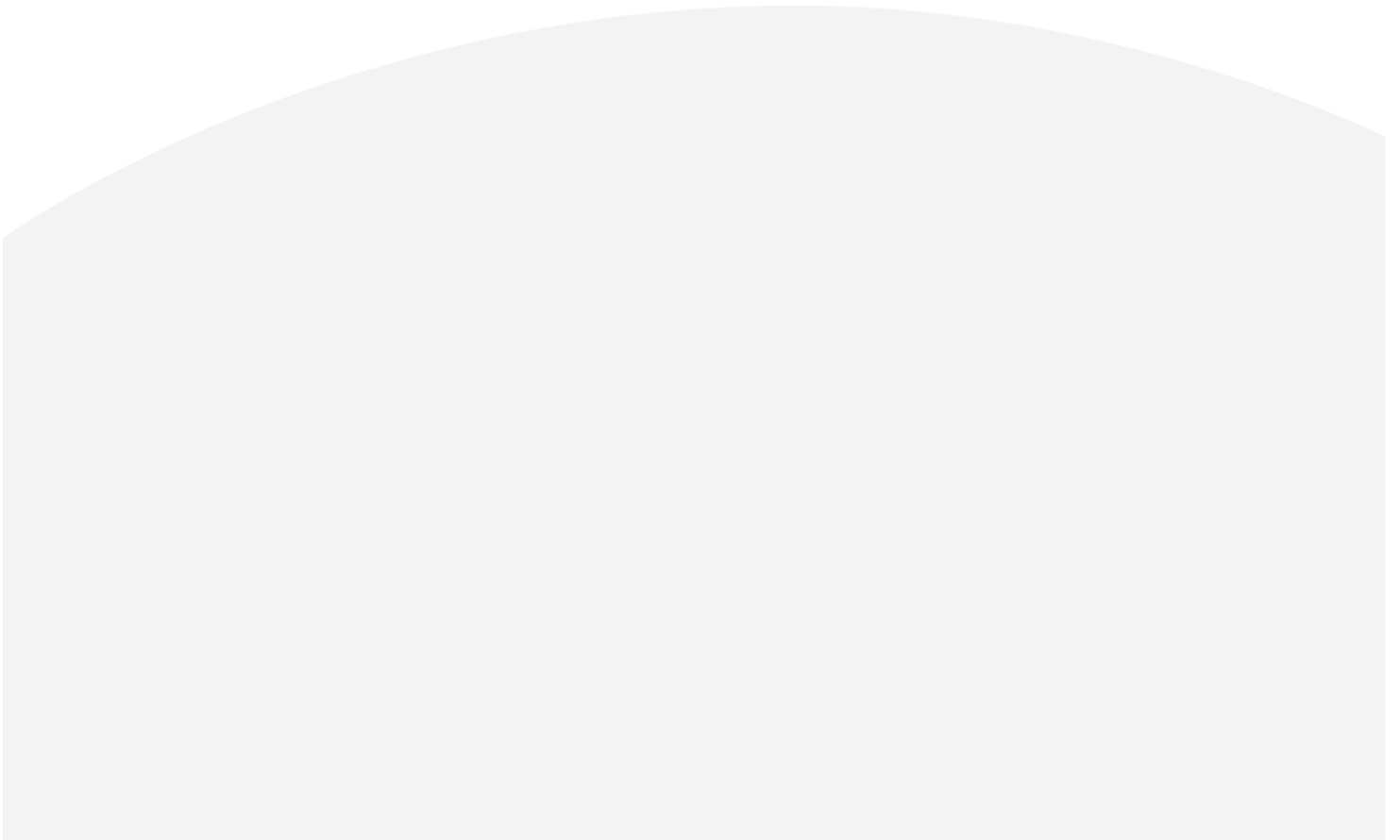




GLA Business Plan FY06/07



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Foreword

The GLA Business Plan for FY06/07 is essentially the first year of the GLA Corporate Plan for FY06/07 to FY08/09, spelled out in more detail.

The GLA Corporate plan for FY06/07 to FY08/09 has been published separately and, like this plan, is on the GLA website at [\[link\]](#)

The Business Plan has two purposes:

- It lays out clearly and simply the GLA's programme of work for the year.
- It provides the basis against which the GLA's in-year performance will be measured and reported.

The Business Plan is thus a working document, free of unnecessary narrative.

Mike Wilson
Chief Executive

Overview and Priorities

FY06/07 is a year of transition, during which the Authority will move from setting-up to becoming operational.

Completing set-up of the Authority – by delivering the GLA High Level Milestone Plan – is being handled under a rigorous programme management approach overseen by the Chief Executive and all Directors. This is the Authority's key in-year objective.

Supporting objectives and targets not only enable delivery of the High Level Milestone Plan, but carry the business through into steady state.

Chief Executive

Objective 1 - Achieving High Level Milestones

This objective sets the framework for the successful introduction of licensing.

<p>Target 1.1</p> <p>Application</p>	<p>Milestone 1 - 6 April 2006.</p> <p>When the first Licence Application is received.</p> <p>Milestone 2 - 28 April 2006.</p> <p>When the first GLA Licence is issued.</p> <p>Milestone 9 - 31 July 2006.</p> <p>When the first GLA Licence appeal is completed.</p> <p>Milestone 12 - 18 April 2007.</p> <p>When the first Licence Renewal fee is paid.</p>
<p>Target 1.2</p> <p>Inspection</p>	<p>Milestone 5 - 23 April 2006.</p> <p>When the first GLA Application Inspection is completed.</p>
<p>Target 1.3</p> <p>Checking</p>	<p>Milestone 3 - 1 May 2006.</p> <p>When the GLA Public Register is operational.</p> <p>Milestone 7 - 15 November 2006.</p> <p>When the first Active Check is made.</p>
<p>Target 1.4</p> <p>Enforcement &</p>	<p>Milestone 10 – 1 August 2006.</p>

Compliance	When Compliance Operations start. Milestone 11 - 1 May 2007. When the first successful prosecution under the Act is made.
Target 1.5 Communications	Milestone 8 - 1 November 2006. When all communications to support the commencement of the offence of using an unlicensed gangmaster are complete.
Target 1.6 Policy	Milestone 4 - 3 April 2006. When all policy to support Operations is in place.
Target 1.7 IT	Milestone 6 - 15 August 2006. When all IT to support Operations is in place..
Narrative	The GLA High Level Targets are contained in the GLA High Level Milestone Plan agreed by the GLA Board. They are the essential components of the GLA Implementation Plan.

Objective 2 - Outcomes

This objective sets out how the GLA will become more effective in meeting the aims of the Act. The GLA will establish agreed indicators and targets and measure performance against these to show improving effectiveness.

The main risk associated with this objective is that the GLA cannot demonstrate how it has met its statutory duty to measure the impact of licensing.

Target 2.1	Measuring Outcomes
Quantity	To be determined through research. Measuring Outcomes (MO) project to be initiated by 1 Aug 06. First report by Feb 06 to inform FY06/07 planning.
Quality	To be determined.
Narrative	The GLA starts with no baseline against which to measure its effectiveness, and no targets or indicators. It recognises that there are three main groups of beneficiaries that it should seek to satisfy as follows: <ul style="list-style-type: none"> • Workers. Reduce exploitation. • Industry. Reduce the regulatory burden.

- The Tax Payer. Reduce fraud on the Revenue.

The GLA also recognises that to be effective, it has to achieve the right balance between these objectives – they cannot be considered in isolation.

It is a specialist task to develop a baseline, targets and indicators to measure outcomes in an holistic, rigorous way, and it will take some time to collect sufficient data to allow sound analysis and the drawing of safe conclusions. Therefore, in the first year the GLA will concentrate on establishing the approach and the baseline, with the first meaningful measure of outcomes not anticipated before Year-2.

Policy and Communications

Target 3.1 - 90% of identified gangmasters should be aware of the legal obligations for licensing by 6th April 2006.

By 6th April 2006 the database of labour providers should hold information on 900 licensable gangmasters. The basis of this target is the roughly 1,000 gangmasters identified by Precision Prospecting research. The target will be achieved through:

- Mail-shots before 4 Apr 06 to all 'contacts' (ie. all those thought to be involved in labour provision – including trade associations, those registered with TLWG. etc).
- Publicising licensing requirements through a variety of media – leaflets, brochures, trade literature, radio and TV etc.
- Building a comprehensive database of labour providers.

Target 3.2 - 90% of identified Labour Providers and Labour Users should be aware of the legal obligations for licensing by 1st October 2006.

- 900 of the estimated 1,000 LPs should have applied for a licence by 1 Oct 06.
- Engage the major supermarkets, who have access to some 15,000 labour users, to pass information down through the supply chain using their intranets and websites.
- GLA mail-shots to known Labour Providers and Labour Users.
- Publicise legal obligations to LPs (20 products), LUs (13 products), Shellfish Users (5 products) and Workers (11 products).
- Helpdesk staff to survey all callers to support the foregoing.

Target 3.3 - 75% of applications for a gangmasters licence should be made online.

- Encourage 75% of applications to be made on-line for ease of use, speed and efficiency.
- Monitor channel uptake by e-survey.

Target 3.4 - 90% of identified labour users should be aware of the legal obligations for licensing by 1st December 2006

- Develop LU contact database.
- Provide LU information by 1 Dec 06 in a variety of formats for labour users.
- Helpdesk staff to survey all callers.

Target 3.5 - 90% of identified gangmasters should be aware of the legal obligations for licensing by 1 October 2006

- Newsletters to be sent out to contacts interested in shellfish licensing.
- Meetings to be held with shellfish stakeholders.
- Shellfish consultation events to be held.
- OGD enforcement colleagues to be used to disseminate materials in the field.
- Licensing requirements to be publicised through a variety of media.

- By 1 October 2006 the database of gangmasters in shellfish should hold information on 90% of licensable shellfish gangmasters
- Sea fisheries permit schemes to be used as source of information.

Target 3.6 - 90% of identified labour providers and users should be aware of the legal obligations for licensing by 6 April 2007

- Major buyers to be met.
- Shellfish leaflet to be distributed.
- Offences to be publicised through a variety of media
- Helpdesk to survey all callers.

Corporate Services

Objective 4. To ensure that the GLA operates in the most effective and efficient manner

- Prepare and disseminate monthly financial statements to the EMB and to the GLA Board, and to be answerable to CE for the proper day-to-day running of the account, and to provide the EMB with timely financial information and advice.
- Support the GLA Audit Committee in its activities. To give timely warning of issues.
- Assist Defra Internal Audit and the NAO in their auditing responsibilities.

Target 4.1 – The GLA will continue to operate on an effective and efficient basis to ensure that no undue financial burden is imposed on licence fee payers.

Targets and indicators to be developed and rationalised for this Target and 4.3 below by 1 Dec 06, for next year's Plan. Evidence will be sought during FY06/07 of undue financial or administrative burdens are being imposed. Discounts will be given to 'successful' TLWG-audited businesses that apply for a GLA licence by 31 May 06.

Target 4.2 – The GLA will undertake a formal review of its organisation structure during 2006/7 to ensure that licence fee payers are receiving value for money from the authority.

Target 4.3 – The GLA will continue to strive to reduce the unit cost of issued licences

Not relevant for FY06/07.

Target 4.4 – The GLA will keep under constant review any areas that are perceived to be appropriate to maximise its miscellaneous income from receipts other than licence fees.

Review of possibilities to be presented for EMB consideration by 31st March 2007.

Target 4.5 – Contributing to meeting the requirements of Defra's sustainability target. GLA Sustainable Development Plan to be produced by 31st December 2006. Relationship between this Target and 4.6 below to be rationalised by 31st March 2007.

Target 4.6 – To promote sustainable development within the work of the GLA, and to improve sustainable development performance in our operations.

All paper, cardboard and ink cartridges to be recycled. Other possibilities to be investigated and offered to EMB by 30th November 2006.

Target 5.1 – To ensure that the GLA is staffed appropriately to meet its business objectives

To meet currently-identified requirements. Timeliness and Quality Indicators to be developed by 31st March 2007.

Target 5.2 – The GLA will seek to be a proactive organisation in relation to its HR policies and operations to enable its most important resource (people) to be: effectively recruited (on time); properly rewarded; trained and developed; motivated; multi-skilled (where appropriate); and retained

Success indicators (eg. turnover, sick leave etc to be developed by 31st March 2007. Pay award for staff in 2006 and beyond to be developed.

Target 5.3 – The GLA will continue to communicate effectively with staff at all levels within the organisation

Staff Survey to be carried out by 31st March 2007 to confirm effectiveness of internal communications, to set baseline for subsequent years and to inform HR strategy. A staff forum to be set up under the chairmanship of the Deputy Chief Executive, with all staff groups represented.

Target 5.4 – Best practice in management and staff co-operation

Take such actions in FY06/07 as are necessary to Achieve Investors in People status by 30 June 2007.

Target 5.5 – To recruit and employ staff according to diversity and equal opportunities policy

Indicators to be developed by 31st March 2007. Training for all interviewing staff to be completed by 1st November 2006. GLA to recruit staff on a demonstrably fair and transparent basis.

Target 7.1 – Merger of GLA and HSE

Take such actions in FY06/07 as may be necessary to complete the merger by 31 Mar 09. Participate in Merger Steering Group and workstreams as follows:

- Finance – to discuss, inter alia, funding arrangements
- HR – to discuss staff terms and conditions
- IT – to consider arrangements for hardware and software provision under HSE regimes
- Accommodation

Operations

Objective 6 – To meet agreed in-year targets for quality, timeliness and efficiency of licensing, compliance, enforcement and non-operational support

Licensing

Target 6.1	Licence Decisions (time from application to decision)
Quantity	<p>100% of Green light cases to be completed within 10 working days</p> <p>80% of applications that require inspection to be completed within 30 working days</p>
Quality	No more than 20% of appeals are upheld in 2006/07.
Narrative	<p>Green light cases refer to those that:</p> <ul style="list-style-type: none"> • do not require an application inspection • the OGD checks have returned with no objections to a Licence being issued • the GLA Intelligence unit has no reason to prevent the issue of a Licence <p>In these cases the Licence decision is to be made no later than 10 working days after finance has confirmed the application fee has been cleared.</p> <p>It is thought that the cases requiring an application inspection will require 20 working days extra. These extra days will be required to schedule and complete an application inspection. Therefore, 30 working days will be the target time to when a Licensing decision will be made. However, pressure on resources may have an impact as to whether this goal can be achieved in all cases.</p> <p>The quality of Licensing decisions will be measured on how many appeals are lost. The greater the number lost will indicate that the criteria used for initial decision making needs to be reviewed. Thus if the speed of decision making meets the quantity target set but the number of successful appeals is higher the overall performance will be lower.</p>

Target 6.2	Response to Enquiries
Quantity	<p>100% of enquiries from Defra or OGD's to be responded to within the prescribed deadline.</p> <p>90% of Ministerial enquiries to be responded to within 2 working days</p> <p>75% of public correspondence to be sent a reply within 5 working days</p>
Quality	No more than 5% of enquiries result in further correspondence.
Narrative	Priority will be given to Ministerial enquires from MP's. Other enquiries including general enquiries and licensing enquires will be responded to with a full reply within 5 working days unless further investigation is required which would take longer than 5 working days, in which case an acknowledgement letter will be sent. Quality will be determined by the clarity of responses, avoiding the need to enter into further correspondence to conclude an issue raised.

Intelligence

Target 6.3	Effective use of Intelligence analysis to support Field Operations
Quantity	<p>95% of Intelligence systems checks will be entered into the GLA licensing system within the 10-day turnaround timeframe (internal equivalent to the OGD check in licensing).</p> <p>Action will be initiated on intelligence within 5 working days of its receipt.</p>
Quality	<p>95% of cases accepted by Enforcement or Compliance teams at the Tasking and Co-ordination meeting, proceed, subject to resource constraints.</p> <p>No more than 20% of cases accepted by Enforcement are discontinued due to insufficiencies in the quality of the intelligence.</p>
Narrative	The Intelligence Team will be treated as an OGD in the licensing system for the purposes of interrogating the Intelligence management System re. applicants. The timeframe for OGDs to respond to Licence Application checks is 10 days; therefore it should be the same for the Intelligence Team. Quality target 1 ensures that cases put before the Tasking and Co-ordination Meeting are good quality and not rejected later in the process, other than because of resource constraints. Quality

	target 2 supports the Enforcement Team's targets to ensure that the further development of cases to support investigations is of sufficient quality for formal sanctions to proceed.
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Compliance (inc Application Inspection)

Note: The Application and Compliance Inspection processes are the same. Consequently, the targets are also the same. The actual reporting of the key performance indicators will need, over time, to differentiate between Application and Compliance Inspections.

Target 6.4	Inspection timescales (time from scheduling to inspection report input).
Quantity	80% of application and compliance inspections will be carried out within 10 days.
Quality	No more than 15% of Inspection results will be classed as inaccurate against the Licensing Standards.
Narrative	<p>The 10 day period refers to the final completion of the verification report and the availability of that report for Licensing decisions and Intelligence.</p> <p>Inspections will be conducted in accordance with the Compliance Standard Operating Procedures, against the Licensing Standards.</p> <p>Accuracy will be measured against non-compliances identified by Inspectors from the GLA Standards areas.</p>

Standards Inspection

Target 6.5	Verification timescales
Quantity	80% of verification visits will be carried out within 10 days of scheduling.
Quality	No more than 10% of Verification results will be classed as inaccurate, in determining whether a LP should be classed as "TLWG successful".
Narrative	The 10 day period refers to the final completion of the verification report and the availability of that report for input to the "TLWG database", in preparation for licensing. Verification inspections will be conducted in accordance with the Verification Standard Operating Procedures, against the Licensing Standards. Accuracy will be measured against non-compliances identified by a review by the Compliance

	Manager (% check) against the Licensing Standards
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Target 6.6	Inspection Review
Quantity	A minimum of 10% of all scheduled inspections will be quality inspected during year one of GLA operations.
Quality	No more than 15% of Inspection results will be classed as inaccurate against the Licensing Standards.
Narrative	The Standards inspections will assess the effectiveness of the Inspection regime, the Inspectors understanding of it, together with its application, and the Inspector's performance in terms of quality and consistency. Standards Inspections will be dependant on both resources and the length of time each individual inspection is scheduled for. Accuracy will be measured against the application of the Licensing Standards, and Compliance Standard Operating Procedures.

Enforcement

Target 6.7	Investigation timescales (from initiation to appropriate conclusion – e.g. appropriate sanction, if offences are proven)
Quantity	<p>90% of Labour Provider investigations requiring sanction to be referred to DEFRA Legal, DARDNI or the Procurator Fiscal (as appropriate) or their agents, for a decision within 3 months of the date of allocation to an Investigating Officer.</p> <p>90% of Labour User investigations requiring sanction to be referred to DEFRA Legal, DARDNI or the Procurator Fiscal (as appropriate) or their agents, for a decision within 6 months of the date of allocation to an Investigating Officer.</p> <p>Those Labour Provider cases not requiring sanction to be closed by Enforcement Management Team within 3 months of the date of allocation to the Investigating officer.</p> <p>Those Labour User cases not requiring sanction to be closed by Enforcement Management Team within 6 months of the date of allocation to the Investigating officer.</p>

Quality	<p>90% of all investigations (both Labour Providers and Labour Users) that are considered appropriate for prosecution, against the Prosecution policy, should be accepted by DEFRA Legal, DARDNI or the Procurator Fiscal (as appropriate) or their agents, on a “right first time” basis (i.e. the investigation and evidence meet all legal and Statutory Codes of Practice requirements).</p>
Narrative	<p>The key factor is the turnaround time involved in concluding an investigation. The time at which the referral to DEFRA Legal will be made will be at the conclusion of the investigation. This will be when all evidence has been gathered and either a prosecution or sanction is sought.</p> <p>It is felt that Labour Provider investigations will be simpler than Labour User investigations. The targets are therefore different.</p> <p>Not all cases accepted for investigation will reach the point where a formal sanction can be applied (e.g. upon investigation), the intelligence may prove inaccurate, flawed or it may be decided as not in the public interest to proceed. Such cases will be closed without referral to DEFRA Legal, DARDNI or the Procurator Fiscal (as appropriate).</p> <p>DEFRA Legal, DARDNI or the Procurator Fiscal (as appropriate) will only accept cases once they are to the Criminal Standard. As all Investigations should be to this standard, it was felt that an acceptance of a case by DEFRA Legal would indicate that the case was to a suitable quality standard.</p> <p>All cases will be managed against the Enforcement Standard Operating Procedures.</p>