

**AGENDA MANAGEMENT SHEET**

**Name of Committee**                      **Community Protection Overview & Scrutiny Committee**

**Date of Committee**                      **5<sup>th</sup> September 2006**

**Report Title**                                **The Peer Review Process for Trading Standards**

**Summary**                                      To inform Members about the national Peer Review process for Trading Standards, based on the European Foundation for Quality Management model, focusing on the recent review of Warwickshire Trading Standards and the proposed service improvements that ensue.

**For further information please contact:**                      Anthea J Davies  
Assistant Head of Trading Standards  
01926 414063

**Would the recommended decision be contrary to the Budget and Policy Framework?**                      No

**Background papers**                      Report on Peer Review of Warwickshire Trading Standards service dated 4/5/06

**CONSULTATION ALREADY UNDERTAKEN:-**                      Details to be specified

- Other Committees
- Local Member(s)                       Not applicable
- Other Elected Members                       Councillor M Doody, Councillor D Shilton
- Cabinet Member                       Councillor R Chattaway
- Chief Executive
- Legal                                       Ian Marriott - approved
- Finance                                       Paul Walsh - approved
- Other Chief Officers

District Councils

Health Authority

Police

Other Bodies/Individuals

**FINAL DECISION**

**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

# Community Protection Overview & Scrutiny Committee - 5 September 2006

## The Peer Review Process for Trading Standards

### Report of the Director of Adult, Health & Community Services

#### Recommendation

That Members note the report and endorse the approach.

#### 1. Background

As part of the development of the National Performance Framework for Trading Standards Services, the Department of Trade and Industry (DTI) asked the Local Authorities Co-ordinators of Regulatory Services (LACORS) and the Trading Standards Institute (TSI) to devise a system of peer review within the service. The objective was to provide a process that enables service improvements to be identified and implemented.

Using a Trading Standards specific framework based on the EFQM Excellence model, the Peer Review process comprises self-assessment against this framework followed by external assessment by colleagues from neighbouring Trading Standards services in the region accompanied by an IdeA representative, as a team of three.

The self-assessment process generates a draft improvement plan and the external assessment then follows to review the effectiveness of the self-assessment process and finalise the improvement plan in agreement with the Service being assessed.

The Peer Review process is undertaken on a three year rolling programme during which each Trading Standards Service will carry out their own self-assessment and be involved in conducting a review another Trading Standards service in the region.

A fundamental objective of the process is that it must add value to each of the Trading Standards services involved in the process; both those under review and those providing officers to carry it out. It also provides an excellent opportunity to identify and share best practice.

## **2. Warwickshire Peer Review Process**

Warwickshire Trading Standards Service conducted a self-assessment during the period October and November 2005. A team drawn from staff throughout the service and led by Mark Ryder, undertook the assessment. Gereint Stoneman, Corporate Review Officer, Performance & Development undertook the role of 'critical friend'.

Using a range of approaches, the team collated evidence relating to each criterion part of the framework. The evidence collected by the team was consolidated at a consensus day. This work culminated in the production of a self-assessment report and a draft Improvement Plan. The self-assessment report comprised an overview of key themes highlighted during the self-assessment and a breakdown of the detailed strengths and areas for improvement under each criterion. The Improvement Plan detailed proposed actions for the key areas identified for improvement.

The self-assessment was followed by a Peer Review process conducted by two officers from Worcestershire Trading Standards Service and an Elected Member, nominated by IDeA. The review team considered the self-assessment report and the draft Improvement Plan in preparation for a two day site visit to Warwickshire in February 2006.

A review team comprising an officer from Warwickshire Trading Standards, the Head of Hereford Trading Standards and a representative from IDeA formed a team to carry out a similar review of the Solihull Trading Standards service.

## **3. Outcome of Warwickshire Peer Review**

The key findings of the Peer Review team were:

Warwickshire Trading Standards service had conducted a robust self-assessment. The report from the self-assessment team raised valid issues and accurately reflected the issues that both the self-assessment team and Peer Review team identified as being significant.

Warwickshire Trading Standards service was very aware of the external environment and was very good at planning. Corporate priorities were well linked into service plans. Evidence collected indicated that greater involvement of all staff in the planning process would be of benefit to the Service.

Warwickshire Trading Standards service has a high profile within the profession; significantly due to the drive and enthusiasm of the Director. The Portfolio Holder takes a keen interest in the service and adds strong political leadership. He is a good advocate for the Service within the Cabinet and Council.

The culture of Warwickshire Trading Standards service is one of innovation e.g. the service has twice been awarded the OFT Excellence Award and last year won the Brindley Medal for innovation.

Certain findings from the staff survey had not been suitably highlighted in the self assessment process. In some parts of the service, there were perceptions of a “them and us” situation between managers and staff and there were other general issues relating to poor communication within the Service.

Performance was good within the Service, but some staff identified varying levels of personal skills across the management team; an issue that had not been highlighted in the self assessment report.

Overall, the peer review team felt that the self-assessment process was robust and that the final agreed version of the Improvement Plan 2006 – 2009, reflecting their comments, will result in further improving what is already a very good innovative service. (Improvement Plan (final version) attached at Appendix 1).

#### **4. Next Steps**

The Improvement Plan 2006-2009 (see Appendix 1) will now be utilised by the new Head of Warwickshire Trading Standards Service as a key driver in managing change within the Service and the management team will ensure that consideration is given to best practice identified through the peer review process.

After twelve months the peer review team are agreeable to revisiting our service to give a further external view on the progress being made according to the aspirations documented in the Improvement Plan.

Warwickshire Trading Standards service will participate in a complete Peer Review process again in 2009.

Graeme Betts  
Director of Adult, Health and Community Services

Shire Hall  
Warwick  
7 August 2006

## Warwickshire Trading Standards Service Improvement Plan

Leadership (Communication)

Priority: High

No.	Improvement	Action	Timescale	Lead Officer(s)	Measurement
1	<p>Better communication with staff especially over major change issues, pre-empting and responding to concerns. Address ineffectual communications between managers and staff.</p> <p>Feedback from the consultation process used during the Peer Review process has identified that staff feel they would benefit from clear points of contact to effectively regulate and disseminate corporate and directorate information.</p>	<ul style="list-style-type: none"> <li>• Clarify current arrangements for communication to staff</li> <li>• Short life group to determine how staff would like to be communicated to. (diagonal slice)</li> <li>• Gain consensus over a common way forward</li> <li>• Process to ensure responses to staff queries. Evaluate for effectiveness</li> <li>• Continue regular briefing with Trade Union Representative</li> </ul>	<p>April - May 06</p> <p>June - Aug 06</p> <p>Mid Sept 06</p> <p>Sept - Oct 06</p> <p>Regular Monthly Meetings</p>	<p>Mark Ryder</p> <p>Simon Cripwell</p>	<ul style="list-style-type: none"> <li>• Common way forward agreed with staff on communication</li> <li>• Increased knowledge amongst staff over change issues.</li> <li>• Increase in agreement with staff survey question such as <i>"I have the opportunity to contribute my views before changes are made?"</i></li> </ul>

People (Staff Survey)

Priority: High

No.	Improvement	Action	Timescale	Lead Officer	Measurement
2	<p>Address issues raised in the Staff Survey in order to raise staff satisfaction and morale.</p> <ul style="list-style-type: none"> <li>• <u>I have the opportunity to contribute my views before changes are made?</u></li> <li>• I am satisfied with the recognition I receive for doing a good job?</li> <li>• I think that it is safe to speak up and challenge the way things are done in my team?</li> <li>• Morale is good where I work</li> <li>• In the last year whilst at work I have experienced bullying and/or harassment.</li> <li>• I think that it is safe to speak up and challenge the way things are done at work.</li> </ul>	<ul style="list-style-type: none"> <li>• Set up a small short life group to develop action plan to address issues.</li> <li>• Highlight action plan to other staff through Service days, Stop Press etc</li> <li>• Implement Actions</li> <li>• Set targets for 07 survey</li> <li>• Evaluate 07 Survey Results</li> </ul>	<p>May 06</p> <p>At Training Day 11/5 2006 or Team Meetings &amp; in Stop Press</p> <p>June 06 – May 07</p> <p>May 07</p> <p>Sept 07</p>	<p>Lisa Stirling</p>	<ul style="list-style-type: none"> <li>• Increase in agreement with these questions in forthcoming surveys.</li> <li>• Meet TSS targets set.</li> <li>• Other measures defined by the group</li> </ul>

People

Priority: High

No.	Improvement	Action	Timescale	Lead Officer	Measurement
3	Take actions to increase staff confidence in addressing issues raised in the annual staff survey.	See above	See above		<ul style="list-style-type: none"> <li>Improvements in the results of the staff survey</li> </ul>

Policy & Strategy

Priority: High

No.	Improvement	Action	Timescale	Lead Officer	Measurement
4	Develop a formal process to review the ongoing appropriateness and effectiveness of existing policy documents.	<ul style="list-style-type: none"> <li>Document a formal procedure outlining how policies are reviewed &amp; monitored, by whom &amp; frequency.</li> <li>Evaluate effectiveness</li> <li>Transfer to the Internal Audit system</li> </ul>	<p>30<sup>th</sup> June 06</p> <p>Aug – Nov 06</p> <p>31<sup>st</sup> Jan 07</p>	<p>Pat Farrington</p> <p>Kazim Datoo</p>	<ul style="list-style-type: none"> <li>Compliance with annual audit</li> </ul>



Policy & strategy

Priority: High

No.	Improvement	Action	Timescale	Lead Officer	Measurement
5	Develop a formal process for introducing new policies into the existing framework and allocating ownership of actions	<ul style="list-style-type: none"> <li>Document a formal procedure outlining how new policies are included, by whom &amp; frequency.</li> <li>Evaluate effectiveness</li> <li>Transfer to the Internal Audit system</li> </ul>	29 <sup>th</sup> Sept 06  Nov – Jan 06  30 <sup>th</sup> March 07	Anthea Davies  Kazim Datoo	<ul style="list-style-type: none"> <li>Compliance with annual audits</li> </ul>

Processes

Priority: High

No.	Improvement	Action	Timescale	Lead Officer	Measurement
6	The QM system is now well established but recent comparison with other systems and technologies and a review of the current induction process has highlighted an opportunity to enhance the manner in which the processes are shared with staff	<ul style="list-style-type: none"> <li>Identify issues with systems/processes</li> <li>Identify amendments/Improvements</li> <li>Test, review &amp; amend processes</li> <li>Implement &amp; roll out</li> </ul>	May – Sept 06  Sept – Dec 06  Jan – March 07  30 <sup>th</sup> March 07	Rob Carson  Kazim Datoo	<ul style="list-style-type: none"> <li>Feedback from evaluation forms at induction</li> <li>Levels of compliance</li> <li>Staff know where to find &amp; refer to the system.</li> <li>Staff raise issues for discussion/review</li> </ul>

Key Performance Results

Priority: Medium High

No.	Improvement	Action	Timescale	Lead Officer	Measurement
7	Improve delivery and development of Key Performance Indicators	<ul style="list-style-type: none"> <li>• Check appropriateness/ suitability of each current KPI</li> <li>• Identify any new KPI's</li> <li>• Identify data source for each KPI</li> <li>• Identify targets, trend lines etc.</li> <li>• Test &amp; liaise with TSMT</li> <li>• Review</li> </ul>	<p>30<sup>th</sup> June 06</p> <p>30<sup>th</sup> June 06</p> <p>31<sup>st</sup> Aug 06</p> <p>31<sup>st</sup> Aug 06</p> <p>Report progress at appropriate intervals throughout process</p> <p>6 monthly basis</p>	Lisa Stirling	<ul style="list-style-type: none"> <li>• Regular delivery of KPI information to TSMT</li> <li>• Satisfaction of TSMT with suite of KPI's</li> <li>• Development of meaningful KPI's based on reliable data</li> </ul>

People Results

Priority: Medium High

No.	Improvement	Action	Timescale	Lead Officer	Measurement
8	<p>Improve target setting and monitoring against targets (People Results)</p> <p>Specifically relating to Sickness Absence levels</p>	<ul style="list-style-type: none"> <li>• Identify targets, ensure they are SMART</li> <li>• Identify data source, evaluate &amp; monitor</li> <li>• Report to TSMT</li> <li>• Take remedial action to improve performance</li> <li>• Review on a regular basis</li> </ul>	<p>29<sup>th</sup> Sept 06</p> <p>31<sup>st</sup> October 06, monthly thereafter.</p> <p>28<sup>th</sup> Sept 06 TSMT meeting - initial findings. Thereafter quarterly</p> <p>As required</p> <p>6 monthly; basis</p>	Anthea Davies	<ul style="list-style-type: none"> <li>• Targets set and monitored</li> <li>• Targets achieved/delivered</li> </ul>

Policy (Consultation)

Priority: Medium High

No.	Improvement	Action	Timescale	Lead Officer	Measurement
9	Inform policy, and service improvement & development by more pro-active use of consultation and survey results.	<ul style="list-style-type: none"> <li>• Develop a process for using the outcomes from consultation to make appropriate changes to operational activity. Report changes made to TSMT</li> <li>• Review and evaluate changes</li> </ul>	<p>On completion of each consultation.</p> <p>After 3 months</p>	Marie Rowland	<ul style="list-style-type: none"> <li>• Evidence of action taken as a result of consultation/survey.</li> </ul>

Customer Results  
 Priority: Medium High

No.	Improvement	Action	Timescale	Lead Officer	Measurement
10	Improve target setting and monitoring against targets where appropriate (Customer Results)	<ul style="list-style-type: none"> <li>• Identify key contacts &amp; seek guidance</li> <li>• Identify targets, ensure they are SMART</li> <li>• Identify data source, evaluate &amp; monitor</li> <li>• Report to TSMT</li> <li>• Transfer to Key PI process</li> </ul>	<p>30<sup>th</sup> April 07</p> <p>April - June 07</p> <p>31<sup>st</sup> July 07, monthly thereafter.</p> <p>Aug 07 TSMT Meeting - Initial findings.</p> <p>Report Monthly</p>	Marie Rowland	<ul style="list-style-type: none"> <li>• Targets set and monitored</li> <li>• Targets achieved/delivered</li> </ul>

Processes

Priority: Medium High

No.	Improvement	Action	Timescale	Lead Officer	Measurement
11	Although the service has implemented both project management and customer consultation techniques the service recognises the need to allocate resource and time to closing the loop and acting upon the lessons learnt by rolling out these working methods	<ul style="list-style-type: none"> <li>• Implementation of generic project management documentation and methodology</li> <li>• Staff training</li> <li>• Roll out of project management practices</li> <li>• Closing the loop of Customer Consultation via AFI No 9</li> </ul>	<p>29<sup>th</sup> Sept 2006</p> <p>Sept/Oct 2006</p> <p>30<sup>th</sup> Nov 2006</p>	<p>Roger Harrison</p> <p>Rob Carson</p>	<ul style="list-style-type: none"> <li>• Assessment of the effectiveness and uptake</li> </ul>

Processes (Business Education)

Priority: Medium Low

No.	Improvement	Action	Timescale	Lead Officer	Measurement
12	Develop Business Education	<ul style="list-style-type: none"> <li>Consult with business over appropriate activity</li> <li>Develop a Business Education Plan for 2006 – 8. Offer a range of business education activity based on good practice and consultation outcomes</li> </ul>	<p>May – June 07</p> <p>Plan completed by end of first half of 07/08.</p>	Richard Brooks	<ul style="list-style-type: none"> <li>High satisfaction levels from business community</li> <li>Take up of activities</li> <li>Plan Prepared</li> </ul>

Customer Results

Priority: Medium Low

No.	Improvement	Action	Timescale	Lead Officer	Measurement
13	Develop effective measurement techniques to ensure that business advice, guidance and education activity is measured.	<ul style="list-style-type: none"> <li>Review current techniques</li> <li>Devise approach</li> <li>Test &amp; evaluate</li> <li>Set targets &amp; Implement</li> </ul>	To fit in with No. 12, Business Education Plan	<p>Richard Brooks</p> <p>Marie Rowland</p>	<ul style="list-style-type: none"> <li>Feedback</li> <li>Targets met</li> <li>Monitoring systems in place and being used</li> </ul>

Partnership & Resources

Priority: Low

No.	Improvement	Action	Timescale	Lead Officer	Measurement
14	Further develop the website by introducing user testing and establishing clear lines of responsibility for maintenance and updating the various pages.	<ul style="list-style-type: none"> <li>• Identify how other divisions/depts. do this.</li> <li>• Develop processes &amp; lines of responsibility</li> <li>• Test, review, amend</li> <li>• Implement</li> <li>• Review effectiveness</li> </ul>	<p>Oct/Nov 08</p> <p>18<sup>th</sup> Dec 08</p> <p>Jan/Feb 09</p> <p>March 09</p> <p>6 monthly</p>	Simon Cripwell	<ul style="list-style-type: none"> <li>• Clear lines of responsibility &amp; ownership established</li> <li>• Testing reduces complaints</li> <li>• Regular monitoring updating and maintenance</li> <li>• High user satisfaction with access and content of website.</li> </ul>



Customer Results

Priority: Low

No.	Improvement	Action	Timescale	Lead Officer	Measurement
15	Develop a systematic and standard approach to evaluating talks, presentations etc. Use results to inform improvement/development.	<ul style="list-style-type: none"> <li>• Review current evaluation approaches</li> <li>• Identify evaluation approaches in use in other depts. etc</li> <li>• Develop new TSS evaluation</li> <li>• Test, review, amend</li> <li>• Implement new evaluation approach</li> <li>• Review results with officers to improve/develop service</li> </ul>	<p>31<sup>st</sup> May 2008</p> <p>29<sup>th</sup> June 2008</p> <p>July-Aug 2008</p> <p>Sept – Dec 2008</p> <p>1<sup>st</sup> Jan 2009</p> <p>6 monthly</p>	<p>Lisa Stirling</p> <p>Marie Rowland</p>	<ul style="list-style-type: none"> <li>• Standard approach implemented</li> <li>• Improvement/development of service as result of improved data analysis.</li> </ul>