



Licensing Business Plan 2016- 2019

Content

Section	Page
Director's Introduction	3
Overview of our Services	4
Business Planning Process	6
Departmental Vision and Strategic Aims	7
Measuring Performance	8
<i>Data Quality Statement</i>	8
<i>Key Improvement Objectives 2016-2017</i>	9
<i>Operational Performance Indicators 2016-2017</i>	14
Port Health & Public Protection Management Structure	15
Workforce Capability	16
<i>Workforce planning</i>	16
<i>Learning and development</i>	16
<i>Investors in People</i>	17
<i>Equalities and diversity</i>	17
Risk Management	18
<i>Business continuity and emergency planning</i>	18
<i>Business risks</i>	18
<i>Health and Safety risks</i>	18
Financial Summary	19
Consultation	20
APPENDICES	
Appendix A: Strategic Links Matrix	
Appendix B: Summary Risk Register and Departmental Health and Safety Management Structure	
Appendix C: Summary Business Plan	

Director's Introduction

The Department of Markets and Consumer Protection (M&CP) has the widest span of all front-line service departments, employing some 252 staff with a combined local and central risk gross expenditure of £21,626,000 and an overall net local risk budget of £3,412,000 giving a total net budget including central risk and recharges of £2,229,000 for 2016-17. 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 continued the process of maximising income generation from our assets, and we 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 9 to 13, our version of the Balanced Scorecard¹, 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 in 2015/16. The departments' planned SBR savings have been accomplished so far, and new, flexible ways of working are underpinning progress in this area.

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 which is being rolled out this year. It is hoped that this pilot programme will form the basis of future courses, perhaps across the Corporation.

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

¹ 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

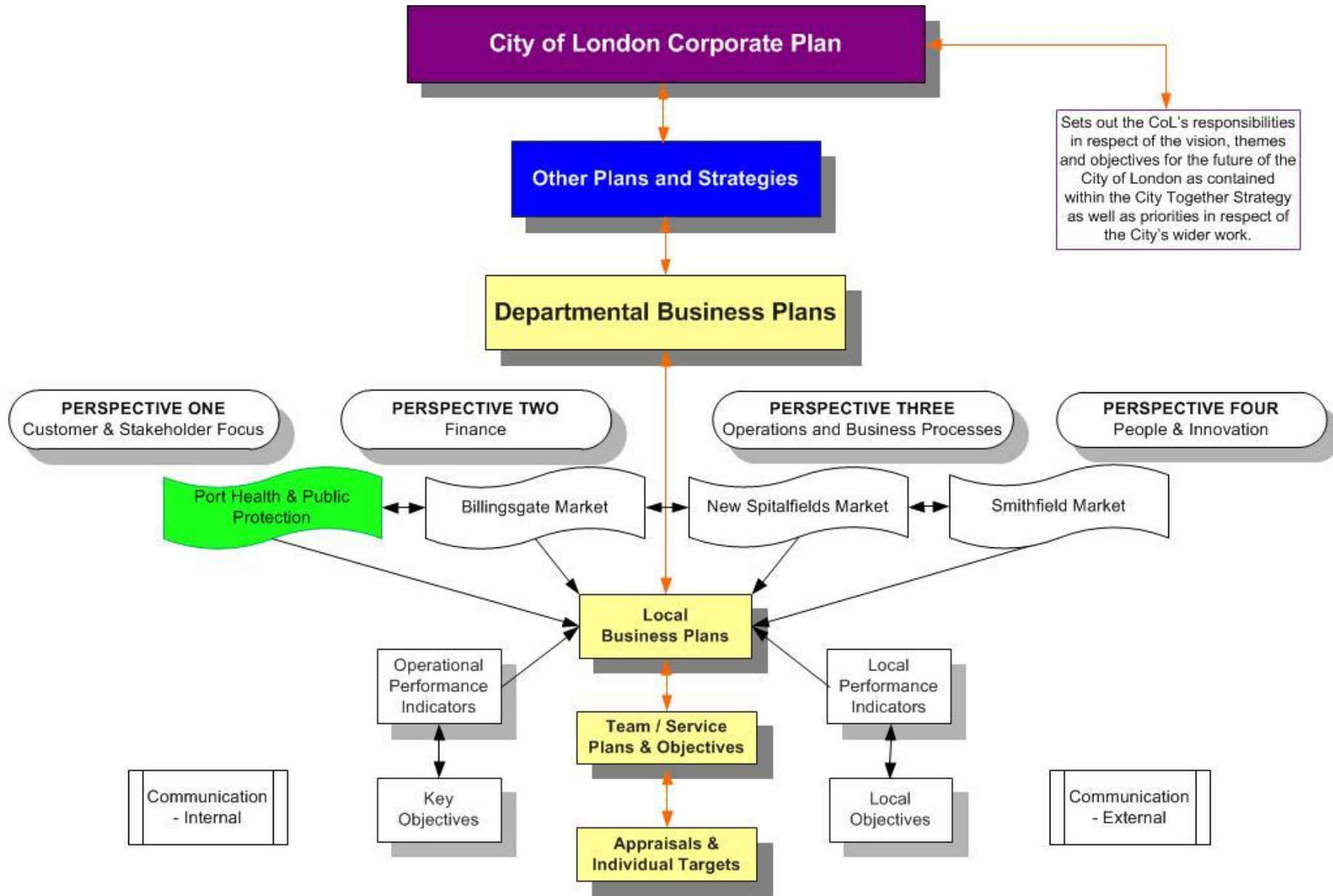
white lion cub, cheetahs and sloths. HARC also has a statutory duty to enforce the legislation as it pertains to animals passing through Heathrow Airport in transit.

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, air quality management and contaminated land legislation across the Square Mile.
- ***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 support 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 we have 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 twelve 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

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).

Key Improvement Objectives 2016-2017

The twelve **Key Improvement Objectives** for the Licensing Team for 2016-2017 are listed here under the broad perspectives, or themes, which run across the whole of the Department of Markets and Consumer Protection.

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
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 30 April 2016. Carry out a public consultation on the draft Policy during Spring/Summer 2016. Gain Committee approval and publish the revised version by October 2016.	Assistant Director, Public Protection 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 July 2016. Carry out a public consultation on the draft Principles during August and September 2016. Gain Committee approval and publish the revised version by December 2016.	Assistant Director, Public Protection Licensing Team Manager
Ensure provisions relating to the further amendment of the Licensing Act 2003 and other relevant legislation are complied with.	The Team will be in compliance with relevant legislation, fulfilling its statutory functions.	Monitor amendments (particularly those contained within the Police Reform Bill and Immigration Bill) and ensure all team members are aware. All policies/procedures to be updated as necessary. Monitor other legislation for amendments including that relating to Street Trading.	Assistant Director, Public Protection 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
Introduce a Policy, and associated procedures, for the issue of permits for charitable street collections and related street activities.	The requirements of the relevant legislation will be met. 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).	By September 2016 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. Approval for the new Policy will be obtained from the October 2016 Licensing Committee. The new Policy will be implemented by December 2016.	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.

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

Action	Outcome	Measure	Responsibility
Introduce a draft policy/procedure for tackling problems associated with drinking outside licensed premises within the City.	The 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.	A permanent internal policy and associated procedure is to be circulated within the Department of the Built Environment by May 2016. This will be referred to in the update of the Statement of Licensing Policy	Assistant Director, Public Protection Licensing Team Manager
Develop the London Licensing Forum for Members and Practitioners.	There will be more effective communication between the City and its neighbours on licensing matters, enabling the sharing of best practice and local feedback.	Consult with the Chairman and Deputy Chairman of the Licensing Committee on the best way forward for this Forum subsequent to the initial meeting with all neighbouring Local Authority Licensing Chairmen/Licensing Lead Members and Licensing Managers to be held on 6 April 2016.	Assistant Director, Public Protection Licensing Team Manager
<u>Risk Management</u> Complete transition of all M&CP business risks on to the Covalent database	All risks, both departmental and local, to be migrated on to the system and Risk and Action Owners to be able to update the system as necessary.	Migration to be complete by October 2016. Risk owners to have been trained in updating risks and actions on the system, and have appropriate system access no later than June 2016.	Assistant Director, Public Protection Head of Business Performance Technical Officer
Populate the Covalent system with M&CP Top X risks	Top X risks to be migrated on to the system and Risk Owners to be able to update the system as necessary.	All Top X risk migrated by the end of March 2017	

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.

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.	Anomalies in data entry within M3 will be eradicated. Data for small lotteries will be entered onto M3. Paper files for small lotteries and charity collections will be eliminated. M3 will contain full data in relation to Table and Chairs licences. All licences will be produced directly from M3. All above measures to be in place by February 2017.	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.	Develop links with a greater number of application forms for use by customers of the Licensing Service and investigate the possibility of loading direct to the service database. Assist in the testing of 'ngage' software and its forms for direct entry. Decide whether to proceed with 'ngage' or Victoria Forms software. Put systems in place to deal with public online application data by January 2017. Ensure no clash with other online systems.	Licensing Manager M&CP IS Business Manager
Implement the priorities outlined in the Departmental Workforce Plan.	Our workforce will have both the capability and resources to meet the Division's business objectives.	The Departmental Workforce Planning Group will have made demonstrable progress in addressing the key priorities of the Workforce Plan by March 2017, which include: <ul style="list-style-type: none"> • Leadership development at all levels of management and staff learning and development needs • Mobile working • Succession planning • Development of a Skills Matrix for the department. 	Chief Officer Departmental Workforce Planning Group HR Business Partner

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.

Action	Outcome	Measure	Responsibility
Senior managers will review and implement all relevant actions in the M&CP liP Business Improvement Plan and work towards providing evidence for the relevant indicators to achieve the Gold liP Standard.	The Division will contribute towards the corporate stretch target of attaining the Gold liP Standard in 2016.	The department will contribute all necessary information and evidence to the corporate liP coordinator in time for the City's September 2016 assessment for the Gold liP award.	Chief Officer Port Health & Public Protection Management Team HR Business Partner
Deliver a Leadership Development Programme for a cohort of 10-12 current and future managers. (Linked to the fourth Equalities priority within the Corporate 'Equalities and Inclusion Action Plan 2016')	Delegates will be able to: <ul style="list-style-type: none"> • Lead effectively in times of constant change. • Think strategically and see how strategies can be actioned through effective planning and implementation. • Develop their skills as flexible, agile and resilient managers. • Recognise issues key to the City and adapt team priorities and performance to address them. 	Six one-day sessions will be held over a six to eight month period.	Chief Officer Port Health & Public Protection Management Team

Operational Performance Indicators 2016-2017

The five **Operational Performance Indicators** for the Licensing Team for 2016-2017 are shown here.

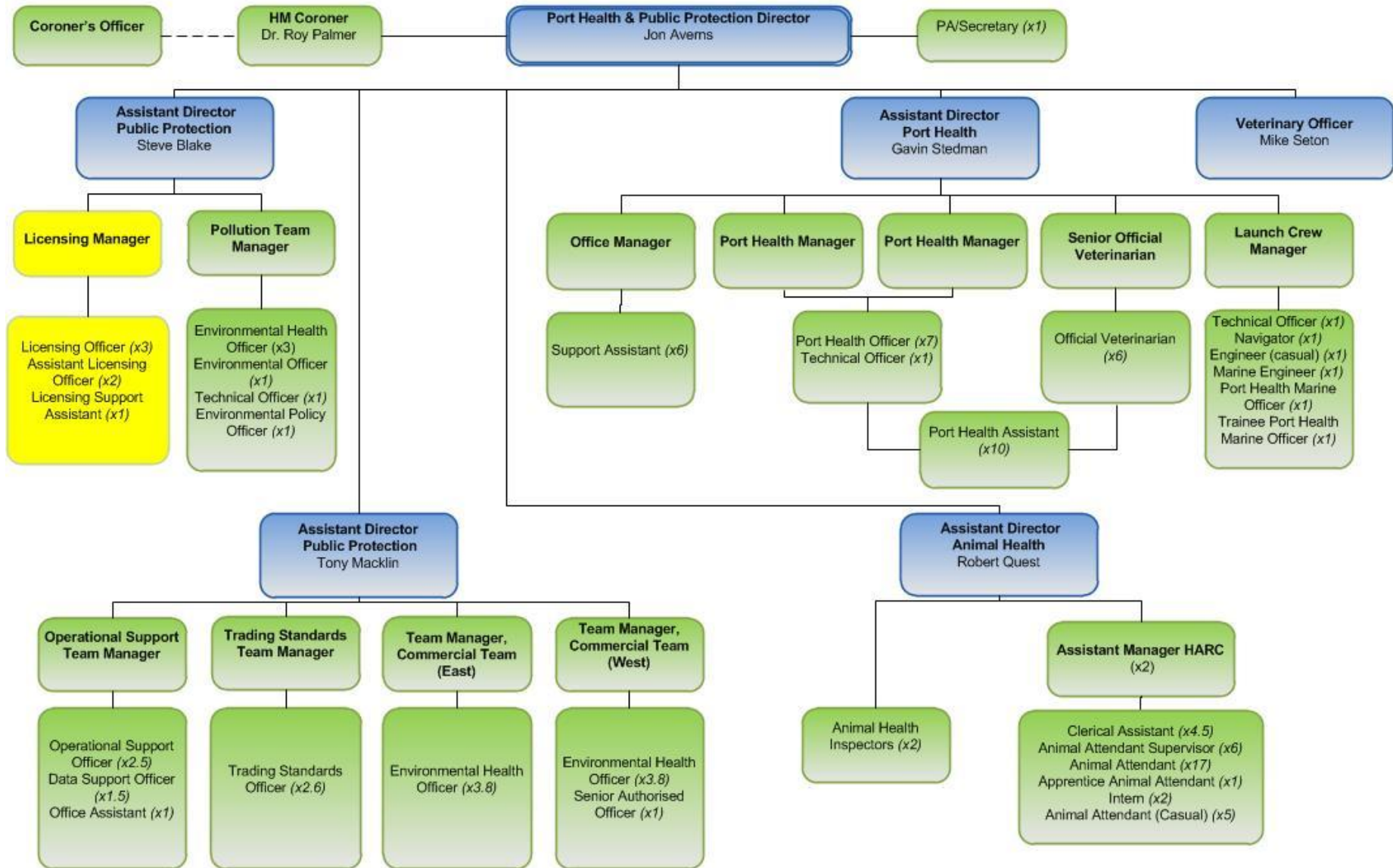
- PI 1.** Achieve an overall sickness absence level of no more than 6 days per person by 31 March 2017, and a total of no more than 42 days.²
- PI 2.** 90% of debts to be settled within 60 days and 100% of debts settled within 120 days.
- PI 3.** Ensure that, within 12 months, 90% of premises entering the red or amber zone of the Traffic Light Scheme are brought back to the amber or green zone respectively.
- PI 4.** 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 5.** Receive more than 39 applications for the annual Safety Thirst Award Scheme from licensed premises, by the deadline of 31 May 2015 (i.e. an increase on the number received in 2015/16).

². Target based upon Full Time Equivalent (FTE) members of Licensing Team staff at 31 December 2015 (no. 7).

Department of Markets and Consumer Protection

Port Health and Public Protection Division

Management Structure



Workforce Capability

Workforce planning

The Departmental Workforce Planning Group was established in 2015 to address the need for succession planning and ensuring the Department of Markets and Consumer Protection is capable of meeting future demands and needs.

The Group was responsible for writing the Workforce Plan which is now in use and outlines some of the key workforce planning issues. The emerging priorities identified in the plan are:

- Leadership development at all levels of management and staff learning and development needs
- Mobile working
- Succession planning
- Development of a Skills Matrix for the department

As a department we have had very positive experiences of the City's Apprenticeship Scheme, which we continue to take part in. Over the past few years, we have taken on a number of excellent young apprentices, some of whom have subsequently been successful in gaining permanent employment with us. The scheme has been particularly valuable at the Heathrow Animal Reception Centre where the current apprentices are proving to be as good as their predecessors.

A Career Progression Scheme is currently being developed at Port Health, the basic principles of which could possibly be extended to other parts of the department in the future.

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 2016/17 is £102,000.

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 was identified as a Departmental aim for 2015/16. Markets and Consumer Protection have now initiated a Leadership Development Programme within the department as a pilot project for 2016/17.

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). This is a three stage process taking place during 2014-2016 with the corporate aim being to achieve recognition as a Gold Investor in People by the end of 2016.

At its second annual assessment in September 2015, the City of London Corporation met 118 evidence requirements and achieved recognition as a SILVER Investor in People.

The Corporate IiP Report was viewed and approved by the Summit Group on 7 December 2015. The M&CP Senior Management Group (SMG) has tasked the Departmental Workforce Planning Group to develop an M&CP IiP Business Improvement Plan and implement relevant actions to address gaps identified in the report.

In 2016 the IiP focus will be on skills of managers in evaluating the outcomes from learning and development activities: the Department's learning and development strategy, performance measurement and continuous improvement will be looked at. The Workforce Planning Group will also look at all outstanding IiP evidence requirements which were not met during the September 2015 assessment.

Equalities and Diversity

The Public Sector Equality Duty (PSED) requires public authorities to have 'due regard' to the need to:

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

We continue to liaise with the Corporate Project and Equality Manager on emerging guidance and legislation. To ensure compliance with corporate equalities requirements we publish the Public Sector Equality Duty (under The Equality Act 2010) each January.

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.

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 the Port Health & Public Protection Management Team acting as a service-level health & safety 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 Summary Risk Register is at Appendix B 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. To make effective use of Oracle Business Intelligence, will require close co-operation between Chamberlains and budget managers to develop budget profiling and forecasting to improve management and control of the revenue budgets and empower budget managers to have more control of their 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.

Over the coming year we will continue to implement our Service Based Review savings identified for various service provisions agreed by Members in support of the organisation's drive for efficiency and budget reductions in order to meet the projected shortfall in City Resources of £13m by 2017/18. Additionally, we will liaise closely 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

	2014/15	2015/16	2015/16	2015/16		2016/17	N.B.
	Actual	Original Budget	Revised Budget (latest approved)	Forecast	Outturn	Original Budget	
	£'000	£'000	£'000	£'000	%	£'000	
Employees	411	420	417	408	97.8%	447	
Premises	45	45	45	45	100.0%	45	
Transport	0	0	0	0	0	0	
Supplies & Services	15	15	17	17	100.0%	18	
Third Party Payments	0	0	0	42	0	0	
Transfer to Reserve	0	0	0	0	100.0%	0	
Contingencies	0	70	100	56	56.0%	99	
Unidentified Savings	0	0	0	0	0	0	
Total Expenditure	471	550	579	568	98.1%	609	
Total Income	(529)	(632)	(699)	(697)	99.7%	(689)	
Total Local Risk	(58)	(82)	(120)	(129)	107.5%	(80)	1.
Central Risk	0	0	0	0	0	0	
Recharges	154	203	163	163	100.0%	161	
Total Expenditure (All Risk)	96	121	43	34	79.1%	81	2.

N.B.

1. Excludes Local Risk amounts spent by the City Surveyor
2. Projected outturn 2015/16 based on monitoring at period 9 (31/12/2015)

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 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 made available to all members of staff on the Department's intranet page.