

Primary Authority & Trading Law

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Stores Limited

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ASDA
SAVING YOU MONEY EVERY DAY

Why Primary Authority?

- LOPP, HA, Lead Authority
- Uniformity and consistency, avoids duplication
- Single point of contact & advice
- National perspective
- More efficient for business & regulators
- Focus resource on key issues
- Releases resources to direct elsewhere

How to choose a partner

- Local and Historical connection
- Good working relationship
- Competence and commitment
- Long term commitment



How to make it work

- Trust and transparency
- Regular meetings
- Standard agenda
- Sharing management information
- Focus on key issues

What are the challenges?

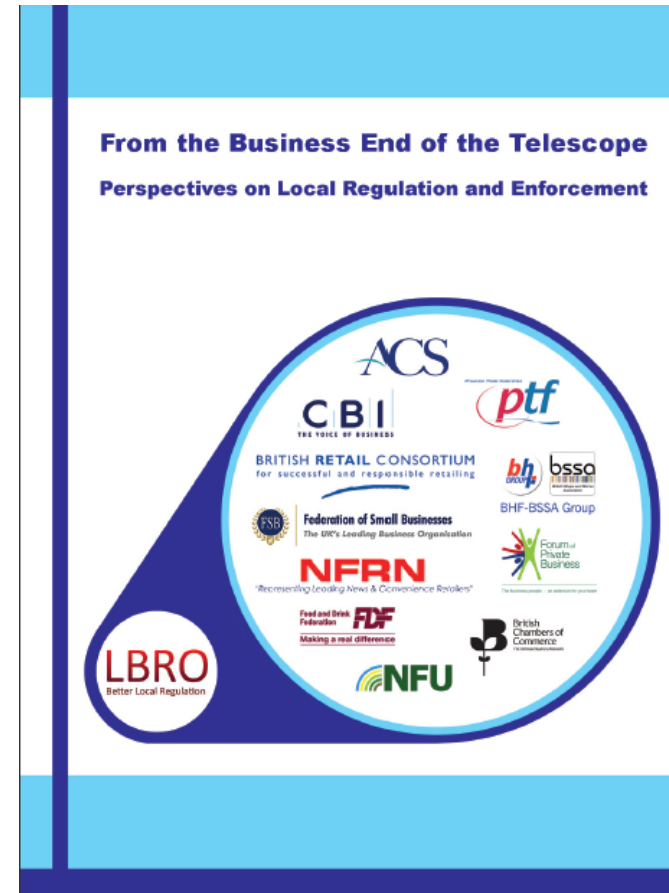
- Cost
- Time
- Devolution
- Scope

What our PA has achieved so far

- Consolidation of paperwork
- Agreement on priority policies and procedures
- Draft inspection plan
- Internal and external audit programme
- Independent review
- Strategic / business plans

The future of legal compliance

- Primary Authority
- Earned recognition
- Reduced regulatory burdens

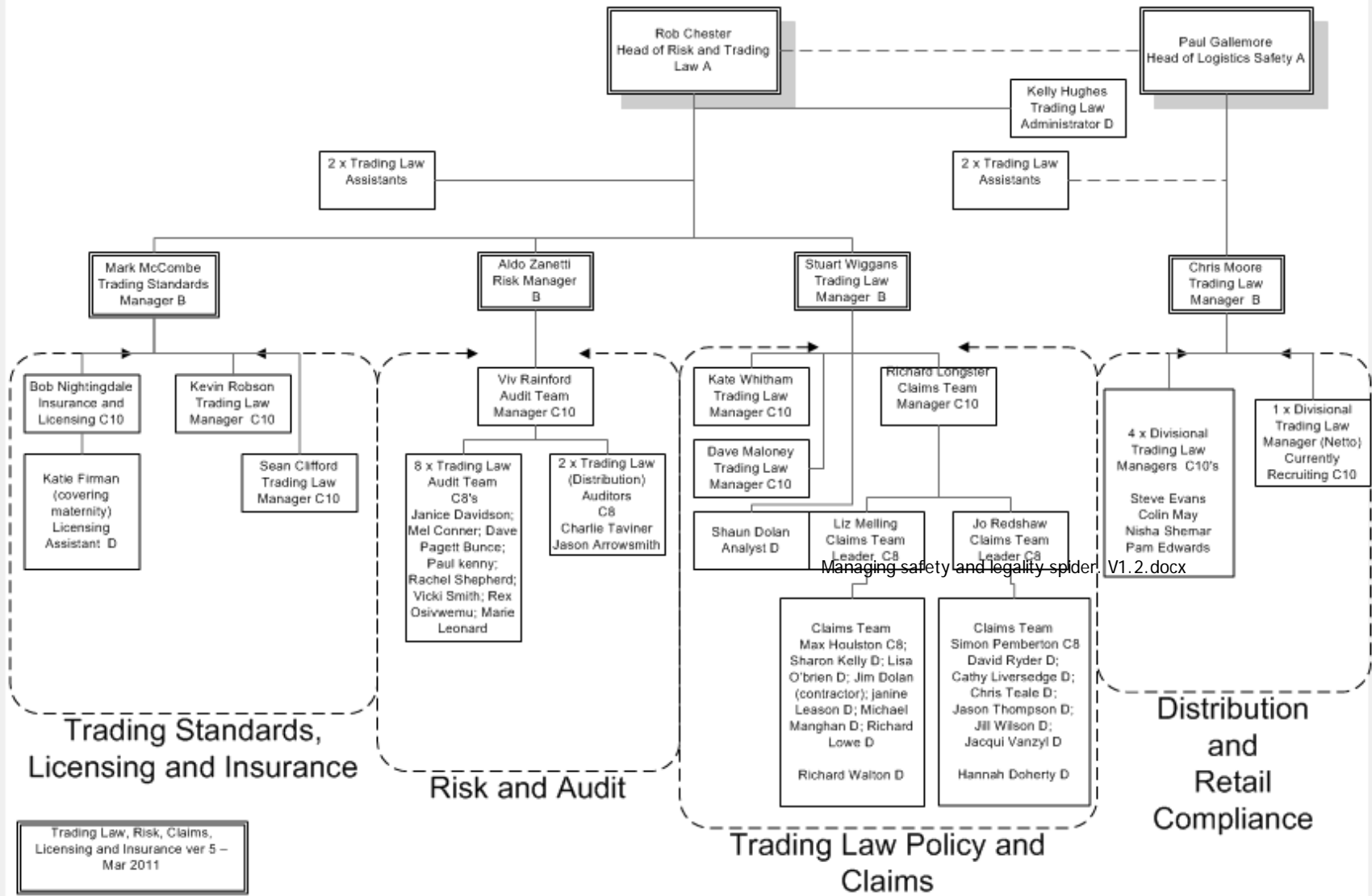


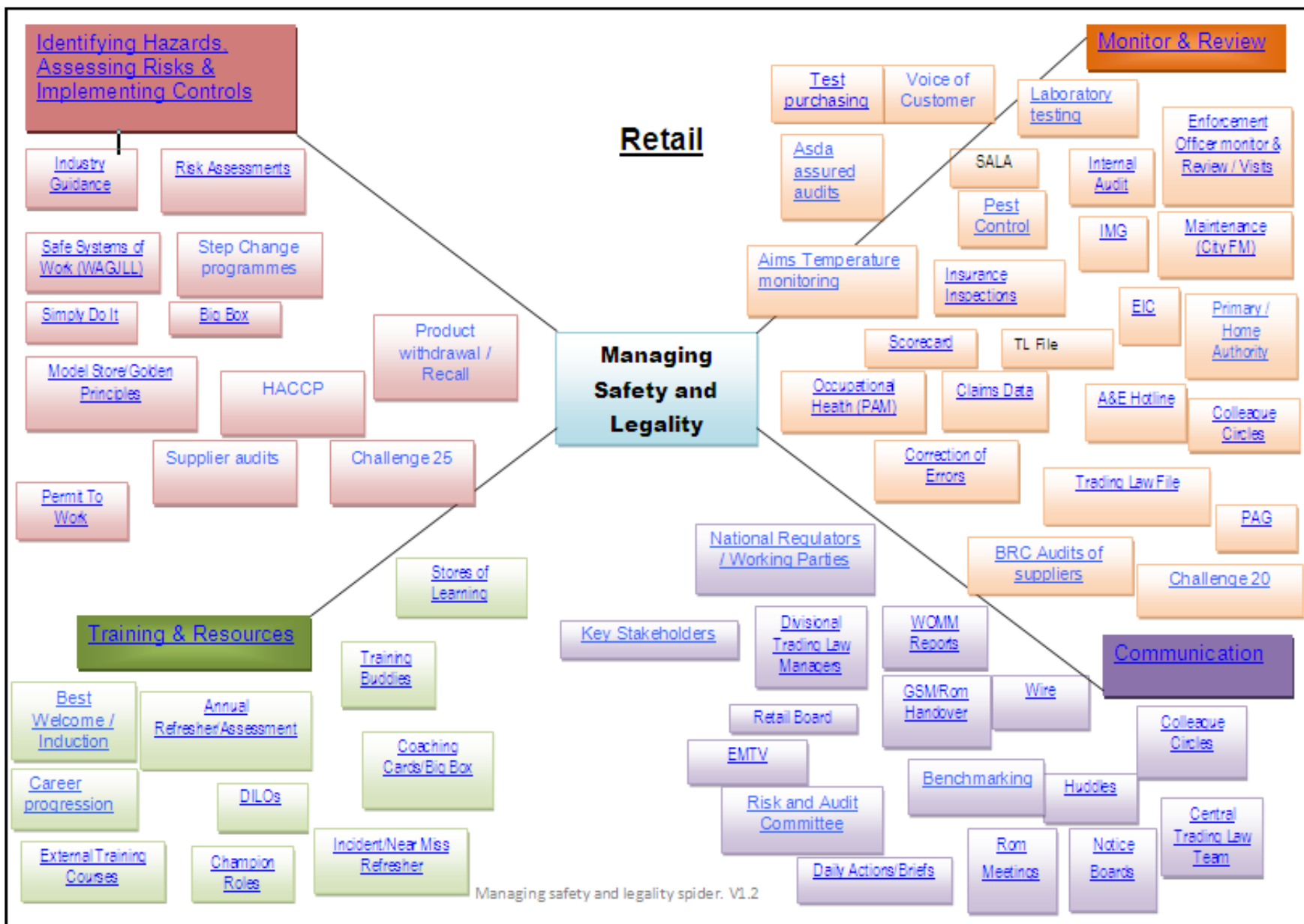
PA or Not PA – that is the question

- Local Authority
 - Support localism – support local business and prosperity
 - Future of enforcement
 - Raise profile in community
 - More proportionate decision making
 - Able to give authoritative advice & ensure consistency
 - Improved efficiency and effectiveness through better information & targeting of interventions
- Business
 - Local authority support and guidance
 - Independence
 - Builds trust and transparency with the enforcing community
 - Reduction in risks to the business
 - Reduced costs of achieving compliance & dealing with compliance failure

Better regulation = WIN - WIN

Trading Law, Risk, Claims, Licensing and Insurance Department





Managing safety and legality spider. V1.2

Day In the Life Of – Central Trading Law Manager

- There is no typical day!
- Work with other departments
- Advise on initiatives
- Sit on approval panels
- Review policy and process

Day In the Life Of – Central Trading Law Manager

- Analyse data
- Deep dive into priority areas
- Set focus weeks for store
- Amend risk assessments/forms/policies/training to reflect updates
- Meet with Home/Lead/Primary Authorities

Day In the Life Of – Central Trading Law Manager

- Key areas for action
- Legal requirements
- Business requirements
- Solutions
- Best method
- Launch and review

Day In the Life Of –Divisional Trading Law Manager

- My car is my home!
- Everyday is different – beauty of the role
- Responsible for 100 stores
- Remit; EH, TS, Fire, Licensing, Petrol
- ‘Eyes and ears’ for central team

Day In the Life Of –Divisional Trading Law Manager

- Help step on compliance in stores
- Investigate serious incidents / accidents
 - Problem solving and solution finding
- Welcome committees – new store visits
- Train GSMs monthly

Day In the Life Of –Divisional Trading Law Manager

- SALA audits
 - Coach, support auditors
- Mentor students
- Compile reports for Directors and ROMs
- Review reports – pests, RIDDORs

And much much more.....

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Questions

Thank you