

# LOCAL AUTHORITY REGULATORY SERVICES PEER CHALLENGE TOOLKIT

## Annex 1: Reference Guide to Existing Evidence Sources



**Local Authority Regulatory Services  
Excellence Framework**

# THE REGULATORY SERVICES EXCELLENCE FRAMEWORK TOOLKIT

## Overview of the regulatory services excellence framework

Themes	1. Leadership, strategies and collaboration	2. Focus on and engagement with customers	3. Resource, activity and people management	4. Achieving outcomes effectively and sustainably
<b>Main Criteria</b>	1.1 Service vision, direction and planning  1.2 Integration with local and national priorities and strategies  1.3 Collaboration with others	2.1 Engagement of customers and stakeholders  2.2 Understanding local needs and communities  2.3 Responsiveness to customers and stakeholders	3.1 Effective resource and partnership management  3.2 Activities are based on a sound understanding of risk and use of intelligence  3.3 Learning and supportive culture	4.1 Delivering sustainable outcomes  4.2 Performance management  4.3 Review and scrutiny for continuous improvement

## Annex 1. Excellence Framework Criteria and Evidence sources

This document is a reference guide for councils undertaking a self-assessment of their service against the Excellence Framework.

The purpose is to show where existing national codes of practice and guidance, both statutory and voluntary, can inform self-assessment activity and therefore help to reduce the need for additional evidence gathering. The submissions that a service is already making to national bodies can provide sources of existing evidence and data to inform the self-assessment.

This document also shows that the Excellence Framework acts as an umbrella for all of the performance frameworks relevant to local regulatory services. It is the only framework to cover all aspects of excellent local service delivery.

This document has been prepared by LBRO following consultation with the members of the World Class Coalition.

### List of evidence sources

Source	Relevant central data return/performance review process	Detailed reference
<b>DEFRA Pollution Prevention and Control</b>	Local Pollution Control Statistical Survey	Environmental Permitting General Guidance Manual on Policy and Procedures for A2 and B Installations Local Authority Integrated Pollution Prevention and Control (LA-IPPC) and Local Authority Pollution Prevention and Control (LAPPC). Revised February 2009 Department for Environment, Food and Rural Affairs. Part A. 32. Local Authority Good Practice.
<b>Health and Safety Executive Standard for Enforcing Authorities</b>	LAE1 Self-assessment against the Standard Peer review	Health and Safety Executive and LACORS The Standard for Health and Safety Enforcing Authorities Version 0.2. February 2008.

Source	Relevant central data return/performance review process	Detailed reference
<b>Food Standards Agency Framework Agreement</b>	LAEMS: Food Hygiene LAEMS: Imported Food LAEMS: Primary Production LAEMS: Sampling LAEMS: Animal Feed LAEMS: Food Standards Inter-authority audit FSA audit	The Framework Agreement on Official Feed and Food Controls by Local Authorities Amendment number 5 to original Agreement (2001). Effective from April 2009.
<b>Animal Health and Welfare Framework</b>	Service Delivery Plan – Animal Health Framework (to DEFRA in England and WAG in Wales)	Commencement date 1 April 2009 Department for Environment, Food and Rural Affairs, Animal Health, Welsh Assembly Government, LACORS Section 5. The Activity Matrix for Animal Health
<b>Protocol for requests for case referral, case support and training and investigation cooperation to the Office of Fair Trading</b>	N/A Data submitted to the Central Register of Convictions and Consumer Regulations Website may be relevant however.	Protocol for requests for case referral, case support and training and investigation cooperation to the Office of Fair Trading. A joint statement by the Office of Fair Trading and The Local Authorities Coordinators of Regulatory Services. June 2008.
<b>National Indicator Set (England)</b>	<i>See next column Where indicators have been discontinued, the evidence collected previously may still be relevant.</i>	National Indicator 182 Satisfaction of businesses with local authority regulatory services National Indicator 183 Impact of local authority regulatory services on the fair trading environment National Indicator 190 Achievement in meeting standards for the control system for animal health National Indicator 194 Level of air quality National indicator 196 Improved street and environment cleanliness (fly tipping)

Source	Relevant central data return/performance review process	Detailed reference
<b>Wales Performance Indicators</b>	<i>See next column</i>	PPN/001 Planning and Regulatory Services - Public Protection PPN/004 Planning and Regulatory Services - Public Protection PPN/007 Planning and Regulatory Services - Public Protection PPN/008 Planning and Regulatory Services - Public Protection STS/007 Environment and Transport - Street Scene  Welsh Heads of Trading Standards Performance indicators where different to the above.
<b>CIPFA</b>	Regulatory Services Statistics (formerly Environmental Health Statistics and Trading Standards Statistics)	Chartered Institute of Public Finance and Accountancy Statistics available via <a href="http://www.cipfastats.net/">http://www.cipfastats.net/</a> if a subscriber.

## List of guidance – in development

The examples of excellent practice identified through Peer Challenge so far are available on the [LACORS website](#)

The list below covers sources of guidance that regulatory services may draw upon in order to deliver improvements to services. The list is not exhaustive and is still in development.

These sources of guidance have all been mapped into the Excellence Framework apart from the Guide to Good Practice in Trading Standards and Audit Commission Private Sector Housing Key Lines of Enquiry.

Guidance	Detailed reference
<b>LBRO Impact and Outcomes Toolkit</b>	Summary Toolkit April 2010 Sample pathways and 'dashboard' available via  <a href="http://www.lbro.org.uk/lbro-projects-impacts-and-outcomes-toolkit.html">http://www.lbro.org.uk/lbro-projects-impacts-and-outcomes-toolkit.html</a>

<b>Guidance</b>	<b>Detailed reference</b>
<b>LACORS/Chartered Institute of Environmental Health Collaborative Councils: Guidance on partnership working in regulatory services</b>	July 2009 Available via  <a href="http://www.lacors.com/lacors/upload/19919.pdf">http://www.lacors.com/lacors/upload/19919.pdf</a>
<b>LACORS Guide to Good Practice in Trading Standards</b>	February 2009 Available via restricted LACORS website
<b>Communities and Local Government Practitioners Toolkit Getting it Right, and Righting the Wrongs</b>	Customer focus in local councils June 2009
<b>Audit Commission Environment Key Lines of Enquiry</b>	How good is the service? Trading Standards and Environmental Health May 2005 Prospects for improvement
<b>Audit Commission Private Sector Housing Key Lines of Enquiry</b>	July 2007
<b>Audit Commission Use of Resources Framework</b>	May 2008 (updated February 2009)

## Criterion 1.1 – Service vision, direction and planning

Detailed excellence criteria	Evidence
1. There is a clear sense of mission, vision and values for the Service, and these are communicated to people	<ul style="list-style-type: none"> <li>• Audit Commission KLOE TS &amp; EH Question 1. What has the service aimed to achieve.</li> </ul>
2. There are clear aims and objectives for the Service, and these are communicated to people and relevant external stakeholders	<ul style="list-style-type: none"> <li>• Animal Health and Welfare Framework. 1. Planning the Delivery of the Local Authority Animal Health and Welfare Function. 1.2 Good practice.</li> <li>• Audit Commission KLOE TS &amp; EH Question 5. How well does the service manage performance – 5.1.1.</li> </ul>
3. There is effective short and long term planning, identifying and managing any necessary changes to service provision	<ul style="list-style-type: none"> <li>• HSE Standard for Enforcing Authorities – make it happen (systems and infrastructure) - priorities and planning</li> <li>• FSA Framework Agreement. 3. 1</li> <li>• Animal Health and Welfare Framework. 1. Planning the Delivery of the Local Authority Animal Health and Welfare Function. 1.1 Good practice.</li> <li>• Audit Commission KLOE TS &amp; EH Question 2. Service outcomes for users and the community.</li> <li>• Audit Commission KLOE TS &amp; EH Question 5. How well does the service manage performance – 5.1.2.</li> <li>• Audit Commission Use of Resources Framework. 1.1.</li> </ul>
4. Leaders demonstrate through their actions that they are committed to continuous improvement	<ul style="list-style-type: none"> <li>• HSE Standard for Enforcing Authorities – make it happen (systems and infrastructure) - commitment</li> </ul>

## Criterion 1.2 – Integration with local and national priorities and strategies

Detailed excellence criteria	Evidence
1. The Service is properly structured to meet objectives as effectively as possible within existing resources	<ul style="list-style-type: none"> <li>• HSE Standard for Enforcing Authorities – make it happen (systems and infrastructure) - management infrastructure</li> <li>• FSA Framework Agreement. 5.3</li> </ul>
2. Policies and strategies reflect stakeholder and community needs, and are consistent with the Authority's aims and objectives, and the mission, vision and values for the Service	<ul style="list-style-type: none"> <li>• FSA Framework Agreement. 13.1. 13.2. 14.1. 14.4. 15.2</li> <li>• Animal Health and Welfare Framework. 9. Additional activities. 9.1. 9.2. 9.3.</li> <li>• Audit Commission KLOE TS &amp; EH Question 2. Service outcomes for users and the community.</li> </ul>
3. The key processes that will ensure that policies and strategies are effectively implemented are identified and well-managed by the Service	<ul style="list-style-type: none"> <li>• FSA Framework Agreement. 7.4. 12.3. 12.4. 12.5.</li> </ul>
4. Service policies and strategies are reviewed at appropriate intervals with key stakeholders	<ul style="list-style-type: none"> <li>• FSA Framework Agreement. 4.1.</li> </ul>

### Criterion 1.3 – Collaboration with others

Detailed excellence criteria	Evidence
1. Leaders champion and lead a collaborative approach and have an external focus	<ul style="list-style-type: none"> <li>• Audit Commission KLOE TS &amp; EH Question 5. How well does the service manage performance – 5.2.1.</li> </ul>
2. There is active Member involvement and engagement with the Service	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 41.</li> </ul>
3. The Service is integrated within the Authority	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 9. 42. 43. 40.</li> <li>• Audit Commission KLOE TS &amp; EH Question 2. Service outcomes for users and the community.</li> <li>• Audit Commission Use of Resources Framework. 1.3. 2.3.</li> </ul>
4. The Service collaborates effectively with external bodies such as national regulators	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 40.</li> <li>• HSE Standard for Enforcing Authorities – work together (partnership) – governance.</li> <li>• FSA Framework Agreement. 14.5.6.3.</li> <li>• Animal Health and Welfare Framework. 7. Post enforcement reporting and AMES data entry activities. 7.2. Good practice.</li> <li>• OFT/LACORS Protocol for requests for case referral, case support and training and investigation cooperation to the Office of Fair Trading. 13.</li> <li>• Audit Commission KLOE TS &amp; EH Question 2. Access, customer care and user and/or community focus. Service outcomes for users and the community.</li> <li>• Audit Commission Use of Resources Framework. 2.3.</li> <li>• LACORS/CIEH Collaborative Councils: Guidance on partnership working in regulatory services</li> </ul>

## Criterion 2.1 – Engagement of customers and stakeholders

Detailed excellence criteria	Evidence
1. The Service identifies its key stakeholders and defines the services available to customers	
2. The Service provides information about the services available to all key stakeholders	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 29. 12. 15.</li> <li>• Audit Commission KLOE TS &amp; EH Question 2. Access, customer care and user and/or community focus.</li> </ul>
3. The Service implements good customer care methods in dealing with day-to-day customer contacts	<ul style="list-style-type: none"> <li>• Practitioners Toolkit Getting it Right, and Righting the Wrongs</li> </ul>
4. Policy and practice in all elements of Regulatory Services is explicit and transparent to customers and the wider community, and is consistently applied	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 10. 27.</li> </ul>
5. Stakeholders are clear about their role in the decision-making process and are provided with the information to engage effectively	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 34.</li> </ul>

## Criterion 2.2 – Understanding local needs and communities

Detailed excellence criteria	Evidence
1. The Service finds out and understands the needs of the local community and individual customers	<ul style="list-style-type: none"> <li>• Audit Commission KLOE TS &amp; EH Question 2. Access, customer care and user and/or community focus.</li> </ul>
2. The Service regularly uses customer feedback to ascertain and improve customer perceptions of, and rates of satisfaction with, the quality and effectiveness of services	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 11.</li> <li>• National Indicator 182 Satisfaction of businesses with local authority regulatory services.</li> </ul>
3. The Service takes steps to understand the needs of present non-users, ensures the Service is accessible and targets issues according to risk	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 30.</li> <li>• Audit Commission KLOE TS &amp; EH Question 2. Diversity.</li> </ul>
4. The Service informs the local community about its services, performance and decision-making	<ul style="list-style-type: none"> <li>• Audit Commission KLOE TS &amp; EH Question 2. Access, customer care and user and/or community focus.</li> </ul>
5. The Service takes a role in the Authority's approach to fostering economic prosperity	

## Criterion 2.3 – Responsiveness to customers and stakeholders

Detailed excellence criteria	Evidence
1. The services provided are accessible to customers in ways and at times that respond to their needs	<ul style="list-style-type: none"> <li>• Animal Health and Welfare Framework. 3. Licensing Activities. 3.2. Good practice. 3.3. Better practice.</li> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 33.</li> <li>• Audit Commission KLOE TS &amp; EH Question 2. Access, customer care and user and/or community focus.</li> </ul>
2. Advice and guidance is tailored, appropriate and provided in a way that customers can rely on.	<ul style="list-style-type: none"> <li>• HSE Standard for Enforcing Authorities – sell the story (promoting sensible risk management) – sensible risk management.</li> <li>• FSA Framework Agreement. 9.1. 9.2.10.1.21.1. 21.2.</li> <li>• Animal Health and Welfare Framework. 4. Education and advice to maximize compliance. 4.1. Better practice. 4.2. Better practice.</li> <li>• Audit Commission KLOE TS &amp; EH Question 2. Access, customer care and user and/or community focus.</li> </ul>
3. The Service has plans for, and responds effectively to, specific situations that arise at short notice, such as food hazard notifications, disease outbreaks and sudden widespread consumer risk	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 23.</li> <li>• Animal Health and Welfare Framework. 8. Contingency planning and emergency action. 8.1. Better practice. 8.2. Better practice. 8.3.</li> </ul>

<b>Detailed excellence criteria</b>	<b>Evidence</b>
<p>4. The Service is accountable and makes complaints procedures available to dissatisfied customers and is proactive in responding to complaints, comments or representations</p>	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 44.</li> <li>• HSE Standard for Enforcing Authorities – do it right (enforcement policy) – complaints.</li> <li>• FSA Framework Agreement. 17.1. 17.2. 17.3.</li> </ul>
<p>5. Users of services and anyone that has participated in any part of service provision or policy making are kept informed and up-to-date with progress</p>	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 20.</li> <li>• Audit Commission KLOE TS &amp; EH Question 2. Access, customer care and user and/or community focus.</li> </ul>

### Criterion 3.1 – Effective resource and partnership management

Detailed excellence criteria	Evidence
<p>1. The Service manages its finances effectively, has appropriate internal controls, and ensures that comprehensive financial information is available to assist in managing budgets</p>	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 7. 8.</li> <li>• HSE Standard for Enforcing Authorities – make it happen (systems and infrastructure) – capacity.</li> <li>• FSA Framework Agreement. 6.1.</li> <li>• Audit Commission KLOE TS &amp; EH Question 4. What is the service track record in delivering improvement – 4.4.</li> <li>• Audit Commission KLOE TS &amp; EH Question 5. How well does the service manage performance – 5.1.3.</li> <li>• Audit Commission KLOE TS &amp; EH Question 6. Does the service have the capacity to improve – 6.2.</li> <li>• Audit Commission Use of Resources Framework. 1.2. 2.4.</li> <li>• CIPFA Statistics</li> </ul>
<p>2. The Service identifies and uses suppliers of goods and services in a way that maximises quality, value for money and sustainability</p>	<ul style="list-style-type: none"> <li>• FSA Framework Agreement. 12.8.</li> <li>• Audit Commission KLOE TS &amp; EH Question 6. Does the service have the capacity to improve – 6.3.</li> <li>• Audit Commission Use of Resources Framework. 2.1.</li> </ul>
<p>3. The Service uses information and ICT effectively in service preparation and delivery</p>	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 13. 14. 16. 17. 22.</li> <li>• HSE Standard for Enforcing Authorities – make it happen (systems and infrastructure) – information systems.</li> <li>• FSA Framework Agreement. 6.4. 7.5. 11.1. 11.2. 13.3. 14.2. 14.3. 16.1. 16.2.</li> <li>• Animal Health and Welfare Framework. 7. Post enforcement reporting and AMES data entry activities. 7.1. Better practice.</li> <li>• Audit Commission Use of Resources Framework. 2.2.</li> </ul>

Detailed excellence criteria	Evidence
4. Resources are used effectively in service provision	<ul style="list-style-type: none"> <li>• FSA Framework Agreement. 6.2.</li> <li>• Audit Commission KLOE TS &amp; EH Question 6. Does the service have the capacity to improve – 6.4.</li> <li>• CIPFA Statistics</li> </ul>
5. The Service uses effective formal partnership working	<ul style="list-style-type: none"> <li>• HSE Standard for Enforcing Authorities – work together (partnership) – work in partnership.</li> <li>• FSA Framework Agreement. 18.1. 18.2.</li> <li>• OFT/LACORS Protocol for requests for case referral, case support and training and investigation cooperation to the Office of Fair Trading. 7. 8. 9.</li> <li>• Audit Commission KLOE TS &amp; EH Question 2. Access, customer care and user and/or community focus. Service outcomes for users and the community.</li> <li>• Audit Commission KLOE TS &amp; EH Question 6. Does the service have the capacity to improve – 6.4.</li> <li>• LACORS/CIEH Collaborative Councils: Guidance on partnership working in regulatory services</li> </ul>
6. Innovative ways of delivering services are considered and used appropriately	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 19. 37.</li> <li>• LACORS/CIEH Collaborative Councils: Guidance on partnership working in regulatory services.</li> <li>• Audit Commission KLOE TS &amp; EH Question 6. Does the service have the capacity to improve – 6.4.</li> </ul>

### Criterion 3.2 – Activities are based on a sound understanding of risk and use of intelligence

Detailed excellence criteria	Evidence
<p>1. Risk-based regulation is embedded in every level of decision-making</p>	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 24.</li> <li>• HSE Standard for Enforcing Authorities – make it happen (systems and infrastructure) – targeting interventions.</li> <li>• FSA Framework Agreement. 7.1.12.1.</li> <li>• Animal Health and Welfare Framework. 1. Planning the Delivery of the Local Authority Animal Health and Welfare Function. 1.3. Good practice.</li> <li>• LBRO World Class Local Authority Regulatory Services Common Risk Assessment Framework.</li> <li>• Audit Commission KLOE TS &amp; EH Question 2. Access, customer care and user and/or community focus. Service outcomes for users and the community.</li> <li>• Audit Commission Use of Resources Framework. 2.4.</li> </ul>
<p>2. The Service manages its processes in a systematic way, so that people understand what they need to do and how and when it should be done.</p>	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 18. 25. 26. 28.</li> <li>• FSA Framework Agreement. 4.2. 7.2. 8.2. 12.6.</li> <li>• Animal Health and Welfare Framework. 3. Licensing Activities. 3.1. Better practice.</li> <li>• Animal Health and Welfare Framework. 5 Enforcement activities to maximize Animal Health and Welfare compliance. 5.1. Better practice. 5.2. Good practice. 5.3. Better practice. 5.4. Better practice. 5.5. Better practice. 5.6. Better practice. 5.7. Good practice. 5.8. Good practice. 5.9. 5.10. Good practice. 5.11. Good practice.</li> <li>• OFT/LACORS Protocol for requests for case referral, case support and training and investigation cooperation to the Office of Fair Trading. 11. 12.</li> <li>• Audit Commission KLOE TS &amp; EH Question 2. Access, customer care and user and/or community focus.</li> </ul>

Detailed excellence criteria	Evidence
<p>3. The Service takes a proportionate approach to dealing with regulatory non-compliance and makes decisions about enforcement and sanctioning activities that are transparent and focused on delivering regulatory compliance.</p>	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 31. 32.</li> <li>• HSE Standard for Enforcing Authorities – do it right (enforcement policy) – enforcement policy, enforcement decisions.</li> <li>• FSA Framework Agreement. 7.3. 8.3. 12.2. 12.7. 15.1. 15.3. 15.4</li> <li>• OFT/LACORS Protocol for requests for case referral, case support and training and investigation cooperation to the Office of Fair Trading. 14.</li> <li>• Audit Commission KLOE TS &amp; EH Question 2. Access, customer care and user and/or community focus.</li> <li>• CIPFA Statistics</li> </ul>
<p>4. The Service ensures that it is consistent and fair in its dealing with businesses</p>	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 21.</li> <li>• FSA Framework Agreement. 9.3. 9.4. 9.5. 9.6. 9.7.</li> </ul>
<p>5. The Service is effective in the use and sharing of intelligence</p>	<ul style="list-style-type: none"> <li>• Animal Health and Welfare Framework. 6 Reactive and intelligence driven enforcement. 6.1. 6.2. Good practice. 6.3. 6.4. Better practice.</li> <li>• OFT/LACORS Protocol for requests for case referral, case support and training and investigation cooperation to the Office of Fair Trading. Operation of the National Intelligence Model.</li> <li>• Audit Commission KLOE TS &amp; EH Question 2. Service outcomes for users and the community.</li> </ul>

### Criterion 3.3 – Learning and supportive culture

Detailed excellence criteria	Evidence
1. The Service ensures it has a competent and qualified workforce	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 2. 3. 4.</li> <li>• HSE Standard for Enforcing Authorities – make it happen (systems and infrastructure) – competent inspectorate.</li> <li>• FSA Framework Agreement. 5.2. 5.4. 5.5.</li> <li>• Animal Health and Welfare Framework. 2. Training and Development. 2.1. Better practice.</li> <li>• OFT/LACORS Protocol for requests for case referral, case support and training and investigation cooperation to the Office of Fair Trading. 10.</li> <li>• LBRO World Class Local Authority Regulatory Services Common Competency Framework.</li> <li>• Audit Commission KLOE TS &amp; EH Question 2. Service outcomes for users and the community.</li> </ul>
2. There is a learning culture and people work well together	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 39.</li> </ul>
3. Human resources are planned, managed and improved	<ul style="list-style-type: none"> <li>• FSA Framework Agreement. 5.1.</li> <li>• Audit Commission KLOE TS &amp; EH Question 6. Does the service have the capacity to improve – 6.2.</li> <li>• Audit Commission Use of Resources Framework. 3.3.</li> </ul>
4. People are involved, empowered, recognised and cared for	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 1.</li> <li>• Audit Commission KLOE TS &amp; EH Question 2. Service outcomes for users and the community.</li> </ul>
5. Internal communication is effective	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 5.</li> </ul>

### Criterion 4.1 – Delivering sustainable outcomes

Detailed excellence criteria	Evidence
<p>1. Desired outcomes for the Service are agreed, corporately owned, and reflect national, regional and local needs and priorities</p>	<ul style="list-style-type: none"> <li>• National Indicator 182 Satisfaction of businesses with local authority regulatory services</li> <li>• National Indicator 183 Impact of local authority regulatory services on the fair trading environment</li> <li>• National Indicator 184 Food establishments in the area which are broadly compliant with food hygiene law</li> <li>• National Indicator 190 Achievement in meeting standards for the control system for animal health</li> <li>• National Indicator 194 Level of air quality</li> <li>• National indicator 196 Improved street and environment cleanliness (fly tipping)</li> <li>• PPN/001 Planning and Regulatory Services - Public Protection</li> <li>• PPN/004 Planning and Regulatory Services - Public Protection</li> <li>• PPN/007 Planning and Regulatory Services - Public Protection</li> <li>• PPN/008 Planning and Regulatory Services - Public Protection</li> <li>• STS/007 Environment and Transport - Street Scene</li> <li>• Audit Commission KLOE TS &amp; EH Question 2. Access, customer care and user and/or community focus. Service outcomes for users and the community.</li> </ul>
<p>2. Performance against outcome targets/KPI's is routinely monitored, measured and reported on</p>	<ul style="list-style-type: none"> <li>• Performance data collected by central bodies (awaiting final data collection map from CIPFA).</li> <li>• Audit Commission KLOE TS &amp; EH Question 2. Service outcomes for users and the community.</li> <li>• Audit Commission KLOE TS &amp; EH Question 4. What is the service track record in delivering improvement – 4.3.</li> <li>• LBRO Impact and Outcomes Toolkit</li> </ul>
<p>3. The Service anticipates and deals with changes in legislation and other circumstances that impact on service provision</p>	
<p>4. The Service understands its environmental, economic and social impact and takes steps to improve it</p>	<ul style="list-style-type: none"> <li>• Audit Commission Use of Resources Framework. 3.1.</li> </ul>

## Criterion 4.2 – Performance management

Detailed excellence criteria	Evidence
1. The Service recognises the importance of performance management and gives it sufficient priority and resources	<ul style="list-style-type: none"> <li>• HSE Standard for Enforcing Authorities – make it happen (systems and infrastructure) – performance management</li> <li>• Audit Commission KLOE TS &amp; EH Question 5. How well does the service manage performance – 5.2.2. 5.2.3.</li> <li>• Audit Commission KLOE TS &amp; EH Question 6. Does the service have the capacity to improve – 6.1.</li> <li>•</li> </ul>
2. The Service has a clear performance management framework that integrates objectives, finance, people and ICT	<ul style="list-style-type: none"> <li>• FSA Framework Agreement. 19.1.</li> </ul>
3. There is a shared and accurate understanding of how the Service is performing and the critical success factors are known and understood.	<ul style="list-style-type: none"> <li>• FSA Framework Agreement. 3.2. 19.2. 19.3.</li> <li>• LBRO Impact and Outcomes Toolkit</li> </ul>
4. The Service effectively appraises the performance of all people, and develops their performance with a system that links to local and corporate objectives	

### Criterion 4.3 – Review and scrutiny for continuous improvement

Detailed excellence criteria	Evidence
1. There are effective scrutiny arrangements in place	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 36.</li> <li>• Audit Commission Use of Resources Framework. 2.3.</li> </ul>
2. A variety of methods are used to identify how the Service can improve	<ul style="list-style-type: none"> <li>• DEFRA Pollution Prevention and Control Good Practice Checklist. 6. 35. 38.</li> <li>• FSA Framework Agreement. 3.3. 20.1. 20.2.</li> <li>• Audit Commission KLOE TS &amp; EH Question 5. How well does the service manage performance – 5.2.4.</li> </ul>
3. The Service is committed to, and achieves, performance improvement	<ul style="list-style-type: none"> <li>• Audit Commission KLOE TS &amp; EH Question 4. What is the service track record in delivering improvement – 4.2.</li> </ul>
4. Change is managed effectively	<ul style="list-style-type: none"> <li>• Audit Commission KLOE TS &amp; EH Question 4. What is the service track record in delivering improvement – 4.1.</li> </ul>