

Other Bodies/Individuals

FINAL DECISION YES

SUGGESTED NEXT STEPS:

Details to be specified

Further consideration by
this Committee

To Council

To Cabinet

To an O & S Committee

To an Area Committee

Further Consultation

Agenda No

Adult Health and Community Services Overview and Scrutiny Committee

Libraries, Heritage & Trading Standards EFQM Assessment Report

Report of the Director of Adult Health and Community Services

Recommendation

That the Adult Health and Community Service Overview & Scrutiny Committee note the feedback received following the LHTS assessment against the EFQM Excellence Model and the proposed areas for improvement.

LHTS was assessed by Excellence in Business against the EFQM Excellence Model in November 2005 and received a feedback report in January 2006 (Appendix A). The assessors gave the department a score of 301/350 points, the same score that the department received in the last cycle of assessments in 2003 (Appendix B). Five out of the nine criteria have increased in score since the last assessment, including Key Performance Results, Customer Results and People Results.

The LHTS Management Team had identified priorities for improvement in response to the EFQM Feedback Report (Appendix C). These are being considered as part of the new Directorates' service planning cycle. We are identifying common themes across the new Directorate configurations based on the feedback reports, as well as issues specific to particular service areas.

The key documents attached to this report are:-

- Appendix A: Overview of the Feedback Report
- Appendix B: Comparison of scores between 2003/2005
- Appendix C: Priorities for improvement.

EFQM FEEDBACK REPORT 2005

Key Themes Summary by Excellence in Business

Leadership

There is evidence that the DMT seeks to ensure that the different services within the Department are appropriately structured to support policy, strategy and service delivery e.g. the structure of Trading Standards is reviewed annually at the Trading Standards Management Team Service Day.

There is some evidence that the Director, senior managers and other leaders are accessible to staff on a regular basis, supported by the latest liP assessment. In 2005, 79% of staff felt their manager listened to them and 70% felt they managed communication effectively.

There is a clear process for ensuring that the Departmental objectives are cascaded into individual staff objectives through the appraisal process. Staff are also helped to achieve their objectives and targets through the appraisal process, one-to-one meetings and team meetings.

However, there is limited evidence to demonstrate that the Department's 154 managers/supervisors are regarded as the Department's 'leaders' and the degree to which they were involved in establishing the vision and developing a culture of excellence is very variable. The expectations of leaders have not been clearly articulated which limits their ability to become role models, acting and behaving in a manner consistent with the Department's values.

Although there is evidence that many managers are involved in external interaction with customers and stakeholders, there is less evidence presented or gathered during the site-visit of how the knowledge gleaned and good practice identified is then used to beneficial effect within the Department.

Although there are a variety of methods used to recognise staff, it is not clear what the Department has done to establish how staff like to be recognised or to address the results of the staff survey which highlights that only 60%, dropping to 57% of staff believe they are recognised for a job well done.

While there has been much change taking place in the Department, there does not appear to be a clearly defined approach for managing and communicating change or its benefits/outcomes. It is not clear what role leaders have played in initiating and leading major change projects such as the "Building for the Future" Review.

Policy & Strategy

There is clear evidence of the Department aligning its policy and strategy with that of the County Council itself. This is highlighted by the Strategic Service Plan 2005/2006. The Director has quarterly meetings with the other chief officers and members to ensure policy & strategy is aligned with other Departments, as appropriate and Corporate priorities.

Appendix A

There is a clear process for updating policy and strategy on an annual basis involving the DMT, service managers and staff consultation. The Strategic Plan and all individual service plans have performance indicators and targets, which are reviewed quarterly.

There have been improvements to the production of service plans through the use of clear guidelines on plan/report production. This has reduced the completion time while maintaining a consistent and appropriate level of detail.

However, although the Department conducts a number of surveys of its customers, it is not evident that, across all its services, the Department sufficiently understands its customer's needs and ensures policy and strategy is based on this information. There is no evidence of LHTS segmenting its potential customer base in order to inform policy & strategy and service delivery. This is reflected by a number of the results achieved for customer satisfaction and key performance results.

While the Department claims to have made a number of significant improvements as a result of using the EFQM Model, there was limited awareness of managers and staff of these improvements or that they were attributed to the use of the model within the Department e.g. although target setting and KPI review are listed as significant improvements there is limited evidence of the use of target setting in the results areas.

There does not appear to be any formal arrangement to establish levels of awareness of policy and strategy amongst managers and staff e.g. the staff survey asks questions about Council objectives not Departmental P&S. There is limited evidence of benchmarking in relation to the effectiveness of communication of policy & strategy.

People

The results of the review of the Corporate HR and OD strategy have been applied consistently within the Department and are being deployed through the electronic "Managing People" guide which is complemented by the LHTS HR Handbook. All staff have access to this which provides greater detail about procedures underpinning the Corporate approach.

There is evidence that staff are encouraged to put forward ideas for improvement and that staff generally feel empowered within their area of knowledge and operation. There was evidence that in many teams, meetings are being used effectively to involve staff in decision-making and to encourage them to feel empowered. There is clear evidence that in some teams across the Department, staff believe they are highly engaged, motivated and empowered. The staff survey is used to measure the extent to which staff feel involved and empowered and the results are reasonably positive. There is clear evidence staff are committed, motivated and customer focussed in the work they do.

The Department has explicitly recognised different directions of communication and has put into place channels of communication to support each e.g. staff survey, appraisals, suggestion scheme. There is a Departmental newsletter, but Trading Standards and libraries also have their own newsletters. The effectiveness of communication is monitored through the staff survey, and many of the results are strongly positive e.g. 85% of staff responding to the staff survey stated they have regular team meetings.

Appendix A

However, it is not clear how the Department seeks to proactively manage the overall allocation of staff resources or develop capacity in line with strategic objectives. In particular, the rationale for holding posts vacant is not clear or understood by staff. Also, it is not clear whether the resource allocation model for staffing in Libraries (which is perceived by staff to be based on book issues) reflects the changing nature of the service.

There is little evidence of an overarching approach to career development and succession planning. In the staff survey less than half the staff indicated that they were happy with the prospects of getting a better job within the County council and only 50% of staff feel they are given a real opportunity to develop their skills. These issues were also raised during the site visit.

There is evidence that some middle managers do not feel empowered in their roles and do not feel able to make changes or improvements within their service areas. It is also not clear what policy is used to determine the areas of activity for which staff are empowered or whether this has arisen from custom and practice.

The effectiveness and openness of the two-way communications channels are brought to question by the staff survey result which suggest only 59% of staff feel it is safe to speak up and challenge the way things are done.

While there is some evidence of opportunities to share good practice and knowledge within and between teams and services, there is no clearly defined approach to facilitate this happening on a systematic basis.

Partnerships & Resources

The Department is engaged in diverse partnership activity, internal and external and there is some evidence that these lead to improved services for customers e.g. Roman Alcester; Alcester Library & Stratford College and the One Stop Shop. A range of documents have been developed which provide structure to the external partnerships it is engaged in e.g. Memorandum of Understanding; Agreements and formal SLAs exist for partnerships with other WCC Departments covering, finance, communications and ICT services.

There have been some significant building and refurbishment projects to improve libraries which have had a positive impact on both the working environment and the customer experience.

There is evidence that LHTS exploit the use of technology for access to services via the internet with a large number of services available through this medium.

There is some evidence of a structured approach to managing documents and publications with nominated administrators within each service with the ability to add documents to the Library.

However, although the Department has adopted a definition of partnership working and six different types of partnership, there is limited evidence that these are used in practice. Furthermore, there does not appear to be a clearly defined approach to

identify key partners and the subsequent development, management and review of partnerships;

It is not clear whether there is a clearly defined approach to enable financial resources to be moved around the Department to reflect key priorities and there is no evidence of this presented within the submission.

There is limited evidence to demonstrate what use is made of performance measures or benchmarks in relation to the use of technology. There is also no evidence of measuring the impact in terms of efficiency and customer satisfaction of those services enabled for electronic service delivery.

Processes

The Department has identified its key and supporting processes using a Key Process Model and there is evidence of some processes being designed and documented to deliver policy and strategy e.g. HR and Performance Management.

There is some evidence of innovative improvements being made to processes across other services of the Department e.g. Talkingshop, WiLD, ITIVA, iCAM and Windows on Warwickshire.

Products and services are promoted to existing customers through a range of medium including leaflets, Internet, dedicated website, press publicity, road shows and exhibitions.

There is some evidence of the Department seeking views and feedback from its customers on a regular basis through various consultation exercises carried out during 2004 and 2005.

However, while some progress has been made within the Department to identify and illustrate key and support processes, with the exception of Trading Standards, it does not yet appear to have embedded a clear and systematic approach to process management. This is reflected by the variable views and understanding of processes by managers and staff. It is not clear therefore how the learning from Trading Standards is being shared with the rest of the Department.

There is evidence that changes and improvements claimed within the submission are not always evident 'on the ground' when talking to managers and staff. It is also not clear how the Department evaluates customer views as a result of implementing change or improvements to a product or service.

The Department does not have an overall marketing strategy and as a consequence it is not clear how it is able to comprehensively promote and 'sell' its services to new and potential customers. There appears to be a reliance on the Corporate consultation mechanisms as opposed to more relevant and timely consultation arrangements.

Although a number of arrangements are in place to manage and improve customer relations, there does not appear to be a clearly defined strategy, approach or set of principles which is implemented across the Department and assessed in terms of its effectiveness.

Overall, throughout the enablers, there is limited evidence that the Department regularly and systematically assesses and reviews the effectiveness of its approaches as well as the degree to which they have been deployed across the Department.

Results

The Department has a range of performance indicators across the four result criteria for which trends are available over three years. Some of the trends and results for individual PIs are positive; where targets have been set, many have been achieved and some comparisons have been undertaken which highlight favourable performance.

However, there does not appear to be real clarity in terms of what the Department and its individual services are collectively and in some cases individually, trying to achieve. This appears to be having an impact on the Department's ability to develop clear strategies and plans. Many of the performance measures appear to be activity focused (quantity or frequency based) as opposed to measures which focus on the impact of services (although it is recognised that this is not always easy to do). This is reflected in Service Plans.

Trends, targets and comparisons are not presented/available for many results and the causal relationship between the results and the approach is not very evident. It is also not clear how the Department uses the results of monitoring its performance to improve processes and services.

Key Themes – Identified Best Practice

1. There is a dedicated resource within the Department to support all services with performance management;
2. The Director is the champion for change on the Corporate Access Strategy which will involve a radical transformation of working practices;
3. There is clear evidence of many leaders, starting with the Director and service managers, belonging to professional bodies, attending conferences and seminars and participating in benchmarking activity;
4. "Teen Takeaway" at Kenilworth Library is a good example of services being designed using stakeholder input to get views on what should be in the library for a specific age group;
5. The principles on which the recruitment process is based have been clearly articulated. Job descriptions and Person Specifications are used as part of the process. Managers are guided through the recruitment process with the Recruitment and Selection Process Flowchart; training is provided and there is some evidence that the recruitment and selection process is evaluated using a questionnaire to recent starters;
6. Senior staff ensure that there are regular occasions when they formally meet with staff in addition to informal meetings and get-togethers. For example the Director personally visits each site every year to meet with staff and respond to their questions;
7. The Customer Service Centre and One Stop Shop are evidence of designing new services together with customers that add value for customers.

Key Themes – Identified Development Issues

1. The expectations of the 154 leaders have not been clearly articulated which limits their ability to become role models, acting and behaving in a manner consistent with the Department's values;
2. There is limited evidence of a clearly defined approach for managing and communicating change within the Department;
3. It is not evident that, across all its services, the Department sufficiently understands its customer's needs and ensures policy and strategy is based on this information;
4. There is evidence that some middle managers do not feel empowered in their roles and do not feel able to make changes or improvements within their service areas. It is also not clear what policy is used to determine the areas of activity for which staff are empowered or whether this has arisen from custom and practice;
5. While there is some evidence of opportunities to share good practice and knowledge within and between teams and services, there is no clearly defined approach to facilitate this happening on a systematic basis;
6. The Department has adopted a definition of partnership working and six different types of partnership, however, there is limited evidence that these are used in practice. Furthermore, there does not appear to be a clearly defined approach to identify key partners and the subsequent development, management and review of partnerships;
7. While some progress has been made within the Department to identify and illustrate key and support processes, with the exception of Trading Standards, it does not yet appear to have embedded a clear and systematic approach to process management;
8. There is limited evidence that the Department regularly and systematically assesses and reviews the effectiveness of its approaches as well as the degree to which they have been deployed across the Department;
9. There is a lack of clarity over the Department's key performance indicators and many of the performance measures appear to be activity focused (quantity or frequency based) as opposed to measures which focus on the impact of services. Targets and comparisons are not consistently evident and the rationale for these is not clear;
10. Also, although a number of challenging targets have been set as part of the LHTS Sustainability Policy with regards to recycling/reducing waste etc, performance against these targets does not appear to be monitored and reported on;
11. There are a number of unfavourable or declining results but there is limited evidence of a strategy to address these.

Acknowledgements

The assessment team thanked the Department for the hospitality extended to them during this assessment, as well as those who participated in interviews for their helpful contribution to the process. The assessment team found everyone who was

Appendix A

interviewed both open and honest in their responses to the questions being asked of them. They also recognised the positive attitude of managers and staff to the process in general and the pursuit of improvement specifically.

CRITERION SCORES

Scoring Summary

The table below shows the score awarded for each criterion.

Criterion	Percentile Ranges									
	0 - 10	11-20	21-30	31-40	41-50	51-60	61-70	71-80	81-90	91-100
Leadership										
Policy and Strategy										
People										
Partnerships & Resources										
Processes										
Customer Results										
People Results										
Society Results										
Key Performance Results										

Comparison Scores

The table on page 12 shows the score for each criterion part and how it compares with the score received in 2003 (see key). The comparison shows that the scores have generally increased in the Results Criteria (especially Key Performance), but have declined in Processes and Partnerships and Resources. An explanation of each criterion part is shown in the table on page 13.

Although the comparison scores are provided for this report, they are not used as an indicator by the department. As the Lead Assessor from Excellence in Business pointed out, the scores are not comparable from one assessment team to another, and therefore LHTS place more emphasis on the Strengths and Areas for Improvement identified in the feedback report.

LHTS use the feedback from the EFQM Assessment, along with feedback from other processes (e.g. Corporate Staff Survey, liP, CPA etc), to inform the planning process.

Appendix B

LHTS EFQM Scores 2005

Improved since 2003

Same as 2003

Declined since 2003

New/changed criterion part

Leadership	0-10	11-20	21-30	31-40	41-50	51-60	61-70	71-80	81-90	91-100
1a			Declined since 2003							
1b				Declined since 2003						
1c				Same as 2003						
1d					Same as 2003					
1e				New/changed criterion part						

Policy & Strategy	0-10	11-20	21-30	31-40	41-50	51-60	61-70	71-80	81-90	91-100
2a					Improved since 2003					
2b			Declined since 2003							
2c				Same as 2003						
2d				New/changed criterion part						

People	0-10	11-20	21-30	31-40	41-50	51-60	61-70	71-80	81-90	91-100
3a						Improved since 2003				
3b					Improved since 2003					
3c			Declined since 2003							
3d			Declined since 2003							
3e					Improved since 2003					

Partnerships & Resources	0-10	11-20	21-30	31-40	41-50	51-60	61-70	71-80	81-90	91-100
4a			Declined since 2003							
4b					Improved since 2003					
4c				Declined since 2003						
4d			Declined since 2003							
4e			Declined since 2003							

Processes	0-10	11-20	21-30	31-40	41-50	51-60	61-70	71-80	81-90	91-100
5a			Declined since 2003							
5b			Declined since 2003							
5c			Declined since 2003							
5d			Declined since 2003							
5e			Declined since 2003							

Customer Results	0-10	11-20	21-30	31-40	41-50	51-60	61-70	71-80	81-90	91-100
6a					Improved since 2003					
6b			Same as 2003							

People Results	0-10	11-20	21-30	31-40	41-50	51-60	61-70	71-80	81-90	91-100
7a				Improved since 2003						
7b			Improved since 2003							

Society Results	0-10	11-20	21-30	31-40	41-50	51-60	61-70	71-80	81-90	91-100
8a	Same as 2003									
8b		Improved since 2003								

Key Performance Results	0-10	11-20	21-30	31-40	41-50	51-60	61-70	71-80	81-90	91-100
9a					Improved since 2003					
9b				Improved since 2003						

The EFQM Excellence Model

1. Leadership	
1a	Leaders develop the mission, vision, values and ethics and are role models of a culture of excellence.
1b	Leaders are personally involved in ensuring the organisation's management system is developed, implemented, and continuously improved.
1c	Leaders interact with customers, partners and representatives of society.
1d	Leaders reinforce a culture of excellence with the organisation's people.
1e	Leaders identify and champion organisational change.
2. Policy & Strategy	
2a	Policy and strategy are based on the present and future needs and expectations of stakeholders.
2b	Policy and strategy are based on information from performance measurement, research, learning and external related activities.
2c	Policy and strategy are developed, reviewed and updated.
2d	Policy and strategy are communicated and deployed through a framework of key processes.
3. People	
3a	People resources are planned, managed and improved.
3b	People's knowledge and competencies are identified, developed and sustained.
3c	People are involved and empowered.
3d	People and the organisation have a dialogue.
3e	People are rewarded, recognized and cared for.
4. Partnerships and Resources	
4a	External partnerships are managed.
4b	Finances are managed
4c	Building, equipment and materials are managed
4d	Technology is managed
4e	Information and knowledge are managed
5. Processes	
5a	Processes are systematically designed and managed.
5b	Processes are improved, as needed, using innovation in order to fully satisfy and generate increasing value for customers and other stakeholders.
5c	Products and services are designed and developed based on customer needs and expectations.
5d	Products and services are produced, delivered and serviced
5e	Customer relationships are managed and enhanced
6. Customer Results	
6a	Customer results – perception measures
6b	Customer results - performance indicators
7. People Results	
7a	People results - perception measures
7b	People results - performance indicators
8. Society Results	
8a	Society results - perception measures
8b	Society results - performance indicators
9. Key Performance Results	
9a	Key performance outcomes
9b	Key performance indicators

Priorities for Improvement

LHTS will be merging with Adult Social Services to form a new directorate in April 2006. It is therefore not appropriate to draw up an independent improvement plan from the LHTS EFQM feedback at this stage. Once the new directorate has been set up, a joint improvement plan will be developed.

The LHTS Management Team have agreed on the priorities for improvement in response to the EFQM Feedback Report. These are as follows:

1. Review Communications Strategy in the new directorate (taking into account geographical locations, part-time and relief staff).
2. Revise/develop directorate-wide Reward and Recognition policy.
3. Roles and responsibilities, mentoring for supervisors – many supervisors are junior staff (scale 2/3) and operate in highly remote environments.
4. Build on LHTS current Policy and Performance regime to integrate with new directorate
5. Organisational Development – Strong emphasis on planning the workforce for the future.
6. Work with other colleagues in the County Council (e.g. Fire and Rescue) to determine a more evident structured approach to partnership working which builds on current contractual and service level agreements.
7. Seek to manage/align our financial resource allocation more closely to our service priorities (Partnerships and Resources).
8. Seek to explore radical new ways in which customer service delivery can be made more efficient/effective by use of new technologies.
9. Review Performance Indicators to align more closely with service priorities.
10. Determine the service strategy within the new modernisation neighbourhood vision.

excellence in business



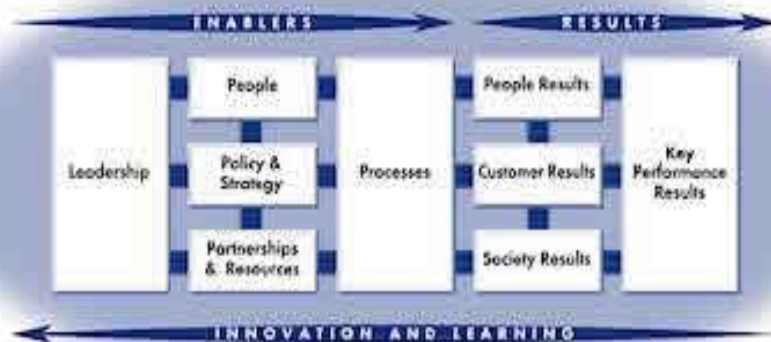
WARWICKSHIRE COUNTY COUNCIL

Libraries, Heritage & Trading Standards

EFQM Excellence Model

Assessment Process 2005

Date: 16 January 2006



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INTRODUCTION AND OVERVIEW FINDINGS

As part of the Department's commitment to using the EFQM Excellence Model programme to drive improvement, Warwickshire County Council asked for the Department to undergo an assessment during 2005. This assessment was designed to provide both internal and external challenge to the Department.

The process this year has been adapted to include Best Value, CPA, Gershon and Pay & Workforce Strategy.

The team of 6 assessors was led by Richard Roddie of Excellence in Business, whose role was to provide the team with facilitation and mentoring support as well as ensuring a degree of external challenge within the process. The team was selected from the pool of trained assessors within the authority and included:

- Joanna Rhodes
- Kathy Robinson
- Graham Shaw
- Paul White
- Steve Twort (EiB)
- Chris van Namen (Observer)

The team followed a structured process in order to carry out the assessment, this involved:

- A desk-based review of Libraries, Heritage & Trading Standards submission documentation;
- A planning meeting to establish the people to be interviewed and documents to be reviewed;
- A targeted site visit to establish key strengths, areas for development and recommendations for improvement;
- A consensus meeting;
- A feedback session to the Departmental Management Team.

The assessment reviews the Department's approach to the management of change and improvement against the 9 EFQM Excellence Model criteria, namely:

- Leadership;
- Policy & Strategy;
- People;
- Partnerships & Resources;
- Processes;
- Customer Results;
- People Results;
- Society Results;
- Key Performance Results.

These criteria have been closely aligned with the requirements of Best Value, CPA, Gershon and the Pay & Workforce Strategy and as a result will provide information, which the Department may find useful in terms of ensuring that it is addressing its commitments in these areas.

Finally, the assessment team would like to thank the Department for the hospitality extended to them during this assessment, as well as those who participated in interviews for their helpful contribution to the process. The team found everyone who was interviewed both open and honest in their responses to the questions being asked of them. They also recognised the positive attitude of managers and staff to the process in general and the pursuit of improvement specifically.

This report represents the team's findings, based on the interviews that took place and documentary information made available. The views of the assessment team are detailed below under each of the criteria headings. They are broken into strengths, areas for improvement and key recommendations made by the team, with respect to how some of the areas for improvement identified during the process could be addressed in order to strengthen the Department's approach in the future. These recommendations have been made to stimulate debate and discussion within the Department and assist the Department in establishing its future plans for the planning, management and delivery of their service.

The Department has formed over a number of years. Originally a Library Services, it became Libraries and Heritage in 1990. County Arts was added to the directorate in 1993 and the directorate merged with Trading Standards in 2000 to become Libraries, Heritage and Trading Standards (LHTS). In September 2002 the County Council launched a pilot Contact Centre Initiative under the management of Libraries, Heritage and Trading Standards. Over a five year period the pilot Contact Centre will develop into a fully managed Customer Service Centre. The three main services offered by the directorate are:

- Library and Information Service
- Heritage and Cultural Services
- Trading Standards.

The services provided by Libraries and Heritage aim to meet the cultural, educational and information needs of the people of Warwickshire. Services include providing a public library service including school library, preserving and maintaining the official records of the County Council, responsibility for two public museums, archaeology, ecological, geological advice, information and an Arts Service which works with the community to promote art projects. The Library and Information Service is leading on the development and management of both the County Council's Customer Service Centre and a One Stop Shop pilot project in partnership with Warwick District Council. The principal duty of the Trading Standards Service is to ensure businesses comply with consumer legislation so as to protect the interest of consumers and legitimate traders and to promote a fair trading environment. The directorate currently employs approximately 700 staff, of whom more than 50% are part-time. Contracted staff are complimented by volunteer workers, seasonal workers and relief staff. Services operate over 40 sites. These include libraries and mobile libraries, museums, the County Record Office and the Trading Standards headquarters.

KEY THEMES

Leadership

There is evidence that the DMT seeks to ensure that the different services within the Department are appropriately structured to support policy, strategy and service delivery e.g. the structure of Trading Standards is reviewed annually at the Trading Standards Management Team Service Day.

There is some evidence that the Director, senior managers and other leaders are accessible to staff on a regular basis, supported by the latest liP assessment. In 2005, 79% of staff felt their manager listened to them and 70% felt they managed communication effectively.

There is a clear process for ensuring that the Departmental objectives are cascaded into individual staff objectives through the appraisal process. Staff are also helped to achieve their objectives and targets through the appraisal process, one-to-one meetings and team meetings.

However, there is limited evidence to demonstrate that the Department's 154 managers/supervisors are regarded as the Department's 'leaders' and the degree to which they were involved in establishing the vision and developing a culture of excellence is very variable. The expectations of leaders have not been clearly articulated which limits their ability to become role models, acting and behaving in a manner consistent with the Department's values.

Although there is evidence that many managers are involved in external interaction with customers and stakeholders, there is less evidence presented or gathered during the site-visit of how the knowledge gleaned and good practice identified is then used to beneficial effect within the Department.

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While there has been much change taking place in the Department, there does not appear to be a clearly defined approach for managing and communicating change or its benefits/outcomes. It is not clear what role leaders have played in initiating and leading major change projects such as the "Building for the Future" Review.

Policy & Strategy

There is clear evidence of the Department aligning its policy and strategy with that of the County Council itself. This is highlighted by the Strategic Service Plan 2005/2006. The Director has quarterly meetings with the other chief officers and members to ensure policy & strategy is aligned with other Departments, as appropriate and Corporate priorities.

There is a clear process for updating policy and strategy on an annual basis involving the DMT, service managers and staff consultation. The Strategic Plan and all individual service plans have performance indicators and targets, which are reviewed quarterly.

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The Department has explicitly recognised different directions of communication and has put into place channels of communication to support each e.g. staff survey, appraisals, suggestion scheme. There is a Departmental newsletter, but Trading Standards and libraries also have their own newsletters. The effectiveness of communication is monitored through the staff survey, and many of the results are strongly positive e.g. 85% of staff responding to the staff survey stated they have regular team meetings.

However, it is not clear how the Department seeks to proactively manage the overall allocation of staff resources or develop capacity in line with strategic objectives. In particular, the rationale for holding posts vacant is not clear or understood by staff. Also, it is not clear whether the resource allocation model for staffing in Libraries (which is perceived by staff to be based on book issues) reflects the changing nature of the service.

There is little evidence of an overarching approach to career development and succession planning. In the staff survey less than half the staff indicated that they were happy with the prospects of getting a better job within the County council and only 50% of staff feel they are given a real opportunity to develop their skills. These issues were also raised during the site visit.

There is evidence that some middle managers do not feel empowered in their roles and do not feel able to make changes or improvements within their service areas. It is also not clear what policy is used to determine the areas of activity for which staff are empowered or whether this has arisen from custom and practice.

The effectiveness and openness of the two-way communications channels are brought to question by the staff survey result which suggest only 59% of staff feel it is safe to speak up and challenge the way things are done.

While there is some evidence of opportunities to share good practice and knowledge within and between teams and services, there is no clearly defined approach to facilitate this happening on a systematic basis.

Partnerships & Resources

The Department is engaged in diverse partnership activity, internal and external and there is some evidence that these lead to improved services for customers e.g. Roman Alcester; Alcester Library & Stratford College and the One Stop Shop. A range of documents have been developed which provide structure to the external partnerships it is engaged in e.g. Memorandum of Understanding; Agreements and formal SLAs exist for partnerships with other WCC Departments covering, finance, communications and ICT services.

There have been some significant building and refurbishment projects to improve libraries which have had a positive impact on both the working environment and the customer experience.

There is evidence that LHTS exploit the use of technology for access to services via the internet with a large number of services available through this medium.

There is some evidence of a structured approach to managing documents and publications with nominated administrators within each service with the ability to add documents to the Library.

However, although the Department has adopted a definition of partnership working and six different types of partnership, there is limited evidence that these are used in practice. Furthermore, there does not appear to be a clearly defined approach to identify key partners and the subsequent development, management and review of partnerships;

It is not clear whether there is a clearly defined approach to enable financial resources to be moved around the Department to reflect key priorities and there is no evidence of this presented within the submission.

There is limited evidence to demonstrate what use is made of performance measures or benchmarks in relation to the use of technology. There is also no evidence of measuring the impact in terms of efficiency and customer satisfaction of those services enabled for electronic service delivery.

Processes

The Department has identified its key and supporting processes using a Key Process Model and there is evidence of some processes being designed and documented to deliver policy and strategy e.g. HR and Performance Management.

There is some evidence of innovative improvements being made to processes across other services of the Department e.g. Talkingshop, WiLD, ITIVA, iCAM and Windows on Warwickshire.

Products and services are promoted to existing customers through a range of medium including leaflets, Internet, dedicated website, press publicity, road shows and exhibitions.

There is some evidence of the Department seeking views and feedback from its customers on a regular basis through various consultation exercises carried out during 2004 and 2005.

However, while some progress has been made within the Department to identify and illustrate key and support processes, with the exception of Trading Standards, it does not yet appear to have embedded a clear and systematic approach to process management. This is reflected by the variable views and understanding of processes by managers and staff. It is not clear therefore how the learning from Trading Standards is being shared with the rest of the Department.

There is evidence that changes and improvements claimed within the submission are not always evident 'on the ground' when talking to managers and staff. It is also not clear how the Department evaluates customer views as a result of implementing change or improvements to a product or service.

The Department does not have an overall marketing strategy and as a consequence it is not clear how it is able to comprehensively promote and 'sell' its services to new and potential customers. There appears to be a reliance on the Corporate consultation mechanisms as opposed to more relevant and timely consultation arrangements.

Although a number of arrangements are in place to manage and improve customer relations, there does not appear to be a clearly defined strategy, approach or set of principles which is implemented across the Department and assessed in terms of its effectiveness.

Overall, throughout the enablers, there is limited evidence that the Department regularly and systematically assesses and reviews the effectiveness of its approaches as well as the degree to which they have been deployed across the Department.

Results

The Department has a range of performance indicators across the four result criteria for which trends are available over three years. Some of the trends and results for individual PIs are positive; where targets have been set, many have been achieved and some comparisons have been undertaken which highlight favourable performance.

However, there does not appear to be real clarity in terms of what the Department and its individual services are collectively and in some cases individually, trying to achieve. This appears to be having an impact on the Department's ability to develop clear strategies and plans. Many of the performance measures appear to be activity focused (quantity or frequency based) as opposed to measures which focus on the impact of services (although it is recognised that this is not always easy to do). This is reflected in Service Plans.

Trends, targets and comparisons are not presented/available for many results and the causal relationship between the results and the approach is not very evident. It is also not clear how the Department uses the results of monitoring its performance to improve processes and services.

KEY THEMES – IDENTIFIED BEST PRACTICE

1. There is a dedicated resource within the Department to support all services with performance management;
2. The Director is the champion for change on the Corporate Access Strategy which will involve a radical transformation of working practices;
3. There is clear evidence of many leaders, starting with the Director and service managers, belonging to professional bodies, attending conferences and seminars and participating in benchmarking activity;
4. “Teen Takeaway” at Kenilworth Library is a good example of services being designed using stakeholder input to get views on what should be in the library for a specific age group;
5. The principles on which the recruitment process is based have been clearly articulated. Job descriptions and Person Specifications are used as part of the process. Managers are guided through the recruitment process with the Recruitment and Selection Process Flowchart; training is provided and there is some evidence that the recruitment and selection process is evaluated using a questionnaire to recent starters;
6. Senior staff ensure that there are regular occasions when they formally meet with staff in addition to informal meetings and get-togethers. For example the Director personally visits each site every year to meet with staff and respond to their questions;
7. The Customer Service Centre and One Stop Shop are evidence of designing new services together with customers that add value for customers.

KEY THEMES – IDENTIFIED DEVELOPMENT ISSUES

1. The expectations of the 154 leaders have not been clearly articulated which limits their ability to become role models, acting and behaving in a manner consistent with the Department’s values;
2. There is limited evidence of a clearly defined approach for managing and communicating change within the Department;
3. It is not evident that, across all its services, the Department sufficiently understands its customer’s needs and ensures policy and strategy is based on this information;
4. There is evidence that some middle managers do not feel empowered in their roles and do not feel able to make changes or improvements within their service areas. It is also not clear what policy is used to determine the areas of activity for which staff are empowered or whether this has arisen from custom and practice;
5. While there is some evidence of opportunities to share good practice and knowledge within and between teams and services, there is no clearly defined approach to facilitate this happening on a systematic basis;
6. The Department has adopted a definition of partnership working and six different types of partnership, however, there is limited evidence that these are used in practice. Furthermore, there does not appear to be a clearly defined approach to identify key partners and the subsequent development, management and review of partnerships;
7. While some progress has been made within the Department to identify and illustrate key and support processes, with the exception of Trading Standards, it does not yet appear to have embedded a clear and systematic approach to process management;
8. There is limited evidence that the Department regularly and systematically assesses and reviews the effectiveness of its approaches as well as the degree to which they have been deployed across the Department;
9. There is a lack of clarity over the Department’s key performance indicators and many of the performance measures appear to be activity focused (quantity or frequency based) as opposed to measures which focus on the impact of services. Targets and comparisons are not consistently evident and the rationale for these is not clear;
10. Also, although a number of challenging targets have been set as part of the LHTS Sustainability Policy with regards to recycling/reducing waste etc, performance against these targets does not appear to be monitored and reported on;
11. There are a number of unfavourable or declining results but there is limited evidence of a strategy to address these.

1a	Leaders develop the mission, vision, values and ethics and are role models of a culture of excellence
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Strengths

- The Department has adopted the County vision and values and the Strategic Service Plan indicates the contribution it will make to achieving them. There is evidence that some leaders are personally involved in developing the Department's strategies and seek to involve their staff in the process;
- There is evidence that some aspects of leadership behaviour are being reviewed and improved through the annual staff survey, the competency framework, the management development programme and other training and learning activities;
- The Senior Management Group (SMG) provides a forum for leaders to collaborate and share information across the different service areas. There is some evidence of leaders encouraging, supporting and acting on the findings of learning activities (e.g. diverse training and projects, the *Training Policy* and the Shadowing Initiative);
- Although there are limited synergies between the service areas, there is some evidence of senior managers encouraging co-operation between teams as appropriate. There is evidence of most managers encouraging their staff to be innovative, creative and to get involved in improvement activities.
- Leaders have been supportive of challenge and actively participated in the EFQM assessments and Best Value Reviews since 1998.

Areas for Improvement

- It is not clear if the Department has developed its own vision statement in support of the Council's and there were conflicting views on this during the site-visit;
- There is limited evidence to demonstrate that the Department's 154 managers/supervisors are regarded as the Department's 'leaders' and the degree to which they were involved in establishing the vision and developing a culture of excellence is very variable. The expectations of leaders have not been clearly articulated which limits their ability to become role models, acting and behaving in a manner consistent with the Department's values;
- There is limited evidence of a clearly defined approach by which leaders are personally involved in Departmental or service improvement activities, including how these are prioritised to take account of internal and external drivers. Although there is some collaboration at senior levels, there is no clearly defined approach by which the majority of leaders stimulate and encourage collaboration between service areas, teams and individuals;
- It is not clear how improvement activity is actually prioritised based on the five points referred to in the submission document. There were varying views amongst managers about the process for prioritisation and what weighting was applied to the suggestion scheme in comparison to, for example, external drivers.

Recommendations



1b	Leaders are personally involved in ensuring the organisation's management system is developed, implemented, and continuously improved
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Strengths

- There is evidence that the DMT seeks to ensure that the different services within the Department are appropriately structured to support policy, strategy and service delivery e.g. the structure of Trading Standards is reviewed annually at the Trading Standards Management Team Service Day;
- There is a clear process for updating policy and strategy on an annual basis involving the DMT, service managers and staff consultation. The Strategic Plan and all individual service plans have performance indicators and targets, which are reviewed quarterly;
- There is a dedicated resource within the Department to support all services with performance management. Through the new partnership arrangement with the CAMS Strategy Support Team, an improved performance management culture will be supported by leaders within the Department.

Areas for Improvement

- Although Trading Standards has achieved ISO 9000: 2000 accreditation, there is limited evidence of leaders introducing this or similar quality management systems within the other service areas. There does not appear to be a clearly defined approach for process management across the Department. Similarly, process ownership has not been clearly assigned;
- There is limited awareness of the framework or process for establishing, reviewing and improving performance of KPIs and other local indicators by more junior managers across the Department. It is also unclear whether performance information is being used as a management tool at all levels rather than just to 'monitor' and report on performance;
- It is not clear how the results of the Corporate Governance Survey are used by leaders to improve the Department's management systems. Similarly, although a number of examples of restructuring are given, their impact on the performance of the Department does not appear to have been evaluated;

Recommendations

Strengths

- There is evidence that the Department has defined the stakeholders for each of the service areas within the Policy & Strategy framework which provides the opportunity to take account of their needs and expectations during planning. A number of well-established approaches, embedded over several years are used to engage and consult with stakeholders and arrangements are in place to review performance of partners and suppliers;
- There is clear evidence of many leaders, starting with the Director and service managers, belonging to professional bodies, attending conferences and seminars and participating in benchmarking activity;
- There is some evidence that the needs and expectations of customers are identified through a variety of ways by which leaders interact with them as well as the e.g. the PLUS survey within libraries.

Areas for Improvement

- It is not clear how well deployed the approaches for meeting with stakeholders are amongst the 154 leaders within the Department. There is also limited evidence which demonstrates that there is a good understanding of or response to the needs and expectations of the diverse range of customers and stakeholders;
- Although is evidence that many managers are involved in external interaction with others, there is less evidence presented or gathered during the site-visit of how knowledge and good practice identified is then used to beneficial effect within the Department;
- It is unclear how leaders recognise individuals and teams of stakeholders for their contribution to the Department. There is also limited evidence of leaders participating in joint improvement activity with customers, partners and other stakeholders;
- There is limited evidence of leaders promoting and engaging in activities to improve the Department's levels of recycling or reducing the consumption of non-renewable resources.

Recommendations



Strengths

- There is a process for communicating the Department's vision, objectives and values to all new staff through meetings with the Director or heads of service. There is also some evidence of other leaders personally communicating policy, strategy, objectives and targets to their staff at team meetings, appraisals, etc;
- There is a clear process for ensuring that the Departmental objectives are cascaded into individual staff objectives through the appraisal process. Staff are also helped to achieve their objectives and targets through the appraisal process, one-to-one meetings and team meetings;
- There is some evidence that the Director, senior managers and other leaders are accessible to staff on a regular basis, supported by the latest liP assessment. In 2005, 79% of staff felt their manager listened to them and 70% felt they managed communication effectively;
- There is some evidence of senior leaders motivating and enabling people to participate in improvement activity through various focus/working groups aimed at discussing the effectiveness of working practices and address areas of concern from the staff survey;
- There are a range of methods by which the Department's leaders are able to recognise and value staff achievements at an individual and team level e.g. the Library Service has introduced a motivation scheme to recognise team performance.

Areas for Improvement

- There is limited use of the staff suggestion scheme as a means to encourage and involve staff in improvement activity. There was also very limited awareness amongst managers and staff about the key improvements opportunities which came from the last EFQM assessment and what action has been taken as a result;
- Although there are a variety of methods used to recognise staff, it is not clear what the Department has done to establish how staff like to be recognised. This is highlighted by the fact that only 57% (dropping from 60%) of staff believe they are recognised for a job well done;
- While there are a number of ways by which leaders reinforce a culture of excellence within the Department, there is no clearly defined approach, with the reliance being on individuals. Indeed, it is not clear how results from staff surveys etc have been used to help leaders assess their performance and improve their leadership in creating a culture of excellence;
- There is little evidence of how leaders support staff in achieving their objectives other than during the appraisal, or what impact this has had on individual performance.

Recommendations

Strengths

- There is evidence that senior leaders within the Department seek to understand the drivers for change by attending a variety of external seminars and events. These are discussed at DMT and SMG meetings and fed into the business planning process;
- The Director is the champion for change on the Corporate Access Strategy which will involve a radical transformation of working practices;
- There is some evidence of seeking to manage the risk associated with change with risk management being included in all service plans. A risk register is developed in each service plan which identifies the risks and mitigating actions which might prevent delivery of objectives;

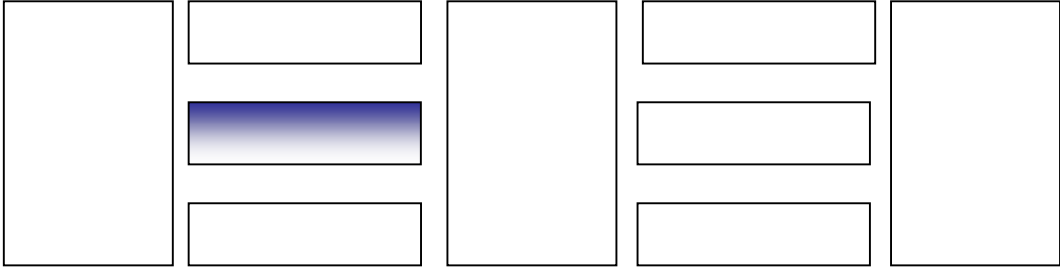
Areas for Improvement

- There is limited evidence of more junior leaders within the Department understanding the key drivers for change and other than the Director and senior managers, it is unclear to what extent other leaders are involved in the development of change plans either for the whole Department or for individual service areas;
- There does not appear to be any arrangements in place which support leaders in shifting resources to match identified change priorities;
- There does not appear to be a clearly defined approach for managing and communicating change within the Department. It is not clear what role leaders have played in initiating and leading major change projects such as the "Building for the Future" Review.
- In 2005, only 56% of staff felt they had the opportunity to contribute their views before changes were made (a 3% reduction on the previous figure);
- There is little evidence to demonstrate the extent to which leaders review the effectiveness and evaluate the benefits of changes that have been implemented.

Recommendations

CRITERION 2 – POLICY AND STRATEGY

Excellent organisations implement their mission and vision by developing a stakeholder-focused strategy that takes account of the market and sector in which it operates. Policies, plans, objectives and processes are developed and deployed to deliver the strategy.



Score Profile Criterion 2

Sub-Criterion	0 -10	11 - 20	21 - 30	31 - 40	41 - 50	51 - 60	61 - 70	71 - 80	81 - 90	91 - 100
2a										
2b										
2c										
2d										
Overall										

2a	Policy and strategy are based on the present and future needs and expectations of stakeholders
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Strengths

- There is some evidence of the Department identifying, understanding and anticipating the needs and expectations of stakeholders, including customers e.g. through surveys, questionnaires and mystery shopper; employees e.g. through staff survey and governance questionnaire, partners and the Government in order to inform Policy & Strategy.
- There is clear evidence of the Department aligning its policy and strategy with that of the County Council itself. This is highlighted by the Strategic Service Plan 2005/2006. The Director has quarterly meetings with the other chief officers and members to ensure policy & strategy is aligned with other Departments, as appropriate and Corporate priorities;
- The Department recognises that, in some cases, it needs to inform and educate stakeholders about present/future opportunities and possibilities e.g. the establishment of Warwickshire Heritage Network.
- There is some evidence that Department gathers data from a range of sources to understand and anticipate developments in the market place e.g. market research and benchmarking. There is also some evidence of looking at 'the competition' with regard to some of the services provided by LHTS in order to inform policy & strategy e.g. Libraries.

Areas for Improvement

- Although the Department conducts a number of surveys of its customers, it is not evident that, across all its services, the Department sufficiently understands its customer's needs and ensures policy and strategy is based on this information. There is no evidence of LHTS segmenting its potential customer base in order to inform policy & strategy and service delivery. This is reflected by a number of the results achieved for customer satisfaction and key performance results;
- While the Department surveys the opinions of its staff on an annual basis it is not evident that the Department has used the understanding of needs that this provides to ensure a strategy is developed to improve in its people results;
- The Department's has sought to align its policy and strategy with the County Council, however, the actions specified for LHTS in the 2004/5 Corporate Business Plan are not reported on in the Key Performance Results shown in the submission;
- It is not clear how effective the Department's approaches to understanding developments in the 'market place' are. The extent to which the Department collaborates with its neighbours for mutual benefit is also not clear e.g. the opening of the Library in Tescos at the Ricoh Arena has resulted in a reduction in footfall in the Bedworth Library i.e. Coventry.

Recommendations



2b	Policy and strategy are based on information from performance measurement, research, learning and external related activities
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Strengths

- The Department has a number of clearly defined approaches to assess performance which incorporates a range of performance indicators including BVPIs, Corporate Headline, generic Departmental, and Customer Care Standards, that are reviewed at timetabled intervals, e.g. monthly, quarterly.
- There is evidence of detailed and comprehensive review of some areas of the service e.g. major review of library service included consultative workshops, surveys and visits to other authorities together with extensive desktop research and inspections.
- There are a number of improvements arising from use of the EFQM model including review and improvement of the approach to performance management e.g. performance management, processes documented and an understanding of capability & capacity.

Areas for Improvement

- There is limited evidence that the Department analyses and uses the range of performance information gathered via the various approaches described to actually inform the development of policy and strategy;
- Although the top box in figure 2b.3 says 'What results do we want?', it is not evident that this aspect of the RADAR logic has been fully addressed by the Department as reflected in the results criteria;
- There is limited evidence of benchmarking against 'best-in-class' organisations and it is unclear how benchmarking information is used to inform policy and strategy;
- While the Department claims to have made a number of significant improvements as a result of using the EFQM Model, there was limited awareness of managers and staff of these improvements or that they were attributed to the use of the model within the Department e.g. although target setting and KPI review are listed as significant improvements there is limited evidence of the use of target setting in the results areas.

Recommendations

Strengths

- There is evidence that the Department has a clear framework for developing policy & strategy. The Strategic Service Plan is reviewed in the autumn and a draft published in December in line with WCC timescales;
- There have been improvements to the production of service plans through the use of clear guidelines on plan/report production. This has reduced the completion time while maintaining a consistent and appropriate level of detail;
- There is some evidence of effectively aligning policy and strategy with some partners e.g. Customer Service Centre, One Stop Shop, CAMS;
- There is some evidence of policy & strategy review e.g. during 2004 all LHTS policies were assessed with regard to compliance with Equality Standards and Human Rights Legislation;
- There are clear arrangements for monitoring performance through reporting on exceptions against service plan objectives and targets.

Areas for Improvement

- While the LHTS Policy & Strategy Framework development process are soundly based models and approaches for the development of policy & strategy, the degree to which they are systematically deployed within the Department is not clear and there were varied levels of familiarity with them amongst managers and staff;
- It is not evident that the Department has established a clear basis for identifying and agreeing its priorities and they appear to differ depending on who you speak to. Similarly, there was no evidence presented on what the Department has identified as its critical success factors;
- There is limited evidence to demonstrate how the Department is seeking to balance both the long and short-term needs and expectations of stakeholders and use this information to identify present and future capacity to deliver services in line with them;
- There is limited evidence that the Department is consistently addressing areas where it has not achieved what it wanted to e.g. acting on the results made available through reports which indicate a negative trend or that a target has not/will not be achieved;
- Although there is evidence of key strategic reviews taking place it is not evident that these are being completed and acted upon quickly in order to secure improvements to key results e.g. Library Strategic Review.

Recommendations

2d	Policy and strategy are communicated and deployed through a framework of key processes
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Strengths

- There is evidence of a clear framework which describes how all staff and stakeholders are informed of policy and strategy through a range different methods e.g. all Service Plans (available electronically and in an abbreviated hard-copy), Service level Agreements, Partnership Agreements, newsletters and reports;
- There is some evidence of cascading plans, objectives and targets through the Department, including linking these to the appraisal process for individual members of staff;
- The Department has identified its key and supporting processes which have been documented and can be 'drilled down' further to show the actions required.

Areas for Improvement

- Performance measures to determine the effectiveness of communication do not cover all the audiences identified in the communication process as described in figure 2d.5. Also, it is not clear whether the Department's internal and external communication methods are effective in clarifying its priorities and non-priorities;
- There does not appear to be any formal arrangement to establish levels of awareness of policy and strategy amongst managers and staff e.g. the staff survey asks questions about Council objectives not Departmental P&S. There is limited evidence of benchmarking in relation to the effectiveness of communication of policy & strategy;
- Although the Department has mapped out its key processes, there is limited awareness of these amongst junior managers and staff and there is limited evidence provided to demonstrate how policy & strategy is deployed through these processes;
- There is limited evidence of the Department establishing Departmental-wide reporting mechanisms to track progress with policy & strategy and performance against targets.

Recommendations

CRITERION 3 – PEOPLE

Excellent organisations manage, develop and release the full potential of their people at an individual, team-based and organisational level. They promote fairness and equality and involve and empower their people. They care for, communicate, reward and recognize, in a way that motivates staff and builds commitment to using their skills and knowledge for the benefit of the organisation.

Score Profile Criterion 3

Sub-Criterion	0 -10	11 - 20	21 - 30	31 - 40	41 - 50	51 - 60	61 - 70	71 - 80	81 - 90	91 - 100
3a										
3b										
3c										
3d										
3e										
Overall										

Strengths

- The results of the review of the Corporate HR and OD strategy have been applied consistently within the Department and are being deployed through the electronic “Managing People” guide which is complemented by the LHTS HR Handbook. All staff have access to this which provides greater detail about procedures underpinning the Corporate approach;
- The principles on which the recruitment process is based have been clearly articulated. Job descriptions and Person Specifications are used as part of the process. Managers are guided through the recruitment process with the Recruitment and Selection Process Flowchart; training is provided and there is some evidence that the recruitment and selection process is evaluated using a questionnaire to recent starters;
- There is a structured induction process which includes reviewing the performance of newly appointed staff at set intervals and the staff survey is used to check on the continuing deployment and effectiveness of this approach which highlights very positive results;
- The Department uses the WCC statement of Equal Opportunities and has met level 2 of the Race Equalities Standard. Information is gathered about equal opportunities in relation to recruitment. There is a cross-service Equalities Group within the Department that oversees all aspects of equalities policy and implementation;
- The Department uses a range of mechanisms including an annual staff survey to obtain staff feedback and results are maintained over time to establish trends. Action Plans are produced and these are monitored by the Staff Survey Working Group. Plans have also been developed following the liP assessment and these are monitored through the Strategic Training Group and by the Training and Staff Development Manager;
- There is evidence of using innovative resourcing methods through the use of volunteers in a number of the services provided by the Department.

Areas for Improvement

- It is not clear how the Department seeks to proactively manage the overall allocation of staff resources or develop capacity in line with strategic objectives. In particular, the rationale for holding posts vacant is not clear or understood by staff. Also, it is not clear whether the resource allocation model for staffing in Libraries (which is perceived by staff to be based on book issues) reflects the changing nature of the service;
- There is evidence of the use of staff surveys to gain feedback from staff but it is not clear whether the Department has systematically identified all areas of HR policy, strategy and performance against which it should collate feedback and performance information. The effectiveness of actions taken to respond to the feedback from surveys is unclear as some unfavourable trends have persisted over time;
- It is not clear what the policy is in relation to the segmentation of employee data other than by service to plan resources and develop relevant HR policies to reflect the varied employment status of staff i.e. part-time, full-time, HQ based, off-site based etc;
- It is not clear how far volunteers are seen as part of the Departmental ‘team’ in terms of people management issues and consequently whether their needs are fully addressed;
- A range of sources for obtaining benchmarking data and best practice ideas are cited in the submission but there is limited evidence of the use of such data;
- There is limited evidence of a structured approach to managing career development and succession planning within the Department.

Recommendations

3b People's knowledge and competencies are identified, developed and sustained

Strengths

- Each role within all sections is determined by a detailed job description and person specification. These are sent out in all application packs and on appointment, these are reviewed as part of the induction process;
- The use of competencies is being developed. The Library Service uses a Library Professional Competence Framework and senior managers use the Corporate Management Competencies;
- There is a structured approach through the appraisal process for the identification of training and development needs for the whole Department. Training requests arising from the appraisal process are logged and reviewed centrally and are subsequently used to develop the Departmental training plan. All services are represented on the Strategic Training Group which helps to develop the training plan. The timing of appraisals is set so they can link into the service planning framework. The liP assessment noted that "the appraisal process is well embedded in all areas" and this is borne out by the results of staff surveys and was further confirmed by staff during the site visit
- Managers are responsible for evaluating the effectiveness of training through the appraisal process while the training section validates the results. Reports on training are provided to DMT and staff views on training are generally positive with 71% of staff in the 2005 survey reported that they were satisfied with the training and development they receive for their current job;
- There is evidence of review of approaches to learning and development through both Corporate and Departmental initiatives such as the new Learning and Development section within the Managing People Guide and the development of competency frameworks;

Areas for Improvement

- Although there was evidence of a commitment to developing competency-based approaches it is not clear whether there is an overall timetable for developing this to cover all staff in the Department. It is not clear how progress on implementing the Corporate competency framework is being tracked and the results of the initiative measured;
- There is limited evidence of how the Department is approaching workforce development at a strategic level. It is not clear how much use the Department makes of the segmentation of training data by grade/job/working hours/etc to ensure that there is equal access to training and the Department is achieving equal opportunities in training and development;
- It is not clear whether there is any evaluation of the overall training strategy in terms of its impact. There is no evidence that the training database is used to identify how many staff have outstanding training needs in relation to agreed training and to use this to plan training or set targets for training provision;
- There is little evidence of an overarching approach to career development and succession planning. In the staff survey less than half the staff indicated that they were happy with the prospects of getting a better job within the County council and only 50% of staff feel they are given a real opportunity to develop their skills. These issues were also raised during the site visit;
- There is limited evidence to demonstrate that the Department uses the appraisal process or other formal mechanisms to capture the knowledge accumulated by staff within the Department in order to share it with others;
- There are no targets or benchmarks for training spend or staff time invested in training. Monitoring of training days appears to have been introduced recently and the trend for expenditure on training presented in the results is unfavourable.

Recommendations



Strengths

- There are approaches in place throughout the Department for involving staff in service planning and there is clear evidence that staff recognise that they are involved in the service planning process;
- There is a structured staff suggestion scheme which has been widely advertised and generated some improvements. During the site visit staff were able to identify improvements that had been made as a result of staff suggestions either through the formal scheme or more informally in team meetings.
- There is evidence that staff are encouraged to put forward ideas for improvement and that staff generally feel empowered within their area of knowledge and operation. There was evidence that in many teams, meetings are being used effectively to involve staff in decision-making and to encourage them to feel empowered. There is clear evidence that in some teams across the Department, staff believe they are highly engaged, motivated and empowered. The staff survey is used to measure the extent to which staff feel involved and empowered and the results are reasonably positive;
- Staff are encouraged to work in teams and groups to discuss the effectiveness of procedures and practices and to review areas of concern and develop services. For example, staff groups are used to review the staff survey. There are a range of forums at which managers meet and evidence of senior managers working in county-wide groups.

Areas for Improvement

- While the staff suggestion scheme provides a means for putting forward new ideas, there appear to be a large number which are turned down as a result of insufficient budgets which raises questions over the value of the scheme;
- There is evidence that some middle managers do not feel empowered in their roles and do not feel able to make changes or improvements within their service areas. There was also evidence of apparent contradictions between areas of empowerment, for example the lack of the ability of a team otherwise highly empowered to spend small sums of money on consumable items. It is therefore not clear what policy is used to determine the areas of activity for which staff are empowered or whether this has arisen from custom and practice;
- No evidence was presented as to how the Department has evaluated the effectiveness of its approach to empowerment, or what it has learnt from other organisations about ways of empowering staff. There was also limited evidence of management training in empowerment being provided;
- There is evidence to suggest that staff are not being encouraged to 'challenge' working practices as illustrated by the staff survey which shows that only 59% of staff responding to the staff survey believe it is safe to speak up and challenge the way things are done at work. It is not clear what action is being taken to address this issue;
- While there are regular occasions where teams come together, there does not appear to be an approach in place to develop team skills, particularly to build a greater sense of the Departmental team identity.

Recommendations



Strengths

- Senior staff ensure that there are regular occasions when they formally meet with staff in addition to informal meetings and get-togethers. For example the Director personally visits each site every year to meet with staff and respond to their questions;
- The Department has explicitly recognised different directions of communication and has put into place channels of communication to support each .e.g. staff survey, appraisals, suggestion scheme. There is a Departmental newsletter, but Trading Standards and libraries also have their own newsletters. The effectiveness of communication is monitored through the staff survey, and many of the results are strongly positive e.g. 85% of staff responding to the staff survey stated they have regular team meetings;
- There was evidence that managers recognise the need to ensure that all staff receive the information that they require and there are many examples of managers ensuring that staff whose working hours preclude them from benefiting from some communication channels such as team meetings are not disadvantaged;
- There are forums that enable the exchange of best practice such as SMG as well as Corporate groups;
- There is evidence that many staff are consulted on major changes within the Department e.g. staff generally spoke positively of the efforts made to keep them informed of potential changes flowing from the Modernisation Agenda and of the actions taken to collate and pass on their views.

Areas for Improvement

- Although the Department identified that there would be benefit in adopting a Communication Strategy two years ago, it is not clear why it has still not developed one;
- A variety of methods of top down, bottom up and lateral communication have been identified and put in place, however, the effectiveness of these have not been assessed e.g. while the staff survey has a number of questions about communication, only one of these specifically addresses the effectiveness of communication i.e. whether their manager communicates well;
- There is evidence that communication has been poor on a major project and it is not clear what action has been taken to address this problem to improve communication in the future.
- The effectiveness and openness of the two-way communications channels are brought to question by the staff survey result which suggest only 59% of staff feel it is safe to speak up and challenge the way things are done;
- While there is some evidence of opportunities to share good practice and knowledge within and between teams and services, there is no clearly defined approach to facilitate this happening on a systematic basis.

Recommendations



Strengths

- There is a structured, Corporate approach to remuneration and conditions of service which has been deployed within the Department. In addition the Department has a process for supplementing these with individual honorarium payments;
- A range of additional benefits is provided to staff on the basis of their employment by the County Council e.g. flexible working, family-friendly working, occupational health, exercise classes etc;
- There are diverse approaches to staff care e.g. Health and Safety and lone working policies, fire precautions, first aid, risk assessments, staff club and restaurant. The Department employs a full-time health and safety officer and the policy is reviewed annually;
- Various ways for recognising people, both formal and informal, have been adopted. There is evidence that feedback from staff in relation to recognition has been noticed and acted upon. Staff are aware of and appreciative of efforts made by managers and leaders to say “thank you” e.g. box of chocolates award and the book issues incentive. Compliments from customers are also routinely passed on to staff in some services;
- Subscribers to the staff suggestion scheme all receive acknowledgements and further recognition if their suggestions are adopted.

Areas for Improvement

- There is limited evidence that the Department has built on or tailored the Corporate approach to rewarding, recognising and caring for staff or an understanding of the take-up or impact of these approaches on staff;
- It is not clear how far the remit of staff supporting the development and operation of approaches to reward, recognition and care extends in relation to volunteers and whether volunteers are considered as part of the “team” for these purposes;
- The staff survey indicates that the Department’s approach in this area could be improved e.g. only 48% felt that morale was good, only 42% believed something would be done in response to the survey and only 57% felt satisfied with the recognition they received;
- There is some evidence of staff dissatisfaction regarding the re-grading of posts and managing under-performance of staff which impacts negatively on morale and motivation levels of their colleagues;

Recommendations



CRITERION 4 – PARTNERSHIPS AND RESOURCES

Excellent organisations plan and manage external partnerships, suppliers and internal resources in order to support policy and strategy and the effective operation of processes. During planning and whilst managing partnerships and resources they balance the current and future needs of the organisation, the community and the environment.

Score Profile Criterion 4

Sub-Criterion	0 -10	11 - 20	21 - 30	31 - 40	41 - 50	51 - 60	61 - 70	71 - 80	81 - 90	91 - 100
4a										
4b										
4c										
4d										
4e										
Overall										

Strengths

- The Department has adopted the Audit Commission's definition of partnerships, identified the main purpose of working in partnership and the six different types of partnership working within LHTS;
- The Department is engaged in diverse partnership activity, internal and external and there is some evidence that these lead to improved services for customers e.g. Roman Alcester; Alcester Library & Stratford College, CEnTSA and the Kenilworth One Stop Shop;
- The joint Annual Objectives have been agreed and set out in the Strategy Support Team's 2006/06 Business Plan for the internal partnership between the Department and CAMS;
- The Department has developed a range of documents which provide structure to the external partnerships it is engaged in e.g. Memorandum of Understanding; Agreements and formal SLAs exist for partnerships with other WCC Departments covering, finance, communications and ICT services;
- The Department has followed Corporate procedures and identified a list of key suppliers which is maintained on the Orders & payment database and supplier relations are managed through these facilities.

Areas for Improvement

- Although the Department has adopted a definition of partnership working and six different types of partnership, there is limited evidence that these are used in practice. Furthermore, there does not appear to be a clearly defined approach to identify key partners and the subsequent development, management and review of partnerships;
- While there is much partnership working taking place, there is limited evidence of measures and criteria to evaluate the impact of the various partnerships in terms of performance and service quality. There appears to be a culture of describing any relationship with another Department or external organisation as a 'partnership' and there are no related measures or results for partnership working;
- The arrangements for ensuring a fair sharing of contributions, risks and rewards amongst partners are not specified. There is also limited evidence of mutual learning, or clear recognition and use of respective strengths, skills and talents inherent within the partnership;
- There is limited evidence of a systematic process for dissolving partnerships when they have passed their 'shelf-life', or defining and agreeing exit strategies when any party breaks the partnership agreement.

Recommendations

Strengths

- The Department effectively deploys the Corporate Financial Regulations, Standing Orders, Financial Procedure Manual and Cost Centre Manager's Guide. There are annual reviews of fees and charges as part of the Business Planning process;
- Training is provided to all cost centre managers and their staff in financial management and cost centre management procedures and rules are documented;
- There is a structured process for building the budget and reporting to members on budget issues. Managers are responsible for their budgets and there is a system of forecasting the out-turn position which is reported through to DMT;
- There is evidence of reviewing some of the processes relating to financial management e.g. there was a review of the final accounts process;
- There are processes in place for monitoring debt outstanding which supports service managers in taking appropriate action but which is part of a wider process which benchmarks the performance of the Department. The management of debt has improved year-on-year for four years;
- There is a structured process for managing risk. The Department monitors its Risk Action Plan. There is a Risk Management Group in place and Risk Management Action Plan is being implemented;
- There is evidence presented of how the Department is meeting the requirements of Best Value, Gershon and CPA;
- Effectiveness and compliance with financial standing orders and procedures is determined through an annual internal audit process.

Areas for Improvement

- There is limited evidence of financial benchmarking against other organisations to establish how efficiently the Department uses its resources and provides value for money;
- It is not clear whether there is a clearly defined approach to enable financial resources to be moved around the Department to reflect key priorities and there is no evidence of this presented within the submission;
- There is evidence from the Corporate Governance survey (and consistent with site-visit findings) of limited levels of knowledge regarding some aspects of the financial procedures e.g. what to do in the event of fraud;
- Within the submission, the linkage to results in this area is limited to the Corporate Governance Survey and the Department does not appear to have developed its own indicators against which to measure performance;
- There was limited evidence presented or gathered during the site visit to confirm whether the arrangements for risk assessment are effective in mitigating attendant risks in financial management and service delivery.

Recommendations

Strengths

- There is evidence that the Department operates within the Corporate Property Management framework and LHTS initiatives contribute to the Corporate Property Strategy e.g. Museum Strategic Review, Building for the Future etc;
- The Department has its own Asset Management Plan and there is evidence of buildings being subject to annual review and a set of key management principles in relation to the overall Corporate Property Strategy have been determined;
- There have been some significant building and refurbishment projects to improve libraries which have had a positive impact on both the working environment and the customer experience;
- There is evidence that equipment needs are reviewed each year and the Equipment Renewal Fund has a reserve to enable sections to renew and replace equipment. There is some evidence of consulting with stakeholders to establish their needs in relation to buildings e.g. Teen Take-away;
- A range of safety measures is in place from safety of buildings, equipment, to artefacts and stock e.g. annual H&S checks are carried out. In addition new starters complete a self-assessment form with regards to DSE. A national archives expert is consulted on how the museum service and CRO can secure their collections;
- There is evidence of a range of measures to manage security e.g. identification passes, access keys and CCTV cameras and inventories are kept for all physical objects e.g. furniture, IT and books, which is updated regularly;
- There is a Corporate Environmental Sustainability Strategy and a Departmental Sustainability Policy; and evidence of initiatives to improve the suitability of buildings is presented;

Areas for Improvement

- The assessment team were unable to clarify how the approach to managing buildings and other assets is aligned with the Department's policy and strategy;
- It is not clear whether the consumption of utilities is optimized and whether waste is actually being reduced and recycled as there are no results for the consumption of utilities, green travel, consumables and recycling etc. Although a number of challenging targets have been set as part of the LHTS Sustainability Policy with regards to recycling/reducing waste etc, performance against these targets does not appear to be monitored and reported on;
- There is evidence that the equipment provided to staff is adequate e.g. 71% of staff responding to the staff survey stated they do have the right equipment to do their job well;
- Although arrangements are in place for protecting and safeguarding the Department's assets, there is limited evidence to demonstrate the effectiveness of these;
- There also does not appear to be any target setting or benchmarking in relation to building usage and efficiencies being derived from asset management.

Recommendations



Strengths

- There is an Information and Communications Technology Infrastructure and the Department takes into account the full cost (including support and replacement) of its infrastructure through adherence to Corporate standards/services and contracts;
- Resources devoted to managing ICT requirements include an ICT Steering Group, an Information Systems Manager who also doubles as the Computer Liaison Officer;
- All ICT improvement projects are assessed and prioritised taking into account Departmental priorities for service delivery and available resources;
- There is evidence that LHTS exploit the use of technology for access to services via the internet with a large number of services available through this medium.

Areas for Improvement

- There is no clearly defined strategy for managing technology and ICT to provide focus for the increased use of technology across the Department and the vision to improve accessibility to services. There also appears to be a focus on ICT, with little reference to other technologies which the Department uses or may benefit from adopting;
- It is not clear how the services available via the website were prioritised and what plans are in place to assess and monitor delivery of e-government targets. There is also limited information about the use and management of technology other than ICT;
- There is limited evidence to demonstrate what use is made of performance measures or benchmarks in relation to the use of technology. There is also no evidence of measuring the impact in terms of efficiency and customer satisfaction of those services enabled for electronic service delivery;
- There is little evidence of a systematic process for identifying and disposing of outdated technology or exploring emerging technologies and their potential use to the services provided by LHTS.

Recommendations

Strengths

- A Corporate Information Management Strategy was established in 2003 and updated a year later in April 2004. The Corporate Information Management Group (CIM) was set-up with responsibility for delivering the strategy and its development;
- The Customer Service Centre is able to access various Council information systems to respond more effectively to customer needs at the point of enquiry;
- The Department recognises and manages key Corporate databases of information. LHTS has established a range of databases for managing information e.g. CALM, GEAC, FLARE etc. There is some evidence of security controls on access to information and knowledge;
- There is some evidence of a structured approach to managing documents and publications with nominated administrators within each service with the ability to add documents to the Document Library;
- There is evidence that the Department is making a clear contribution to the Council objective of improving accessibility to services, as well as the Corporate Document Management System, Performance Management System and Intranet.

Areas for Improvement

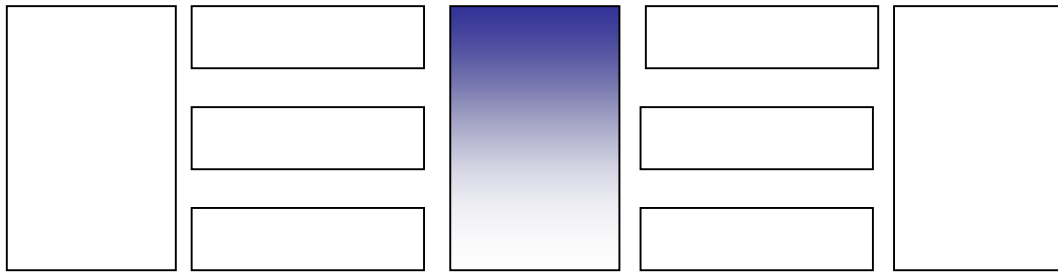
- There is limited evidence that the Department has formally identified its information and knowledge requirements and sources and that these are being collected, structured and managed in support of policy and strategy;
- Although there is much evidence of the management of information, there is limited evidence of capturing, managing and sharing knowledge generated by the managers and staff within the Department;
- It is not clear what steps are being taken by all services to assure information validity, integrity and security;
- It is also not clear how information and knowledge is used as a resource to generate innovative and creative thinking exemplified by the staff survey which shows that only 69% of staff stated that they have enough information to do their job well.
- There is no evidence of monitoring of PIs in relation to the management of information and knowledge, for example, in relation to accessibility, currency, reliability, completeness, fitness for purpose etc;
- The submission refers to the FOI Act 2000, which came into force on 1 January 2005, however, apart from the corporate Publications Scheme, the approach to the application of the Act and ensuring compliance within the Department is not evident.

Recommendations



CRITERION 5 – PROCESSES

Excellent organisations design, manage and improve processes in order to fully satisfy, and generate increasing value for, customers and other stakeholders.



Score Profile Criterion 5

Sub-Criterion	0 -10	11 - 20	21 - 30	31 - 40	41 - 50	51 - 60	61 - 70	71 - 80	81 - 90	91 - 100
5a										
5b										
5c										
5d										
5e										
Overall										

Strengths

- Trading Standards has a long-established coherent approach to process management which has been certified to ISO 9001:2000. Clear responsibilities for process management have been identified, training is provided to staff and there is a process for assessment and review which involves external assessment;
- The Department has identified its key and supporting processes using a Key Process Model and there is evidence of some processes being designed and documented to deliver policy and strategy e.g. HR and Performance Management;
- Within services, process owners have been identified as Head of Service and the Head of Resources & Performance is owner of all support processes.

Areas for Improvement

- While some progress has been made within the Department to identify and illustrate key and support processes, with the exception of Trading Standards, it does not yet appear to have embedded a clear and systematic approach to process management. This is reflected by the variable views and understanding of processes by managers and staff. It is not clear therefore how is the learning from Trading Standards is being shared with the rest of the Department;
- There is a management perception that some of the Department's key business processes e.g. communication are effectively embedded, however staff perceptions did not confirm this;
- Although Trading Standards has a documented quality management system, there was some evidence of a lack of awareness of procedures and that others were not being followed for some aspects of service delivery;
- There is only limited evidence of using process benchmarking to improve the design of key processes. There is also little evidence of process indicators and performance targets being established to measure the effectiveness of processes;
- There is some evidence of a 'tension' between services and the corporate centre regarding certain processes which have been 'challenged' by the Department but this has not been well received.

Recommendations

5b	Processes are improved, as needed, using innovation in order to fully satisfy and generate increasing value for customers and other stakeholders
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Strengths

- There is evidence of a systematic approach to process improvement within Trading Standards e.g. processes are systematically reviewed and audits undertaken quarterly. An analysis of the audits is carried out in order to identify process improvements;
- Trading Standards uses performance data to set targets for improvement and some benchmarking is undertaken. Pilot schemes are sometimes used to assess the feasibility of proposed change and there are structured consultation and communication methods to explore and inform staff of change;
- There is some evidence of innovative improvements being made to processes across other services of the Department e.g. Talkingshop, WiLD, ITIVA, iCAM and Windows on Warwickshire;
- There is evidence of processes being developed with the needs of partners and stakeholders in mind i.e. the shared use of PCs with South Warwickshire College and the One Stop Shop;
- There is evidence of service reviews leading to process improvements i.e. the review of Library Transport led to a reduction in the time taken to issue a book from 6 weeks to 48 hours. The review of debt collection within the Library Service resulted in the need to keep membership records for a reduced period;

Areas for Improvement

- Although improvements are clearly taking place, the approaches to process improvement in Libraries and Heritage and Cultural Services appear to lack the structure of Trading Standards;
- It is unclear how the services other than Trading Standards use performance information and key business results to identify process improvements. There is also no evidence to demonstrate how process improvements are prioritised;
- The extent to which the innovative and creative talents of employees, customers and partners are being stimulated to bring about process improvements is unclear;
- There is a perception amongst some staff that despite encouragement to identify better working practices, process improvements could not be implemented due to a lack of funding;
- Other than in Trading Standards, there is limited evidence of a systematic approach to communicating process changes to all stakeholders and ensuring staff are trained in new processes prior to implementation;
- There is limited evidence to demonstrate how the Department evaluates the benefits of process changes to ensure they are successful.

Recommendations



5c	Products and services are designed and developed based on customer needs and expectations
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Strengths

- There are diverse mechanisms in place for capturing customer perceptions including the Citizens Panel, mystery shopper, Library Plus survey, people network survey and complaints, comments and compliments. All of these provide a valuable source of customer information which can be used in the design and improvement of services;
- There is evidence that customer needs and expectations have led to changes in the organisation structure within Trading Standards in order to provide greater customer focus;
- The Customer Service Centre and One Stop Shop are evidence of designing new services together with customers that add value for customers;
- There is some evidence of using creativity and innovation to develop competitive products and services within libraries.

Areas for Improvement

- It is not clear to what extent existing methods of customer consultation capture their future needs and expectations as opposed to the quality of past delivery. There is also limited evidence of how the information from the various sources is being used by all services to inform service design and improvement;
- There is little evidence of using market research to establish why some members of the public do not make use of the Department's full range of services;
- Levels of awareness of a clearly defined and systematic approach to product and service design were variable across managers and staff;
- It is not clear how the Department evaluates customer views as a result of implementing change or improvement to a product or service.

Recommendations

Strengths

- There is evidence that the Department delivers a wide and diverse range of products and services to its customers in line with policy and strategy;
- Products and services are promoted to existing customers through a range of medium including leaflets, Internet, dedicated website, press publicity, road shows and exhibitions;
- The Department has adapted its approach to media and communications in line with WCC changes i.e. the service now has a Service Level Agreement with Corporate Communications instead of having their own Press Officer.

Areas for Improvement

- Although the Department is delivering its diverse services on a daily basis, the submission provides limited evidence about how products and services are delivered and, as appropriate, follow-up service provided;
- The Department does not have an overall marketing strategy and as a consequence it is not clear how it is able to comprehensively promote and 'sell' its services to new and potential customers;

Recommendations



Strengths

- All front-line staff are subject to a Customer Care Code and Corporate Customer Care Standards against which performance is monitored. The Mystery Shopper exercise has also been used to give feedback on the application of the Customer Care Code;
- Trading Standards has a dedicated Adviceline for consumers and businesses. They maintain and use data about all customer contact through the FLARE system;
- Libraries provide services to the housebound and those in care, and out-of-hours sessions are provided to young people in disadvantaged communities;
- The Heritage Service has partnerships and activities in place to encourage and enhance the customer experience e.g. the Friends of the Record Office;
- There is evidence of handling customer feedback from day-to-day contacts, including complaints, comments and compliments. There is a systematic approach to recording and responding to customer complaints in line with the Corporate process;
- There is some evidence of the Department seeking views and feedback from its customers on a regular basis through various consultation exercises carried out during 2004 and 2005.

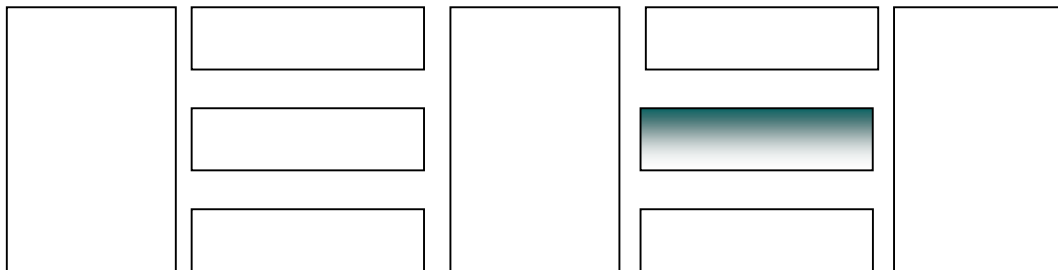
Areas for Improvement

- Although the Department carries out its own consultation, there also appeared to be a reliance upon the Corporate mechanisms for obtaining feedback from customers;
- Although a number of arrangements are in place to manage and improve customer relations, there does not appear to be a clearly defined strategy, approach or set of principles which is implemented across the Department and assessed in terms of its effectiveness;
- There were a number of services identified as strengths i.e. services to the housebound but there does not appear to be a process in place to enable these to be expanded to other customers of the Department.

Recommendations

CRITERION 6 – CUSTOMER RESULTS

Excellent organisations comprehensively measure and achieve outstanding results with respect to their customers.



Score Profile Criterion 6

Sub-Criterion	0 -10	11 - 20	21 - 30	31 - 40	41 - 50	51 - 60	61 - 70	71 - 80	81 - 90	91 - 100
6a										
6b										
Overall										

Strengths

- There are three years' results for mystery shopper surveys, covering three fields and the overall satisfaction with calls is favourable. They are benchmarked against the County Council average and were better than the benchmark for visits in 2004 and for calls and letters/e-mail in 2005;
- Trend data provides four years' segmented results for overall satisfaction with Libraries and extends over five years' for books with an improving trend. Similarly, both Cultural & Recreational Services and Museums & Galleries have a five year trend;
- A range (eight) of performance indicators have been established to assess the value of the People's Network Survey;
- There are four years of results for user satisfaction with the County Record Office and the trend has been sustained impressively between 2003/04 and 2004/05 at 95% and 97.3% respectively. Benchmark comparisons are generally favourable;
- There is one year's results for user satisfaction with Trading Standards (rogue traders and business customers) and both surveys show positive results;
- There are three years' results for user satisfaction with Adviceline, covering six fields, and satisfaction with courtesy and efficiency were sustained at high levels;
- 41 out of 73 results of the 2003 PLUS survey show positive improvement over two years;
- In the 2005 PLUS survey 27 out of 37 libraries met the 77% target (children rating the service as good) and Warwickshire as a whole met the target;

Areas for Improvement

- The 3-year overall satisfaction for mystery shopper has a declining trend and benchmark comparisons are unfavourable. Also the trend with regard to with letters/email is erratic;
- Of the eight fields for the People's Network Survey, six show unfavourable trends;
- Although there are five years' results for user satisfaction with cultural and recreational services and museums & galleries, the trend is generally erratic;
- Although there are three years' results for user satisfaction with Adviceline, most results were erratic and satisfaction in all fields had fallen since 2000/01;
- The trend for consumers who feel confident is unfavourable. The target was not met in 2004/05;
- Figs 6a.18 and 6a.19 have a large proportion of fairly satisfied which may be skewing the overall perception as these are added together with very satisfied;
- There are limited evidence of setting targets and making comparisons against other parts of the Council or external 'best-in-class' organisations. While trends exist for many measures, this is not true of all;
- Based on the results presented, it is not clear whether they are being caused by the Department's approaches;
- The scope of performance measures is limited in some service areas e.g. although there is increasing use of technology to provide library services, there is little evidence of seeking customer views on this;
- There is little segmentation of results, other than the PLUS survey 2003 by Library Bands.

Recommendations



Strengths

- There are three years' segmented results for complaints, comments and compliments. Benchmarked performance against the WCC is significantly superior and the number of compliments received, in particular, has risen year-on-year;
- Trends for Customer Care Standards results are positive e.g. three year trend results and targets for prompt call answering have risen to the maximum; letter answering and email responses have been at or virtually on the 100% target for the last two years;
- There are three years' results for citizens' satisfaction with libraries, and the trend is constant at around 72-73%. Results compare favourably against national and county average benchmarks in 2003/04;
- There are four years' results for County Record Office usage and the overall trend in satisfaction is favourable;
- There are three years' results for website hits, and the trends for Heritage and Trading Standards show significant rises year-on-year;
- Emerging trends in complaints have been identified and responded to with improvement actions;
- There is a significant rise in BVPI Environmental Health/Trading Standards results with targets met or exceeded during the last three years to 2003/04. They have also met their targets for alcohol sales checks and high risk food visits.

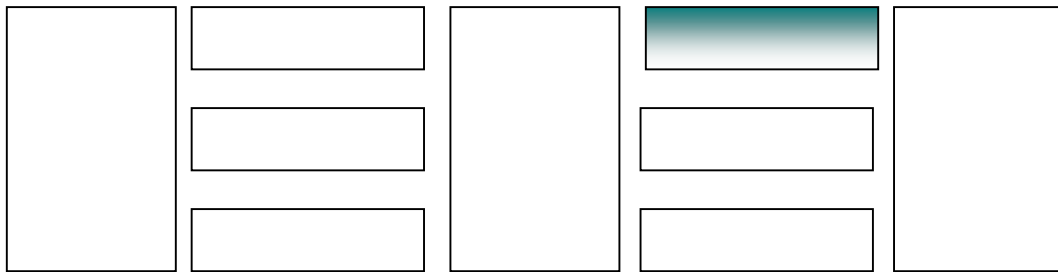
Areas for Improvement

- Although there are three years' results for complaints, comments and compliments, there are no targets or benchmarks against 'best-in-class' organisations;
- The trend for complaints is growing at a significant rate (LHTS' customer-facing role is not an explanation for deteriorating performance);
- Most results for visits to Libraries did not meet targets, comparisons with national averages are unfavourable, and there are no benchmarks against best-in-class;
- The trend for pupils visiting museums is erratic, most targets were not met and there are no benchmarks for visits to/usage of museums;
- Although there are four years' results for County Record Office usage, there are no targets and benchmarks. If website hits are excluded, the trends for usage are erratic;
- The trend for library website hits is erratic, and there are no targets and benchmarks for libraries, heritage or trading standards in respect of website hits;
- Although there is evidence that action has been taken in response to complaints, there is limited evidence that all results were caused by the Department's approaches;
- There are no measures in place to predict customer satisfaction which are based on service quality e.g. the reliability of the internet connection has increased but there are no measures of systems availability, there are no measures of sessions not available or waiting times for the next free slot;
- Benchmark data is only provided for overall visits to and issues by libraries;
- The rationale for target-setting, where they are used, is not clear;
- Although PLUS is a national survey no comparative data is provided for the results.

Recommendations

CRITERION 7 – PEOPLE RESULTS

Excellent organisations comprehensively measure and achieve outstanding results with respect to their people.



Score Profile Criterion 7

Sub-Criterion	0 -10	11 - 20	21 - 30	31 - 40	41 - 50	51 - 60	61 - 70	71 - 80	81 - 90	91 - 100
7a										
7b										
Overall										

Strengths

Staff Survey

- Of the 46 questions in the current staff survey 8 are trended over 3 years. Of these 4 show a significant increase over the 3 years period;
- There are a further 14 current questions which can be trended over 1 year. Of these 4 show a positive trend with 2 showing a significant (>3%) increase;
- There are 22 questions for which some form of external benchmark is provided. In 20 the Department exceeds the Local Government average;
- When benchmarked internally within WCC the Department is above average in 9 questions;

Corporate Governance Survey

- There are 28 relevant fields for non-managers for which there are Corporate Governance results trended over 3 years (5 actual years) and eight of these show an increase between each survey;
- There are a further 15 relevant fields for non-managers for which there are trends over two surveys (3 actual years). Of these 9 are favourable or remain the same;
- 2 of the 50 relevant results are 'best-in-class' for WCC and 10 are equal to or better than the WCC average;
- There are 29 relevant fields for managers for which there are Corporate Governance results trended over 3 years (5 actual years) and five of these show an increase or maintain the score between each survey;
- There are a further 17 relevant fields for managers for which there are trends over two surveys (3 years). Of these 6 are favourable or remain the same;
- 2 of the 49 relevant results are 'best-in-class' for WCC and 7 are equal to or better than the WCC average;

Some specific results

- 96% of non-managers and 98% of managers say they have a job description and 93% and 95% respectively say that they clearly understand their role and responsibilities.
- 86% of staff say that they are clear what is expected of them in their job.
- 88% of staff say that they have identified their training needs with their supervisor in the last 12 months.

Areas for Improvement

Staff Survey

- For most of the 8 fields for which there are results trended over three years they are mainly flat;
- For 10 of the 14 fields for which there are staff survey results trended over one year the results are unfavourable;
- There are no targets established for any of the questions;

Corporate Governance Survey

- The majority of the responses to the Corporate Governance Survey show a worsening position both for managers and non managers;
- Only 4% of the results are 'best-in-class' for WCC and only 14% are at or above average.

Some specific results

- Only 48% say that morale is good;
- 8% staff say they have experienced bullying or harassment in the last 12 months;
- Only 59% staff feel it is safe to speak up and challenge the way things are done. This is significantly lower than in the previous survey;
- Less than half the staff believe that action will be taken to address the issues identified in the staff survey;

General results

- There is limited evidence that the results were caused by the Department's approaches e.g. it is not clear what the linkages are between the survey questions and the 8 key areas of HR laid out in "Managing People";
- There is limited information on the segmentation of results by the different grades and employment status of staff.

Recommendations



Strengths

- There are three years' results for:
 - absences, and there was a slight improvement in 2004/05;
 - accidents; slips, trips and falls, and the trend is favourable;
 - turnover;
 - expenditure on training;
 - response rates to the staff survey;
 - relative training spend;
 - appraisals completed, and the trend is favourable.
- Results from induction generally show improvement from 2002/2003 to 2004/200. Only 7% of respondents felt that there were aspects of their induction which did not go well;
- A number of performance indicator results have been segmented;
- There are positive trends (or consistent high scores) for pre/post course briefing completion & putting training into practice, which indicates that training undertaken is followed up and relevant in the first place.

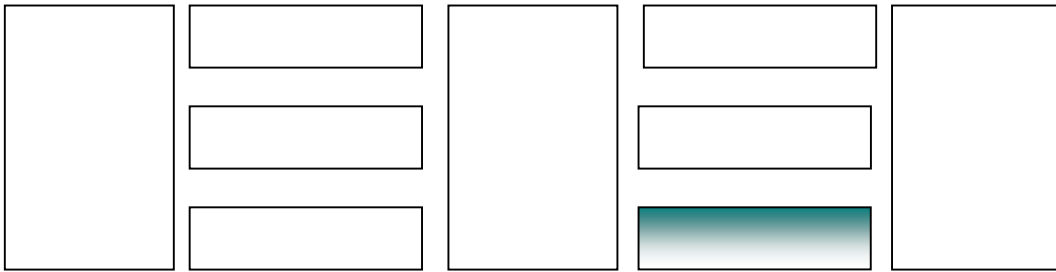
Areas for Improvement

- No results are presented for workforce demographics, for follow-up on recruitment, equal opportunities or reasons for leaving the Department;
- Training spend as a total and as a percentage of salary costs is falling;
- Only one year's results are shown for training days with no trends, targets or benchmarks;
- A significant number of indicators show a worsening or erratic position;
- Most PIs do not show targets or benchmarks e.g. there is no comparison to other local authorities on turnover rates. Not all PIs have trend data;
- No linkages are explained to the organisation's approach. For example, there is no explanation of the increase in average days lost per employee since 2002/2003 or what has been done about it;
- There is limited information on the segmentation of results by the different grades and employment status of staff.

Recommendations

CRITERION 8 – SOCIETY RESULTS

Excellent organisations comprehensively measure and achieve outstanding results with respect to society.



Score Profile Criterion 8

Sub-Criterion	0 -10	11 - 20	21 - 30	31 - 40	41 - 50	51 - 60	61 - 70	71 - 80	81 - 90	91 - 100
8a										
8b										
Overall										

Strengths

- The team were unable to identify any strengths from either the submission or during evidence gathered during the site visit.

Areas for Improvement

- The submission only defines society in terms of immediate customers or potential customers of service and only seeks perception from people about services. Therefore results given focus on service users and do not include wider stakeholder groups and other members of society in general;
- There are no trends, targets and benchmarks;
- The cause and effect relationship with the Department's approach is not described;
- The results are limited in scope and, other than attitudes towards email/internet usage and ways of making it easier to use WCC, are not perception measures;
- The Department does not appear to have a strategy which distinguishes between society as "customer" and society as beneficiary of other ((sometimes indirect) aspects of the Department's activities e.g. as an employee, encourager of voluntary activity, as concerned more generally in society, as a good supplier or provider, a good payer of bills etc.

Recommendations



Strengths

- There is anecdotal evidence of activity in this area e.g. buildings are used for community events; CRE level 2 has been achieved, new libraries have been built with DDA and RE in mind and paper, glass and cartridges are recycled;
- There is a strong commitment to Education and Lifelong Learning, e.g. through supported literacy, e-enabling services, social inclusion, sign-posting and guidance and supporting early years learning and literacy;
- There is some evidence of raising and donating money to local charities.

Areas for Improvement

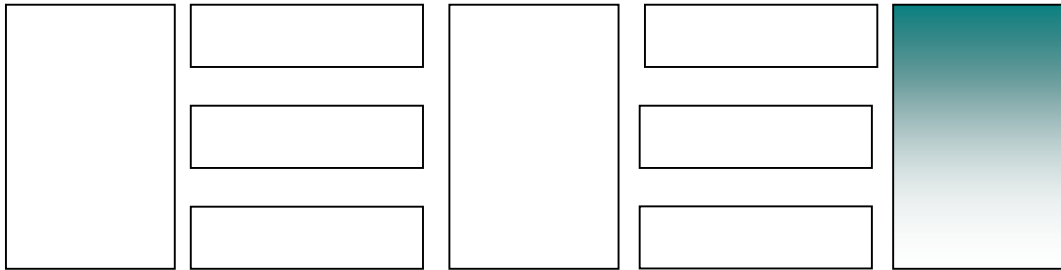
- While some activity data is provided, there are no results, trends, targets, comparisons or segmentation;

Recommendations



CRITERION 9 – KEY PERFORMANCE RESULTS

Excellent organisations comprehensively measure and achieve outstanding results with respect to the key elements of their policy and strategy.



Score Profile Criterion 9

Sub-Criterion	0 -10	11 - 20	21 - 30	31 - 40	41 - 50	51 - 60	61 - 70	71 - 80	81 - 90	91 - 100
9a										
9b										
Overall										

Strengths

- There are three years' results for visits to libraries, compared against targets and benchmarks. The target was exceeded in 2004/05 and results were better than the average shire county in 2002/03 and 2003/04;
- There are three years' results for the number of visits to/usage of museums, and the trend is favourable. The target was exceeded in 2004/05. Results are benchmarked against national and county averages in 2003/04, and was better than the latter;
- There are three years' results for the number of personal visits to/usage of museums, and the trend is favourable;
- There are three years' results for the number of pupils visiting museums and galleries. Results are benchmarked against national and county averages in 2003/04, and were better than both;
- There are three years' results for the number of residents worried about burglary, and the results exceeded the target in 2004/05;
- There are four years' results for the payment of invoices, and the trend for the last three years is favourable. Comparisons are made against other Departments and these are generally favourable;
- There are four years' results for outstanding debt, and the trend is favourable. Comparisons are made against other Departments and these are generally favourable. The target has been exceeded for the last three years. Results have been better than Leicestershire for three years and the County Council's average for two years;
- Some segmentation of results is presented, providing the opportunity to take action in individual services if required.

Areas for Improvement

- The results given do not include many of the headings in the Corporate Business Plan for 2004/2005 that are specifically allocated to LHTS;
- There is only comparison with one target (2004/05) for citizens' satisfaction with libraries, and this was not met;
- There is only comparison with one target (2004/05) for satisfaction of citizens who say they use libraries, and this was not met;
- There is only comparison with one target (2004/05) for the number of visits to libraries, and this was not met and benchmark with national average is unfavourable;
- There is only comparison with one target (2004/05) for the number of visits to/usage of museums and the benchmark comparison against the national average is unfavourable;
- There is only comparison with one target (2004/05) for the number of personal visits to/usage of museums, and it was not met. Benchmark comparisons against the national and county averages are unfavourable;
- The trend for the number of pupils visiting libraries and galleries is unfavourable. There is only comparison with one target (2004/05) for visits, and this was not met;
- The trend for the number of residents worried about burglary is erratic. There is only comparison with one target (2004/05) and there are no benchmark comparisons;
- There are no targets and no benchmark comparisons for the number of residents worried about having their car stolen;
- The trend for the percentage of confident consumers is unfavourable, as is comparison against the target. There are no benchmark comparisons;
- There is limited evidence that the results were caused by the Department's approach (results re fear of crime);
- Figures shown as financial results cannot be interpreted as results because there is no indication of what the objectives/targets were. Many of the other 'results' are narrative and tasks completed rather than results, consequently, no trends and compared against targets and benchmarks can be made.

Recommendations

Strengths

- There are 19 fields of results for libraries trended over two years, and 17 of these were favourable. Targets exist for all fields in 2004/05 and were met or exceeded on 17 occasions;
- There are four fields of results for Trading Standards for one year. Targets exist for all fields in 2004/05 and three were met or exceeded;
- There are six fields of results for Heritage trended over two years, and four of these were favourable. Targets exist for all of these fields in 2004/05 and were met or exceeded on four occasions;
- There are two fields of results for arts trended over two years, and both of these were favourable. Targets exist for four fields in 2004/05 and were met or exceeded on four occasions;
- There are 17 fields of results for museums over two years, and 11 of these showed improvement. Targets exist for all fields in 2004/05 and were met or exceeded on 11 occasions;
- There is an increase from 03/04 to 04/05 for libraries in the total number of visits, enquiries, reservations, I.T. etc user sessions with favourable comparisons with the targets set;
- Achievements of all Public Library Standards show favourable comparison with 2004/2005 targets.

Areas for Improvement

- The rationale for target setting for Library PIs is unclear (Fig 9b.2) as the targets set for 04/05 were below the actuals for 2003/04;
- The 19 fields of results for libraries are trended over only two years, and there are targets for only one year;
- The four fields of results for Trading Standards are not trended over more than one year. The results are limited in scope and are not benchmarked against other organisations;
- The eight fields of results for Heritage are trended over a maximum of two years, and there are only targets for one year;
- The 18 fields of results for the County Record Office are trended over only two years, and most are unfavourable. Targets exist for only one year and most were not met;
- The results for arts are limited in scope and are not benchmarked against best-in-class organisations;
- Poor performance e.g. in CRO is not explained, nor is there any evidence of actions taken/planned to improve these;
- There is no explanation for the reduction in total number of library service issues, nor is there any evidence of actions taken/planned to improve this;
- For most of the results presented, there are no benchmarks against other organisations;
- There is limited evidence to show that results were caused by approach.

Recommendations

WARWICKSHIRE COUNTY COUNCIL

**LIBRARIES, HERITAGE & TRADING STANDARDS
EFQM EXCELLENCE MODEL ASSESSMENT**

Scoring Summary

Criterion	Percentile Ranges									
	0 - 10	11-20	21-30	31-40	41-50	51-60	61-70	71-80	81-90	91-100
Leadership										
Policy and Strategy										
People										
Partnerships & Resources										
Processes										
Customer Results										
People Results										
Society Results										
Key Performance Results										

The above represents the score band awarded for each criterion prior to the points factor being applied

Total points awarded	Intervals for Total <u>Points</u>									
	0-100	101-200	201-300	301-400	401-500	501-600	601-700	701-800	801-900	901-1000

The total points score is after the appropriate factor being applied.