



Port Health & Public Protection 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 information relating to the Port Health and Public Protection services which are covered by the Port Health & Environmental Services Committee. More detailed improvement objectives and performance measures are identified in the Local Business Plan of each area of the Division, and are available upon request.

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 15, 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 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

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 **Port Health and Public Protection Division** 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.

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 Designated Points of Entry at London Gateway, Tilbury, Thamesport and Sheerness.

Animal Health & Welfare

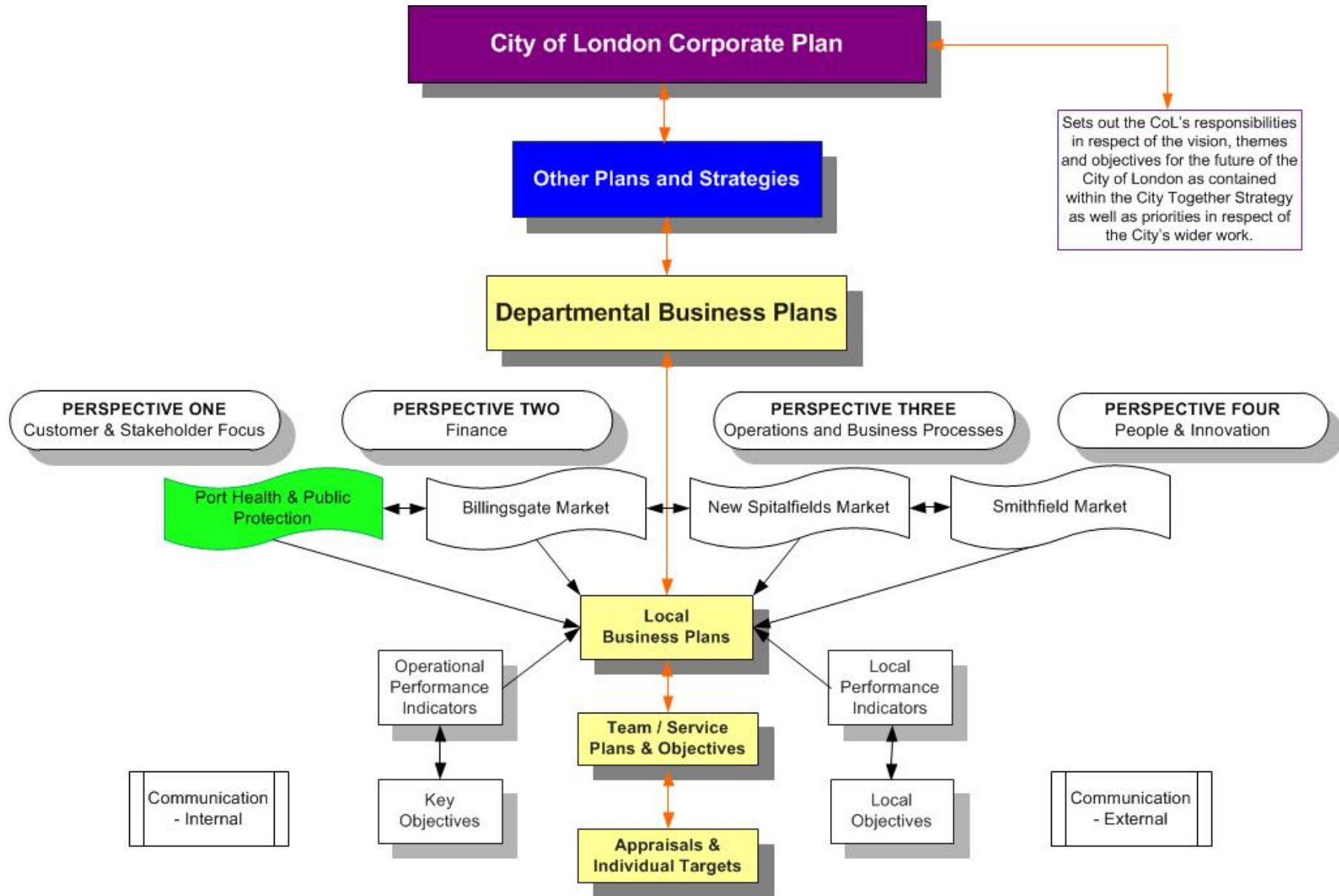
- The service is the Animal Health Authority for Greater London and also provides **animal health services** across London on an agency basis for 29 London Boroughs and also Unitary Authorities in the Home Counties. Officers carry out inspections of pet shops, zoos, dog breeding and riding establishments, 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 in let premises, 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
- 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. While part of the Port Health & Public Protection Division, the Service reports directly to the Licensing Committee and further details of its work are not included in this Business Plan.

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 Port Health and Public Protection Division:

- Demonstrate leadership for London in delivering our Air Quality Strategy 2015-2020.
- Develop our Port Health Service to be the fastest processor of imported food and feed consignments in the UK.
- Provide excellent customer service to people using our animal health services, while developing our offering and generating significant additional income.
- 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 ten Operational Performance Indicators and fifteen Key Improvement Objectives, as detailed on the following pages. Progress against these measures will be reported to the Port Health and Environmental Services Committee on a four monthly basis throughout the 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 ten **Operational Performance Indicators** for Port Health and Public Protection for 2017-2018 are shown here.

Port Health:

- PI 1.** Proportion of imported food and feed consignments (Products of Animal Origin – POAO) that satisfy the checking requirements cleared within five days:
- Non-fish 95%
 - Fish 85%
- PI 2.** 90% of imported food and feed consignments (Products of Non Animal Origin - PNAO) are subjected to mandatory documentary controls within five days.
- PI 3.** 5% of imported food and feed consignments (Products of Non Animal Origin - PNAO) are subjected non-mandatory physical checks.

Food Safety:

- PI 4.** Over the course of the year, secure a positive improvement in the overall Food Hygiene Ratings Scheme (FHRS) ratings profile for City food establishments compared to the baseline profile at 31 March 2013.

HARC:

- PI 5.** Less than 1% of missed flights for transit of animals caused by the Heathrow Animal Reception Centre.

Pollution:

- PI 6.** 90% justifiable noise complaints investigated result in a satisfactory outcome.²

Trading Standards:

- PI 7.** Respond to all victims of investment fraud identified to the Trading Standards Service within five working days to advise on the risk of repeat targeting, assess the need for safeguarding interventions and initiate the safeguarding process where appropriate.

Health & Safety:

- PI 8.** To complete the annual risk-based cooling towers inspection programme in order to ensure that the risk of Legionnaires' disease is being effectively managed by all those responsible.

All PH&PP Service areas:

- PI 9.** 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 690 days across all PH&PP Service areas.³
- PI 10.** 90% of debts to be settled within 60 days and 100% of debts settled within 120 days.

² The percentage of total justified noise complaints investigated resulting in noise control, reduction to an acceptable level and/or prevention measures; complaints may or may not be actionable through statutory action.

³ Target based upon Full Time Equivalent (FTE) members of PH&PP staff at 31 December 2016 (no. 115).

Key Improvement Objectives 2017-2018

The fifteen **Key Improvement Objectives** for the Port Health and Public Protection Division for 2017-2018 are listed here under the four broad perspectives, or themes, which run across the whole of the Department of Markets and Consumer Protection.

Perspective 1 - 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
Evaluate the potential impact of leaving the EU on the services provided by PH&PP. Inform central Government of these impacts and consider appropriate mitigating actions.	Government departments and agencies will be aware of the potential impact on public and animal health, and consumers. A smoother transition for the City when the UK leaves the EU. Maintain the City's status as delivering world class services. Be in a position to service any new and evolving trade as it develops.	All relevant legislation that may be affected will be mapped by April 2019. Mitigating actions will be identified by April 2019.	Port Health & Public Protection Management Team
Trading Standards Team to maintain focus on protecting City residents from financial fraud. Promote closer ties and better joint working between Trading Standards, Adult Services and City of London Police.	Those residents who are potentially vulnerable and socially isolated are better protected from financial fraud and attempted scams.	Fewer incidences of City residents experiencing financial fraud.	Assistant Director, Public Protection Trading Standards Manager
Continue with the current regulatory delivery model for Commercial regulation ensuring a clear focus on risk-based priorities. Develop closer ties with other London local authorities and national regulators. Explore the most effective methods of using legislative and non-legislative tools.	The Commercial Teams' risk-based local service plans for Food Safety, Health & Safety and Trading Standards, will be successfully delivered. Consumer interests will remain at the heart of what we do; influencing the behaviour of businesses in the interests of consumers.	Planned targets will be set and successfully delivered by 31 March 2018.	Assistant Director, Public Protection Commercial Team Managers

Perspective 1 - 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
Animal Health Service to support government and non-government organisations in their work on combating the illegal puppy trade.	Animal Health Officers will provide data, advice and, where possible, physical support.	Reduction in the numbers of cases requiring investigation.	Assistant Director, Animal Health
Pollution Team to implement the Action Plan for the Noise Strategy 2016-2026.	City residents, workers and visitors are not exposed to unreasonable levels of noise.	<p>Key actions from the plan will be progressed:</p> <ul style="list-style-type: none">• Consult upon a draft, and subsequently launch, a revised Code of Practice for Construction and Deconstruction. By September 2017.• If TfL funding is received, participate in a two year pilot scheme with TfL and five other Boroughs (funded by TfL) to improve liaison on streetworks on TfL roads.• Launch a Memorandum of Understanding (MoU) between TfL and the CoL in relation to the environmental impact of streetworks by May 2017.• Review operation of the MoU and revise as necessary by March 2018.• Quarterly meetings will be held with London Underground Ltd to discuss minimising the impacts of the operational railway, railway maintenance and night tube as it develops.	Assistant Director, Public Protection

Perspective 1 - 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
Ensure compliance with the new statutory requirements for London Local Air Quality Management. Mitigate the risk associated with potential fines for non-compliance with air quality limit values.	Full and continuing compliance with the new statutory obligations which require new systems of working and the implementation of new reporting mechanisms. Maintain the City's status as 'Clean Air Borough'.	The new systems of working and reporting will be implemented and all data included in the statutory annual report by 24 April 2017. Significant progress in the following areas will be demonstrated by March 2018: <ul style="list-style-type: none">• Political leadership• Taking action• Leading by example• Development control• Public health• Information and communication	Air Quality Manager
Implement a Low Emission Neighbourhood in the City.	Improved local air quality will be achieved through a range of local measures designed to reduce emissions from various sources.	Improved air quality which will, in turn, mitigate the risk associated with high levels of air pollution.	Air Quality Manager
Reduce the status of the corporate air quality risk by implementing a range of agreed measures as set out in the Air Quality Strategy 2015-2020.	Mitigate the impact of poor air quality on the health of residents and workers in the City.	The status of the corporate risk will reduce from red to amber.	Air Quality Manager

Perspective 2 – Finance

Achieve greater Value for Money for all our services, including developing and implementing Action Plans for the Service Based Reviews and rigorous reviews locally of Service Charge costs and increased income generation.

Action	Outcome	Measure	Responsibility
Produce an updated Port Health Authority Order to ensure that the Port Health Service is authorised to take formal action within the boundary under the relevant legislation.	<p>Avoidance of legal challenge to the operational basis of the Port Health Authority.</p> <p>Clear boundary definition to show extent of operations to other stakeholders.</p> <p>Possibility to undertake wider duties within the boundary, which may generate further income, or recharge for work outside the boundary.</p>	<p>The draft Order will be completed by March 2018.</p> <p>The Remembrancer will then pursue the Parliamentary aspects.</p>	Assistant Director, Port Health
<p>Evaluate the increased potential for Primary Authority work including the feasibility of establishing a new Primary Authority Unit⁴. This will include a programme of engagement with City businesses.</p> <p>Implement the findings of the evaluation.</p>	<p>Depending upon the findings of the evaluation, the outcomes will be:</p> <p>Improved support for businesses and economic growth.</p> <p>Improved working relationships with national regulators on the provision of specific advice as their role is extended (from October 2017).</p> <p>Improved protection for consumers, workers and the environment.</p> <p>Businesses that sign up to a partnership will have access to reliable, tailored regulatory advice.</p> <p>The City of London's reputation will be enhanced.</p>	<p>Increased number of Primary Authority Partnerships.</p> <p>Increased Primary Authority income.</p>	<p>Assistant Director, Public Protection</p> <p>Commercial Team Managers</p> <p>Trading Standards Manager</p>
HARC: investigate and implement new income generation proposals.	<p>Income streams from current facilities will be maximised.</p> <p>Additional income will potentially be realised through developing facilities.</p>	Increased income.	Assistant Director, Animal Health

⁴ From 1 October, 2017 the Enterprise Act 2016 comes into force and Primary Authority will be open to any size of business including pre start-ups, through an extension and simplification of the scheme,

Perspective 3 - 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
Complete the formal annual review of our property holdings with City Surveyors Department to ensure that we do not occupy buildings and land in excess of our identified operational need, in accordance with Standing Order 55.	That our property holdings are appropriate for our operational needs and future needs.	Review to be completed by October 2017.	Assistant Director, Port Health Assistant Director, Animal Health Head of Business Performance
Continue to develop the use of technology and Mobile Working solutions. Complete the implementation of PHILIS software at the HARC.	A more compelling, agile IT working solution for the workforce so that officers will be able to record and receive real-time enforcement data whilst in the field. Real-time updating and processing of enforcement data and intelligence. Improved integration of HARC and Ports working practices.	Faster data and information capture and more effective communication with businesses. Improved turnaround times for imports. PHILIS to be in full use at the HARC by 1 October 2017.	Assistant Directors

Perspective 4 – 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
Implement a strategic Learning and Development Plan to ensure we have the necessary skills and capabilities and training to undertake our work and deliver the corporate strategy.	Our workforce will be adequately resourced and experienced, enabling PH&PP 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, by March 2018.	Port Health & Public Protection Management Team
Refresh the Workforce Plan to include upcoming proposed staff changes.	A more efficient service and improved staff morale will result in a better service for our customers.	An updated Workforce Plan will be agreed. This will include proposals for succession planning and arrangements for suitable training, job shadowing and coaching.	Departmental Workforce Planning Group
Fully implement the Port Health HR Plan.			HR Business Partner
Reorganise staff at the HARC as recommended in an independent external report.			
Actively support the development and use of Apprentices across the City Corporation.			
Deliver the second iteration of the M&CP Leadership Development Programme. (Linked to the fourth Equalities priority within the Corporate Equality Objectives for 2016 – 2020')	Improved leadership skills.	Delegate satisfaction as measured by post-course feedback.	Chief Officer Individual delegates

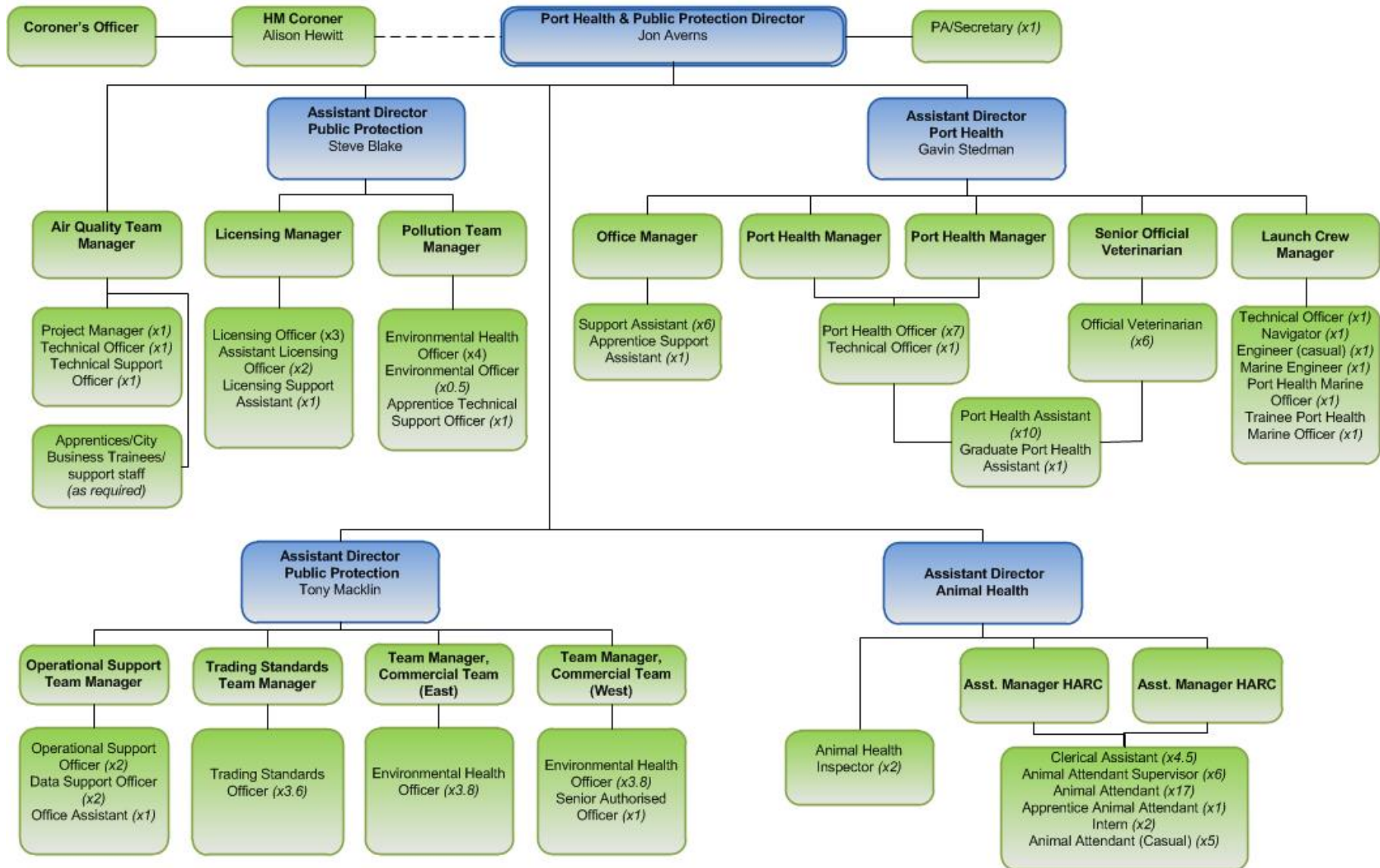
Looking ahead

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:

- Mitigate the potential impacts of exit from the EU on the services provided by Port Health & Public Protection.
- Work to reduce the status of the corporate air quality risk from red to amber by implementing a range of agreed measures set out in the Air Quality Strategy 2015-2020.
- Develop extra facilities at Heathrow Animal Reception Centre to maximise income.
- Continue to implement the Action Plan for the Noise Strategy 2016-2026.

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, individual development needs of all members of staff are identified at performance appraisals and progress is monitored at review stages.

In order to demonstrate a professional and competent workforce, the requirements for continuous professional development (CPD) for regulatory officers need to be met. This enables Environmental Health Officers (both ordinary and Chartered) and Chartered Trading Standards Officers to complete and sign the required annual declaration with their institute (CIEH and CTSI, respectively). Additionally, the competency requirements of the Regulators' Code must be achieved in order to ensure that the service complies with key regulatory changes.

The competencies and training needs of all regulatory staff are assessed in relation to appropriate local business plans and capacity building. Professional development and culture change are supported through a common approach to competency, including the revised Regulators' Development Need Analysis (RDNA).

Regulatory officers have a CPD objective in their performance and development plan and achievement is monitored through the appraisal process. 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 Service.

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.

Property and asset management

I confirm, as Director of the Department of Markets and Consumer Protection, that the Department is utilising its assets efficiently and effectively and that I have considered current and future requirements for service provision. Any assets that have been identified as surplus to the department's requirements have been or will be reported as required to the Corporate Asset Sub-Committee and the schedule will be annually reviewed to ensure that the use of assets by the Department of Markets and Consumer Protection continues to be challenged appropriately.

Signed: David A. H. M. Smith
Director of the Department of Markets and Consumer Protection

Dated: 31.03.2017

Capital projects 2017-2022

The table below shows basic information about projects which may require over £50k of capital expenditure during the next five years.

Brief description of potential project	Approximate cost	Indicative source of funding	Indicative timetable for project
HARC: Extension to the building	£1m	City Fund	Currently still at concept stage.
HARC: Extend the current 'Residence' which is let to APHA (Animal and Plant Health Agency)	Quote will be required from City Surveyors.		APHA has requested more office accommodation. Awaiting an outline specification of their requirements before approaching City Surveyors for costings.
PH&PP: System Rationalisation in partnership with DBE from two back-office database systems into a single system.	£490k over 3 years (£164k pa)	City Fund	Up to three years dependent upon any slippage (already factored in) Still at pre-Opportunity Outline stage
Port Health: Replacement of one of the launch vessels.	£750k	City Fund	The service is currently investigating suitable replacements.

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 liaise closely with the Chamberlain on the financials for investigating the options and merits of trading accounts at the HARC and Ports to ensure these meet the latest CIPFA rules on cost neutrality.

Financial Information - Markets & Consumer Protection Port Health & Environmental Services 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	5,266	5,839	6,050	5,905	97.6%	6,106	
Premises	615	429	429	458	106.8%	460	
Transport	204	174	175	180	102.9%	168	
Supplies & Services	1,004	825	1,415	1,060	74.9%	835	
Third Party Payments	47	29	29	28	96.6%	29	
Transfer to Reserve	0	0	0	0	0	0	
Contingencies	0	1	1	1	100.0%	1	
Unidentified Savings	0	0	0	0	100.0%	0	
Total Expenditure	7,136	7,297	8,099	7,632	94.2%	7,599	
Total Income	(5,010)	(5,311)	(5,883)	(5,673)	96.4%	(5,600)	
Total Local Risk	2,126	1,986	2,216	1,959	88.4%	1,999	1.
Central Risk	0	8	48	8	16.7%	8	
Recharges	2,158	1,658	1,684	1,684	100.0%	1,786	
Total Expenditure (All Risk)	4,284	3,652	3,948	3,651	92.5%	3,793	

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 throughout Port Health and Public Protection 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.

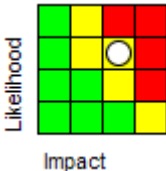
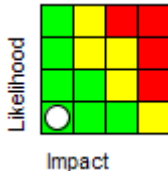
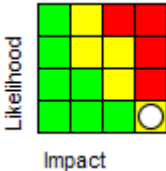
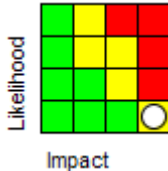
Port Health & Public Protection Summary Risk Register

Report Type: Risks Report

Report Author: John Smith

Generated on: 31 March 2017

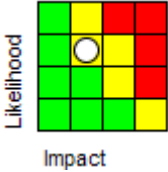
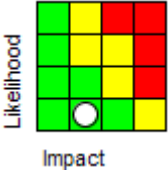
Code	Description (Cause, Event, Impact)	Risk owner	Current Risk Matrix	Target Risk Matrix	Target Date
MCP-HA 001	<p>Cause: The car parking area is used by staff and visitors as well as through traffic which includes Heavy Goods Vehicles. The area is also used for unloading by forklift trucks.</p> <p>Event: There is a real risk of injury or death of a pedestrian if vehicle movements in this constrained space are not appropriately managed and controlled.</p> <p>Effect: Serious injury or fatality; prosecution, a fine, reputational damage for the City. Adverse impact on the operation and sustainability of the service.</p>	Robert Quest			31-Dec-2015
MCP-HA 002	<p>Cause: The Heathrow Animal Reception Centre has experienced significant delays to maintenance and/or repair of equipment and facilities due to be carried out under the corporate repair and maintenance contract.</p> <p>Event: This could result in future operational difficulties, including security risks.</p>	Robert Quest			31-Mar-2017

Code	Description (Cause, Event, Impact)	Risk owner	Current Risk Matrix	Target Risk Matrix	Target Date
	Effect: The risk of closure of the facility by the enforcing authorities leading to reputational damage and financial loss to the City.				
MCP-HA 003	Cause: A lack of robustness of Information Technology systems at the Heathrow Animal Reception Centre. Event: Technical failure of Information Technology systems leading to the loss of computer network facilities and telephones for a period in excess of 24 hours. Effect: Disruption to service, damage to reputation, temporary loss of income. Possible threat to animal welfare where HARC cannot be notified of airside incidents.	Robert Quest			30-Dec-2016
MCP-HA 004	Cause: Arrival of unknown venomous/toxic species through BIP. Event: Envenomation or poisoning of staff or visitor leading to serious illness or death. Effect: Serious injury or fatality; prosecution, a fine, reputational damage for the City. Adverse impact on the operation and sustainability of the service.	Robert Quest			30-Dec-2016

Code	Description (Cause, Event, Impact)	Risk owner	Current Risk Matrix	Target Risk Matrix	Target Date
MCP-HA 005	Cause: Downturn in aviation/travel due to economics, environmental factors, terrorism etc. Event: Reduced throughput of consignments at HARC. Effect: Loss of income.	Robert Quest			30-Dec-2016
MCP-HA 006	Cause: Significant increase in throughput at short notice. Event: Insufficient facilities to process consignments. Impact: Damage to reputation caused by inability to meet demand of airlines/agents, or slow processing.	Robert Quest			30-Dec-2016
MCP-HA 007	Cause: Loss of IS support for ARC Ledger bespoke database. Event: Loss of data, recording and reporting, and invoicing capability. Impact: Reputational damage due to compromised service delivery. Temporary loss of income.	Robert Quest			30-Dec-2016
MCP-HA 009	Cause: Fire or bomb threat, terrorism. Event: Evacuation of building. Impact: Inability to deliver service short term, reduced control on imports leading to risk to human/animal health.	Robert Quest			30-Dec-2016

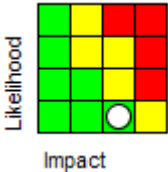
Code	Description (Cause, Event, Impact)	Risk owner	Current Risk Matrix	Target Risk Matrix	Target Date
MCP-HA 010	Cause: Outbreak of zoonotic disease within Greater London/South East. Event: Restriction of animal movements, possible closure of Border Inspection Post to some species. Impact: Loss of income if BIP closed, cost of resourcing response to zoonoses outbreak, damage to reputation if at fault or poor response.	Robert Quest	 Likelihood Impact	 Likelihood Impact	30-Dec-2016
MCP-HA 011	Cause: Loss of power or water to building. Event: Compromised service delivery due to inability to operate IS systems, and animal facilities. Impact: Damage to reputation, loss of income.	Robert Quest	 Likelihood Impact	 Likelihood Impact	30-Dec-2016
MCP-HA 012	Cause: New Live Animal Border Inspection Post opening in UK/Heathrow. Event: Reduced throughput of animal consignments at Heathrow. Impact: Loss of Income.	Robert Quest	 Likelihood Impact	 Likelihood Impact	30-Dec-2016
MCP-HA 013	Cause: Legislative change on current 100% checks of EU pet movements. Event: Reduced/no requirement to check EU pets entering UK. Impact: Loss of income, increased risk of introduction of rabies.	Robert Quest	 Likelihood Impact	 Likelihood Impact	30-Dec-2016

Code	Description (Cause, Event, Impact)	Risk owner	Current Risk Matrix	Target Risk Matrix	Target Date
MCP-HA 014	<p>Cause: Handling of heavy consignments in the Large Animal Border Inspection Post, handling of large animals, failure of scissor lift safety mechanism.</p> <p>Event: Injury caused by failed safety mechanism on scissor lift, or kicking/trampling by horses and other large animals.</p> <p>Impact: Serious injury of staff, APHA staff or consignment attendant.</p>	Robert Quest			30-Dec-2016
MCP-PH 002	<p>Cause: Increase of fees resulting in trade moving to other more competitive ports.</p> <p>Event: Large increase in rates valuation by Thurrock Council. Large increase in lease costs of buildings. Lack of investment in new technology to maintain efficiency and reduce costs.</p> <p>Effect: Salary and redundancy liability of excess staff. Loss of income from charges. Claims of compensation from port operators for loss of trade and reputational damage.</p>	Gavin Stedman			31-Dec-2016
MCP-PH 003	<p>Cause: Failing to meet legal obligations for fee recovery. Lack of funding, compromising service delivery.</p> <p>Event: Lack of adequate Financial</p>	Gavin Stedman			31-Dec-2016

Code	Description (Cause, Event, Impact)	Risk owner	Current Risk Matrix	Target Risk Matrix	Target Date
	<p>Management, Importers becoming insolvent and unable to pay debt.</p> <p>Effect: Non-compliance for not recovering fees where applicable</p> <p>Service compromised triggering stakeholder complaints, compensation, reputational damage.</p>				
MCP-PH 004	<p>Cause: Unavailability of one or both launches affecting the performance of the statutory duties and non-statutory duties. For 1 week over 1 month. Launches unable to be kept in the river.</p> <p>Event: Mechanical breakdown of launch and engine and equipment</p> <p>Damage to launch from terrorism, vandalism or accident Failing to renew the existing leases for Charlton and Denton, and losing the mooring points or failing to provide with suitable alternatives.</p> <p>Effect: Reputational damage due to non-compliance with statutory duties and non-statutory duties. Compensations, claims from stakeholders.</p>	Gavin Stedman			31-Dec-2016

Code	Description (Cause, Event, Impact)	Risk owner	Current Risk Matrix	Target Risk Matrix	Target Date
MCP-PH 005	<p>Cause: Building becomes too small for the volume of operations required. River Section staff in need of office space.</p> <p>Event: Trade / throughput increase or workload increase. Berth 3 at LG opening 08/2016. Denton office lease coming to an end.</p> <p>Effect: Compensation claims from: delay in processing and releasing consignments, diversion of trade to other ports possibly causing financial and reputational damage.</p>	Gavin Stedman	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	31-Dec-2016
MCP-PH 006	<p>Cause: Inadequate staff numbers.</p> <p>Event: Sudden sustained increase in trade. Sudden sustained increase in workload. Lengthy recruitment process. Lack of suitable applicants to vacancies. Brexit implication for recruiting and retaining staff</p> <p>Effect: Compensation claims from: delay in processing consignments, diversion of trade to other ports possibly causing financial and reputational damage</p>	Gavin Stedman	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	31-Dec-2016
MCP-PH 007	<p>Cause: Staff unable to access– Tilbury/ London Gateway sites for more than 24 hours.</p> <p>Event: Building not fit for use or access denied or cease of use</p>	Gavin Stedman	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	01-Nov-2016

Code	Description (Cause, Event, Impact)	Risk owner	Current Risk Matrix	Target Risk Matrix	Target Date
	(closure of Tilbury office and centralisation to Manorway). Problems with roads or traffic, Effect: Compensation claims from: delay in processing consignments, diversion of trade to other ports possibly causing financial and reputational damage if prolonged.				
MCP-PP 001	<p>Cause: Incorrect legal process/ advice followed for Commercial Environmental Health/Trading Standards.</p> <p>Event: 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>Effect: Reputational and financial loss.</p>	Jon Avern			29-Apr-2016
MCP-PP 004	<p>Cause: Incorrect / poor enforcement decision made by inexperience or untrained officers</p> <p>Event: Incorrect seizure of property/goods e.g. ice cream vans/nut sellers stalls resulting in civil claim for loss of business</p> <p>Effect: Reputational loss</p>	Jon Avern			29-Apr-2016

Code	Description (Cause, Event, Impact)	Risk owner	Current Risk Matrix	Target Risk Matrix	Target Date
MCP-PP 005	<p>Cause: Poor management by the duty holder / responsible person through the action(s) / inaction(s) of their specialist contractor(s)</p> <p>Event: Outbreak of Legionnaires' disease traced to a City-audited (or even owned) cooling tower site and/or failure to adequately investigate the outbreak thus detrimentally affecting the reputation of the City of London as the world's pre-eminent financial centre and investment from international companies reducing as they locate elsewhere – e.g. Frankfurt or New York</p> <p>Effect: Major reputational loss</p>	Jon Avern			29-Apr-2016
MCP-PP 006	<p>Cause: Poor management by the duty holder / responsible person through the action(s) / inaction(s) of their specialist contractor(s)</p> <p>Event: Food poisoning outbreak linked to a State Banquet or other high profile event at the Guildhall or the Mansion House which detrimentally affects the reputation of City of London.</p> <p>Effect: Major reputational loss</p>	Jon Avern			29-Apr-2016

Departmental Health and Safety Management Structure

