



# Licensing Business Plan 2015-2018

# Content

Section	Page
<b>Director's Introduction</b> .....	<b>3</b>
<b>Overview of our Services</b> .....	<b>4</b>
<b>Business Planning Process</b> .....	<b>6</b>
<b>Departmental Vision and Strategic Aims</b> .....	<b>7</b>
<b>Measuring Performance</b> .....	<b>8</b>
<i>Data Quality Statement</i> .....	8
<i>Key Improvement Objectives 2015-2016</i> .....	9
<i>Operational Performance Indicators 2015-2016</i> .....	14
<b>Port Health &amp; Public Protection Management Structure</b> .....	<b>15</b>
<b>Workforce Capability</b> .....	<b>16</b>
<i>Workforce planning</i> .....	16
<i>Learning and development</i> .....	16
<i>Equalities and diversity</i> .....	17
<i>Investors in People</i> .....	17
<b>Risk Management</b> .....	<b>18</b>
<i>Business continuity and emergency planning</i> .....	18
<i>Business risks</i> .....	18
<i>Health and Safety risks</i> .....	18
<b>Financial Summary</b> .....	<b>19</b>
<b>Consultation</b> .....	<b>20</b>
<b>APPENDICES</b>	
<b>Appendix A:</b> Strategic Links Matrix	
<b>Appendix B:</b> Departmental Data Quality Policy	
<b>Appendix C:</b> Risk Tracker	
<b>Appendix D:</b> Health and Safety:	
Top X Register	
Departmental Health and Safety Management Structure	

## Director's Introduction

The Department of Markets and Consumer Protection (M&CP) has the widest span of all front-line service departments, employing some 238 staff with a combined local and central risk gross expenditure of £21,307,000 and an overall net local risk budget of £3,942,000 giving a total net budget including central risk and recharges of £3,237,000. 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.

Despite what seems to be an upturn in the national economy, public funds are going to be very tight for the foreseeable future, so working more efficiently, generating more income from our assets, and exploiting the benefits of modern technology will become increasingly important as we endeavour to maintain the high standards that our customers expect.

Implementing the Service Based Reviews and their associated work-streams will take an increasing amount of senior management time, so the corporate values of Lead, Empower, Trust will become increasingly important with middle managers, especially Team Leaders, being encouraged to use their initiative and take a proactive stance in problem solving, without always having to seek permission from higher authority. Decision-making must be delegated to the lowest possible level of management and there is nothing wrong with taking calculated, rational risks.

With so much change happening, we recognise the vital importance of having a skilled and highly motivated workforce, since it is people who will deliver our Plan and they deserve to be led thoughtfully and positively. Good leadership is going to become increasingly important and we are committed to provide the appropriate training and development opportunities to achieve this.

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

## Overview of our Services

The **Licensing Service** is part of the **Port Health and Public Protection Division** which 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. Through its Port Health and Animal Health services it also provides imported food control as the London Port Health Authority and animal health services to 29 London and two Berkshire local authorities. The service is sub-divided into three divisions comprising Port Health, Animal Health & Welfare, and Public Protection.

### 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, the **Port Health Service** is responsible for a district extending for 151 kilometres along the River Thames from Teddington to the outer Estuary including the ports of Tilbury, London Gateway, Thamesport, Sheerness and London City Airport. The authority serves businesses and protects the nation through the delivery of the following services controlling: food and feed imports; food standards, food safety and water quality; infectious disease control; civil contingencies; environmental protection and shellfish control.

### Animal Health & Welfare

- The service is responsible for providing **animal health services** across London on an agency basis for 31 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 also 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 **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.

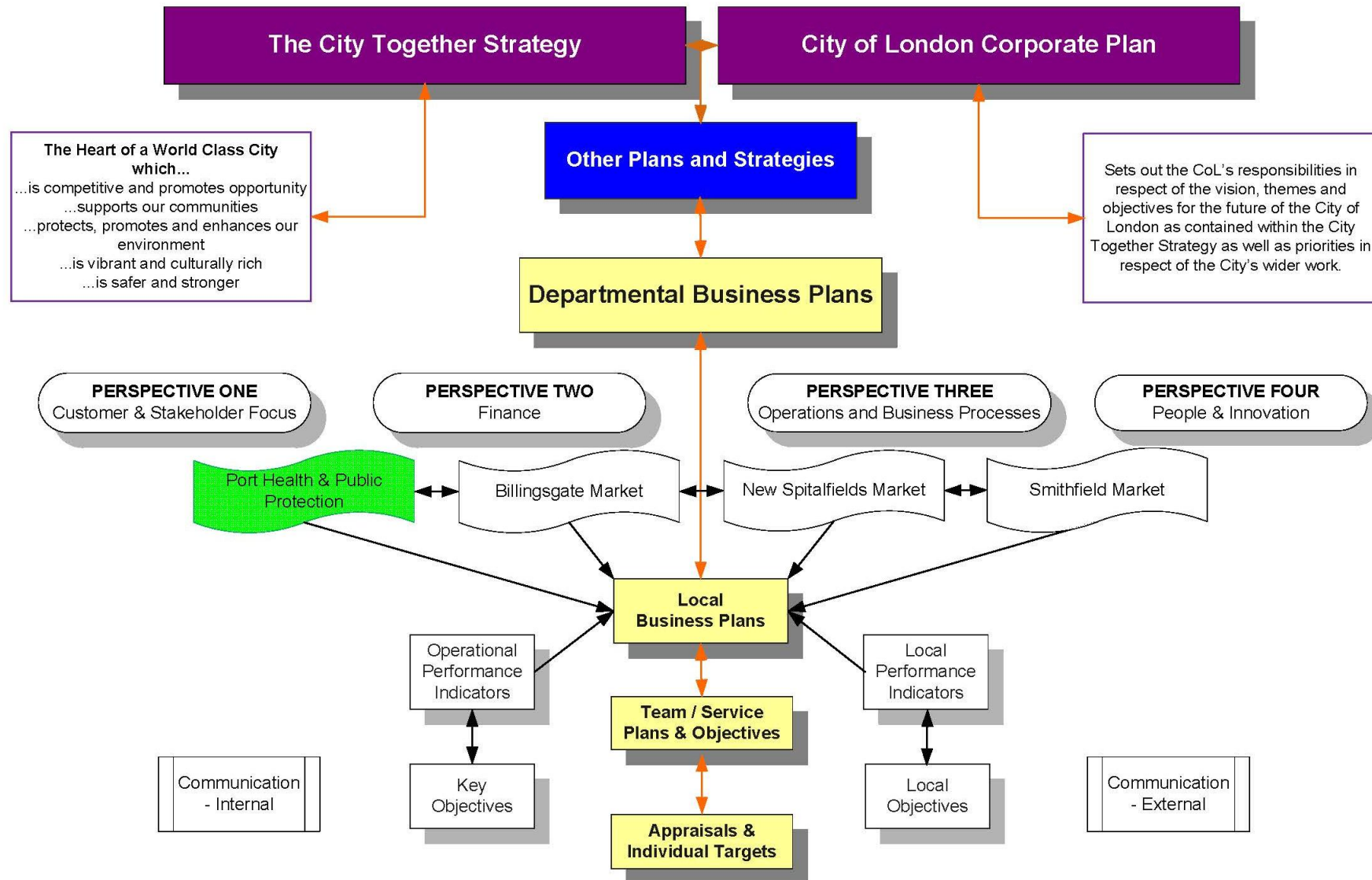
### Public Protection

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

- **Food Safety** undertakes a range of food hygiene, food standards and health and safety interventions across all City food businesses including the provision of advice and information. The team also carries out infectious disease investigations and sampling work and enforces odour nuisance legislation.

- **Health & Safety** is responsible for enforcement of health and safety legislation in all relevant City businesses including the provision of advice and information.
- **Operational Support** is responsible for providing a range of administrative and IT support services to the department including system administration of Timemaster and the Northgate M3 database.
- **Pest Control** provides a comprehensive pest control eradication and advisory service to all non-food businesses in the City and engages in contract work for various City Corporation departments including Housing, the City Surveyor and our own Smithfield Market.
- **Pollution Control** is responsible for enforcing all noise and nuisance legislation, private sector housing, air quality management and contaminated land legislation across the Square Mile.
- **Trading Standards** is responsible for enforcing and advising businesses and consumers regarding legislation relating to trading practices within the City of London. The team investigates scams and fraud in conjunction with the Office of Fair Trading's Scambusters Team. Other work includes weights and measures, pricing, product safety, consumer credit and fair trading.
- **Smithfield Enforcement Team** undertakes enforcement of health and safety legislation, food standards, hygiene controls in vehicles that visit Smithfield Market and investigates any food complaints, as well as operating the Animal By-Product facility for the disposal of unfit meat.

# Business Planning Process



## Departmental Vision

The overall vision of the Department of Markets and Consumer Protection is to support The City Together Strategy and the Corporate Plan through the provision of high quality, efficient services to our customers and stakeholders.

## Strategic Aims

This vision is reflected in the Department's strategic aims which relate to the Port Health and Public Protection Division:

- To advise, educate, influence, regulate and protect all communities for which the department has responsibility in the fields of Environmental Health, Port Health, Trading Standards, Licensing and Animal Health.
- 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 eleven Key Improvement Objectives and five Operational Performance Indicators, as detailed on the following pages. Progress against these measures will be reported to the Licensing Committee as part of the quarterly report on 'Delegated decisions of the Director of Markets and Consumer Protection pertaining to premises licences'.

The matrix at Appendix A maps the links between our objectives and performance indicators and the wider Departmental and Corporate strategic aims and objectives.

### **Data Quality Statement**

The Director is satisfied that data collected for the monitoring and reporting of improvement objectives and performance indicators is accurate. Effective systems and procedures are in place which 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 (Appendix B).



## Key Improvement Objectives 2015-2016

The thirteen **Key Improvement Objectives** for the Licensing Team for 2015-2016 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 Policy under the Licensing Act 2003.	The statutory requirement to have an up to date Statement of Licensing Policy in place under the Licensing Act 2003 will be met. The revised Policy will accurately reflect legislative changes and corporate policy on licensing matters.	Redraft the Statement of Licensing Policy by September 2015. Carry out a public consultation on the draft Policy during October and November 2015. Gain Committee approval and publish the revised version by January 2016.	Assistant Director (PP) Licensing Team Manager
Produce and publish a revised Statement of Licensing Principles under the Gambling Act 2005.	The statutory requirement to have an up to date Statement of Licensing Principles in place under the Gambling Act 2005 will be met. The revised Principles will accurately reflect legislative changes and corporate policy on licensing matters.	Redraft the Statement of Licensing Principles by October 2015. Carry out a public consultation on the draft Principles during October and November 2015. Gain Committee approval and publish the revised version by January 2016.	Assistant Director (PP) Licensing Team Manager
Comply with the provisions relating to the deregulation of licensable activities and any further amendments to the Licensing Act 2003 and other relevant legislation.	The Team will be in compliance with relevant legislation, fulfilling its statutory functions.	The deregulation position will be monitored and team members kept updated. All policies/procedures will be updated as necessary. Other legislation, including that relating to Street Trading, will be continually monitored for amendments.	Assistant Director (PP) Licensing Team Manager

### Customer and Stakeholder Focus

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.

Action	Outcome	Measure	Responsibility
Operate the revised and 'upgraded' Safety Thirst scheme.	All Safety Thirst applicants will have been inspected and assessed against criteria linked to the Licensing Code of Practice. The Team will assist with award ceremony which will be held in October 2015.	Actively assist in promotion of the scheme to increase the number of award recipients/applicants. Applications accepted from April to May 2015. Inspections will be carried out from June to August 2015. A final assessment meeting will be held and a report recommending award winners prepared by September 2015. A greater number of premises will win an award compared with 2014/15 (i.e. more than 29).	Licensing Team Manager
Oversee the operation of a Late Night Levy.	Statutory requirements in relation to operation of the Late Night Levy will be met. Monies allocated to the Licensing Service will be spent in accordance with approved guidelines, improving the services provided by the Licensing Team.	Changes to M3 which will enable statistical data on the levy to be retrieved will be completed by April 2015. Levy monies will be allocated appropriately, in particular to the appointment of additional members of staff. A six monthly report will be produced for Licensing Committee by May 2015 and a statutory annual report will be produced by October 2015.	Assistant Director (PP) Licensing Team Manager

**Customer and Stakeholder Focus**

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>By September 2015 a decision will be obtained from the City of London Police as to whether they are able to grant the Licensing Service the authority to change discretionary aspects of the relevant legislation.</p> <p>If authority is granted, the new Policy will be drafted by October 2015.</p> <p>Approval for the Policy will be obtained from Committee and/or the City Police Commissioner, as necessary, by January 2016.</p> <p>The new Policy will be implemented by March 2016.</p>	Licensing Team Manager

### Operations and Business Processes

Actively manage both operational and health & safety risks in all aspects of our operations.

Collaborate with the City Surveyor to improve the quality of maintenance at our real estate in the short and medium term and, where possible, to improve it.

Action	Outcome	Measure	Responsibility
Undertake a pilot project for tackling problems associated with drinking outside licensed premises within the City.	An informed decision will be made as to whether a permanent policy should be introduced. Any such policy will contribute to achieving a balance between a vibrant successful City supporting business and the four licensing objectives identified in the Licensing Act 2013.	Interested parties will be consulted on a draft action plan and the pilot project will commence in May 2016. The effectiveness of the pilot project and associated action plan will be reviewed after 6 months, i.e. by November 2015. A decision will be made as to the necessity of introducing a permanent policy and associated procedures by March 2016.	Assistant Director (PP) Licensing Team Manager
Introduce a 'Central London Members and Practitioners Best Practice Forum', on behalf of the Chairman of the Licensing Committee.	There will be more effective communication between the City and its neighbours on licensing matters, enabling the sharing of best practice and local feedback.	Agree the format of the Forum with the Chairman and Deputy Chairman of the Licensing Committee, by May 2015. Agree and arrange a suitable date and venue for the initial meeting with all neighbouring Local Authority Licensing Chairman/ Licensing Lead Members and Licensing Managers.	Assistant Director (PP) Licensing Team Manager

## People and Innovation

Enhance the quality of our leadership and people-management in line with the corporate values of "Lead, Empower, Trust". Instil a greater sense of responsibility in our middle management cadre.

Introduce improvements in the delivery to us of Information Services, including the implementation of Mobile Working Technology.

Action	Outcome	Measure	Responsibility
Ensure all staff are fully aware of and trained in new policies, procedures and legislative changes.	Staff will have the specific knowledge and expertise to carry out their roles effectively and provide a high level of customer service.	Appropriate training courses and events will be identified, booked and attended in accordance with the training needs of individual members of staff.	Licensing Manager
Enhance the M3 database to enable all licensing data to be stored, and all licensing activities to be assessed, electronically.	Faster and more efficient assessment of licensing activities. Paper records will no longer be required.	All historic and new data relating to premises licences will be accurately recorded on M3. All remaining paper files will be disposed of or archived by February 2016. All premises licences will be produced directly from M3 by September 2015.	Licensing Manager
Implement Victoria Forms software to enable applications for licences to be made online.	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.	The beta test system will be instigated and operational by June 2015. The system will be fully operational for licences for the sale of alcohol and regulated entertainment by August 2015. The system will be reviewed by January 2016. Other licences (e.g. charity collections) will be incorporated by March 2016.	Licensing Manager M&CP IS Business Manager
Develop and implement a workforce plan which ensures that our workforce has both the capability and resources to meet the Division's business objectives.	A Departmental Workforce Plan will be published and the actions within it will have begun to be carried out.	A Succession Plan will be in place by December 2015. The M&CP Workforce Plan will be published by December 2015. A Chief Officer led workforce planning group will be established within the Department by June 2015.	Chief Officer/ Port Health & Public Protection Management Team members /HR Business Partner
Senior Managers to review and implement all relevant actions from the Business Improvement Plan to address any gaps identified through the IIP assessment.	The Division will contribute towards the corporate stretch target of attaining the Silver IIP Standard in September 2015.	The Division will remain on track for achieving the Gold IIP Standard in 2016.	Chief Officer/ Port Health & Public Protection Management Team members/ HR Business Partner

## Operational Performance Indicators 2015-2016

The five **Operational Performance Indicators** for the Licensing Team for the year 2015-2016 are shown here.

- PI 1.** Achieve an overall sickness absence level of no more than 6 days per person by 31 March 2016, and a total of no more than 48 days.<sup>1</sup>
- PI 2.** 90% of debts to be settled within 60 days and 100% of debts settled within 120 days.
- PI 3.** 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 4.** Achieve a written self-assessment of the areas of concern and an accompanying improvement action plan at 100% of premises falling into either the amber or red zones of the Traffic Light Scheme.
- PI 5.** Ensure all necessary paperwork is submitted to Town Clerks prior to a Sub Committee hearing/review in accordance with agreed timescales on 100% of occasions.

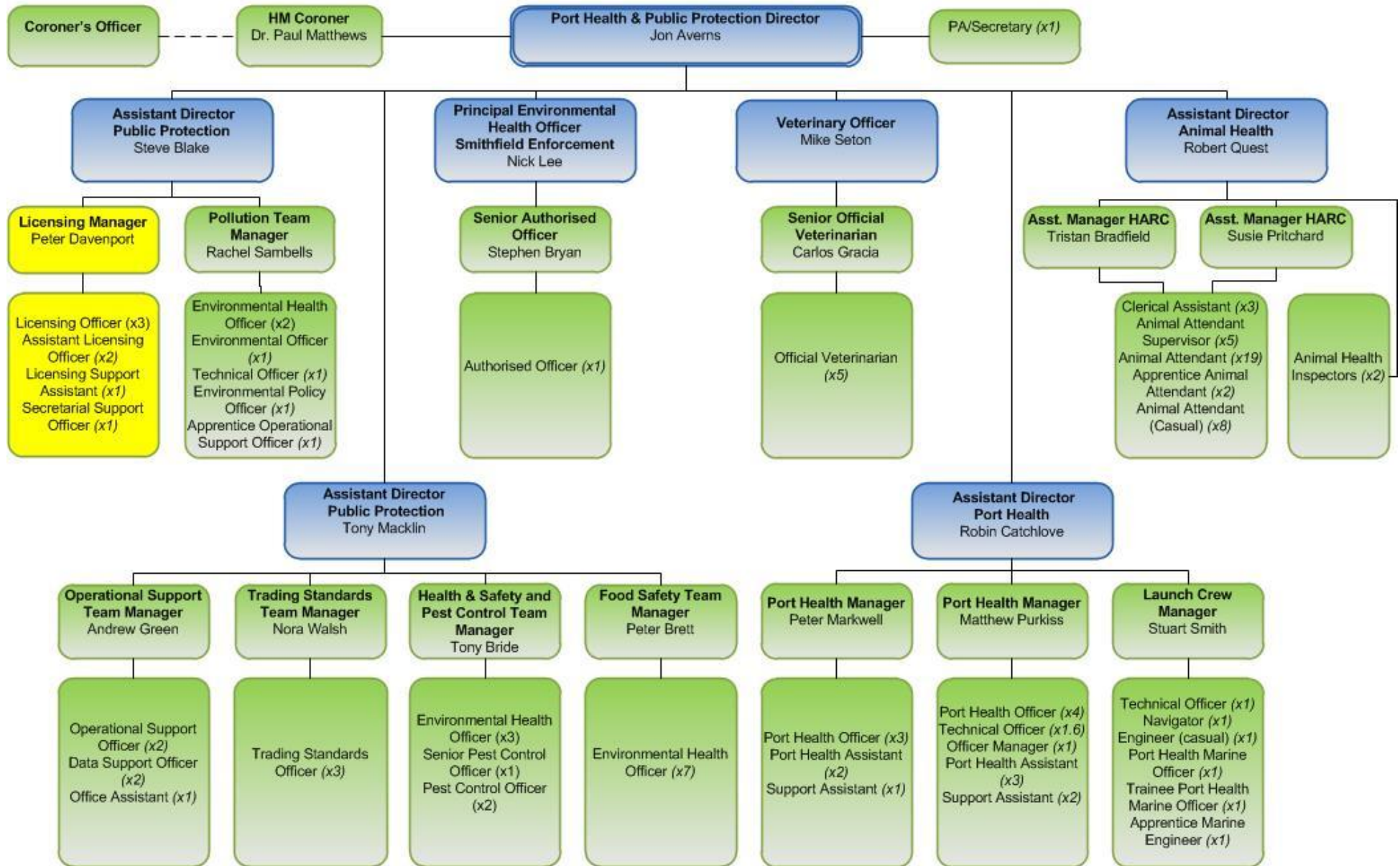
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<sup>1</sup>. Target based upon Full Time Equivalent (FTE) members of Licensing Team staff at 31 December 2014 (no. 8).

# Department of Markets and Consumer Protection

## Port Health and Public Protection Division

### Management Structure



## Workforce Capability

### Workforce planning

Analysis of the Port Health & Public Protection Division's workforce profile has emphasised the need to plan for the future. One third of the Division's staff lies in the '51 and over' age range, the implication being that over the coming years a significant number are likely to retire which could lead to loss of corporate memory and specialist skills.

At the same time, we are cognisant of the importance of retaining those staff in the lower age bands. 47% of our staff are aged '40 and under', with 24% of those being younger than 31. We need to identify the potential of these members of staff and look at/invest in their development to incentivise and encourage them to stay.

The HR Business Partner is working with the Director and the Management Team to develop a workforce plan which will identify future need skills gaps, and put in place appropriate measures to mitigate the impact of this. These measures are likely to include succession planning and talent management.

### Learning and Development

Learning and Development is a priority for the department as a whole. The Port Health & Public Protection Division's budget for learning and development for 2015/16 is £79,000.

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. Appropriate in house and external training courses are utilised, along with informal learning and development methods such as coaching, shadowing and mentoring.

In order to demonstrate a professional and competent workforce, the requirements for continuous professional development (CPD) for regulatory officers need to be met. In addition to externally provided CPD training events, regular in house CPD sessions are held for Officers to cascade recent learning. The inclusion of all staff ensures that consistent messages are disseminated throughout the division.

The competencies and training needs of all staff are assessed in relation to appropriate local business plans and capacity building. The professional field is continuously reviewed for examples of best practice, new ideas and innovations. Appropriate external events are attended, including Institute of Licensing training days and conferences; Licensing Managers' Liaison Meetings; Local Government Association conferences; and Licensing Lawyers best practice training forums.

Leadership and effective management has been identified as a Departmental aim for 2015/16. Senior management is currently identifying ways to develop this across the Management Team. The first step involved a 'Leaders' Conference' which took place in autumn 2015. A follow up conference is planned for autumn 2015.



## Investors in People

In December 2013 the City of London Corporation decided to continue to work within the framework provided by Investors in People (IiP) and be assessed for the Bronze standard. The assessment will be held over three years with the aim of reaching the Gold standard by 2016.

Following the assessment that took place in September 2014, the City of London Corporation met 67 evidence requirements and achieved recognition as a BRONZE Investor in People.

A corporate IiP Business Improvement Plan was approved by Summit Group on 23 February 2015. Senior Managers in Markets & Consumer Protection are reviewing and implementing all relevant actions to address any gaps identified through the IiP assessment. The Department's IiP Champions are working with managers to help achieve the stretch goal of 'Silver' which the Corporation is aiming for.

In 2015 the focus will be on the effectiveness of engagement of frontline teams in all elements of strategy implementation: recognition and reward; involvement and empowerment; and learning and development.

In 2016 the focus will be skills of managers in evaluating the outcomes from learning and development activities: learning and development strategy, performance measurement and continuous improvement will be looked at.

## Equalities and Diversity

We have named 'Departmental Equalities Champions' who represent the Department and Division on the Corporate Equalities Working Group. The Champions share best practice and provide support and advice to colleagues on equality and diversity issues.

Tests of relevance and Equalities Impact Assessments are carried out for any new or significantly amended policies/procedures which may affect service users or our own employees. Several members of staff have been trained to help ensure these are carried out effectively.

We continue to liaise with the corporate Equalities and Diversity Officer on emerging guidance and legislation and to ensure compliance with corporate equalities requirements, such as the Public Sector Equality Duty (under The Equality Act 2010).

## **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 Corporate Emergency Planning and Business Continuity Steering Group, which meets on a quarterly basis.

### **Business Risks**

The Department's key business risks are actively managed in line with corporate policies and procedures. Risks 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 relevant Committees. The key business risks for Port Health & Public Protection are shown in the extract of the Departmental Risk Tracker at Appendix C.

### **Health and Safety Risks**

The Department's Top X Register comprises a list of our main Health and Safety risks. The Register is monitored, regularly updated and 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 Port Health & Public Protection sub-Committee. Named individuals throughout the department have specific health and safety responsibilities including carrying out risk assessments and accident/incident reporting.

A copy of the Top X Register is at Appendix D along with a diagram showing the structure of health and safety management and reporting within the department.

## Financial summary

We will build on the close working relationships that have been successfully developed between our budget managers and our finance partners in the Chamberlain's department. The focus this year will be on making effective use of Oracle Business Intelligence financial reports to further improve financial profiling and forecasting our budgets. This will be supported through regular meetings between budget managers and accountants and our Head of Finance's attendance at Senior Management Group meetings.

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

	2013/14 Actual	2014/15 Original Budget	2014/15 Revised Budget (latest approved)	2014/15 Forecast Outturn		2015/16 Original Budget	N.B.
	£'000	£'000	£'000	£'000	%	£'000	
Employees	403	365	410	411	100.2%	420	
Premises	46	45	45	45	100.0%	45	
Transport	0	0	0	0	0	0	
Supplies & Services	4	11	27	24	88.9%	15	
Third Party Payments	0	0	0	0	0	0	
Transfer to Reserve	0	0	0	0	100.0%	0	
Contingencies	0	2	28	28	100.0%	70	
Unidentified Savings	0	0	0	0	0	0	
Total Expenditure	453	423	510	508	<b>99.6%</b>	550	
Total Income	(566)	(503)	(538)	(551)	102.4%	(632)	
<b>Total Local Risk</b>	<b>(113)</b>	<b>(80)</b>	<b>(28)</b>	<b>(43)</b>	<b>153.6%</b>	<b>(82)</b>	<b>1.</b>
Central Risk	0	0	0	0	0	0	
Recharges	213	105	213	213	100.0%	213	
<b>Total Expenditure (All Risk)</b>	<b>100</b>	<b>25</b>	<b>185</b>	<b>170</b>	<b>91.9%</b>	<b>131</b>	<b>2.</b>

#### N.B.

1. Excludes Local Risk amounts spent by the City Surveyor
2. Projected outturn 2014/15 based on monitoring at period 10 (31/01/2015)

## 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 Equalities and Diversity 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 made available to all members of staff on the Department's intranet page.