



TRADING STANDARDS

2009 - 2010
Work Plan

Key Targets

The annual work programme is part of an ongoing review that has led to a change in policy with greater balance placed on a number of competing priorities as detailed below, including a programme of risk based inspections of trade premises and joint compliance visits during 2009/2010. The work programme also takes account of the corporate strategies of both councils and addresses the national agenda as well as the concerns of local consumers and businesses.

For 2009/2010, the Service will produce 12,600 units of output work for Harrow and 14,700 units for Brent: - a total of 27,300 units. Both borough totals reflect a full establishment based on a complement of 31 FTE staff.

The main activities of the Service are based on units of work set out in the table on the following page. Each unit equates to 1 hour's work and each day equates to 7 units. Based on 260 working days that are available during the year –

- Less - 8 days bank holidays
- Less - 30 days annual leave
- Less - 6 days briefing sessions
- Less - 4 days training
- Less - 12 days meetings

A total of 200 days @ 7 hrs per day = 1400 hrs for enforcement work is available per officer per year. Each Enforcement Officer is therefore expected to produce a minimum of 1400 units of work per annum. Each Assistant Enforcement Officer is expected to contribute 700 units of work to their respective team's targets.

Inspections of trade premises are carried out in line with the 'Hampton Principle', namely, "*No inspection should take place without a reason*". This purpose behind this principle is to reduce burden on businesses by conducting inspections based on risk and, whenever possible, by making joint visits with other regulators. A Statutory Code of Practice for Regulators has been published by the Department for Business Enterprise & Regulatory Reform and every local authority is expected to abide by this code.

Based on the above, our aim is to inspect all high risk premises, visits to medium and low risk premises will not be made unless they are the subject of a complaint or part of a project that the Service is conducting. At 3rd March 2008, there were 9764 premises in the consortium area liable for inspection, of these 245 (2.5%) are high-risk premises.

	Total number of premises	High Risk	Medium Risk	Low Risk
Brent	5787 (59.3 %)	137	2732	2905
Harrow	3977 (40.7 %)	108	2038	1816
Consortium	9764	245 (2.5%)	4770 (48.9%)	4721 (48.4%)

Allocation of units for different activities

Activity	Number of units
Requests for action (criminal) completed	3.5
Requests for action (non criminal) completed	1
Civil Investigations	6.5
Trader Enquiries (including HA work)	5.25
Enterprise Act investigations	> 40 (depending on complexity)
Announced Primary High Risk Inspections	3
Announced Primary Medium Risk Inspections	2
Announced Primary Low Risk Inspections	0.5
Announced Secondary High Risk Inspections	1.5
Announced Secondary Medium Risk Inspections	1
Test Purchase Visits	3
Home Authority Referrals	1.75
Average Quantity Visits	5.25
Criminal reports of Infringement	> 7 (depending on complexity)
Financial Investigations under Proceeds of Crime	> 40 (depending on complexity)
Civil reports and action	> 10 (depending on complexity)
Prosecutions completed (Magistrates Court)	35
Prosecutions completed (Crown Court)	70
Simple Cautions	7
Letters of Warning	2
Projects completed	> 20 (depending on complexity)
Approved Trader Scheme audits	3.5
Verification Visits	3.5
Multi-agency Operations	21
Rapid response actions	14
Mileage checks (each car)	2
Web sites (per check)	2
Exhibitions & Displays	14
Electric Blanket Safety Work	126 (91-H 2days, 35-B 1day)
Child Car Seat Safety Work	84 (42 – 1 day in each Borough)
Talks to external Bodies/Organisations	3.5
Press Releases issued	2

Harrow Enforcement Team 2009/2010

The following staff contribute directly to Harrow's work:-

Assistant Head of Service (0.5)

- Team Leader (Metrology and Safety)
 - 2 x (Senior) Enforcement Officer
 - Assistant Enforcement Officer (0.5)
- Team Leader (Fair Trading)
 - 2 x (Senior) Enforcement Officer
 - Assistant Enforcement Officer (0.5)
- Financial Investigator (0.5)
- Civil Advisor

	<u>Planned</u>	<u>Units</u>
Requests for action (criminal)	960	3360
Requests for action (non criminal)	210	210
Civil Investigations	80	520
Trader Enquiries (including HA work)	75	393.75
Enterprise Act Investigations	2	120
Announced Primary High Risk Insp.	108	324
Announced Primary Medium Risk Insp	120	240
Announced Primary Low Risk Insp	72	36
Announced Secondary High Risk Inspections	10	15
Announced Secondary Medium Risk Inspections	24	24
Test Purchase Visits	200	600
Home Authority Referrals	84	147
Average Quantity Visits	15	78.75
Criminal Reports of Infringement	54	3510
Financial Investigations under Proceeds of Crime	5	350
Civil Reports and Action	4	96
Prosecutions completed	27	1260
Simple Cautions	10	70
Letters of Warning	10	20
Projects completed	2	60
Approved Trader Scheme audits	165	577.5
Verification Visits	8	28
Multi-Agency Operations	6	126
Rapid response actions	6	84
Mileage checks (each car)	30	60
Web sites (per check)	10	20
Exhibitions & Displays	6	84
Electric Blanket Safety Work	2 days	91
Child Car Seat Safety Work	1 day	42
Talks to external Bodies/Organisations	6	21
Press Releases issued	16	32
	Total	12,600

Brent Enforcement Team 2009/2010

The following staff contribute directly to Brent's work:-

Assistant Head of Service (0.5)

- Team Leader (Metrology and Safety)
 - 2.5 x (Senior) Enforcement Officer
 - Assistant Enforcement Officer (0.5)
- Team Leader (Fair Trading)
 - 3 x (Senior) Enforcement Officer
 - Assistant Enforcement Officer (0.5)
- Financial Investigator (0.5)
- Civil Advisor

	<u>Planned</u>	<u>Units</u>
Requests for action (criminal)	1100	3850
Requests for action (non criminal)	240	240
Civil Investigations	90	585
Trader Enquiries (including HA work)	78	409.5
Enterprise Act Investigations	2	120
Announced Primary High Risk Insp.	137	411
Announced Primary Medium Risk Insp	120	240
Announced Primary Low Risk Insp	46	23
Announced Secondary High Risk Inspections	6	9
Announced Secondary Medium Risk Inspections	20	20
Test Purchase Visits	200	600
Home Authority Referrals	240	420
Average Quantity Visits	20	105
Criminal Reports of Infringement	65	4225
Financial investigations under Proceeds of Crime	5	350
Civil Reports and Action	4	96
Prosecutions completed	36	1680
Simple Cautions	10	70
Letters of Warning	10	20
Projects completed	2	60
Approved Trader Scheme audits	165	577.5
Verification Visits	10	35
Multi-Agency Operations	6	126
Rapid response actions	6	84
Mileage checks (each car)	45	90
Web sites (per check)	16	32
Exhibition and displays	6	84
Electric Blanket Safety Work	1 day	35
Child Car Seat Safety Work	1 day	42
Talks to external Bodies/Organisations	6	21
Press releases issued	20	40
	Total	14,700

Infringement Reports

The units allocated for infringement reports are based on the complexity of the investigation, both in terms of legislation being enforced and length of time taken to fully investigate/report each individual case (as shown below).

<u>Category</u>	<u>Time taken for investigation (in days)</u>	<u>Minimum number of units</u>
0	1	7
1	2.5	17.5
2	5	35
3	7.5	52.5
4	10	70
5	15	105
6	> 16	@ 7 units per day

The criteria for assessing each category is detailed below:-

Category 0

Very brief report, unlikely to involve an interview. No other witnesses and resulting in no further action or a letter of warning.

Category 1

Very few background enquiries required small amounts of correspondence (largely standard letters), few difficulties encountered, straight-forward and routine, investigation usually completed the same day. Investigation does not normally involve outside witnesses. Straight-forward interview.

Category 2

Usually one or two non-Trading Standards witnesses. Some research and correspondence may be required. May involve seized or purchased evidence. Evidence straightforward to catalogue and analyse. Minor difficulties may be encountered during investigation. A simple supply chain may be documented and records usually one step back from the retailer. Usually one taped interview. Does not require substantial resources of officer time.

Category 3

Will contain the elements of a category 2 report plus one element from the criteria listed under category 4.

Category 4

- a) This level of investigation will contain the elements of a category 2 report plus at least two of the following elements:-

- b) large teams of officers necessary over a shorter time scale or smaller teams of officers spending significant amounts of time on background enquiries or observations.
- c) Interviews - multiple interviews requiring preparation or single interview of an extremely complex and demanding nature.
- d) Statements - several witness statements from non Trading Standards Officers required.
- e) Evidence - large quantities of evidence involved or smaller quantities of evidence of a diverse nature requiring considerable analysis.
- f) Report - large and complicated report required to fully explain the investigation and the nature of the offences.
- g) Other enquiries - significant problems encountered during investigation, large amount of non standard correspondence required (for example solicitor's letters). High profile investigation attracting media attention during the investigative process. Major financial impact (e.g. goods seized of high value, suspension notice especially of high value items).

Category 5

This level of investigation will contain the elements of a category 2 report plus at least three elements from the list under category 4.

Category 6

Will contain the elements of a category 2 report plus at least four elements from the list under category 4 including criterion (a).

Notes for Guidance

- 1 All work must be meaningful and necessary.
- 2 Officers should make it clear in their reports what work they have carried out.
- 3 Recognition will be deducted for work which is not completed to a satisfactory standard or that which is put in late (without good reason), so as to leave the Department open to criticism for "abuse of process".
- 4 Recognition will not be awarded in lieu of work which has not yet been completed

*Each Average Quantity visit to an importer/packer will be on the basis that the following is carried out:-

- a) The metrology control system is inspected, and
- b) Records and documents are checked, and
- c) Reference tests are carried out on a random sampling basis in accordance with the Packaged Goods Regulations, and
- d) "Code of Practice Guidance" advice is given, and
- e) Details of the above are recorded on an Average Quantity inspection form.

Enforcement Priorities

The grid below shows how the Service prioritises its work, based on the hazard that a particular type of trading activity poses to the local community and the impact that the activity will have on the local consumers. Therefore, the bigger the hazard and impact, the more resource this Service will put into combating this type of crime. Conversely, certain types of legislation, if not complied with, have very little detrimental effect on the community at large with little or no hazard or impact, and therefore fewer resources are committed. However, all complaints concerning breaches of the law are investigated and vulnerable customers are treated as a higher priority.

