

# North Yorkshire Council

## Executive Member for Finance and Resources

29 October 2024

### Regulatory Services & Licensing System and Business Process Convergence Project

#### Report of the Assistant Director – Regulatory Services

#### **1.0 PURPOSE OF REPORT**

- 1.1 To approve the funding of an implementation budget of £577,784 for the 5768 Regulatory & Licensing Services System and Business Process Convergence Project.

#### **2.0 BACKGROUND**

- 2.1 There are currently multiple IT systems and processes in place across the Environmental Health, Trading Standards and Licensing services (for the purposes of this report referred to as 'Regulatory Services') aligned with the previous legacy Council localities. Following Local Government Reorganisation (LGR) there is an immediate need to operate as a single team across Environmental Health and Trading Standards and a need to maximise the synergies between the Environmental Health and Licensing services across the North Yorkshire Council footprint. To do this effectively requires the consolidation of these IT systems, processes and data in order to reduce the number of contracts, back-end systems administration and to promote a single way of working for staff.
- 2.2 It has therefore become essential that the current multiple Environmental Health, Trading Standards and Licensing systems (including document management systems) and business processes are harmonised to a single hosted system to enable effective and efficient service operations. The restructure for the Environmental Health and Trading Standards Services has been based upon the ability to share resources and to integrate former District / Borough and County Council teams into one. With the Licensing team now also operating within the same service area the obvious linkages between this service and the Regulatory Services can be brought forward as part of the further review of services.
- 2.3 The project aim is to consolidate onto a single operating system for Environmental Health, Trading Standards and Licensing. This means amalgamating the systems across the seven ex District and Borough Councils for Environmental Health and Licensing and the former NYCC-hosted system for Trading Standards which aligns with the Target Operating Model.

#### **3.0 PROJECT BUSINESS CASE**

- 3.1 An assessment of options has been undertaken and the preferred option is to consolidate the Environmental Health, Trading Standards and Licensing systems onto Civica CX. A detailed assessment can be found in the Project Business Case (link in the Background documents section).

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## **4.0 ALTERNATIVE OPTIONS CONSIDERED**

- 4.1 To do nothing option would mean that the various regulatory services would continue to operate across different systems and utilise different processes to produce reports and case management depending on which legacy area the team was based in.
- 4.2 This option was discounted because the basis of the service restructure is that elements of the Environmental Health and Trading Standards Teams will be fully merged, and the Environmental Protection team needs to be able to operate in a uniform manner across the whole of the North Yorkshire geography. There is also the potential to explore integration between these teams and Licensing. The services cannot operate following the Target Operating Model with the existing multi system set up which also causes inefficiencies within the services in terms of responding to FOI queries and reporting and similarly in terms of causing additional support requirements for Technology.
- 4.3 An alternative option - IDOX Uniform was discounted primarily because it would not effectively facilitate the integration of the environmental health and Trading Standards functions which is a key outcome requirement of the Regulatory Services restructure.
- 4.4 Technically it would be possible to put Environmental Health, Licensing and Trading Standards onto the IDOX platform but the loss in functionality from the existing Civica system would render the restructure meaningless as the cross-service working would be hugely inefficient.
- 4.5 Trading Standards currently operates on the Civica system and had previously discounted IDOX as a viable option based upon user feedback from other local authority Trading Standards teams. As part of the current project two Trading Standards teams currently using IDOX were contacted to obtain direct user feedback and they both offered the view that the current IDOX option would set the service back in terms of operational service delivery.
- 4.6 It is worth noting that the IDOX system is an excellent system for the Planning Service and the Civica option will still allow efficiencies in terms of the cross working between the services as was demonstrated in the former Hambleton Locality where it was proved that efficiencies in response times could be made.

## **5.0 FINANCIAL IMPLICATIONS**

- 5.1 The project business case has identified an additional budget of £577,784 is required to implement the preferred option of a consolidated system. This includes the one-off set up costs and the recurring costs of running the system.
- 5.2 The preferred option was the most cost-effective option of those considered.
- 5.3 The consolidation of the system supports savings reflected in the Council's budget for both the restructure of the Regulatory Services teams (completed) and the reduction in use of agency staff. This has also allowed savings to be made in related service budgets such as Planning. In addition, the service has undertaken to carry out a further review once the system is implemented to establish whether further savings are possible and a target figure of £45k has been identified as a savings target for 2027 when the system is operational.

## **6.0 LEGAL IMPLICATIONS**

- 6.1 This report concerns the allocation of funding to deal with the shortfall in resources for the project. Approval is being sought in line with the requirements for a Key Decision and in accordance with the Financial Procedure Rules of the Council's Constitution.

## **7.0 EQUALITIES IMPLICATIONS**

- 7.1 An Equalities impact screening has been undertaken. There are no impacts for people with protected characteristics, see Appendix A.

## **8.0 CLIMATE CHANGE IMPLICATIONS**

- 8.1 A Climate Change screening has been completed. This proposal does not warrant a full Climate Change Impact Assessment because this project only seeks to implement process and IT system change and any environmental effect is negligible, see Appendix B.

## **9.0 PERFORMANCE IMPLICATIONS**

- 9.1 The proposal provides the best alignment with the NYC strategic aims and TOM of service convergence, singular ways of working and customer access. It aims to harmonise existing processes across the entire environmental health and trading standards service area with additional optimisation where possible. It will also enable the most efficient use of staff time. This will facilitate effective working across Environmental Health, Trading Standards and Licensing as service areas and also across the NY geography.
- 9.2 The proposal will allow the future integration of the Pest Control, Licensing and Environmental Enforcement services and has the potential to make the Pest Control service more competitive in the market. The proposal also enables the service to move away from the use of agency support which allows savings to be made in both this service area and in adjoining services such as Planning (contaminated land).

## **10.0 RISK MANAGEMENT IMPLICATIONS**

- 10.1 The proposal reduces service risk by enabling more efficient methods of working and greater synergy between service areas. This will help mitigate future burdens (for example new licencing regimes such as Funeral Directors) as it will allow maximum use of cross-service resource.

## **11.0 HUMAN RESOURCES IMPLICATIONS**

- 11.1 The proposal will allow services across localities to share the same processes and where relevant the same data. This will help with resource planning into the future and will speed up the move to form one Council team.
- 11.2 No staffing implications are expected as a result of implementing the new system as the Regulatory Services restructure has already been completed. The enhanced cross-service working that will be possible with the new system will allow the reduction in agency spend against backlog inspection targets and any further structural efficiencies will be examined in a further review following implementation.

## **12.0 ICT IMPLICATIONS**

- 12.1 The proposal Civica is an existing NYC system and the move to one system will help reduce the ICT resource required to support the existing three systems across Regulatory Services.

## **13.0 CONCLUSIONS**

- 13.1 The proposed Regulatory Services convergence is a required outcome of the Service Plan and the IT systems convergence is a necessary action to achieve that and the expectations of the TOM. Each of the service areas described in this report has a degree of overlap in

terms of their inspection regimes and by using the same system a more integrated service design will be possible as we further explore what full harmonisation as one Council can achieve.

#### **14.0 REASONS FOR RECOMMENDATIONS**

- 14.1 The current set up of multiple systems working across multiple localities does not provide the flexibility for the workforce that the new structure requires. Each locality operates in a different manner in terms of processes which makes cross-locality working currently very difficult.
- 14.2 The core aim of the Regulatory Services harmonisation is to integrate the Environmental Health and Trading Standards functions. Both services currently operate on the Civica platform which also provides increased functionality for Licensing. Convergence onto the Civica system is the most suitable and cost-effective option when considering the cost of a change to an alternative system, timescale, data migration and staff training requirements.

#### **15.0 RECOMMENDATION**

- 15.1 i) That the Deputy Leader and Executive Member for Finance and Resources, consultation with the Corporate Director – Resources, approves the funding of an implementation budget of £577,784 for the 5768 Regulatory and Licensing Services System and Business Process Convergence Project.

#### **APPENDICES:**

Appendix A – Equality Impact Assessment

Appendix B – Climate Change Impact Assessment

**BACKGROUND DOCUMENTS:** Project Business Case [5768 - Options Appraisal](#)

Karl Battersby  
Corporate Director – Environment  
County Hall  
Northallerton  
23 October 2024

Report Author – Callum McKeon Assistant Director - Regulatory Services  
Presenter of Report – Callum McKeon Assistant Director - Regulatory Services

Note: Members are invited to contact the author in advance of the meeting with any detailed queries or questions.

<b>Initial equality impact assessment screening form</b> This form records an equality screening process to determine the relevance of equality to a proposal, and a decision whether or not a full EIA would be appropriate or proportionate.			
<b>Directorate</b>	Environment		
<b>Service area</b>	Regulatory Services and Licensing		
<b>Proposal being screened</b>	<b>5768 – INTO3 /REG 11 – Reg Services and Licensing Convergence</b>		
<b>Officer(s) carrying out screening</b>	Callum McKeon, Shuwan Wang		
<b>What are you proposing to do?</b>	<p>This project aims to converge multiple Environmental Health, Trading Standards and Licensing systems into one unified system as well as a full Business Process Review to harmonise and improve service delivery. A high-level breakdown of all regulatory services into three sub-team areas:</p> <ul style="list-style-type: none"> <li>• Environmental Health in 7 legacy localities</li> <li>• Licensing in 7 legacy localities</li> <li>• Farming Food &amp; Health and Trading Standards in ex-NYCC</li> </ul>		
<b>Why are you proposing this? What are the desired outcomes?</b>	Project established on the basis of service convergence and the aim is to consolidate multiple systems and business processes into one way of working before current contracts expire in October 2025.		
<b>Does the proposal involve a significant commitment or removal of resources?</b> Please give details.	It is not an objective of this project to directly impact the size of the workforce.		
<p><b>Impact on people with any of the following protected characteristics as defined by the Equality Act 2010, or NYC's additional agreed characteristics</b></p> <p>As part of this assessment, please consider the following questions:</p> <ul style="list-style-type: none"> <li>• To what extent is this service used by particular groups of people with protected characteristics?</li> <li>• Does the proposal relate to functions that previous consultation has identified as important?</li> <li>• Do different groups have different needs or experiences in the area the proposal relates to?</li> </ul> <p><b>If for any characteristic it is considered that there is likely to be an adverse impact or you have ticked 'Don't know/no info available', then a full EIA should be carried out where this is proportionate. You are advised to speak to your directorate representative for advice if you are in any doubt.</b></p>			
Protected characteristic	Potential for adverse impact		Don't know/No info available
	Yes	No	
Age		X	
Disability		X	
Sex		X	
Race		X	
Sexual orientation		X	
Gender reassignment		X	
Religion or belief		X	
Pregnancy or maternity		X	
Marriage or civil partnership		X	

## Appendix A

People in rural areas		X	
People on a low income		X	
Carer (unpaid family or friend)		X	
Are from the Armed Forces Community		X	
<b>Does the proposal relate to an area where there are known inequalities/probable impacts</b> (for example, disabled people's access to public transport)? Please give details.	No		
<b>Will the proposal have a significant effect on how other organisations operate? (for example, partners, funding criteria, etc.). Do any of these organisations support people with protected characteristics?</b> Please explain why you have reached this conclusion.	No. There is no significant effect on how other organisations operate. Other organisations may operate slightly different but there's no fundamental requirement change.		
<b>Decision (Please tick one option)</b>	EIA not relevant or proportionate:	✓	Continue to full EIA:
<b>Reason for decision</b>	This project impacts staff by bring together system and data for more efficient working. It is not going to impact protected characteristic as a result of the work.		
<b>Signed (Assistant Director or equivalent)</b>	Callum McKeon		
<b>Date</b>	23 October 2024		

**Initial Climate Change Impact Assessment (Form created August 2021)**

The intention of this document is to help the council to gain an initial understanding of the impact of a project or decision on the environment. This document should be completed in consultation with the supporting guidance. Dependent on this initial assessment you may need to go on to complete a full Climate Change Impact Assessment. The final document will be published as part of the decision-making process.

If you have any additional queries, which are not covered by the guidance please email [climatechange@northyorks.gov.uk](mailto:climatechange@northyorks.gov.uk)

<b>Title of proposal</b>	<b>5768 – INTO3 /REG 11 – Reg Services and Licensing Convergence</b>
<b>Brief description of proposal</b>	<p>This project aims to converge multiple Environmental Health, Trading Standards and Licensing systems into one unified system as well as a full Business Process Review to harmonise and improve service delivery. A high-level breakdown of all regulatory services into three sub-team areas:</p> <ul style="list-style-type: none"> <li>• Environmental Health in 7 legacy localities</li> <li>• Licensing in 7 legacy localities</li> <li>• Farming Food &amp; Health and Trading Standards in ex-NYCC</li> </ul>
<b>Directorate</b>	<b>Environment</b>
<b>Service area</b>	<b>Regulatory Services</b>
<b>Lead officer</b>	<b>Callum McKeon</b>
<b>Names and roles of other people involved in carrying out the impact assessment</b>	<b>Shuwan Wang</b>

The chart below contains the main environmental factors to consider in your initial assessment – choose the appropriate option from the drop-down list for each one.

Remember to think about the following;

- Travel
- Construction
- Data storage
- Use of buildings
- Change of land use
- Opportunities for recycling and reuse

**Appendix B**

<b>Environmental factor to consider</b>	<b>For the council</b>	<b>For the county</b>	<b>Overall</b>
Greenhouse gas emissions	No effect on emissions	No Effect on emissions	No effect on emissions
Waste	No effect on waste	No effect on waste	No effect on waste
Water use	No effect on water usage	No effect on water usage	No effect on water usage
Pollution (air, land, water, noise, light)	No effect on pollution	No effect on pollution	No effect on pollution
Resilience to adverse weather/climate events (flooding, drought etc)	No effect on resilience	No effect on resilience	No effect on resilience
Ecological effects (biodiversity, loss of habitat etc)	No effect on ecology	No effect on ecology	No effect on ecology
Heritage and landscape	No effect on heritage and landscape	No effect on heritage and landscape	No effect on heritage and landscape

If any of these factors are likely to result in a negative or positive environmental impact, then a full climate change impact assessment will be required. It is important that we capture information about both positive and negative impacts to aid the council in calculating its carbon footprint and environmental impact.

<b>Decision (Please tick one option)</b>	Full CCIA not relevant or proportionate: <input checked="" type="checkbox"/>	Continue to full CCIA: <input type="checkbox"/>
<b>Reason for decision</b>	This project only seeks to implement process and IT system change and any environmental effect is negligible.	
<b>Signed (Assistant Director or equivalent)</b>	Callum McKeon	
<b>Date</b>	23 October 2024	