021 been made with regard to a possible shared service project with Watford and St Albans. If the project is to be proceeded with, this service plan will need to be updated to cover likely impact on other departments.</p>
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Service Plan Template

## 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 via the link above.

### Key Performance Indicators (KPIs) supporting the Corporate Framework

Ref	Description	2020/21 Actual	2021/22 Target (Current year)	2022/23 Target (Next Year)	2023/24 Target	2024/25 Target
LP01	% draft enforcement notices prepared for planning department within 5 working days	100%	95%	95%	95%	95%
LP02	% certificates of lawfulness drafted for issue within the 8 week statutory period	100%	95%	95%	95%	95%
LP03	% of Section 106 obligations completed within the 8 or 13 week period	100%	95%	95%	95%	95%
LP04	% of action for housing possession cases & civil litigation commenced within 15 working days	100%	95%	95%	95%	95%
LP05	Contract Oversight (new contracts)		New PI	75%	80%	85%
LP06	Satisfaction with Legal Services			85%	85%	85%
	Cost and efficiency To keep hourly rates at least 25% less than comparable private Solicitors hourly rates Our hourly rates are £75 (Sols) £45 unadmitted staff	100%				

**Please note that Performance Indicators are currently under review and some changes may be made for the final service Plans in March 2022**

The **Head of Legal 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 Project Management**

<b>Project details</b>				<b>Project Manager: James Baldwin Project Sponsor: Joanne Wagstaffe</b>	
<b>Project title</b>				<b>Proposed outcome</b>	
Online case management system such as IKEN.				Fully digitised case management and improved service efficiency. Essential if service moves to a shared service	
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		
Dependent on shared service decision	Not yet known	Not yet known	Not yet known	Not yet known.	

<b>Project details</b>				<b>Project Manager: Project Sponsor:</b>	
<b>Project title</b>				<b>Proposed outcome</b>	
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		

## 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
Legal publications and research on-line 79140000	Chief Executive Legal	James Baldwin	Reference law books and research facilities (Practical law, Westlaw) on line and some print subscriptions via Public Law Partnership to achieve savings across multiple users	Thomson Reuters re Westlaw UK Services	11,446 plus VAT	April 2019	April 2022	December 2021 (3 yr'ly Subscription)	

2.4 Risk Management

Risk Description				Residual Likelihood Score	Residual Impact Score	Residual Risk Score
Insufficient staff	2	1	2	3	2	6
Total failure of ICT systems	2	2	4			
Loss of accommodation	2	2	4			
Fraudulent activity	1	2	2			
Loss of key staff	2	2	4			
Covid 19						

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
1.1	14/10/2021	First Draft	JB
1.2	18/10/2021	Formatting	GG
1.3	02/11/2021	Second draft	JB



**PROPERTY SERVICES & MAJOR PROJECTS  
SERVICE PLAN  
2022 - 2025**

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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: THE SERVICE CONTEXT

### 1.1 Service Overview

#### The Role of the Service

The Property Services & Major Projects Team is part of the Community & Environmental Directorate and is responsible for the management of the Council's land & property assets. The team comprises Estates & Asset Management, Facilities Management and Major Projects functions and provides a multi-disciplinary professional service which leads on all property matters for the Council.

In addition to actively managing the Council's investment and income producing estate, it also maintains responsibility for statutory compliance, ensuring that the Council manages its assets safely and in accordance with its statutory & regulatory obligations. For the benefit of our residents, we also maintain a substantial garage estate and deal with requests for licences, land purchase enquiries and other general estates matters.

The Property Service also leads on the development and delivery of major projects across the District, these include projects such as the South Oxhey Regeneration Initiative, but also projects such as the transformation of the corporate estate, the better utilisation of Three Rivers House and the upgrading of office facilities at Batchworth Depot.

As an active service leading on property projects and initiatives, the Property Service also provides support to other Services within the Council to add value and assist with projects and schemes.

**1.2 Budgets**

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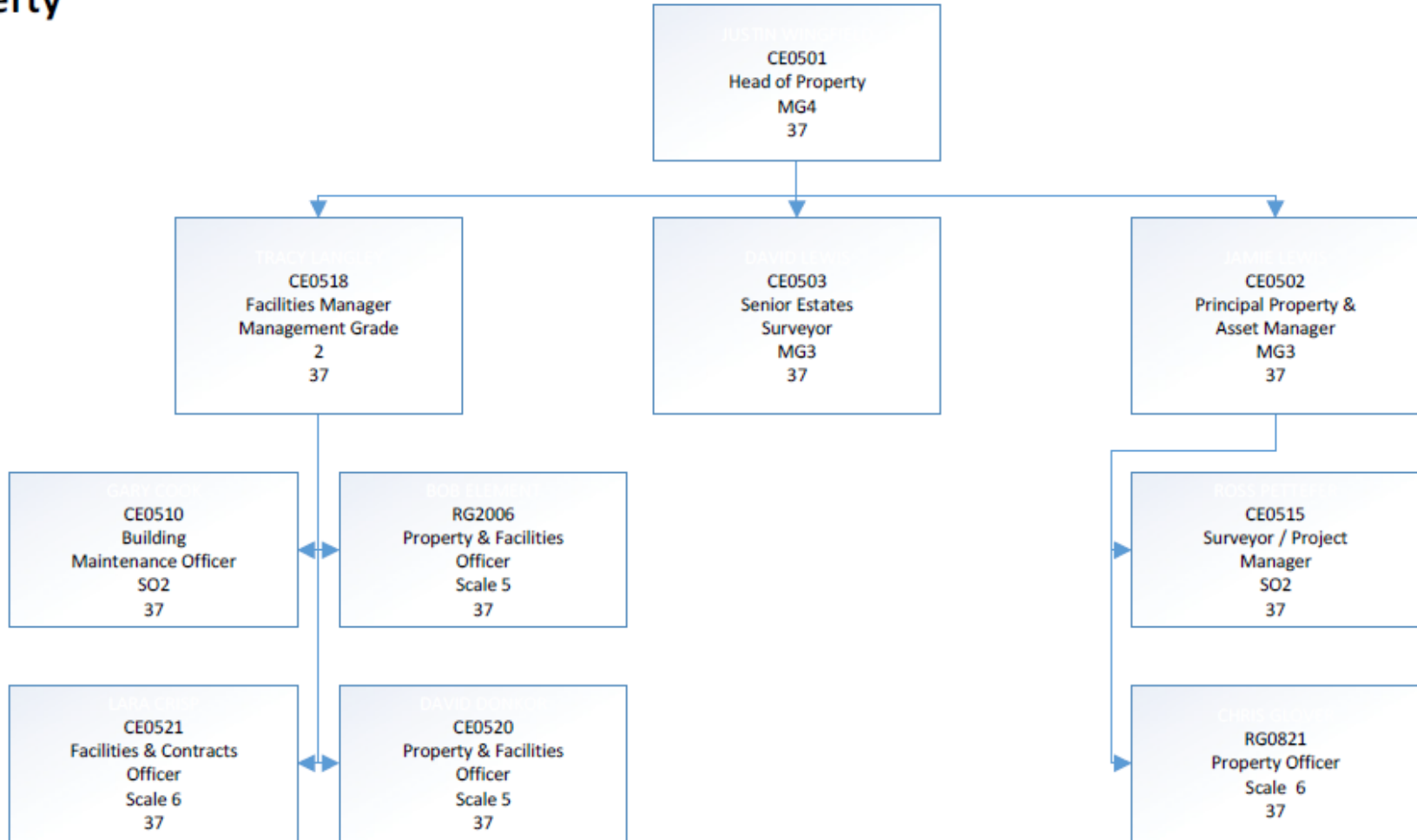
	<b>2022/23 Latest £</b>	<b>2023/24 Latest £</b>	<b>2024/25 Latest £</b>
Net Cost of Service (Direct cost / Income Only)			

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Further financial analysis can be found by using this link



# Property



## SECTION 2: SERVICE DELIVERY

<b>2.1</b>	<b>Performance Management</b>
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### 2.1.1 Contribution to the Councils' Strategic Aims and Objectives

<b>Corporate Framework Priority theme</b>	<b>Corporate Objectives</b>	<b>Service contribution to the Corporate Themes</b>
<b>Housing and Thriving Communities</b>	<ul style="list-style-type: none"> <li>• We will work on a local plan to deliver sufficient housing and adopt that plan by 2021</li> <li>• Through our joint ventures and partnerships we will take all available practicable action to increase the supply of affordable homes in the district</li> <li>• We will complete the delivery of the main and learner pools and refurbishment to the leisure venue at South Oxhey</li> <li>• We will seek to increase the number of Green Flag accredited parks and open spaces</li> <li>• We will work towards reducing inequalities, prevent homelessness and encourage healthy lifestyles</li> </ul>	<ul style="list-style-type: none"> <li>• The service will support the direct delivery of new and affordable homes within the District, through the release of Council-owned development land, direct development through joint venture opportunities and through its facilitation and partnership relationships.</li> <li>• The South Oxhey Regeneration Initiative remains a major component in the Council's ambitions to provide greater numbers of affordable housing within the District. The Property Services Team are actively undertaking feasibility assessments to consider further phase of development.</li> <li>• Other sites the Council owns or are acquiring will also provide additional affordable housing at policy compliant levels and where appropriate, wholly affordable housing schemes.</li> </ul>

	<ul style="list-style-type: none"> <li>We will continue to work with partners to tackle crime and anti-social behaviour and secure investment in priority interventions.</li> </ul>	
<b>Sustainable Environment</b>	<ul style="list-style-type: none"> <li>We will produce and deliver a Climate Change Strategy and action plan</li> <li>We will continue to improve the energy efficiency of the Council's buildings</li> <li>We will deliver and implement a Cycling and Walking Strategy</li> <li>We will seek to maintain our position as the highest recycling authority in Hertfordshire.</li> </ul>	<ul style="list-style-type: none"> <li>The Property Service takes an active role in supporting the Council's Climate Change Strategy commitment, from assessing energy efficiency of its own assets, to procuring greener energy sources via a Power Purchase Agreement. A major aspect of the Climate Change Strategy is being led by the Property Service.</li> <li>Current initiatives include reviewing opportunities to decarbonise the estate, reducing emissions and improving the energy efficiency of the Council's assets.</li> <li>A review of the baseline emissions data is being established through Energy Audits of Council premises and obtaining EPC's for Council owned tenanted assets in order to determine the exact position of the estate and what improvements are required to meet new &amp; emerging legislative requirements.</li> </ul>
<b>Successful Economy</b>	<ul style="list-style-type: none"> <li>We will undertake a review of the Council's role in relation to the economy and agree an economic strategy</li> <li>We will continue to participate in the Hertfordshire Growth Board and South West Herts Partnership and engage the Hertfordshire Local Enterprise Partnership to support the economy</li> <li>Three Rivers will be recognised as a great place to do business</li> </ul>	<ul style="list-style-type: none"> <li>The Council's tenanted commercial estate provides a range of premises for local businesses to develop &amp; grow and contributes to the economic resilience of our District.</li> <li>The Property Service will continue to manage a high performing and well maintained commercial property estate in order to meet business demands and satisfy emerging needs.</li> </ul>

	<ul style="list-style-type: none"> <li>• We will continue to improve our relationship with the local business community</li> <li>• We will continue to support Visit Herts and promote Three Rivers as the home of the internationally significant Warner Bros Studios.</li> </ul>	
<p><b>High Performing, Financially Independent Council</b></p>	<ul style="list-style-type: none"> <li>• We will generate enough income to continue to provide services for the district</li> <li>• We will develop and deliver an improved Property Investment Strategy to maximise income from our assets and support the Commercial Strategy</li> <li>• We will progress our Customer Service Strategy that provides a range of contact channels for customers and sets out corporate expectations of how they should be treated</li> <li>• We will produce an Organisational Development Strategy to support the Council in delivering its priorities and objectives.</li> </ul>	<ul style="list-style-type: none"> <li>• The Property Service will lead on the delivery and development of the adopted Property Investment Strategy.</li> <li>• The rental income produced by our assets supports and enhances direct service delivery and enables the Council to lead on regeneration and new development opportunities for the benefit our residents and local businesses.</li> </ul>

## 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 via the link above.

### Key Performance Indicators (KPIs) supporting the Corporate Framework

Ref	Description	2020/21 Actual	2021/22 Target (Current year)	2022/23 Target (Next Year)	2023/24 Target	2024/25 Target
PS06	Undertake a review of the Council's energy efficiency options. Establish a base line for the current properties and identify energy saving opportunities	New PI	TBC			
PS07	Property Investment Strategy Action Plan	New PI	TBC			

### Service Performance Indicators (PIs)

Ref	Description	2020/21 Actual	2021/22 Target (Current year)	2022/23 Target (Next Year)	2023/24 Target	2024/25 Target
PS05	Occupancy rate for the TRDC estate is above 90%	?	90%	>90%	>90%	>90%

**Please note that Performance Indicators are currently under review and some changes may be made for the final service Plans in March 2022**

The **Head of Property Services & Major Projects** 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 **Project Management**  
[See the Project Management Framework for further details](#)

<b>Project details</b>				<b>Project Manager: Interim Estates Surveyor</b>	
<b>Project title</b>				<b>Project Sponsor: Head of Property &amp; Major Projects</b>	
<b>Property Management System and Data Collection</b>				<b>Proposed outcome</b>	
				<b>Assembling accurate estate &amp; tenancy data, procuring and populating a new property management system will significantly improve the effectiveness &amp; efficiency of property management</b>	
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		
Data capture and database population	Data capture and database population	Data capture and database population	Data capture and database population	Long term project to recover data from leases/deeds and populate system in order to fully integrate/utilise PMS	Ongoing management of system

<b>Project details</b>				<b>Project Manager: Property &amp; Asset Manager</b>	
<b>Project title</b>				<b>Project Sponsor: Head of Property &amp; Major Projects</b>	
<b>Portfolio Condition Survey</b>				<b>Proposed outcome</b>	
				<b>Knowledge of the state and condition of the property portfolio together with estimated costs from a programme of addressing backlog maintenance</b>	
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		
Establish assets in scope	Rolling programme of asset surveys	Rolling programme of asset surveys. Develop spend profile and prepare Growth Bids were necessary	Rolling programme of asset surveys. Develop investment/refurbishment programme	Ongoing rolling programme	Ongoing rolling programme

<b>Project details</b>				<b>Project Manager: Head of Property &amp; Major Projects Project Sponsor: DCES</b>	
<b>Project title</b>				<b>Proposed outcome</b>	
South Oxhey Initiative Phase 3				Regeneration and delivery of new housing and retail in South Oxhey	
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		
On-site progression of works	On-site progression of works	On-site progression of works	On-site progression of works	Enhanced scheme delivery	Enhanced scheme not due to complete until at least 03/25

<b>Project details</b>				<b>Project Manager: Head of Property &amp; Major Projects Project Sponsor: DCES</b>	
<b>Project title</b>				<b>Proposed outcome</b>	
South Oxhey Initiative Phase 4				Regeneration and delivery of new private & affordable housing, leisure and potential community assets in South Oxhey	
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		
Feasibility work & financial modelling	Initial design and Planning pre-app engagement	Land assembly assessment	Planning engagement and development of potential scheme	Planning development and land acquisition	Ongoing project development

## 2.3

**Contracts**

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

<b>Title of Agreement</b>	<b>Service Area</b>	<b>Service Contact</b>	<b>Description of the goods and / or services being provided</b>	<b>Supplier Name</b>	<b>Contract Sum £</b>	<b>Start Date</b>	<b>End Date</b>	<b>Review Date</b>	<b>Option to extend and length of extension</b>
Office and Window Cleaning	Property Services	Facilities Manager	Office and Window Cleaning	Tenon FM Ltd		02/01/2018	01/01/2023		5 years

Postal Equipment	Property Services	Facilities Manager	Franking Machine and postal equipment (Framework agreement RM6017)	Quadient		18/1/21	18/1/27	01/10/2026	
Printers	Property Services	Facilities Manager	Printers (Framework Agreement GPSRM1599)	Canon		12/3/21	11/3/26	01/01/26	
Vending Machines	Property Services	Facilities Manager	Vending Machines						None
Building Engineering Services	Property Services	Mechanical & Electrical Engineer	Building engineering and maintenance services	Orion Heating Services Ltd		01/11/2020	31/10/2025	01/06/25	5 years
Supply of Electricity (HH and NHH)	Property Services	Mechanical & Electrical Engineer	Supply of Electricity (procured via Framework Agreement)	Laser Energy Buying Group		01/10/2016	01/10/2024	01/04/2024	
Supply of Gas	Property Services	Mechanical & Electrical Engineer	Supply of Gas (procured via Framework Agreement)	Laser Energy Buying Group		01/10/2016	01/10/2024	01/04/2024	
Water utilities	Property Services	Mechanical & Electrical Engineer	Utilities	Affinity Water			ongoing		
CCTV Maintenance	Property Services	Mechanical & Electrical Engineer	Maintenance of CCTV equipment (offices, depot and open spaces)	ADT Fire and Security PLC			ongoing		N/A
CCTV Maintenance	Property Services	Mechanical & Electrical Engineer	Maintenance of CCTV equipment (car park)	MRFS Group			ongoing		N/A
Fire Alarms	Property Services	Mechanical & Electrical Engineer	Rental and maintenance of fire alarm equipment	ADT Fire and Security PLC			ongoing		N/A



Intruder Alarms	Property Services	Mechanical & Electrical Engineer	Rental and maintenance of intruder alarm equipment	ADT Fire and Security PLC			ongoing		N/A
Fire Extinguishers	Property Services	Mechanical & Electrical Engineer	Provision and maintenance of fire extinguishers	Chubb Fire & Security Ltd			ongoing		N/A
Fire Suppression Maintenance	Property Services	Mechanical & Electrical Engineer	Server room fire suppression maintenance	Secure I.T. Environments Ltd			ongoing		N/A
Lift Maintenance	Property Services	Mechanical & Electrical Engineer	Maintenance of lift at Three Rivers House	Liftec			ongoing		N/A
Interior Plants	Property Services	Mechanical & Electrical Engineer	Provision and maintenance of interior plants at Three Rivers House	Nurture Landscapes Ltd			ongoing		N/A
Water Dispensers	Property Services	Mechanical & Electrical Engineer	Provision and maintenance of water dispensers at Three Rivers House	Waterlogic		01/08/2020	31/07/2022		1 year
Dust Mats	Property Services	Mechanical & Electrical Engineer	Provision and maintenance of dust mats at Three Rivers House	PHS Group plc			ongoing		N/A
Audio/Visual Equipment	Property Services	Facilities Manager	Provision of audio/visual equipment for Council Chamber and Committee Rooms	Carillion	53,000	01/08/2019	31/07/2022		
Planned Preventative Maintenance	Property Services	Mechanical & Electrical Engineer	Planned Preventative Maintenance	Orion BES	62,610	02/11/2020	01/11/2025		2 years
Garage refurbishment	Property Services	Property & Asset Manager	Refurbishment of Council garages - phase 7	GPS Facilities	294.000	1/12/2020	30/11/2021		

South Oxhey Initiative - Legal Consultants	Property Services	Head of Property & Major Projects	Legal consultancy for the South Oxhey Initiative project	Womble Bond Dickinson	250,000	18/12/2015	31/12/2022		N/A
South Oxhey Initiative - Procurement and Property Advice consultants	Property Services	Head of Property & Major Projects	Procurement and property advice consultancy for the South Oxhey Initiative project	Deloitte Real Estate	449,540	01/06/2012	31/12/2022		N/A
South Oxhey Initiative - Development services of real estate	Property Services	Head of Property & Major Projects	Design and execution	Countryside Properties (UK) Ltd and Home group	161,641	18/12/2015	31/12/2022		N/A

**2.4 Risk Management**

Risk Description	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
Short term staff absence	2	2	4
Total failure of ICT systems	2	2	4
Loss of accommodation	2	2	4
Fraudulent activity	1	2	2
Failure of Royal Mail to deliver or collect mail	1	2	2
Succession planning of Single Points of Failure roles identified	2	1	2
Failure to meet or satisfy statutory compliance obligations/legislative requirements in relation to health & safety matters (e.g. legionella, electrical, gas safety, asbestos management, fire risk, etc.)	1	2	2

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Likelihood Very Likely -----> 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 Low -----> 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
Version 1	5 October 2021	First Draft	JW
Version 2	14 October 2021	TL comments & updates	TL
Version 3	15 October 2021	Changes to incorporate TL & JW updates	JW
Final Draft v1	15 October 2021	All changes/amendments accepted	JW
Final Draft v2	4 November 2021	Minor amendments, PI adjustments, Structure Chart added and removal of proposed PID's project	JW



# **Revenues & Benefits SERVICE PLAN 2022 - 2025**

Service Plan Template

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## SECTION 1: THE SERVICE CONTEXT

### 1.1 Service Overview

#### The Role of the Service

The Revenues and Benefits Section is responsible for the billing, collection and recovery of key revenue streams for the Council, as well as the assessment and payment of Housing Benefit claims. Assessment and payment of Housing Benefit claims.

**1.2 Budgets**

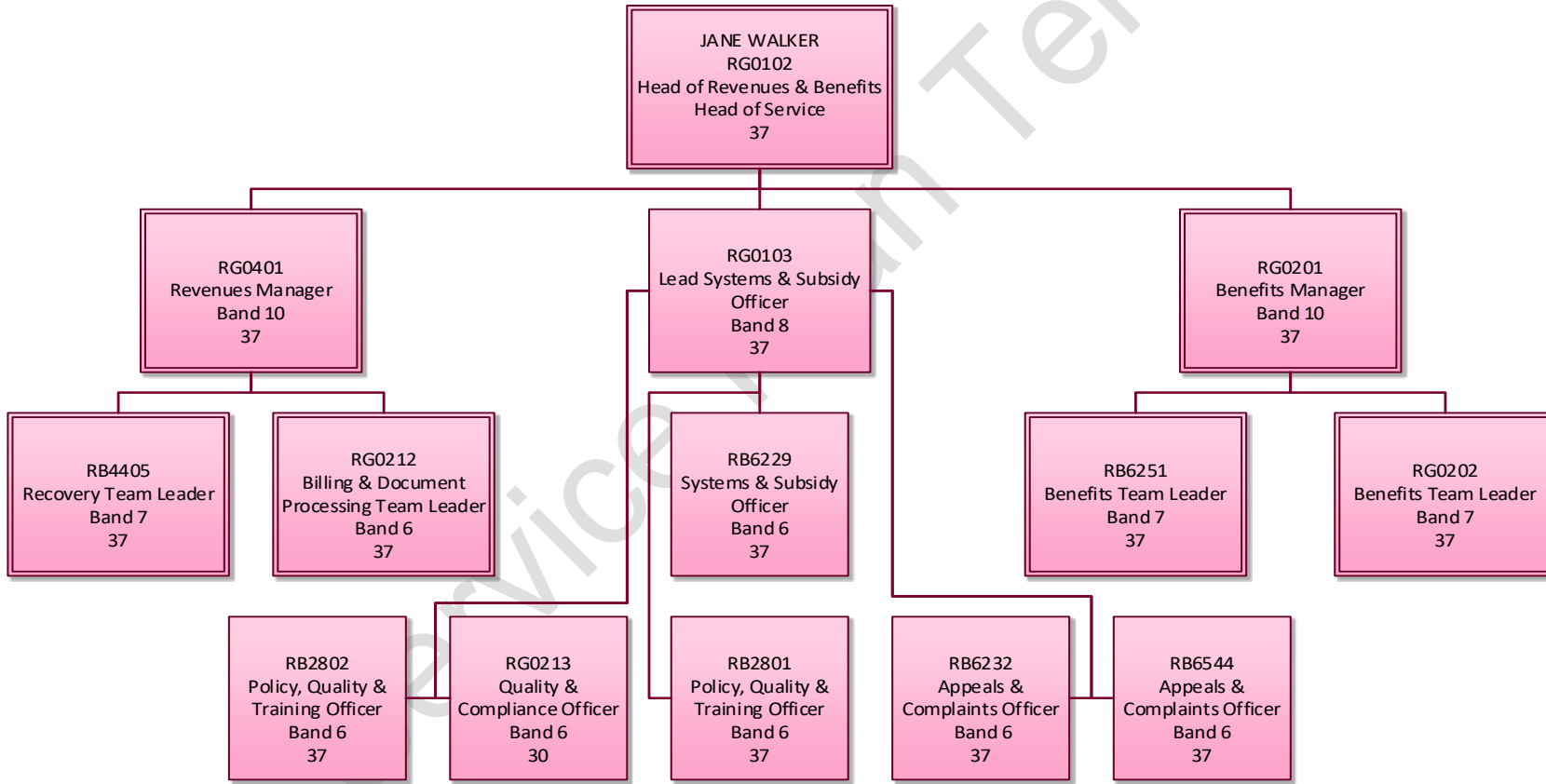
	<b>2022/23 Latest £</b>	<b>2023/24 Latest £</b>	<b>2024/25 Latest £</b>
Net Cost of Service (Direct cost / Income Only)			

Further financial analysis can be found by using this link

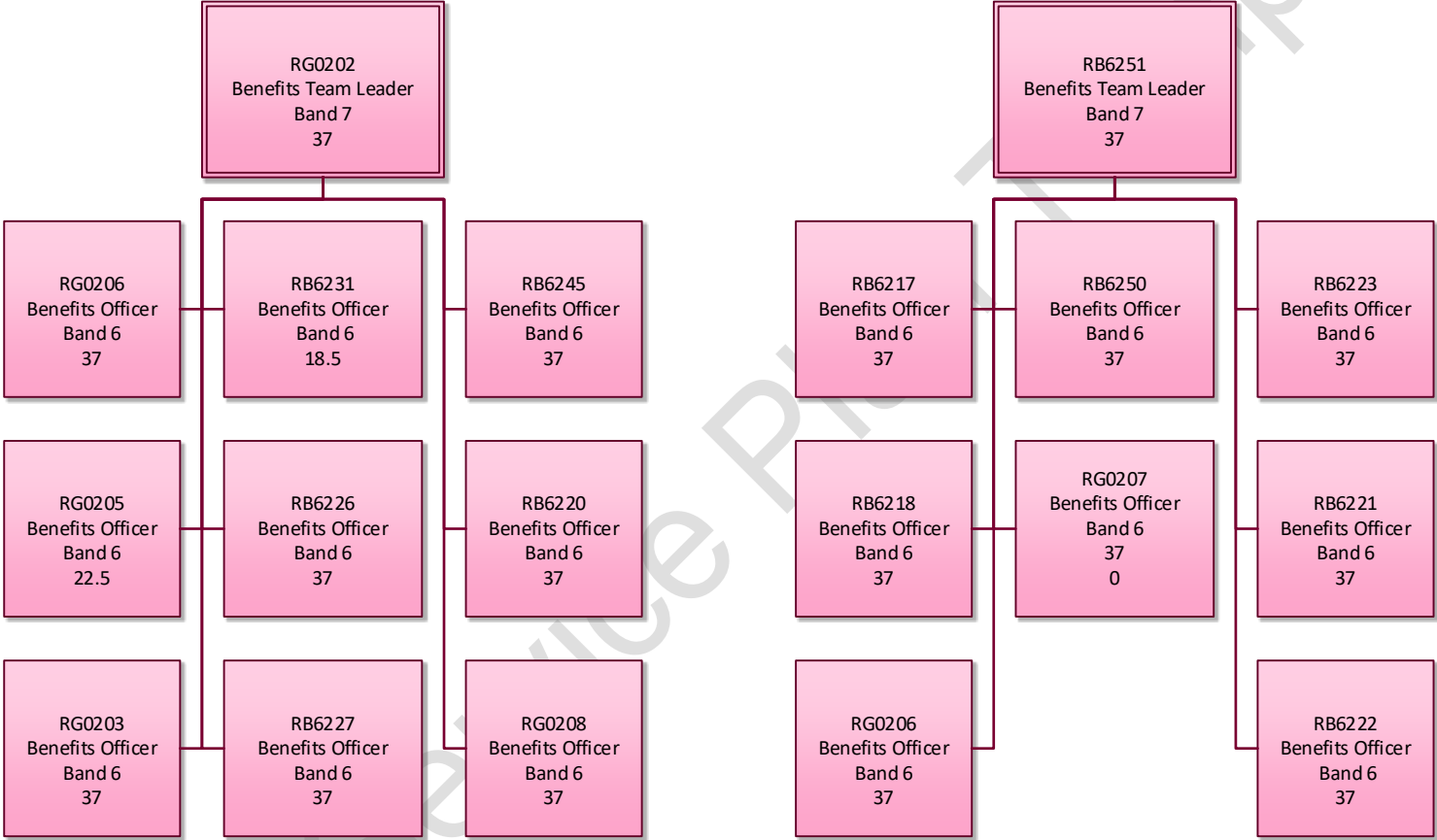
Service Plan Template



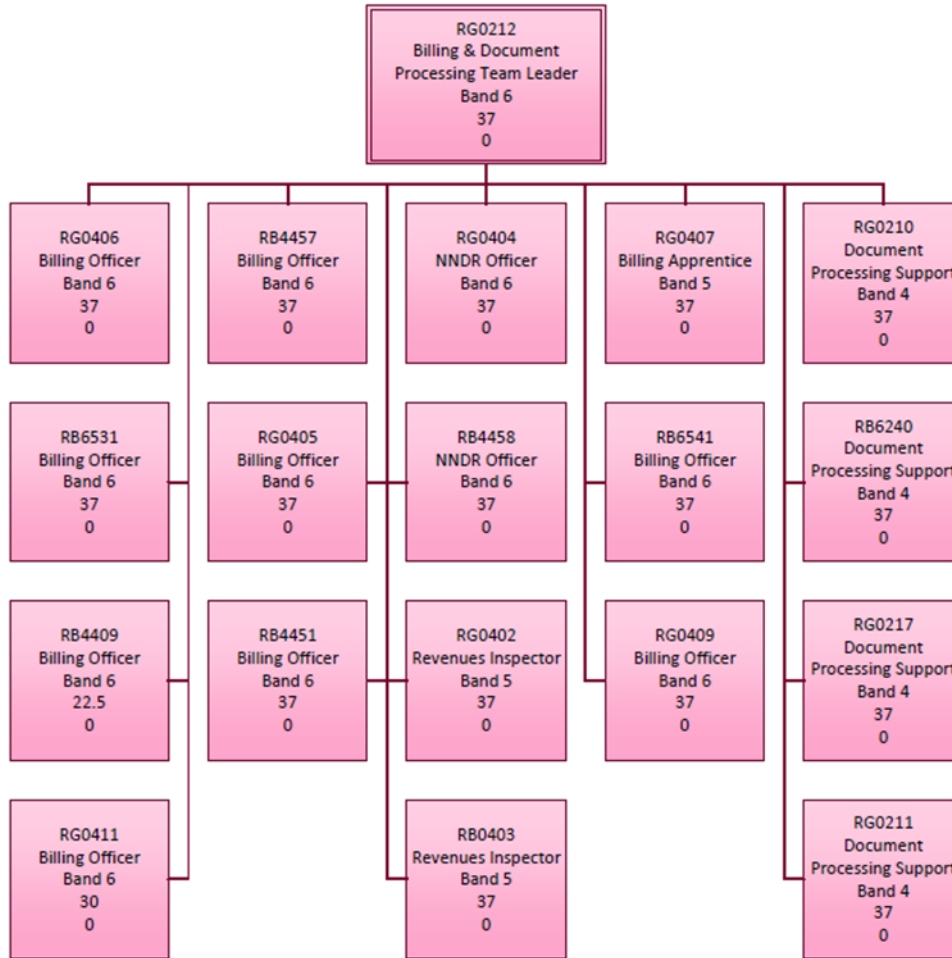
# Revenues & Benefits



# Benefits



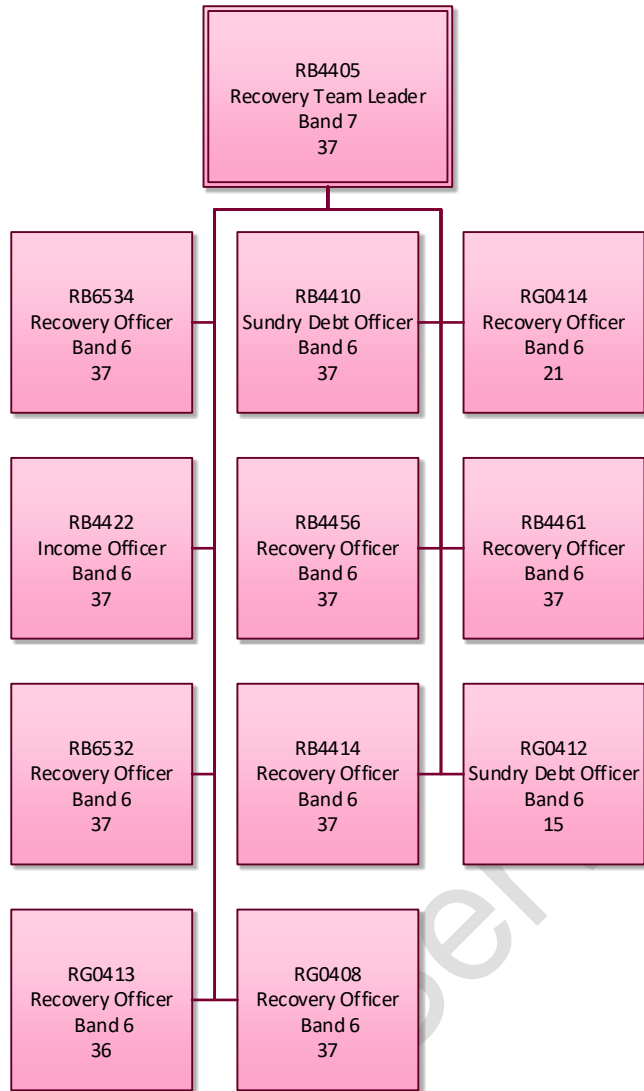
# Billing Team



Template

Se

# Recovery Team



**SECTION 2: SERVICE DELIVERY**

**2.1 Performance Management**

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

<b>Corporate Framework Priority theme</b>	<b>Corporate Objectives</b>	<b>Service contribution to the Corporate Themes</b>
<p><b>Housing and Thriving Communities</b></p>	<ul style="list-style-type: none"> <li>• We will work on a local plan to deliver sufficient housing and adopt that plan by 2021</li> <li>• Through our joint ventures and partnerships we will take all available practicable action to increase the supply of affordable homes in the district</li> <li>• We will complete the delivery of the main and learner pools and refurbishment to the leisure venue at South Oxhey</li> <li>• We will seek to increase the number of Green Flag accredited parks and open spaces</li> <li>• We will work towards reducing inequalities, prevent homelessness and encourage healthy lifestyles</li> <li>• We will continue to work with partners to tackle crime and anti-social behaviour</li> </ul>	<p>Much of the service actions would be business as usual and as the current benefit processing times and the Council Tax volumes and collection rates are good this should ensure that there would be no delay to the delivery of these priorities from a revenues and benefits perspective.</p> <ul style="list-style-type: none"> <li>• Council tax discount scheme policy</li> <li>• Hardship policies</li> <li>• Discretionary housing payment policy</li> <li>• Bailiff collection protocol's</li> <li>• Business rates discretionary rate relief policies</li> <li>• Write off policies</li> </ul> <p>Subject to the increase in housing not being substantial no additional resources would be required.</p> <p>If all policies were to be reviewed this may involve additional resource being engaged to ensure they are completed within the relevant timescales if fundamental changes were required. If the CTDS is to be reviewed for an April start date then this work would need to commence straight away, however, this was reviewed last year and no significant changes are anticipated this year.</p>

	and secure investment in priority interventions.	
<b>Sustainable Environment</b>	<ul style="list-style-type: none"> <li>• We will produce and deliver a Climate Change Strategy and action plan</li> <li>• We will continue to improve the energy efficiency of the Council's buildings</li> <li>• We will deliver and implement a Cycling and Walking Strategy</li> <li>• We will seek to maintain our position as the highest recycling authority in Hertfordshire.</li> </ul>	<p>To continue to review the delivery methods for our services. To cut down on operational methods that would increase the carbon footprint of the Council, e.g. to continue with the move to providing services digitally where appropriate, to ensure that our customers do not have to make unnecessary journeys to our offices.</p> <p>To ensure that where possible our services are not adding to the TRDC waste stream, even if the majority of the waste is recycled, e.g encouraging our residents to sign up for e-billing for Council Tax.</p>
<b>Successful Economy</b>	<ul style="list-style-type: none"> <li>• We will undertake a review of the Council's role in relation to the economy and agree an economic strategy</li> <li>• We will continue to participate in the Hertfordshire Growth Board and South West Herts Partnership and engage the Hertfordshire Local Enterprise Partnership to support the economy</li> <li>• Three Rivers will be recognised as a great place to do business</li> <li>• We will continue to improve our relationship with the local business community</li> <li>• We will continue to support Visit Herts and promote Three Rivers as the home</li> </ul>	<p>To continue to collect council tax and business rates, ensuring that benefit payments are processed on time and ensuring that any applications for discounts and exemptions (Council Tax and Business rates) are processed promptly.</p>

	<p>of the internationally significant Warner Bros Studios.</p>	
<p><b>High Performing, Financially Independent Council</b></p>	<ul style="list-style-type: none"> <li>• We will generate enough income to continue to provide services for the district</li> <li>• We will develop and deliver an improved Property Investment Strategy to maximise income from our assets and support the Commercial Strategy</li> <li>• We will progress our Customer Service Strategy that provides a range of contact channels for customers and sets out corporate expectations of how they should be treated</li> <li>• We will produce an Organisational Development Strategy to support the Council in delivering its priorities and objectives.</li> <li>•</li> </ul>	<p>Involvement in the development of the customer services strategy – we can provide help and advice from our recent improvement journeys.</p>

Service Plan Template

### 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 via the link above.

#### Key Performance Indicators (KPIs) supporting the Corporate Framework

Ref	Description	2020/21 Actual	2021/22 Target (Current year)	2022/23 Target (Next Year)	2023/24 Target	2024/25 Target
RB01 - Council Tax	Percentage of current year Council Tax collected in year	97.7%	99%	99%	99%	99%
RB02 - Business Rates	Percentage of current year Non Domestic Rate collected in year	93.14%	99%	99%	99%	99%
RB05 - Benefit	New claims – average time to process from date of receipt of claim to date claim processed	9 days	7 days	6 days	5 days	5 days
RB04 - Benefit	Time taken to process Housing Benefit changes in circumstances	3 days	5 days	5 days	5 days	5 days

#### Service Performance Indicators (PIs)

Ref	Description	2020/21 Actual	2021/22 Target (Current year)	2022/23 Target (Next Year)	2023/24 Target	2024/25 Target

Please note that Performance Indicators are currently under review and some changes may be made for the final service Plans in March 2022

The **Head of Revenues and Benefits** 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 Project Management**

<b>Project details</b>				<b>Project Manager: Project Sponsor:</b>	
<b>Project title</b>				<b>Proposed outcome</b>	
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		

<b>Project details</b>				<b>Project Manager: Project Sponsor:</b>	
<b>Project title</b>				<b>Proposed outcome</b>	
<b>2022/23 Milestones</b>				<b>2023/24 Milestones</b>	<b>2024/25 Milestones</b>
<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>		

## 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
Provision of Bailiff and Collection Services for Revenues and Benefits and Parking Services	Res & Bens	Revs & Bens	Bailiff / Enforcement Agent Services	JBW Group Ltd	Framework agreement				
Provision of Bailiff and Collection Services for Revenues and Benefits and Parking Services	Res & Bens	Res & Bens	Bailiff / Enforcement Agent Services	Marston (Holdings) Limited	Framework agreement				
Provision of Bailiff and Collection Services for Revenues and Benefits and Parking Services	Res & Bens	Res & Bens	Bailiff / Enforcement Agent Services	Newlyn plc	Framework agreement				
Provision of Bailiff and Collection Services for Revenues and Benefits and Parking Services	Res & Bens	Res & Bens	Bailiff / Enforcement Agent Services	Rundle & Co Ltd	Framework agreement				

**2.4 Risk Management**

<b>Risk Description</b>	<b>Residual Likelihood Score</b>	<b>Residual Impact Score</b>	<b>Residual Risk Score</b>

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Likelihood Very Likely -----> 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

Service Plan Template

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### COUNCIL – 14 DECEMBER 2021

#### PART I – NOT DELEGATED

#### 5. BUSINESS RATES POOLING

(DoF)

##### 1. Summary

- 1.1. To seek approval to enter into a business rates pool with Hertfordshire County Council (HCC) and a number of other Districts within the County for 2022/23.

##### 2. Details

###### Introduction

- 2.1. Under the business rates retention scheme local authorities are able to come together on a voluntary basis to pool their business rate income. A pooling arrangement will allow the Council greater scope to generate additional business rates growth across a wider geographic area.
- 2.2. The Council is currently a member of the Hertfordshire Business Rates Pool for 2021/22. The Hertfordshire Councils have come together to form a new pool for 2022/23. An application was made to DLUHC on 8 October 2021.
- 2.3. The memorandum of understanding which sets out the workings of the pool, the allocation of any running costs associated with operating the pool and the methodology for apportioning any gains achieved by the pool has been agreed as part of the application to the DLUHC and is included at Appendix 1. A lead authority will be appointed. As per the memorandum of understanding, it is anticipated that this will be HCC.
- 2.4. If the application is approved then the pool members can withdraw from the pool within 28 days of the publication of the Provisional Local Government Finance Settlement if they feel that it would no longer be of benefit to them. Though it should be noted that the effect of any local authority within that pool deciding to leave is that the entire pool is revoked, with no option to form a new pool until the following financial year

##### 3. Options/Reasons for Recommendation

- 3.1. The financial benefit of forming a pool is derived by reducing the amount of levy paid to central government on business rates growth. LG Futures have undertaken financial modelling to determine the optimum combination of Hertfordshire councils to form the pool. The authorities who would gain most financial benefit from a pool would be those who have the highest level of growth and therefore the highest value of levy payments.
- 3.2. The results of the modelling have indicated that the most beneficial combination of councils for 2022/23 would be Hertfordshire County Council, East Hertfordshire, Hertsmere Borough Council, North Hertfordshire District Council, Three Rivers District Council and Welwyn Hatfield Borough Council. Based on the modelling, the financial benefit to Three Rivers District Council could be additional income in the region of £600,000.
- 3.3. The Districts will continue to retain 70% of the growth. The County Council will continue to receive 30% of the growth. As has been the arrangement since 2016/17 when the County's share increased from 20% to 30%, the County will

place 50% of its 30% share in an Economic Growth Fund which will be allocated to projects and initiatives that support economic development and growth of the NNDR tax base in Hertfordshire. This will enable the retained income to be shared across the county and the benefit to be shared with those Councils which are not in the pool.

- 3.4. Bids to the Economic Growth Fund may be made by any local authority within Hertfordshire. Decisions on the allocation of funds will be made by the S151 Officer of Hertfordshire County Council and Pool Members, which may be in consultation with the Hertfordshire LEP and with the S151 Officers of all District Councils within Hertfordshire. If agreement cannot be reached on the allocation of the Economic Growth Fund, such will be resolved in accordance with the Dispute resolution provisions set out in the Memorandum of Understanding.
- 3.5. Any balance in the Economic Growth Fund will be invested in accordance with the Lead Authority's Treasury Management Strategy and interest will be allocated on the basis of average interest earned by the Lead Authority.

### **Pooling Governance Arrangements**

- 3.6. The governance arrangements for the pool are contained in Appendix 1. The key proposals are outlined below:
- The main objective of the pool is to generate increased resources for the region;
  - Pool members agree to protect and mitigate as far as possible the risks associated with business rate income;
  - The pool members agree to share costs, risks and benefits proportionately;
  - Subject to available resources pool members should be no worse off than they would be outside of the pool;
  - Pool members will be open and trusting in their dealings with each other
  - Decisions will be made in the pool members acting reasonably and in good faith.
  - That an Economic Growth Fund is established
- 3.7. If the new pool is not accepted by the DLUHC then there will be no pooling for 2022/23.

### **Risks**

- 3.8. Pooling business rates does bring with it some risks. The Government will make a safety net payment to authorities who see their income from Business Rates drop by a set percentage below their baseline funding level. In a pool the safety net payment is calculated on the pool as a whole. It is therefore unlikely that the Hertfordshire pool would ever trigger this payment.
- 3.9. The localisation of business rates already carries an element of risk as it is impacted by many factors, most of which are outside of the Council's control. These are already acknowledged in the Council's risk management strategy.

### **Timeline**

- 3.10. The timeline for establishing the pool is set out below:

Date	Action
December 2021	Provisional Local Government Settlement announced
January 2022	Local Authorities to notify DLUHC of their intention not to proceed.
April 2022	Pool commences



4. **Policy/Budget Implications**

4.1 The recommendations in this report are within the Council's agreed policy and budgets.

5. **Legal, Staffing, Environmental, Community Safety, Customer Services Centre, Communications & Website Implications**

5.1. None specific.

6. **Financial Implications**

6.1. These are included in the report.

7. **Equal Opportunities Implications**

7.1. Relevance Test

Has a relevance test been completed for Equality Impact? <i>There is no proposed change to current policy.</i>	No
---	----

8. **Risk Management and Health and Safety Implications**

8.1 The Council has agreed its risk management strategy which can be found on the website at <http://www.threerivers.gov.uk>. In addition, the risks of the proposals in the report have also been assessed against the Council's duties under Health and Safety legislation relating to employees, visitors and persons affected by our operations. The risk management implications of this report are detailed below.

8.2 This risk of being a member of the pool is not yet contained within the existing risk register but the general risk around the fluctuations in the level of business rates is already included. Any risks resulting from this report will be included in the risk register and, if necessary, managed within these plans.

8.3 The subject of this report is covered by the Finance and Revenue and Benefits service plans. Any risks resulting from this report will be included in the risk register and, if necessary, managed within this/these plans.

<b>Nature of Risk</b>	<b>Consequence</b>	<b>Suggested Control Measures</b>	<b>Response</b> <i>(tolerate, treat, terminate, transfer)</i>	<b>Risk Rating</b> <i>(combination of likelihood and impact)</i>
The pool may fall into a safety net position due to a reduction in business rates in one or more of the member authorities	Income from business rates may be less than budgeted	Regular monitoring of the pool.	Tolerate	2

8.4 The above risks are scored using the matrix below. The Council has determined its aversion to risk and is prepared to tolerate risks where the combination of impact and likelihood scores 6 or less.

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**

- 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%))

8.5 In the officers’ opinion none of the new risks above, were they to come about, would seriously prejudice the achievement of the Strategic Plan and are therefore operational risks. The effectiveness of the management of operational risks is reviewed by the Audit Committee annually.

**9. Recommendation**

9.1 That the Committee recommends that Council agrees that, subject to a final review following the Local Government Settlement for 2022/23, Three Rivers District Council enters into the Hertfordshire Business Rates Pool.

9.2 Recommend Council delegate authority to the Chief Executive and the Director of Finance, in consultation with the Chair and Vice Chair of the Policy and Resources Committee to sign up to the Hertfordshire Business Rates Pool, within 28 days of the Local Government Finance Settlement.

Report prepared by: Hannah Doney – Head of Finance

**Data Quality**

Data sources: LG Futures and Department for Levelling Up, Housing and Communities  
Data rating:

1	Poor	
2	Sufficient	
3	High	✓

**Background Papers**

No background papers have been used in the preparation of this report.

**APPENDICES / ATTACHMENTS**

Appendix 1 - Business Rate Pool Agreement Hertfordshire 2022/23 -  
Memorandum of Understanding

# **Hertfordshire, East Hertfordshire, Hertsmere North Hertfordshire, Three Rivers, Welwyn Hatfield Business Rate Pool.**

## **Memorandum of Understanding**

This Memorandum of Understanding is made on the 7th day of October 2021

Between:

**Hertfordshire County Council** of County Hall, Pegs Lane, Hertford, SG13 8DQ

**East Hertfordshire District Council** of Wallfields, Pegs Lane, Hertford, SG13 8EQ

**Hertsmere Borough Council** of Civic Offices, Elstree Way, Borehamwood, WD6 1WA

**North Hertfordshire District Council** of Council Offices, Gernon Road, Letchworth, SG6 3JF

**Three Rivers District Council** of Three Rivers House, Northway, Rickmansworth, WD3 1RL and

**Welwyn Hatfield Borough Council** of Council Offices, The Campus, Welwyn Garden City, AL8 6AE

(collectively referred to as the 'Pool' or 'Pool Members').

### **1. Purpose**

1.1. The purpose of the Pool is to enable the member authorities to maintain capacity to continue to invest in local developments that promote business growth, by reinvesting within the geographical area of Hertfordshire the business rates growth devolved through the localisation of part of the Non-Domestic Rates income. The Pool will work alongside and complement developments undertaken by the Local Enterprise Partnership in Hertfordshire.

1.2. The Pool is founded on a basis of cooperation and partnership, working together not only to retain a greater proportion of business rate growth within the Pool area, but also to identify opportunities to collaborate in the promotion of economic development, between County and Districts and across administrative boundaries, sharing the benefits of growth.

1.3. Pool members represent the key centres of economic activity, where opportunities for further growth are clearly identified. These members give the greatest benefit for retaining resources to be used to promote economic development across the geographical county of Hertfordshire.

1.4. It is the purpose of this Memorandum of Understanding to act as a Statement of Intent that will support the realisation of these benefits. The Pool Members have agreed to enter into this Memorandum of Understanding to formalise their commitment and to set out their respective roles and responsibilities in relation to the Pool.

## 2. Glossary of Key Terms

### 2.1. Definitions and Constructions:

Economic Growth Fund	A proportion of the Lead Authority's Net Retained Levy set aside to fund projects and initiatives across the county of Hertfordshire which promote economic growth and the growth of the NNDR taxbase.
Lead Authority	The Pool member (Hertfordshire County Council) who will act as the lead in managing the Pool's resources and being the key contact between central government and the Pool.
Levy	A charge made by central government on any increase in business rates income above the NDR Baseline. It is calculated using a nationally set formula, with an upper limit of 50 pence in the pound. All tariff authorities within Hertfordshire are currently liable for levy at this upper limit.
Memorandum of Understanding	Means this Memorandum of Understanding including these clauses.
NNDR	National Non-Domestic Rates
NDR Baseline	The expected level of business rates to be collected, as calculated by central government.
NNDR1	A central government form used to estimate a future year's business rates. Prepared on an annual basis by all billing authorities.
Net Retained Levy	The amount of levy retained locally. This is calculated as the sum of levies to be paid by individual Pool members if the Pool did not exist, less the levy to be paid by the Pool, less any safety net funding that would have been due to individual Pool members if the Pool did not exist and less the administrative costs of the Pool.
Pool	A voluntary arrangement amongst a group of local authorities (Hertfordshire County Council, East Hertfordshire District Council, Hertsmere Borough Council, North Herts District Council, Three Rivers District Council and Welwyn Hatfield Borough Council) to pool the business rates generated locally to ensure at least some of any levy is retained locally.
Safety Net	The additional funding received by an authority from central government if, in the government's opinion, the decline in business rates in any financial year would leave an authority with insufficient resources. Calculated using a national formula.
Tariff Authority	A local authority whose Baseline Need is lower than their NDR Baseline, assessed by central government under the Business Rates Retention Scheme (in this pool, East Hertfordshire District Council, Hertsmere Borough Council, North Herts District Council, Three Rivers District Council and Welwyn Hatfield Borough Council). Under the Scheme, the authority pays a Tariff to central government equal to the difference between Baseline Need and NDR Baseline.

Term	means the term of this Memorandum of Understanding as specified in Clause 5.
Top Up Authority	A local authority whose Baseline Need is higher than their NDR Baseline, assessed by central government under the Business Rates Retention Scheme (in this pool, Hertfordshire County Council). Under the Scheme, the authority receives Top Up grant equal to the difference between Baseline Need and NDR Baseline.

### **3. Key Principles**

3.1. The Pool Members agree that they will operate the Pool in accordance with the following principles:

- Increase in Resources

The Pool Members recognise that the fundamental objective of the Pool is to generate increased resources for the region, and for individual Pool Members.

- Risk Management

The Pool Members agree to protect and mitigate as far as possible the risks associated with the level of business rate income.

- Fairness

The Pool Members agree to share the costs, risks and benefits of local business rate retention proportionately. Costs are the administrative expenses incurred in operating the Pool. Subject to available resources, Pool Members should be no worse off than if they were outside the Pool.

- Transparency, Openness and Honesty

Pool Members will be open and trusting in their dealings with each other, make information and analysis available to each other, discuss and develop ideas openly and contribute fully to all aspects of making the Pool successful. It also includes sharing data and intelligence outside of the formal reporting mechanisms on any substantive issues relating to business rate retention within their area.

- Reasonableness of Decision Making

Pool Members agree that all decisions made in relation to this Memorandum of Understanding shall be made by them acting reasonably and in good faith.

### **4. Binding Memorandum**

4.1. This Memorandum of Understanding is intended to be legally binding and to create obligations between Pool Members with immediate effect from the execution of this Memorandum of Understanding.

### **5. Term of Memorandum**

5.1. This Memorandum of Understanding shall continue to be in place unless terminated in accordance with these terms.

5.2. Any Pool Member can leave the Pool from 1 April of the following Financial Year providing:

- Written notice is given to other Pool Members and the Ministry of Housing, Communities and Local Government (MHCLG) in at least sufficient time for the Pool to remain in place for the remaining Pool Members, should they wish it to continue. Sufficient time is taken to be at least the time specified by MHCLG in regulations and/or guidance.
- All liabilities to and from the Pool existing at the date of exit are paid.

5.3 Pool Members may not leave the Pool before 1 April of the following Financial Year.

5.4 Pool Members have approved this Memorandum of Understanding in advance of the Secretary of State designating the Pool for the purposes of the Business Rates Retention Scheme. If the Secretary of State adds conditions to the designation, either initially or at any point in the future, an immediate review of this Memorandum of Understanding, as outlined in Section 12, will be triggered.

## **6. Decision Making**

6.1. The Section 151 Officers shall be responsible for overseeing the operation of the Pool and making recommendations to their respective authorities about the way forward. Section 151 Officers will meet as required to review the operation of the Pool.

6.2. The Lead Authority shall ensure that reports are sent to the Section 151 Officers of each Pool Member as a minimum at end of September, December and March, updating them on the performance of the Pool and advising them of any issues. These reports should be available within six weeks of the quarter end.

6.3. For the avoidance of doubt, any substantive decision on the commitment of resources, changes in governance or major operational changes shall be referred to each Pool Members' decision making regime.

## **7. Dispute Resolution**

7.1. The Pool Members shall attempt in good faith to negotiate a settlement of any dispute between them arising out of or in connection to this Memorandum of Understanding. If this cannot be resolved by the Section 151 Officers it will be referred to a meeting of all Pool Members' Heads of Paid Service for resolution.

## **8. Resourcing**

8.1. Each Pool Member will provide the appropriate resources and will act with integrity and consistency to support the intention set out in this Memorandum of Understanding.

8.2. £10,000 per annum is allocated to the Lead Authority in recognition of the additional workload the administration of the pool places on the Lead Authority, subject to an annual review by Pool Members. This allocation will be the second call, after the fee payable to LG Futures, on the Net Retained Levy before any allocations are made.

## **9. Roles and Responsibilities**

9.1. Hertfordshire County Council will act as the Lead Authority for the Pool.

9.2. The responsibilities of the Lead Authority are:

- To make payments on behalf of the Pool to central government and Pool Members on time and in accordance with a Schedule of Payments to be agreed by the Pool Members,
- To liaise with and submit all formal Pool returns to central government on behalf of Pool Members,
- To keep Pool Members informed of all communications with central government,
- To manage the resources of the Pool in accordance with this Memorandum of Understanding,
- To prepare regular monitoring reports and consolidate intelligence on future resource levels on behalf of the Pool,
- To prepare the annual report of the Pool's activity,
- To co-ordinate the annual review and refresh of the Pool's governance arrangements and the methodology for the allocation of resources,
- To consult on and administer the schedule of payments between Pool Members in respect of all financial transactions that form part of the Pool's resources, and
- To lead on the timely provision of the information required, by Pool Members, in order to prepare their annual Statement of Accounts in relation to the activities and resources of the Pool.

9.3. To assist the Lead Authority in fulfilling this role, the responsibilities of individual Pool Members are:

- To make payments to the Pool on time and in accordance with a Schedule of Payments to be agreed by the Member Authorities,
- To provide accurate, timely information to the Lead Authority to enable all formal Pool returns to central government to be completed,
- To inform the Lead Authority, as soon as is practical, of any intelligence that may impact of the resources of the Pool either in the current year or in future years,
- To provide such information as the Section 151 Officers agree is reasonable and necessary to monitor/forecast the Pool's resources within the timescales agreed,
- To provide such information as the Section 151 Officers agree is reasonable and necessary on the use of the Pool's resources for inclusion in the Pool's annual report, and
- To provide accurate and timely information on the end of year financial performance of the business rates collection fund to enable the Lead Authority to calculate the end of year accounting entries needed.

## **10. Cash Management**

10.1. The governing principle for the cash management of the Pool is that no individual Pool Member, including the Lead Authority, should incur a treasury management gain or loss as a result of the transfer of funds between Pool Members.

10.2. The Pool will receive and pay interest annually on any retained resource at the average investment rate of the Lead Authority.

10.3. The Lead Authority will make payments to the Secretary of State for Housing, Communities and Local Government, on behalf of the Pool Members.

10.4. Any late payment may be subject to a late payment interest charge at Bank of England Base Rate plus 4%.

## 11. Allocation of Pool Resources

### 11.1. Principles

The allocation of resources will be based on the following principles:

- No authority will receive a lower level of funding than they would have received without the Pool,
- Any additional resource, after meeting this “no worse off” principle plus any costs of operating the pool, is shared between the Top-up Authority and the Pool Members where growth above NDR baseline has been generated,
- A balance between the level of risk and reward for individual Pool Members will be maintained, by ensuring that any loss of Safety Net is shared between Pool members, while gains are allocated proportionately to each Pool Member’s growth,
- The rationale for the Pool is to encourage economic growth therefore Pool Members are encouraged to use the additional resource to promote further economic growth.

### 11.2. Basis of Allocation

The underlying basis of allocation is first to ensure that no member is worse off than they would have been outside the Pool. This is achieved in the calculation of the Net Retained Levy, which comprises:

- the sum of levies to be paid by authorities if they had been outside the Pool; **less**
- the total levy to be paid by the Pool; **less**
- any safety net payments due to members that would have been paid if they were outside the Pool; **less**
- fee payable to LG Futures
- administrative costs charged to the Pool.

The Net Retained Levy is then allocated:

- 30% to the Top-up Authority (Hertfordshire County Council);
- 70% to be allocated to Tariff authorities (East Hertfordshire, North Herts and Three Rivers District Councils and Hertsmere and Welwyn Hatfield Borough Councils), pro rata to their levy that would have been paid outside the Pool i.e. proportionate to the extent to which their business rate income exceeds their NDR Baseline.

In the event that Net Retained Levy is negative, the shortfall will be borne:

- 30% to the Top-up Authority (Hertfordshire County Council);
- 70% to be allocated to Tariff authorities (East Hertfordshire, North Herts and Three Rivers District Councils and Hertsmere and Welwyn Hatfield Borough Councils), pro rata to the cash amount that would have been received from central government as part of the annual settlement, if the Pool arrangement was not in operation.



11.3. Subject to budgetary constraints, Pool Members intend to allocate additional resources from the Net Retained Levy allocated to them for spending that supports economic growth. In making these allocations Pool Members are emphasising their commitment to at least maintaining their underlying business rate base in real terms.

11.4 Specifically, Hertfordshire County Council will set aside 50% of its share (15% of the total Net Retained Levy) in an Economic Growth Fund, to be allocated to projects and initiatives that support economic development and the growth of the NNDR taxbase in Hertfordshire.

11.5 Bids to the Economic Growth Fund may be made by any local authority within Hertfordshire. Decisions on the allocation of funds will be made by the S151 Officer of Hertfordshire County Council and Pool Members, which may be in consultation with the S151 Officers of all District Councils within Hertfordshire. If agreement cannot be reached on the allocation of the Economic Growth Fund, such will be resolved in accordance with the Dispute resolution provisions set out in the Memorandum of Understanding.

11.6 Any balance in the Economic Growth Fund will be invested in accordance with the Lead Authority's Treasury Management Strategy and interest will be allocated on the basis of average interest earned by the Lead Authority.

11.7 On termination of the Pool arrangements, any monies held from the balance of Net Retained Levy shall be distributed in accordance with the allocation calculated for that financial year.

## **12. Review Arrangements**

12.1. A review and refresh of the Pool's governance arrangements and the methodology for the allocation of resources will be undertaken on an annual basis. It will be co-ordinated by the Lead Authority on behalf of the Section 151 Officers of each Pool Member and in sufficient time for any changes in Pool Membership to be in place before the start of the following financial year.

## **13. Signatories on Behalf of the Pool Members**

In witness whereof the parties have signed this Memorandum of Understanding the day and year first before written:

Signed on behalf of Hertfordshire County Council:

Scott Crudgington  
Director of Resources  
Hertfordshire County Council

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Signed on behalf of East Hertfordshire District Council:

Steven Linnett  
Head of Strategic Finance and Property  
East Hertfordshire District Council

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Signed on behalf of Hertsmere Borough Council:

Matthew Bunyon  
Head of Finance and Business Services  
Hertsmere Borough Council

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Signed on behalf of North Herts District Council:

Ian Couper  
Service Director – Resources  
North Herts District Council

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Signed on behalf of Three Rivers District Council:

Alison Scott  
Director of Finance  
Three Rivers District Council

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Signed on behalf of Welwyn Hatfield Borough Council:

Richard Baker  
Head of Resources  
Welwyn Hatfield Borough Council

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## POLICY AND RESOURCES COMMITTEE – 6 DECEMBER 2021

### PART 1 - DELEGATED

#### 11. EXEMPTION FROM PROCUREMENT PROCEDURE RULES – LIVESTREAMING/HYBRID MEETINGS (CED)

##### 1 Summary

- 1.1 To advise Members that an exemption to the Procurement process was approved by the Shared Director of Finance under the Exceptional Circumstances exemption as permitted by the Council's Constitution.

##### 2 Details

- 2.1 An exemption may be considered by the Chief Executive or a Director in exceptional circumstances. This applies in the case of the Livestreaming/Hybrid meetings.
- 2.2 Once approved, a report to the Policy and Resources Committee must detail the actions taken. This report is for information only to comply with the requirements of the Constitution.
- 2.3 The exemption was given to award the contract to Carillion. The cost of the work to be able to livestream/hold hybrid meetings will be met from a Grant of £60k which was successfully obtained from the Hertfordshire Health Protection Board.
- 2.4 Carillion submitted a quote as required by the Council's Contracts Procedures Rules, along with two other companies. The company were identified as the best choice for the work as they already supply the sound system and associated services within the Penn Chamber. As these systems link together it makes sense for a single supplier to carry out all the support and maintenance. From an officer perspective there is a single point of contact and one contract to manage. Training and a comprehensive support package are included.
- 2.5 The Committee should note that two other quotes were obtained which were comparable to the Carillion quote. On examination of them, it became apparent that the benefit of using the existing supplier was a strong option given the need for the new system to link into existing systems and would be extremely beneficial. It would also reduce the risks of managing the systems in the future. The feedback from officers who attended the presentations on the quotes was very positive about the proposals hence it became clear that this was by far the most advantageous route to a supplier contract and that all the circumstances justified this exemption.
- 2.6 Officers are progressing the work in order that the Council can livestream/hold hybrid meetings as soon as possible although it is not legally possible at the current time for Councillors making a decision at a public meeting to attend the meeting remotely.

##### 3 Options and Reasons for Recommendations

- 3.1 The Constitution requires that a report is taken to the Policy and Resources Committee on the action taken in the event that an exemption to the procurement process is approved.

##### 4 Policy/Budget Reference and Implications

4.1 The recommendations in this report are set out in Part 4 of the Council's Constitution.

## **5 Financial Implications**

5.1 There are no costs to the Council in installing the required equipment as the cost is being met by the grant from the Hertfordshire Health Protection Board

5.2 The yearly maintenance cost of £2,000 will be met within existing budgets

## **6 Legal, Equal Opportunities, Staffing, Environmental, Community Safety, Public Health, Customer Services Centre, Communications & Website, Risk Management and Health & Safety Implications**

6.1 None Specific.

## **7 Recommendation**

7.1 That the Policy and Resources Committee note the action taken.

Report prepared by: Sarah Haythorpe, Principal Committee Manager

### **Data Quality**

Data sources: not applicable

Data checked by James Baldwin, Solicitor to the Council, Tracy Langley, Facilities Manager and Emma Tiernan Head of ICT.

### **Background Papers**

The Council's Constitution: Part 4 – Contracts Procedure Rules

### **APPENDICES / ATTACHMENTS**

None

## POLICY AND RESOURCES COMMITTEE - 6 DECEMBER 2021

### PART I - DELEGATED

#### 12. PROPOSALS FOR SPENDING OF THE ADDITIONAL RESTRICTIONS GRANT (ARG) (DCES)

##### 1 Summary

- 1.1 The Additional Restrictions Grant (ARG) is Central Government funding provided to local authorities to enable them to support businesses through and as they recover from the pandemic.
- 1.2 An initial award of funding (£1.8 million) was received by TRDC in October 2020. These monies had to be spent (or committed) by July 2021 in order for an additional amount of funding to be received.
- 1.3 TRDC received further ARG funding in the autumn of 2021 totalling £829,000. These monies have to be spent (or committed) by 31 March 2022 otherwise the money is returned.
- 1.4 This report identifies a number of projects to support businesses and the economy in TRDC and seeks agreement for the ARG funding to be committed to these projects. This will enable the projects to commence and businesses to be supported.

##### 2 Details

- 2.1 The ARG funding was introduced to provide direct business grants and wider business and economic development support.
- 2.2 Enhanced business support settlements were first provided to areas entering Tier 3 restrictions for the first time from 14 October 2020. With the 31 October 2020 announcement that national restrictions would be reintroduced, the scheme was extended and formalised into the Additional Restrictions Grant to support all Local Authorities or Combined Authorities.
- 2.3 In October 2020 Three Rivers were provided ARG funding of £1.8 million pounds. These monies had to be committed/spent by July 2021 in order for the Council to be eligible for a further round of funding.
- 2.4 At the time of the first round of funding, infection rates were increasing and the Council's work was focused around the continued provision of its services. Whilst there was ongoing direct business support funding being provided through this ARG funding during the early part of 2021, the identification of projects and spend of the remaining monies became more urgent as July 2021 neared and subsequently the spend of this funding was agreed through an urgent decision by the Leader and the Group Leaders.
- 2.5 Some of the main projects identified and commenced as this time are detailed below and have included a range of partners and organisations. Funding was provided as grant funding:
  - Funding provided to Herts Growth Hub to focus on SMEs with high growth potential or a mixture of those businesses and smaller SME's that may not have qualified for funding under government funded schemes. Grants made available.

- Recruitment of a temporary Economic Development Consultant to develop a Health Check/toolkit for businesses involving High Street surveys, pop up business support hubs, webinars with a formal report and recommendations for action to support businesses and further revive the High Streets
  - Provision of an Economic Development Strategy to support economic growth in TRDC as businesses emerge from the pandemic
  - Direct award of grants to a range of businesses (grants awarded in excess of £1 million)
  - Community grants for charities with a business element
  - Sustainable travel projects to support businesses with employers/employee travel including Green Travel Planning initiatives and provision of real time bus information at 13 bus stops in TRDC.
  - Business support for SMEs and start ups involving business mentoring
  - External support provided to the Three Rivers Chamber of Commerce
  - Tourism campaign supporting tourism based businesses
- 2.6 The additional funding of £829,000 is currently to be committed/spent by 31 March 2022. If monies remain after this date they will have to be returned.
- 2.7 In terms of identifying projects for this additional funding Officers have considered how they can support businesses across Three Rivers as they recover from the pandemic. Some of the identified projects build on the success of the existing ARG projects, in addition to identifying support to other areas of the business community. Some of the projects provide indirect business support which will improve the conditions for businesses such as training opportunities and improving travel options for employers and employees. The proposed projects (to date) and potential spend are detailed at **Appendix 1**.
- 2.8 One aspect of the ARG work is the staffing resource required to identify, deliver and project manage both the funding and the individual projects. A Project Assistant is identified as part of the current proposals to further support Officers with this work. This resource would only be available until 31 March 2022.
- 2.9 The projects identified still leave some funding available. There are ongoing discussions with organisations to identify further projects. It is proposed further decisions are delegated to the Director of Finance in consultation with the Leader and Lead Member of Resources and Shared Services.

### **3 Options and Reasons for Recommendations**

- 3.1 Option 1: to agree for Officers to progress the identified projects and funding, subject to any appropriate processes such as procurement requirements. This will enable the projects to be secured, commenced and further businesses in TRDC supported with ARG funding by 31 March 2022.
- 3.2 Option 2: to delete any of the identified projects and funding and then approve an agreed list for Officers to progress, subject to any appropriate processes such as procurement requirements. This will enable the projects to be secured, commenced and further businesses in TRDC supported with ARG funding.

3.3 Option 3: to refuse the identified projects and funding which would then be returned as it cannot be spent prior to April 2022.

#### **4 Policy/Budget Reference and Implications**

4.1 The recommendations in this report are not within the Council's agreed policy and budgets. This is Government funding to support businesses through and beyond the Covid pandemic. Clear guidance exists on how these monies should be spent to support businesses, both directly and indirectly.

#### **5 Equal Opportunities, Environmental, Community Safety, Public Health, Customer Services Centre, and Health & Safety Implications**

5.1 None specific.

#### **6 Financial Implications**

6.1 The Additional Restrictions Grant is Central Government funding provided to Local Authorities to support businesses during, and as they recover, from the pandemic. The first round of funding of £1.8 million had to be spent or committed by July 2021. This was achieved and a further tranche of funding (£829,000) given to TRDC.

6.2 The guidance is clear that if the monies are not spent or committed by 31 March 2022 they will be returned. This date may change but there have been no recent announcements.

6.3 Further monies remain in the ARG fund and Officers will continue to work to identify any further projects.

#### **7 Legal Implications**

7.1 Central Government guidance has been produced which clearly details how and when the ARG fund can be spent. Regard is had to this Government guidance. Government returns are expected.

#### **8 Equal Opportunities Implications**

8.1 Relevance Test

Has a relevance test been completed for Equality Impact?	No
Did the relevance test conclude a full impact assessment was required?	N/A

#### **9 Staffing Implications**

9.1 The work of identifying projects and subsequent project management has been undertaken by existing Officers within existing budgets and on top of existing work programmes. Officers will continue to support these projects, however a short term staffing resource is now required to lead on these. Without the additional resource, Officers may not achieve the outputs detailed in **Appendix 1**.

**10 Communications and Website Implications**

10.1 The TRDC Communications team have worked with Officers delivering the ARG funding and our partners to promote the existing projects. They will continue to support these and other projects to ensure projects and opportunities are communicated widely both internally and externally.

**11 Risk and Health & Safety Implications**

11.1 The Council has agreed its risk management strategy which can be found on the website at <http://www.threerivers.gov.uk>. In addition, the risks of the proposals in the report have also been assessed against the Council’s duties under Health and Safety legislation relating to employees, visitors and persons affected by our operations. The risk management implications of this report are detailed below.

11.2 The subject of this report is covered by the 2022-2025 Regulatory Services, Community Partnerships and Economic Development and Sustainability Service Plans. Any risks resulting from this report will be included in the risk register and, if necessary, managed within this/these plan(s).

<b>Nature of Risk</b>	<b>Consequence</b>	<b>Suggested Control Measures</b>	<b>Response</b> <i>(tolerate, treat, terminate, transfer)</i>	<b>Risk Rating</b> <i>(combination of likelihood and impact)</i>
Remaining ARG funding is not spent or committed by 31 March 2022	Monies have to be returned.  TRDC businesses are not supported  Negative perception of the Council	Early identification of projects  Relevant processes in place to agree funding.	Treat	3-6

11.3 The above risks are scored using the matrix below. The Council has determined its aversion to risk and is prepared to tolerate risks where the combination of impact and likelihood scores 6 or less.

Very Likely ↓ Likelihood	<b>Low</b> 4	<b>High</b> 8	<b>Very High</b> 12	<b>Very High</b> 16
	<b>Low</b> 3	<b>Medium</b> 6	<b>High</b> 9	<b>Very High</b> 12



	<b>Low</b> <b>2</b>	<b>Low</b> <b>4</b>	<b>Medium</b> <b>6</b>	<b>High</b> <b>8</b>
	<b>Low</b> <b>1</b>	<b>Low</b> <b>2</b>	<b>Low</b> <b>3</b>	<b>Low</b> <b>4</b>
	<b>Impact</b>			
	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%))

11.4 In the officers' opinion none of the new risks above, were they to come about, would seriously prejudice the achievement of the Strategic Plan and are therefore operational risks. The effectiveness of the management of operational risks is reviewed by the Audit Committee annually.

**12 Recommendation**

12.1 For the Committee to agree the following:

i) Option 1: for Officers to progress the identified projects and funding, including the Project Support Officer, subject to any appropriate processes such as procurement requirements. This will enable the projects to be secured, commenced and further businesses in TRDC supported with ARG funding.

AND

ii) To delegate any further decisions for the spending of ARG funding to the Director of Finance in consultation with the Leader and Lead Member for Resources and Shared Services, to ensure monies are committed/spent by 31 March 2022.

Report prepared by: Kimberley Rowley, Head of Regulatory Services

**Data Quality**

Data sources:

Additional Restrictions Grant: Guidance for Local Authorities

Data checked by: Kimberley Rowley

Data rating:

<b>1</b>	<b>Poor</b>	
<b>2</b>	<b>Sufficient</b>	<b>X</b>

3	High	
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**Background Papers**

Not applicable

**APPENDICES / ATTACHMENTS**

Appendix 1: ARG identified projects and spend

Provider	Scheme	Description	Link to Promoting Business/Recovery	Amount	Existing/ New	Priority/D elivery	Lead Officer
TRDC/Comensura	Project Support Assistant	3 month resource to support administration of funding - to support implementation of charitable sector, high street, business support and sustainable travel projects	Supporting administration of projects to support businesses and high streets	£10,000	New		Kimberley Rowley
TRDC	Advertising budget for business communications	The project will involve identifying and writing stories about the local area which we can push out across our channels. This would include: • Paid for search engine marketing, such as through Google. • Paid social media promotion of new content through Facebook, Instagram and Twitter  Promoting and supporting local businesses and promoting both the attractions of the District as well as why it is attractive for businesses.	Advertising budget to support the wider tourism campaign of Three Rivers district, its attractions and events, by producing our own high quality content to be promoted with paid for advertising online.	£5,000	New		Tim Jones
TRDC	Photography project	Commission a professional photographer to capture images across the district to develop a new and wide-ranging photography database to supply all communications and marketing initiatives. This project would provide images which could be used for anything from social media content, to refreshing the website and in all our external and internal news and communication.  The project should capture images including town and village centres, key attractions, sites, road networks, buildings across Three Rivers throughout all four seasons. This will ensure we have images which can be used all year round to promote the District which would support the business support projects	Images available to support business communications	£5,000	New		Tim Jones
TRDC	Social media for targeted promotion	Additional and targeted promotion to reach businesses.	Targeted social media to promote business support schemes	£2,000	New		Tim Jones
TRDC	Communications software (GovDelivery) 3 year licence (2022/25)	Delivery of email communication system. Extension of existing licence for a further 3 years. Software allows comprehensive email system including with businesses. Currently £16,500 unique subscribers. Business newsletter delivered through this system	Improved business communications	£16,344	New		Carl Harris
Watford Chamber of Commerce and Services for Young People	Job Club	Pop up job clubs to upskill but also to connect people with complex needs in to opportunities for work. It would include a mentor through the job club and the job club would be targeted in the deprived areas of the district - South Oxhey, Mill End/Maple Cross and School Mead/Gade Valley. Services for Young People will refer clients known to them (NEETS, care leavers and ex-offenders). They will work with residents from Three Rivers and where possible businesses in Three Rivers but they will also support residents from Three Rivers who gain employment in businesses outside the borough. Proposal and cost breakdown reviewed.	Providing training, skills and opportunities to work for those in specific areas of TRDC, increasing the TRDC pool of potential employees to the benefit of businesses.	£80,000	New		Shivani Dave / Rebecca Young
Smarter Society	Low Carbon Business Support and Grants Scheme	1. Provide small grants to businesses - approx. £100k - individual up to £5k grant size focused on implementing green tech initiatives 2. Promote and administer the grant scheme 3. Provide Business mentoring (6 hours) to help them to grow and to gain information on outcomes of the grant. 25-30 businesses. The grant amount is variable depending on how many businesses you want to support - The grants should be up to 5k for low carbon.  £167,000 is made up of: Grant admin costs: £25,000 Mentoring, mobilisation, reporting, recruitment and engagement: £42,000 Grant budget: £100,000  To work with Sustainable X - so that they generate the interest.	Supporting businesses to recover sustainably as they emerge from the pandemic.	£167,000	New		Kimberley Rowley / Charlotte Gomes
Sustainable X	To support businesses to become more sustainable.	Sustainable X will deliver a programme of workshops and industry specific guides to SME's in Three Rivers to educate and recipients on sustainability and net-zero carbon. 890 organisations with employee numbers ranging from 5 to 250 (SME) will be targeted. This sector range in their understanding of sustainable measures from having no idea on how sustainable initiatives could benefit themselves, to those who are operating some measures.  The team delivering the project are experienced business people themselves. The project will start with an email campaign, followed by guides to share with businesses, then workshops, and finally one-one session with a few who require additional help.  The programme will help businesses become aware of net-zero and sustainability, enable them to measure their own performance, improve access to larger supply chains, become more attractive as an employers, increase chance of winning tenders, save money by reducing waste, be on top of regulations, and be more attractive for external funding opportunities.  A tailored marketing campaign will be initiated to attract customers, 8 bespoke guides will be produced, a website and an evaluation of success.	Encourage and enable businesses to contribute to a healthy business and community ecosystem. 146 businesses are anticipated to benefit from the guides, 40 with workshops. The project will signpost to other schemes such a kickstart, low carbon workspaces, Hertfordshire business expansion grant scheme and smarter society grants if that goes ahead.	£35,000	New		Rebecca Young/ Jo Hewitson
Smarter Society	Chamber Redevelopment project - Implementation phase	1. Implementation of the strategic options to support the TR Chamber of Commerce 2. Setup of marketing and ongoing admin support 3. New website build	To support the TR Chamber of Commerce in providing a high level service to support TRDC businesses beyond the pandemic	£40,500	New		Kimberley Rowley / Charlotte Gomes
WENTA	Business support funding	Free business support to Three Rivers residents - upskilling them and leading them to self-employment prospects as well as providing unemployed residents with the opportunity to re-train on subjects to lead them to improved employability/self employment prospects.	The ONS stats state that 700 businesses started in Three Rivers in 2019 - this is the latest data available currently. WENTA will continue to support new businesses and those who are self-employed by identifying and supporting clients that wish to start their own business and give them the skills to do so. They will also provide assistance in the early stages of a business journey and to help client re-launch or get an idea "off the ground".	49,476	New		Kimberley Rowley/Charlotte Gomes
ASCEND	To support Community Centre hosting jobs clubs and support for people returning to work	To support the Community Centre Step Up due to covid and loss of income to maintain and continue running. It hosts the healthy hub and many projects supporting economic development in Three Rivers. This includes, Job Clubs, support for CV writing, Building Better Opportunities and volunteering. They will offer an enriched service of employability activities, two job clubs, open up an IT suite to encourage digital inclusion, welcome back project partners to utilise and book space, offer new virtual as well as face to face events/ courses to a wider audience, particularly in the evenings. Support for positive physical/mental health and wellbeing will include our weekly Mental Health support group, Cookery Demonstrations etc. through our Three Rivers Healthy Hub as well as our new Social Prescribing/ Healthcare Project (The Wellbeing Link Project) starting in January 2022		£63,087	New		Rebecca Young
Smarter Choices Travel Planner	Personal travel planning software to help employees choose the best way to get to work  Extension of existing project	Help employ and retain staff, support through sustainable travel. New, unique software developed with a major sustainable travel promoter - Actively encourages people to consider all the travel options, by providing cost etc. comparisons based on up to date data - For up to 5,000 employees of local businesses, e.g. all in same area - Service for 18 months includes option to reprovide to four major employers (or e.g. Parishes) with no DPA/contractual issues - Tested provider (contracted to HCC for over 15 years)  Currently have 4 licences with previous ARG funding.  Four larger commercial sites (Tolpits Ln, Leavesden Green, Rickmansworth and Kings Langley) and to target four major employers with a dedicated package for each.  4 further licenses would cost £7k per employer and would have substantially better effect on the travel habits and capabilities of the several thousand employees they maintain. Details below.  This is from development of current scheme - during scoping, we have discovered that due to the siting of these employers, each will otherwise skew the benefits offered to other smaller firms on each site: Cameklot (Tolpits Ln) Imagination tech (Kings Langley) TRDC (Ricky) Skanska (Leavesden Green)	Help employ and retain staff, support through sustainable travel.	£28,000	New		Kimberley Rowley/Peter Simons
Business Start Up Support	To support start up businesses	Supporting provider of start up accommodation in the District.  Aware other start up accommodation in Rickmansworth (Regus) is no longer available.	Supporting start up businesses	£10,000	New		Kimberley Rowley/Claire May
External supplier	Telemarketing proposals	Promoting access to business support opportunities, funding and advice.	Business support scheme communicating grant and support opportunities	5,500	New		Duncan Smith/Claire May
TRDC	Business Communications Officer	Promoting business communications, engaging with businesses		£29,000.00	New		Tim Jones
<b>TOTAL:</b>				<b>£545,907</b>			

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## POLICY AND RESOURCES COMMITTEE – 1 DECEMBER 2021

### PART I - DELEGATED

#### 13. **WORK PROGRAMME** (CED)

##### 1 **Summary**

1.1 To agree the Committee's work programme.

##### 2 **Details**

2.1 Attached, as an appendix to this report, is the Committee's work programme.

2.2 The work programme includes information to Members on the purpose of the item being considered, how the work will be completed, the responsible officer and the outcome expected.

2.3 The work programme is presented for consideration to enable the Committee to make any changes it feels necessary, to review whether reports should remain on the work programme and to provide Members with updated information on future meetings.

2.4 On the item on the Community Interest Company it was not proposed to take forward this matter and the item has been taken off the work programme.

##### 3. **Policy/Budget Implications**

3.1 The recommendations in this report are within the Council's agreed policy and budgets.

##### 4. **Financial, Legal, Staffing, Environmental, Community Safety, Customer Services Centre, Website and Risk Management Implications**

4.1 None specific to this report.

##### 5. **Recommendation**

5.1 That the Committee agrees the items included in the work programme and notes the amendments made following the 13 September meeting (shown in *italic* in the work programme).

Report prepared by Sarah Haythorpe, Principal Committee Manager

#### **Background Papers**

Policy and Resources Committee Minutes

#### **APPENDICES / ATTACHMENTS**

Appendix A - Committee Work Programme

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## POLICY AND RESOURCES COMMITTEE - WORK PROGRAMME

No.	Item to be considered	Link to Strategic Plan	Date of Next Meeting	Purpose of the Report	How the work will be done	Responsible Officer	Outcome Expected
1.	Performance Report		Reported via MIB	Performance report update	Written Report	Performance and Projects Manager	Report to note, this will be reported via the Members' Information Bulletin
2.	Public space protection order report following public consultation		24 January 2022	To receive a report following the public consultation	Written Report	Head of Community Services	To make a recommendation to Council
3.	Street Trading Policy		24 January 2022	To receive a report following the public consultation	Written Report	Head of Regulatory Services	To make a recommendation to Council
4.	Hackney Carriage, Private Hire and Operator Policy		24 January 2022	To receive a report following the public consultation	Written Report	Head of Regulatory Services	To make a recommendation to Council
5.	Financial Planning 2021-2024 to include Fees and charges		24 January 2022	To receive a report	Written Report	DoF and Service Heads	To recommend the budget to Council
6.	Appoint to the Sub-Committees of P&R		13 June 2022	To receive a report	Written Report	Principal Committee Manager	To consider the recommendations
7.	Budget Outturn report 2020/21		13 June 2022	To receive a report	Written Report	Head of Finance	To consider the recommendations

**APPENDIX A**

No.	Item to be considered	Link to Strategic Plan	Date of Next Meeting	Purpose of the Report	How the work will be done	Responsible Officer	Outcome Expected
8.	Member Training		18 July 2022	To receive a report	Written report	Principal Committee Manager	To consider any recommendations
9.	Calendar of meetings 2024/25		12 September 2022	To receive a report	Written report	Principal Committee Manager	To recommend the calendar to Council
10.	Draft Corporate Framework and Financial planning 2023-2026		12 September 2022	To receive a report	Written Report	Director of Finance/Head of Community Partnerships	To consider the recommendations
11.	Draft Corporate Framework, Draft Service Plans and Growth Bids 2022-2025		5 December 2022	Written report		Director of Finance/Head of Community Partnerships	To receive a report
12.	Business Rate Pooling 2023/24		5 December 2022	<i>Written Report to seek approval to enter into a business rates pool with Hertfordshire County Council (HCC) and a number of other districts within the County for 2022/23.</i>		DoF	To recommend to Council.
13.	Review of Strategic Risks		5 December 2022	Written Report	Written Report	Emergency Planning and Risks Manager	To consider the recommendations



No.	Item to be considered	Link to Strategic Plan	Date of Next Meeting	Purpose of the Report	How the work will be done	Responsible Officer	Outcome Expected
14.	Community Infrastructure Levy (CIL) once the Government have reviewed CIL		<p><i>CIL will still be reviewed alongside the Local Plan but only at the point where policies and sites have been formally agreed as CIL has to be based on the effects of the policies and relate to the allocated sites.</i></p> <p><i>It is currently anticipated that a report will be due in 2022/2023. This of course depends on the progress on the Local Plan.</i></p>	To receive a report	Written report	DCES/Head of Planning Policy and Projects	To consider any recommendations

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## POLICY AND RESOURCES COMMITTEE – 6 DECEMBER 2021

### PART I - DELEGATED

#### 14A. PROPOSALS FOR SPENDING OF THE HOUSEHOLD SUPPORT FUND (DCES)

##### 1 Summary

- 1.1 As part of efforts to recover following the pandemic, Hertfordshire County Council has been provided with £6.172m funding from the Government's Household Support Fund (HSF). This funding will be used to help people in need this winter with things like the cost of food and energy.
- 1.2 Hertfordshire County Council are working with a range of partners across the county to make sure we can get the right help to those who need it, at the right time. This targeted approach will mean that residents can be supported and get professional assistance from the county council, borough and district councils and organisations such as HertsHelp, our Money Advice Service and local Citizens Advice services.
- 1.3 Three Rivers District Council will receive a total of £33,000 for food support and £44,000 for fuel support.

##### 2 Details

- 2.1 Three Rivers' District Council have received funding from the Government's new "House Support Fund" which aims to help families and households most in need this winter. At least 50% of the total funding will be ring-fenced to support households with children, with up to 50% of the total funding to other households or individuals in need of support this winter.
- 2.2 The funding can support households not currently in receipt of DWP welfare benefits.
- 2.3 **Eligible spend includes:**
- 2.4 **Food**
- 2.5 The Fund should primarily be used to provide support with food whether in kind or through vouchers or cash.
- 2.6 **Energy and water.**
- 2.7 The Fund should also primarily be used to support with energy bills for any form of fuel that is used for the purpose of domestic heating, cooking or lighting, including oil or portable gas cylinders. It can also be used to support with water bills including for drinking, washing, cooking, and sanitary purposes and sewerage.
- 2.8 **Essentials linked to Food, energy and water.**
- 2.9 The Fund can be used to provide support with essentials linked to energy and water (including sanitary products, warm clothing, soap, blankets, boiler service/repair, purchase of equipment including fridges, freezers, ovens, etc.), in recognition that a range of costs may arise which directly affect a household's ability to afford or access food, energy and water.
- 2.10 **Wider essentials.**

2.11 The Fund can be used to support with wider essential needs not linked to energy and water should. Authorities consider this appropriate in their area. These may include, but are not limited to, support with other bills including broadband or phone bills, clothing, and essential transport-related buying a bicycle or paying for fuel. This list is not exhaustive.

2.12 A breakdown of the proposed allocations of the Household Support Fund in Three Rivers can be seen below. We are proposing to fund a number of partner organisations to distribute the funds to families or individuals as well as our own Housing and Revenue and Benefits teams to ensure a wide reach and so that vulnerable people are identified.

2.13 **Food Support – Total Provided £33,000**

Partner/Distributing Agency	Total Amount	Details
Three Rivers District Council	£3000	Administrational costs
Three Rivers District Council Housing	£3000	Funding to provide food vouchers to residents that access Housing Household Fund for rent arrears who may be supported by the Vulnerable Renters Scheme.
Three River Miscellaneous	£2000	Miscellaneous funding to support identified residents cover essential items linked to food not supported by additional partners e.g. cookers
South Oxhey Food bank	£2000	Funding for additional food stock and essential food related items
Sewa Day	£1000	Funding to provide food support to vulnerable residents they are supporting in Three Rivers
Thrive Homes	£5000	Funding to support identified residents with food & essential items linked to food.
Watford Community Housing	£5000	Funding to support identified residents with food & essential items linked to food.
Home Group	£2000	Funding to support identified residents with food & essential items linked to food.
Herts Mind Network	£5000	Funding to support identified residents with food & essential items linked to food.

Hightown Housing Association	£1000	Funding to support identified residents with food & essential items linked to food.
Catalyst Housing	£1000	Funding to support identified residents with food & essential items linked to food.

2.14 **Utility Support - £44,000**

Partner/Distributing Agency	Total Amount	Details
Three Rivers District Council	£4000	Administrational costs
Three Rivers District Council Housing	£4000	To provide Utility Support for residents accessing Housing Household Fund for rent arrears
Three Rivers Revs & Bens	£10,000	Vouchers for people on DHP and the benefit Capped
Three Rivers Miscellaneous	£4000	Miscellaneous funding to support identified residents to cover essential items linked to energy & water who are not supported by additional partners linked to our Warmer Homes Scheme e.g boiler repairs.
South Oxhey Food bank	£3000	Funding to provide Utility vouchers support to vulnerable residents they are supporting in Three Rivers
Thrive Homes	£6000	Funding to support identified residents with Energy & water support and essential items linked to energy & water. This will included Sheltered Housing.
Watford Community Housing	£5000	Funding to support identified residents with Energy & water support and essential items linked to energy & water.
Home Group	£2000	Funding to support identified residents with Energy & water support and essential items linked to energy & water.
Hightown Housing Association	£1000	Funding to support identified residents with Energy & water support and essential

		items linked to energy & water.
Catalyst Housing	£1000	Funding to support identified residents with Energy & water support and essential items linked to energy & water. In particular we will look to focus on Supported Housing for young people.

## 2.15 Monitoring and Evaluation.

2.16 All distributing partner agencies will report back monthly monitoring and evaluation of the following

- Client No.
- Number of individuals within the household including adults, dependant adults and children under 18.
- Value Food Support Provided
- Value Energy & Water Support Provided
- Value of Essentials linked to food, energy and water
- Value of Wider essentials
- Details of items purchased under the category of essential
- Postcode (To trace whether any duplication has occurred)
- Total Value of grant For Household
- Names of any other services that are also working with the household if known
- Details of whether any onward referrals distributing partners have been made for the household
- Any Other Details/Information? Why is support required
- Good news/ Feedback received, if any?

## 2.17 Other Charitable Organisations

2.18 We have previously supported other organisations through the Local Covid Support Fund who are still spending their funds. We have targeting housing associations this round to have a wider reach. Schools are also still supported through the household fund directly from Herts County Council. If other partners and organisation need support for residents we will be able to use the miscellaneous fund outlined above to support them. For example through our Family Intervention Worker. The Rickmansworth Food bank currently have been offered and refused support from each of the Covid support grants and the household fund because they have their own resources in place.

2.19 The Herts Community Foundation grants are only available for Groups who can provide access to food and/or support with bills such as fuel and water and not for individuals to apply.

2.20 Grants of up to £5,000 are available to groups working in areas of deprivation in Hertfordshire that support vulnerable adults by providing access to food and/or support with bills such as fuel and water. It can also be used to provide support with essentials linked to energy and water.

- 2.21 Larger grants (up to £10,000) may be considered where a group can demonstrate an ability to work across a larger geography or support significant numbers of local residents. If you would like to apply for a grant in excess of £5,000 please contact [grants@hertscf.org.uk](mailto:grants@hertscf.org.uk) before making an online application. The fund is primarily to be used to provide support with food and energy. Groups who can provide access to this are invited to apply.
- 2.22 Applications from charities, groups and non-profit organisations (including housing associations) supporting vulnerable adults that fall into any of the following categories are eligible to apply for funding:
- Individuals in crisis (e.g. people facing poverty, experiencing or at risk of homelessness, poor mental health, domestic violence, drug and alcohol addiction etc.) and their families, with or without children
  - Those facing food poverty
  - Those facing fuel poverty
  - Minority and marginalised groups who have been particularly impacted by Covid-19 including groups supporting those with disabilities or sensory needs
- 2.23 For more info visit the HCF website here: [Hertfordshire Household Support Fund \(hertscf.org.uk\)](http://hertscf.org.uk)
- 2.24 HCC will be giving supermarket vouchers for families receiving benefit related free school meals during the Christmas, February half-term and Easter holidays in 2021/22.
- 2.25 Support with the cost of food and household essentials will also be provided to families with children aged up to 19 who are identified through public and voluntary services as needing a little extra help; including young people leaving care. Services will contact families and young people directly about the help.
- 2.26 For more information on the Household Fund at HCC please visit the [Hertfordshire County Council](http://hertscf.org.uk) website.
- 2.27 HertsHelp offer advice and practical support to people across Hertfordshire. They may be able to offer emergency help with essentials like the cost of food, household utilities, water and energy bills. They can also help if you are worried about finances and with emotional support and wellbeing. Herts Help will where necessary make referrals to our local services as well.
- 2.28 HertsHelp can be contacted on: on 0300 123 4044, email [info@hertshelp.net](mailto:info@hertshelp.net) or visit [www.hertshelp.net](http://www.hertshelp.net).

### **3 Options and Reasons for Recommendations**

- 3.1 To agree the plan for spend of the Household fund so that funds can be accessed by vulnerable people during the winter to the end of March 2022 in Three Rivers through a range of partners as identified above.

### **4 Policy/Budget Reference and Implications**

- 4.1 The recommendations in this report are not within the Council's agreed policy and budgets. This is Government funding to support vulnerable people through the Covid pandemic. Clear guidance exists on how these monies should be spent.

**5 Equal Opportunities, Environmental, Community Safety, Public Health, Customer Services Centre, and Health & Safety Implications**

5.1 None specific.

**6 Financial Implications**

6.1 The funding must be spent by the end of March 2022.

**7 Legal Implications**

7.1 None specific.

**8 Equal Opportunities Implications**

8.1 Relevance Test

Has a relevance test been completed for Equality Impact?	No
Did the relevance test conclude a full impact assessment was required?	N/A

**9 Staffing Implications**

9.1 Staff in the Community Partnerships Team will administer the funding, and oversee the monitoring and evaluation.

**10 Communications and Website Implications**

10.1 The website will be updated to include this information. People will be contacted directly when identified so that they can receive support.

**11 Risk and Health & Safety Implications**

11.1 The Council has agreed its risk management strategy which can be found on the website at <http://www.threerivers.gov.uk>. In addition, the risks of the proposals in the report have also been assessed against the Council's duties under Health and Safety legislation relating to employees, visitors and persons affected by our operations. The risk management implications of this report are detailed below.

11.2 The subject of this report is covered by the Community Partnerships service plan(s). Any risks resulting from this report will be included in the risk register and, if necessary, managed within this/these plan(s).

<b>Nature of Risk</b>	<b>Consequence</b>	<b>Suggested Control Measures</b>	<b>Response</b> <i>(tolerate, treat, terminate, transfer)</i>	<b>Risk Rating</b> <i>(combination of likelihood and impact)</i>
Funding not distributed to	More issues in the community	To agree funding plan	Tolerate	6



Vulnerable residents	with people suffering from food and fuel poverty	and work with partner organisations to deliver the household fund		
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11.3 The above risks are scored using the matrix below. The Council has determined its aversion to risk and is prepared to tolerate risks where the combination of impact and likelihood scores 6 or less.

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
	<b>Impact</b> 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%))

11.4 In the officers' opinion none of the new risks above, were they to come about, would seriously prejudice the achievement of the Strategic Plan and are therefore operational risks. The effectiveness of the management of operational risks is reviewed by the Audit Committee annually.

**12 Recommendation**

12.1 To agree the plan for spend of the Household fund so that funds can accessed by vulnerable people during the winter to the end of March 2022 in Three Rivers through a range of partners as identified above.

Report prepared by: Rebecca Young, Head of Community Partnerships,

Freddy Chester, Partnerships Officer

**Data Quality**

Data sources: Household

Fund <https://www.gov.uk/government/publications/household-support-fund-guidance-for-local-councils>

Data checked by: Dami Fashakin, Health Inequalities Officer

Data rating:

1	Poor	
2	Sufficient	✓
3	High	

**Background Papers**

Not applicable