



# Licensing Business Plan 2017-2020

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# Director's Introduction

The Department of Markets and Consumer Protection (M&CP) has the widest span of all front-line service departments, employing some 262 staff with a combined local and central risk gross expenditure of £22,349,000 and an overall net local risk budget of £3,180,000 giving a total net budget including central risk and recharges of £1,404,000 for 2017-18. Spread across ten locations, the department ranges from the Heathrow Animal Reception Centre in the West, to Billingsgate and Spitalfields Markets in the East, with Tilbury and London Gateway Ports on the North side of the Thames, and Denton on the South side.

As the department reports to three separate Committees (Markets Committee; Port Health and Environmental Services Committee; Licensing Committee) for discrete aspects of its work, separate plans have been produced for each. This plan contains specific key information relating to the Licensing Service.

The City has, in recent years, been going through a programme of unprecedented transformational change in the way we work, which is likely to continue for the foreseeable future. In delivering the business plan this year we need to ensure that the services we provide, and the way in which we provide them, are Relevant; Responsible; Reliable; and Radical.

As part of the Service Based Review (SBR), we have successfully continued the process of maximising income generation from our assets, and will need to exploit the benefits of modern technology. This will become increasingly important as we endeavour to deliver the high standards that our customers expect with pride, pace, passion, and professionalism. To ensure that we fulfil our obligations to our major customers, we need to satisfy the four perspectives shown on pages 10 to 12, our version of the Balanced Scorecard<sup>1</sup>, while we endeavour to maintain our traditional standards and remain mindful of our corporate, environmental, and social responsibilities.

Implementing the SBR measures, and the associated work-streams, was a key element of our activities during the past two years. The department's planned SBR savings have been accomplished so far, and new, more flexible ways of working are underpinning progress in this area. The Mobile Technology project and the corporate Accommodation & Ways of Working project will be vital enablers for improving our efficiency and effectiveness, so that we can 'do more with less'.

As the City continues to transform the way it delivers its services, we recognise the vital importance of having a skilled and highly motivated workforce in order to support this change, and the role good leadership plays. We have shown our commitment to providing this through the inaugural Markets and Consumer Protection Leadership Development Programme for selected middle-rank and senior staff last year. We are running a second programme this year and I hope it will be adopted as a corporate initiative thereafter.

**David A H McG Smith CBE, Director of Markets and Consumer Protection**

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<sup>1</sup> Kaplan R. S. and Norton D. P. (1992). "The Balanced Scorecard: measures that drive performance", *Harvard Business Review*, Jan – Feb pp. 71–80

# Overview of our Services

The **Licensing Service** is part of the **Port Health and Public Protection Division** which is sub-divided into three service areas: Port Health, Public Protection and Animal Health & Welfare. Public Protection provides a comprehensive and effective environmental health and trading standards service for the City of London, ensuring that, through monitoring, regulation and enforcement, City residents and businesses can enjoy an environment and services which are, so far as possible, safe and without risks to their health or welfare. As London Port Health Authority, the Port Health Service provides imported food control and the Animal Health & Welfare service provides the animal health service for London, including the Animal Reception Centre at Heathrow, and undertakes animal health work for 29 London and two Berkshire local authorities.

## Licensing Service

The **Licensing Service** is responsible for ensuring that all city businesses hold the appropriate licences and registrations and comply with the rules and conditions appertaining to those licences.

## Port Health

As the London Port Health Authority (LPHA), the **Port Health Service** is responsible for a district extending for 151 kilometres along the River Thames from Teddington to the outer Estuary. The area includes the new London Gateway port as well as the ports of Tilbury, Thamesport and Sheerness. The area also includes London City Airport as well as the various docks and dockland areas which have now been redeveloped. The Service aims to deliver a high quality, accessible and responsive service to protect, enhance, and improve public, environmental, and animal health by controlling: food and feed imports; food standards, food safety and water quality; infectious disease control; civil contingencies; ship sanitation; environmental protection and shellfish control. The control of imported food and animal feed is an important requirement as the checks take place at ports that are first point of entry into the European Union (EU). The Service is responsible for compliance checks for all food and feed imports from outside the EU that enter via the Border Control Posts at London Gateway, Tilbury, Thamesport, Sheerness and London City Airport.

## Animal Health & Welfare

- The service is the Animal Health Authority for Greater London and also provides **animal health services** across London on an agency basis for 29 London Boroughs and also Unitary Authorities in the Home Counties. Officers carry out inspections of pet shops, zoos, dog breeding and riding establishments, and offer advice on the keeping of dangerous wild animals. The division deals with complaints from the public and welfare matters involving circuses, animal shows, studio work with animals and other cases where animals are used to perform. The team also deal with the increasing number of non-compliant imported dogs and cats which are reported to them.
- The **Heathrow Animal Reception Centre (HARC)** has established itself as a world leader in the care of animals during transport. Open 24 hours a day, 365 days a year, the centre receives and cares for hundreds of thousands of animals of all types - from cats and dogs to baby elephants, horses, reptiles and spiders. The centre has seen a range of unusual animals including a mongoose, a sun bear, a

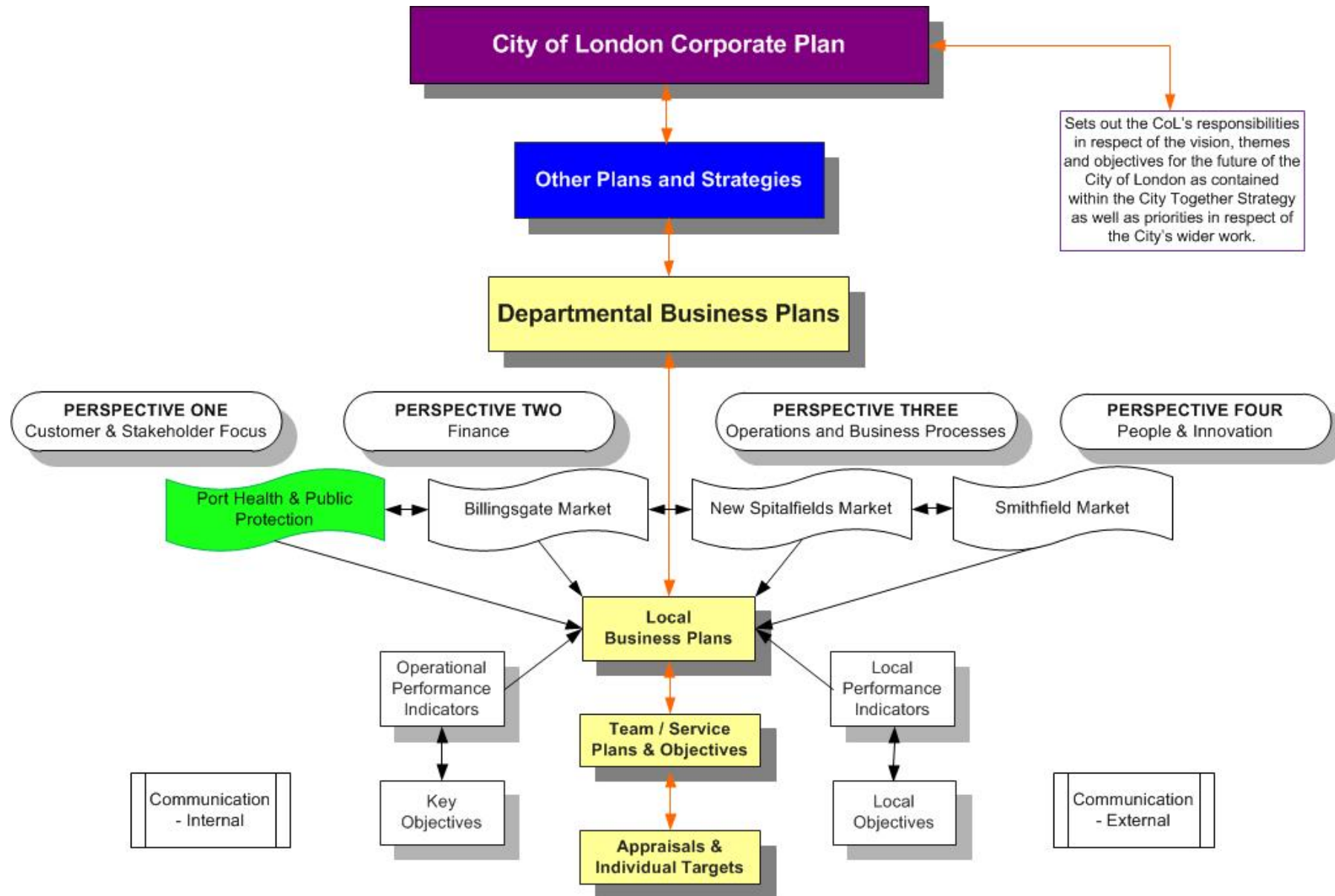
white lion cub, cheetahs and sloths. HARC also has a statutory duty to enforce the legislation as it pertains to animals passing through Heathrow Airport in transit.

### Public Protection

This part of the division is primarily based in the City and teams carry out the following wide range of regulatory work:

- The two **Commercial Teams** are responsible for enforcing a range of legal requirements relating to food safety (standards and hygiene), occupational health and safety, statutory nuisances (other than noise) arising from commercial businesses' activities and the investigation of infectious diseases. Duties include:
  - Undertaking a range of food hygiene, food standards and health and safety interventions across all City food businesses including the provision of advice and information.
  - Enforcing health and safety legislation in all relevant City businesses including the provision of advice and information.
  - Carrying out infectious disease investigations and sampling work and enforcing odour nuisance legislation.
  - At Smithfield Market, enforcing health and safety legislation, food standards and hygiene controls in vehicles that visit the market and investigating any food complaints.
- **Operational Support** are responsible for providing a range of administrative and IT support services to the department including system administration of the Northgate M3 database and the Timemaster time management system.
- **Pollution Control** are responsible for enforcing all noise and nuisance legislation, private sector housing and contaminated land legislation across the Square Mile.
- A new **Air Quality** team was established in September 2016 to reflect the high priority placed on improving air quality in the City and the increased workload to deliver policies in the Air Quality Strategy. The team is responsible for ensuring that the City complies with the new statutory requirements for London Local Air Quality Management and, in the longer term, for implementing a range of agreed measures to reduce the status of the corporate air quality risk from red to amber.
- **Trading Standards** are responsible for enforcing a wide range of legislation to protect consumers and to maintain a level playing field for businesses. They review and prioritise thousands of complaints that are received every year on their behalf by the Citizens Advice Consumer Service and take action where appropriate. This includes working with businesses to bring them into compliance with the law and project based work looking at investment fraud in the City. The team is actively involved with the National Trading Standards Scambuster Team which targets criminals involved with doorstep crime, counterfeiting, consumer and business fraud and other related crime

# Business Planning Process



## Departmental Vision

The overall vision of the Department of Markets and Consumer Protection is to provide high quality, efficient services to our customers and stakeholders by operating three thriving wholesale markets; and by advising, regulating and protecting communities for which we have responsibilities in the fields of Environmental Health, Port Health, Trading Standards, Animal Health and Licensing.

## Ambitions

Our vision is reflected in the Department's ambitions which relate to the Licensing Team:

- Provide the fastest turnaround of uncontested applications of all London Licensing Authorities.
- Set the benchmark nationally for Licensing Policy and other Schemes that promote the Licensing objectives.
- At all times to seek value for money in the activities we undertake so that the highest possible standards are achieved cost effectively.

## **Measuring Performance**

We will measure our performance against five Operational Performance Indicators and nine Key Improvement Objectives, as detailed on the following pages. Progress against these measures will be reported to the Licensing Committee in an annual outturn report at the end of the 2017/18 financial year.

### **Data Quality**

We are satisfied that data collected for the monitoring and reporting of improvement objectives and performance indicators is accurate. Effective systems and procedures are in place to produce relevant and reliable information to support management decision-making and to manage performance.

The Department complies with the Corporate Data Quality Policy and Protocol and has its own Departmental Data Quality Policy (available upon request).



## Operational Performance Indicators 2017-2018

The five **Operational Performance Indicators** for the Licensing Team for 2017-2018 are shown here.

- PI 1.** Ensure that, within 12 months, 90% of premises entering the red or amber zone of the Traffic Light Scheme are brought back to the amber or green zone respectively.
- PI 2.** 100% of licences to either be renewed or appropriate legal action taken (in accordance with the PH&PP Enforcement Policy) within one month of the licence renewal date.
- PI 3.** Receive more than 70 applications for the annual Safety Thirst Award Scheme from licensed premises, by the deadline of 31 May 2017 (i.e. an increase on the number received in 2016/17).
- PI 4.** Achieve an overall sickness absence level of no more than 6 days per person by 31 March 2018, and a total of no more than 42 days.<sup>2</sup>
- PI 5.** 90% of debts to be settled within 60 days and 100% of debts settled within 120 days.

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<sup>2</sup>. Target based upon Full Time Equivalent (FTE) members of Licensing Team staff at 31 December 2016 (no. 7).

## Key Improvement Objectives 2017-2018

The nine **Key Improvement Objectives** for the Licensing Team for 2017-2018 are listed here under the broad perspectives, or themes, which run across the whole of the Department of Markets and Consumer Protection.

<b>Customer and Stakeholder Focus</b>			
Deliver statutory and non-statutory services to a high quality with regulatory services being increasingly intelligence and risk-based, in line with the Government's Deregulation agenda and the risks accepted by Members in the Service Based Review.			
<b>Action</b>	<b>Outcome</b>	<b>Measure</b>	<b>Responsibility</b>
Produce and publish a revised Statement of Licensing Principles under the Gambling Act 2005.	<p>The statutory requirement to have an up to date Statement of Licensing Principles in place under the Gambling Act 2005 will be met.</p> <p>The revised Principles will accurately reflect legislative changes and corporate policy on licensing matters.</p>	<p>Redraft the Statement of Licensing Principles by July 2017.</p> <p>Carry out a public consultation on the draft Principles during June 2017.</p> <p>Gain Committee approval and publish the revised version by September 2017.</p>	<p>Assistant Director, Public Protection</p> <p>Licensing Team Manager</p>
<p>Ensure provisions relating to the further amendment of the Licensing Act 2003 and other relevant legislation are complied with.</p> <p>Monitor relevant legislation for amendments, particularly those contained within the Policing and Crime Act 2017, The Immigration Act 2016, and those relating to Street Trading.</p> <p>Ensure all team members are aware of changes to legislation.</p>	<p>The Team will be compliant with relevant legislation, fulfilling its statutory functions.</p> <p>All policies/procedures will be updated as necessary.</p>	<p>All relevant policies and procedures, as well as our web pages, will be up to date and reflect any legislative changes.</p>	<p>Assistant Director, Public Protection</p> <p>Licensing Team Manager</p>
Review and update relevant Licensing Policies to provide clarity and ease of use for applicants/customers.	<p>The application process will be quicker and less complex.</p> <p>Applicants/customers will be provided with clear advice.</p>	<p>All relevant Licensing Policies will be reviewed and updated by February 2018.</p>	<p>Assistant Director, Public Protection</p> <p>Licensing Team Manager</p>

<b>Customer and Stakeholder Focus</b> Deliver statutory and non-statutory services to a high quality with regulatory services being increasingly intelligence and risk-based, in line with the Government's Deregulation agenda and the risks accepted by Members in the Service Based Review.			
<b>Action</b>	<b>Outcome</b>	<b>Measure</b>	<b>Responsibility</b>
Introduce a Policy, and associated procedures, for the issue of permits for charitable street collections and related street activities.	<p>The requirements of the relevant legislation will be met.</p> <p>The Licensing Service will be able to provide a consistent, high quality service to applicants for charitable collection permits and to those involved in related activities (e.g. street performers).</p>	<p>Approval for the new Policy will be obtained from the October 2017 Licensing Committee.</p> <p>The new Policy will be implemented by December 2017.</p>	Licensing Team Manager
Revise the Street Trading Policy to make appropriate exemptions for the redevelopment areas around Aldgate and Middlesex Street.	Stakeholders in these two areas of the City will have a more flexible system in place to permit street trading activities.	<p>Policy to be in place by November 2017.</p> <p>New Middlesex Street pitches will be in place and trading under enhanced hours will commence by February 2018.</p> <p>Street Trading Events will be ready to run by February 2018.</p>	Licensing Team Manager
Consult Late Night Levy payers for their views as to how the Levy monies should be spent.	Payers of the Late Night Levy will be given the opportunity to have their views on the allocation of Levy income taken into consideration.	The final decision, made by the Chairman and Deputy Chairman of the Licensing Committee, on how Late Night Levy income will be spent will incorporate the views of Levy payers.	<p>Assistant Director, Public Protection</p> <p>Licensing Team Manager</p>

## People and Innovation

Enhance the quality of our leadership and management.  
Further embed the corporate values of "Lead, Empower, Trust".  
Encourage the development of all of our staff.

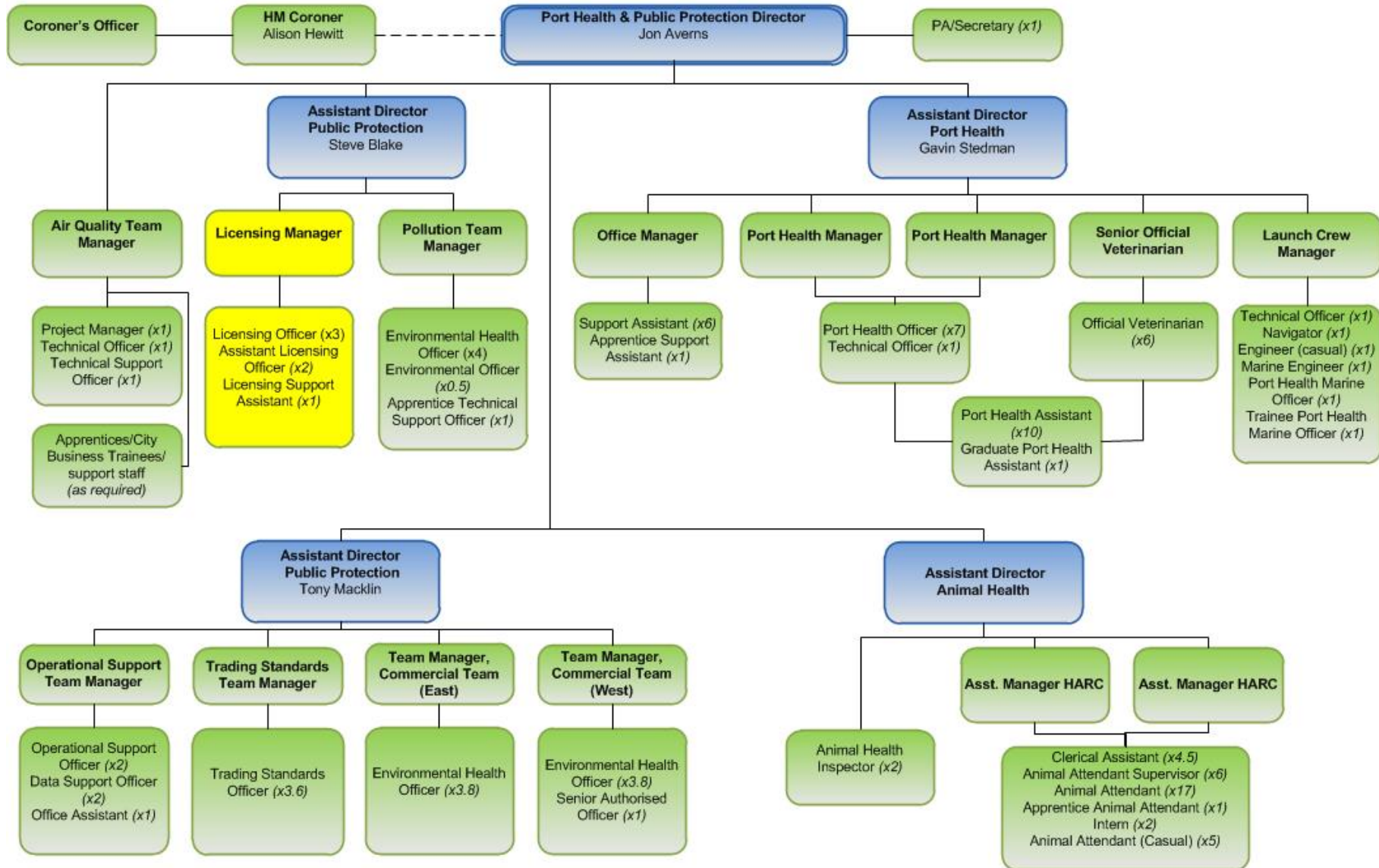
Action	Outcome	Measure	Responsibility
Enhance the M3 database to enable all remaining paper files to be disposed of and data relating to all licensing activities to be accessed electronically.	Paper records will no longer be required.  Faster and more efficient assessment of licensing activities.	By February 2018: <ul style="list-style-type: none"> <li>Anomalies in data entry within M3 will be eradicated.</li> <li>Paper files for small lotteries and charity collections will be eliminated.</li> <li>M3 will contain full data in relation to Table and Chairs licences.</li> <li>All licences will be produced directly from M3.</li> </ul>	Licensing Manager
Enhance systems to permit members of the public to apply for licences online.	Members of the public will be able to make online applications without the need to go through the Gov.UK website.  The process of applying for a licence will be clearer and more efficient for applicants. The software will reduce the workload of officers within the Licensing Team.	Members of the public will be able to apply online, other than through Gov.Uk, for all licences appertaining to the Licensing Act 2003 by September 2017.	Licensing Manager  M&CP IS Business Manager
Refresh the current workforce plan to include upcoming proposed staff changes over the next two years.	Our workforce will be adequately resourced and experienced, enabling the service to fulfil the objectives set in its departmental business plan and local service plans.	Proposed staff changes will be mapped, including any required new posts, impending retirements, team moves etc.  Succession plans and proposals will be agreed and implemented. They will include arrangements for suitable training, job shadowing and coaching.	Chief Officer  Departmental Workforce Planning Group  HR Business Partner

## Looking ahead

As part of our ongoing business planning process, it is essential that we remain aware of future events that may impact the department. Such forward thinking will help us to ensure that we allocate resources effectively in order to provide services that are relevant and meet the changing needs of our stakeholders. We will be able to make the most of opportunities to innovate, collaborate, work more efficiently, and, where appropriate, remain competitive and maximise income.

Over the coming years we will work to mitigate the potential impacts of exit from the EU on the services provided by the Licensing Service.

**Department of Markets and Consumer Protection**  
**Port Health and Public Protection Division**  
 Management Structure



# Workforce Capability

## Workforce planning

A departmental Workforce Plan was developed in 2015. A Workforce Planning Group was set up to be responsible for delivering the objectives set out within the Plan and to prepare for the future in relation to sourcing, developing and retaining knowledge and expertise. This year the Workforce Plan will be refreshed.

## Learning and Development

Learning and Development is a priority for the department as a whole. In addition to mandatory training, the individual development needs of all members of staff are identified at performance appraisals and progress is monitored at review stages.

Improving the quality of our leadership and management is an ongoing departmental objective. During 2016/17 we initiated and successfully delivered a Leadership Development Programme for 16 people at the Assistant Director and Team Leader level with the specific aim of encouraging them to find different ways of thinking about leading their areas of business. The programme will be repeated in 2017/18 with a further group of staff, drawn from a wider range of Grades.

## **Investors in People**

In September 2015, the City of London Corporation met 118 evidence requirements and achieved recognition as a SILVER Investor in People but it was decided by the Summit Group to put working towards attaining the Investors in People Gold level on hold until 2018. To maintain our 'Silver' accreditation a light touch review with one day on site and written evidence will take place in May 2017.

## **Equalities and Diversity**

The Department supports the City of London's four Equality Objectives for 2016-2020, which are:

1. Increase community engagement and improve cohesion within our communities so that people feel safe.
2. Support the City's most disadvantaged groups and develop our understanding of our communities' needs.
3. Improve the way we listen to our communities and respond to their feedback to improve our services.
4. Promote staff development and career progression to ensure equality of opportunity for promotion and the development of a workforce that reflects the make-up of our communities.

The Department provides services in line with the Public Sector Equality Duty (PSED) of the Equality Act 2010, which requires public authorities to have 'due regard' to the need to:

- Eliminate discrimination, harassment and victimisation
- Advance equality of opportunity between those who share a protected characteristic and those who do not
- Foster good relations between those who share a protected characteristic and those who do not

We have named 'Departmental Equalities Representatives' who represent the Department and provide support and advice to colleagues on equality and diversity issues relating to service delivery.



# **Risk Management**

## **Business Continuity and Emergency Planning**

The City has an overarching Business Continuity Strategy and Framework, as well as a Corporate Business Continuity Plan for large scale disruptions that affect more than one business area or location. The Department also has its own business continuity arrangements aimed at dealing with localised disruptions.

Both corporate and departmental arrangements are regularly reviewed to ensure they align with the relevant risk registers and business objectives. The Department's Technical Officer shares best practice and attends the Resilience Steering Group, which meets on a quarterly basis.

## **Business Risks**

The Department's key business risks are actively managed using the Covalent Risk Management software package in line with corporate policies and procedures. Risks and mitigating actions are identified, analysed, assessed and addressed on an ongoing basis by named representatives across the department.

The Departmental Risk Tracker is regularly updated and reported to the Markets Committee.

## **Health and Safety Risks**

The Department's Top X Register comprises a list of our main Health and Safety risks. The Register is managed using the Covalent Risk Management software package and a report is presented to the Corporate Health and Safety Committee annually.

The Department complies with the Corporate Health and Safety Policy, including having its own Departmental Health and Safety Policy Statement. There is a Departmental Health & Safety Committee with a Markets sub-Committee, as well as local Health & Safety Groups at each market. Named individuals have specific health and safety responsibilities including carrying out risk assessments and accident/incident reporting.

A copy of the Summary Risk Register is at Appendix A along with a diagram showing the structure of health and safety management and reporting within the Department.

## Financial summary

We will continue to build on the close working relationships that have been successfully developed between our budget managers and our finance partners in the Chamberlain's Department. There will be collaboration between Chamberlain's and budget managers to make effective use of Oracle Business Intelligence, improve budget profiling and enter updated year end forecasts into Oracle, in order to enable greater self-service of budget monitoring information. This will be supported through regular meetings between budget managers and accountants and our Head of Finance's attendance at Senior Management Group meetings.

Over the coming year we will continue our drive for efficiencies in support of the City's agreed efficiency plan from 2018/19. Additionally, we will continue to liaise annually with the Chamberlain on reviewing the licensing fees to ensure these meet the latest CIPFA rules on cost neutrality.

### Financial Information - Markets & Consumer Protection Licensing Committee

	2015/16 Actual	2016/17 Original Budget	2016/17 Revised Budget (latest approved)	2016/17 Forecast Outturn		2017/18 Original Budget	N.B.
	£'000	£'000	£'000	£'000	%	£'000	
Employees	411	447	448	428	95.5%	447	
Premises	45	45	45	45	100.0%	45	
Transport	0	0	0	0	0	0	
Supplies & Services	15	18	18	30	166.7%	18	
Third Party Payments	0	0	0	84	0	0	
Transfer to Reserve	0	0	0	0	100.0%	0	
Contingencies	0	99	99	98	99.0%	99	
Unidentified Savings	0	0	0	0	0	0	
Total Expenditure	471	609	610	685	112.3%	609	
Total Income	(529)	(689)	(689)	(793)	115.1%	(690)	
<b>Total Local Risk</b>	<b>(58)</b>	<b>(80)</b>	<b>(79)</b>	<b>(108)</b>	<b>136.7%</b>	<b>(81)</b>	<b>1.</b>
Central Risk	0	0	0	0	0	0	
Recharges	154	161	161	161	100.0%	171	
<b>Total Expenditure (All Risk)</b>	<b>96</b>	<b>81</b>	<b>82</b>	<b>53</b>	<b>64.6%</b>	<b>90</b>	

N.B.

1. Excludes Local Risk amounts spent by the City Surveyor

# Consultation

The following Corporate contacts have been consulted in the preparation of this plan:

- Town Clerk's Department – Human Resources Business Partner
- Chamberlain's Department – Finance Business Partner
- Chamberlain's Department – Information Systems Business Partner
- Corporate Project and Equality Manager
- City Surveyor's Department
- Corporate Programme Office
- Town Clerk's Policy Officer
- Corporate Risk Manager

In addition, members of staff in the Licensing Team have been invited, via local team meetings and briefings, to make suggestions and comments as to the content of the plan, including the identification of Service Improvement Objectives and Operational Performance Indicators.

The final version of the Plan will be published on the Department's intranet pages and a link to this will be emailed to all members of staff. Line Managers will make hard copies available to those members of staff who do not have regular access to a computer.

## Licensing Service Summary Risk Register

**Report Type:** Risks Report

**Report Author:** John Smith

**Generated on:** 31 March 2017

Code	Description (Cause, Event, Impact)	Risk owner	Current Risk Matrix	Target Risk Matrix	Target Date
MCP-PP 002	<p><b>Cause:</b> Incorrect legal process/ advice followed for environmental health (excluding commercial teams) and licensing matters.</p> <p><b>Event:</b> That a major prosecution case fails with costs not being awarded back to the CoLC/Judicial Review/civil claim associated with adverse publicity in the general and professional / technical media.</p> <p><b>Effect:</b> Reputational and financial loss.</p>	Steve Blake			29-Apr-2016
MCP-PP 003	<p><b>Cause:</b> Incorrect legal process/ advice followed for licensing matters.</p> <p><b>Event:</b> Incorrect suspension of Premises Licence resulting in civil claim for loss of business.</p> <p><b>Effect:</b> Reputational loss.</p>	Jon Averbs			29-Apr-2016

## Departmental Health and Safety Management Structure

