

S18 – Self-Assessment and Peer Review – description of system

1. This paper outlines the system to demonstrate compliance with S18 using self-assessment and peer review.
2. The system consists of seven steps based upon a four year cycle
 - EA self-assessment against the S18 Standard using question sets to help determine level of compliance;
 - EA develops an Action Plan to overcome any deficiencies or put in place elements of best practice (progress reviewed annually);
 - EA records evidence of compliance within an electronic folder;
 - EA shares its Self Assessment, Action Plan and supporting evidence with other EAs within their Liaison Group
 - A peer review within the Liaison Group challenges the assumptions/conclusions reached by the EA and suggests any necessary revisions to the Action Plans;
 - Findings of the Self-Assessment/Peer Review and progress with Action Plans are reported to local Chief Environmental Health Officer Groups
 - LAU gathers the review data and provides a report on compliance and issues for further consideration to HELA on an annual basis.
3. A summary (not exhaustive) of roles and responsibilities in relation to the Self-assessment/Peer Review process is provided at Annex 1.
4. The aim of the Self-Assessment and Peer Review process is to give assurance to LAs, HSE's Field Operations Division, HELA and the HSE Board that EAs are complying with the S18 Standard; to identify issues that may need additional national input to support compliance; to publicise/promote the good work EAs undertake and to help support individual EAs in complying.
5. For simplicity, an EA has four options when deciding their level of compliance; some deficiencies (amber), adequate arrangements (green); adequate arrangements and some element of best practice (lilac); or some deficiencies and some element of best practice (purple).
6. This proposal is consistent with the work LBRO is leading to develop an Excellence Framework for Regulatory Services in conjunction with the World Class Coalition. The Framework is being piloted with local authorities via the Regulatory Services Peer Challenge project – comprising self-assessment and peer review – in partnership with LACORS. It adopts a holistic approach to regulatory services and, as such, goes wider than the parameters of the S18 Standard. However, discussions held with LBRO confirm that the Framework takes account of and is aligned to the requirements of the S18 Standard such that they are mutually reinforcing. The potential for evidence of S18 compliance to provide evidence for compliance with the Excellence Framework, and vice versa, is being explored. There is obvious scope, for example, to explore alignment of

the assurance processes in this proposal and the assessment methods being piloted in the Regulatory Services Peer Challenge project.

7. The proposed system utilises the existing Liaison Group structure and attendees with some additional support from LAU.
8. The proposed system relies on individual EAs within a Liaison Group (HSE ELO representative plus LA representatives from County Liaison Groups in England; Task Groups in Wales and Health and Safety Liaison groups in Scotland) carrying out a self-assessment of their compliance with the S18 Standard.
9. An on-line version of the Self Assessment form will be available via the HSE website and we will e-mail individual Self-Assessment forms to each local authority. Annex 2 annotates the basic Self Assessment form format.
10. The Self-Assessment form has hyperlinks to the S18 Standard, the toolkits and a series of question sets. These question sets ask whether your EA complies with the particular requirements of the S18 Standard and poses a series of questions to help you decide if the answer is "yes" or "no". For example in relation to Sensible Risk Management the process would work in the following way:

Are you compliant with S18's Sensible Risk Management requirements?

To answer "yes" you should be able to demonstrate that your EA:-

- **promotes sensible risk management**
 - has your EA either signed up to the Sensible Risk Management Campaign or pledged commitment to the Strategy, Health and Safety of Great Britain - Be Part of the Solution, which encompasses the principles of the Sensible Risk Management Campaign?
 - can you demonstrate at least one example where you have promoted sensible risk management in the last 12 months?
11. If the EA had signed up to the Strategy and promoted sensible risk management at least once in the last 12 months e.g. via a press article, this would indicate that the EA was complying with the Standard in relation to sensible risk management.
 12. With regards the Self-Assessment form the EA would indicate that they were making adequate arrangements in relation to sensible risk management by infilling the relevant Status Column box in green but would not record any actions in the Action Plan template. It would need to put the links to their Strategy sign up and relevant press article to the Electronic Evidence Folder.
 13. If the EA had not signed up to either the Strategy or the earlier Sensible Risk Campaign and/or had not promoted sensible risk management within the last 12 months, it would indicate on the Self-Assessment form that they had some deficiencies and infill the relevant Status Column box amber. The EA would need to develop an action to overcome this deficiency and add it to the Action Plan template e.g. EA to pledge commitment to the Strategy by March 2010.

14. If the EA was making adequate arrangements but wanted to adopt or had an element of best practice, e.g. use of Myth of the Month in regular promotions it would indicate on the Self-Assessment form that they had/or wanted to adopt best practice and infill the relevant Status Column box purple. It would then need to either develop an action to implement best practice or describe the best practice in the Additional Comments Template or provide a link for the Electronic Evidence Folder.
15. Having done this for each element of the Standard and the Self Assessment form would give a graphical representation of compliance e.g. some deficiencies (amber), making adequate arrangements (green), having or wanting to develop best practice (lilac) or have an Action Plan to overcome deficiencies or develop better practice, and evidence of compliance or best practice (purple).
16. The completed Self-Assessment form would then be shared electronically e.g. e-mail with all the other EAs within the Liaison Group, Partnership Teams and LAU.
17. This sharing allows other Liaison Group members, Partnership Teams and LAU to scrutinise the submissions, look at where others feel they comply or do not comply, the evidence for these decisions, actions for improvements and evidence of best practice.
18. The next step in the process is for members of the Liaison Group, Partnership Teams and LAU to meet together for Peer Review. This will allow EAs to put forward decisions on compliance, outline their Action Plans and explain supporting evidence and for other EAs to challenge those assumptions and conclusions. The Partnership Manager would moderate the process with the Teams and LAU offering support. (See Annex 1 for participant's role and responsibilities.).
19. The outcome of the Peer Review would be a set of revised Action Plans to ensure continued compliance with the S18 Standard. The results of the Self Assessment and Peer Review would go to the local CEHO group for onward reporting to their relevant EA and collated with the results from other Liaison Groups to provide HELA with a general picture of compliance and issues for further consideration. The Self-Assessment and Peer Review would be undertaken every 4 years with the progress on action plans reported annually.

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Annex 1 - LA Self-Assessment/Peer Review – Summary of key roles and responsibilities

Participants	Role/Responsibility	
	Self Assessment	Peer Review
LA Practitioners/Managers	Complete self assessment, compile LA compliance evidence, develop LA action plan Implement action plans and review progress towards compliance	Participate in peer review processes and provide a moderation role in particular sharing good practice from other areas
HSE Partnership Managers	Work with PLOs and ELOs to support LAs in self assessment processes where necessary	To participate in (and where necessary stimulate) Liaison Group peer review processes To discuss outcomes from peer review with CEHO groups as necessary From time to time to review with LAU the effectiveness of local peer review processes
Partnership Officers/Partnership Liaison Officers	Work with PMs and ELOs to support and encourage LAs in self assessment processes	Participate in peer review processes and as necessary assist LAs to organise events; share self assessments/action plans; encourage debate/challenge/share best practice; bringing together results for reporting back to CEHO groups/LAU/HELA
HSE ELOs	Work with PM and PLOs to support LAs in self assessment processes	To participate in (and where necessary stimulate) Liaison Group peer review processes To discuss outcomes from peer review with CEHO groups as necessary
LAU	Review with PMs and others the effectiveness of self assessment and peer review processes and provide periodic reports to HELA	Review with PMs and others the effectiveness of self assessment and peer review processes and provide periodic reports to HELA
Liaison Groups	Assist LA Practitioners/Managers complete self assessment, compile LA compliance evidence; develop and deliver LA action plans	Stimulate and encourage debate/challenge of compliance assessments and action plans. Report to CEHO groups
CEHO Groups	Receive and consider report on results of Liaison Groups Self assessment and Peer Review Process and decide local further action/support	
HELA	Receive and consider report on national picture of Self assessment and Peer Review Process and decide on national action and support	
LACORS	Encourage LAs to take part in assessment processes. Work with LAU to investigate/attempt to resolve where LAs not taking part or not making adequate arrangements.	

Annex 2 - Annotated Self Assessment Form

Microsoft Excel - 1. S18 - Self Assessment Form (NEW)

S18 - Standard/Toolkits		Self Assessment Questions <i>(Please ensure that the questions are answered as honestly as possible)</i>	Status	Evidence Folder		
Link to S18 Standard		To be compliant with the S18 Standard has your EA the :	Guidance	Action Plans	Links to Evidence Folders	Additional Comments
S18 - Toolkit - Commitment etc.	commitment, priorities and planned interventions?	Please select status from the drop down list...		Commitment, Priorities etc.	Additional Comments	
S18 - Toolkit - Capacity	capacity?	Please select status from the drop down list...		Capacity		
S18 - Toolkit - Man' Infrastructure	management infrastructure?	Please select status from the drop down list...		Management Infrastructure		
S18 - Toolkit - Perf Management	performance management?	Please select status from the drop down list...		Performance Management		
S18 - Toolkit - Information Systems	information systems?	Please select status from the drop down list...		Information Systems		
S18 - Toolkit - Competence	competent inspectorate?	Please select status from the drop down list...		Competent Inspectorate		
S18 - Toolkit - Enforcement	enforcement policy etc?	Please select status from the drop down list...		Enforcement Policy etc		
S18 - Toolkit - Partnership	work in partnership?	Please select status from the drop down list...		Partnership Working		
S18 - Toolkit - Governance	governance?	Please select status from the drop down list...		Governance		
S18 - Toolkit - Sensible Risk	sensible risk management?	Please select status from the drop down list...		Sensible Risk Management		

Annotations:

- link to Description of self assessment/ peer review system
- link to further Self Assessment information
- Drop down menus to indicate degree of compliance
- links to electronic evidence folders – insert hyperlinks to documentary evidence of compliance and brief description of document content
- link to the S18 Standard
- link to paper version of S18 Standard
- link to Action Plan Template – write here actions needed to make adequate arrangements or
- link to Additional Comments Template-write any further information here and examples of best practice
- links to all S18 Toolkits
- link to Toolkit Question Sets – answer these to decide degree of compliance with the Standard