

Appendix B – Civil Penalty Matrix

Factors	Score = 1	Score = 5	Score = 10	Score = 15	Score = 20	Total
1 – deterrence & prevention (pick only one box to the right)	High confidence that a financial penalty will deter repeat offending.	Medium confidence that a financial penalty will deter repeat offending.	Low confidence that a financial penalty will deter repeat offending (e.g. no contact from offender).	Little confidence that a financial penalty will deter repeat offending.	Very little confidence that a financial penalty will deter repeat offending.	
2 - Removal of Financial Incentive (pick only one box to the right)	No significant assets. No or very low financial profit made by offender.	Little asset value. Little profit made by offender.	Small portfolio landlord (2 – 3 properties). Low asset value. Low profit made by offender.	Medium portfolio landlord (4 – 5 properties) or a small managing agent. Medium asset value. Medium profit made by offender.	Large portfolio landlord (over 5 properties) or a medium to large Managing Agent. Large asset value. Large profit made by offender.	
3 – Offence & History (pick only one box to the right)	Offence committed with little fault e.g. failings were minor and occurred as an isolated incident or efforts were made to address risk although they were inadequate. Single low level offence. No previous enforcement history.	Offence committed through act or omission which a person exercising reasonable care would not commit. Single offence. Minor previous enforcement.	Offender aware of risk but does not alter actions in light of risk. Offence has moderate severity or small frequent impacts. Recent second time offender. Previous enforcement.	Offender knew their actions were unlawful. Ongoing offence of moderate to large severity or a single instance of a very severe offence. Several previous offences. More than one instance of previous enforcement action.	Offender has intentionally breached or flagrantly disregarded the law. Continuing serious offence. Serial offender. Multiple enforcement over recent times.	
4 – Harm to Tenant (s) (weighting x 2) (pick only one box to the right)	Very little or no harm caused. No vulnerable occupants. Tenant provides no	Likely some low level health/harm risk(s) to occupant. No vulnerable occupants.	Likely moderate level health/harm risk(s) to occupant. Vulnerable occupants potentially exposed.	High level of health/harm risk(s) to occupant. Tenant(s) will be affected frequently	Obvious high level health/harm risk(s) and evidence that tenant(s) are badly and/or continually	Double score

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	information on impact.	Tenant provides poor quality information on impact.	Tenant provides some information on impact but with no primary or secondary evidence.	or by occasional high impact occurrences. Vulnerable occupants more than likely exposed. Small HMO (3 -4) occupants, multiple occupants exposed. Tenant provides good information on impact with primary evidence (e.g.prescription drugs present, clear signs of poor health witnessed) but no secondary evidence.	affected. Multiple vulnerable occupants exposed. Large HMO (5+ occupants exposed. Tenant provides excellent information on impact with primary and secondary evidence provided (e.g. medical, social services reports).	
Final Total						Add total of above here

Score range	Fee
1 – 5	£250
6 - 10	£500
11 – 20	£750
21 – 30	£1000
31 – 40	£2500
41 – 50	£5000
51 – 60	£10,000
61 – 70	£15,000
71 – 80	£20,000
81 – 90	£25,000
91 - 100	£30,000

Scoring regime –

- Each row should be scored in order with only one option being chosen for each row.
- All rows must be scored.
- Note the score in the Total column.
- Factor 4 – harm to tenants has an additional weighting, which will double the selected score.
- In the final cell at the bottom of this column insert the final total.
- The score should then be compared to the sliding scale of enforcement fee to be levied.

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