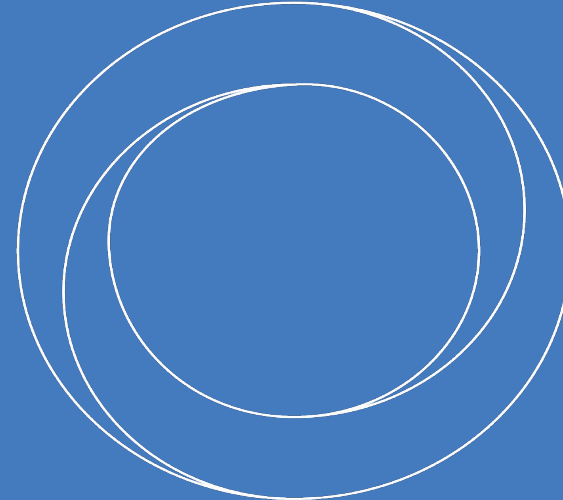




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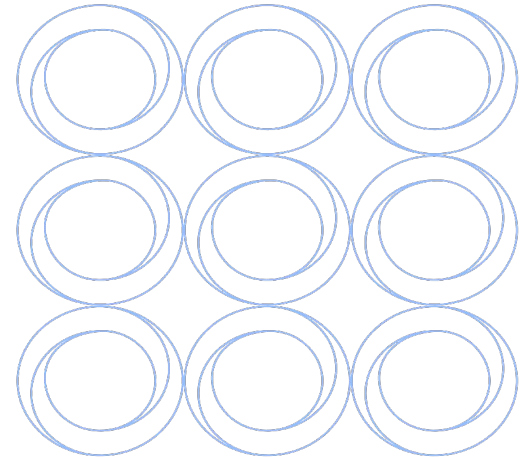
Commercial Continuous Improvement Assessment Framework (CCIAF) Peer Review Guidance

Strategy Assurance and Standards

**Approved by: Sarah Croll
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Version 2.2**



- The Purpose of Peer Review
- Peer Review Overview in CCIAF
- Why Peer Review is Important
- Stages of Peer Review
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The Purpose of Peer Review

Peer review:

- ✓ Helps **Maintain Quality**
- ✓ **Ensures the Validity** of Self-Assessments
- ✓ **Enhances Credibility**
- ✓ **Fosters Improvement** and **Encourages Networking**.

Overall, peer review is a critical process that upholds the standards of the Self-Assessment before it is submitted to Cabinet Office.



Peer Review Overview in CCIAF

- Peer Review is **a process used to evaluate and validate the work of another organisation**, this is carried out on the Online Scoring Tool
- The review happens **before the final submission of the Self-Assessment**
- In Peer Review, an organisation's Self-Assessment is subjected to **impartial evaluation by another participant** within the same cohort
- The Peer Reviewer **provides feedback to the organisation** against each Criteria, offering unbiased opinion **to stimulate further interrogation** of proposed attainment levels
- The process serves as **a gatekeeper for quality and credibility and maintains standards**
- Peer review is only conducted at the time of a **full CCIAF Self Assessment**



Why Peer Review is Important

- ✓ **Quality Control:** submissions undergo evaluation by other professionals; helping to identify errors, inconsistencies or areas for improvement
- ✓ **Validation:** validates the accuracy and credibility of submissions, increasing confidence in the results and conclusions; ensuring only suitable practices contribute to the results of the final submission
- ✓ **Prevents Bias:** involves impartial input, reducing likelihood of biased or unfounded claims
- ✓ **Advancement of Knowledge:** encourages a reciprocal knowledge exchange between reviewers and authors, leading to constructive dialogue between parties
- ✓ **Cross Pollination:** feedback and suggestions help organisations improve their work, promoting continuous learning through engagement and refinement of operations from other organisations
- ✓ **Critical Friend:** fosters cross-organisation dialogue which establishes professional relationships; leading to valuable collaborations, connections, partnerships and strategic alliances



Stages of Peer Review

1. **Matching:** CO will do a 3-way matching within the cohort - this model is a tripartite peer review matching process (guidance in appendix)
2. **Submission to Peer Reviewer:** organisations offer their Self-Assessment up for Peer Review
3. **Review and Evaluation:** reviewers assess the proposed attainment level against the commentary and substantiating evidence provided and give an impartial assessment on each criteria
4. **Decision Making:** based on the reviewer's feedback, the organisation carries out internal governance and makes an informed decision about the acceptance, revision or rejection of the feedback prior to final submission
5. **Final Submission to Cabinet Office:** once the organisation has satisfied themselves that they have the final rendition of their Self-Assessment, they submit their assessment via the online portal.



The Peer Reviewer Obligations

- ✓ **Objectivity:** must provide unbiased and impartial evaluations
- ✓ **Confidentiality:** treat documentation and commentary as confidential and refrain from discussing or sharing details with others without permission
- ✓ **Constructive Feedback:** offer constructive criticism, highlighting strengths and suggested improvements to enhance the quality of the Self-Assessment
- ✓ **Timeliness:** complete their evaluations within the designated time frame to allow timely submission
- ✓ **Expertise:** have relevant experience in the subject area, to make a meaningful and informed assessment
- ✓ **Communication:** agree a method of communication and ensure there is a clear understanding of the feedback and communicate the finding appropriately
- ✓ **Respectful Conduct:** maintain respectful tone when interacting with the organisation, promoting a conducive and collaborative environment



The Peer Reviewer/ Self-Assessment Organisation Relationship

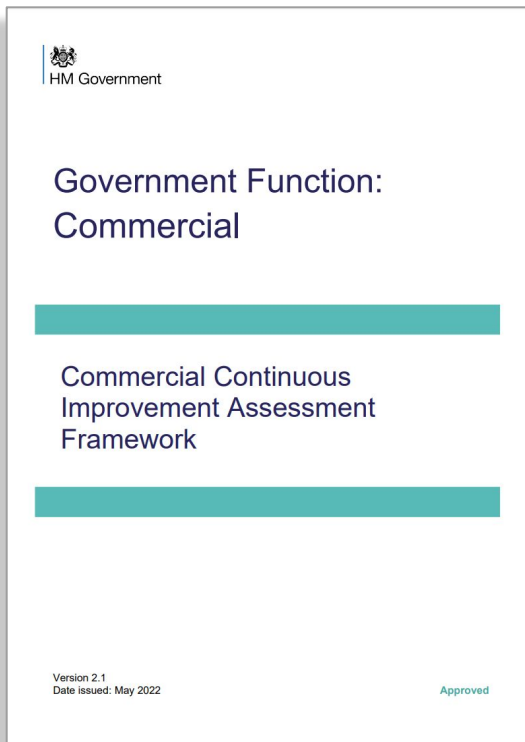
The peer review process is **an opportunity to foster relationships** between different organisations and **to share learning and experience**. The type of relationship fostered between the peer reviewer and contracting authority is not prescriptive and is decided on between the individual parties involved.

It is recommended however that it includes as a minimum:

- The peer reviewer **making initial contact** (once appointed) with the contracting authority to confirm the review will be undertaken in the timescales set out for the cohort.
- **Agreement between parties** on how the peer reviewer can attain clarification on the self-assessment (for example is this to be done by email to a nominated individual/through a Teams meeting etc).
- A **meeting between the parties** for the peer reviewer **to feedback their findings** before they submit their recommendation report.

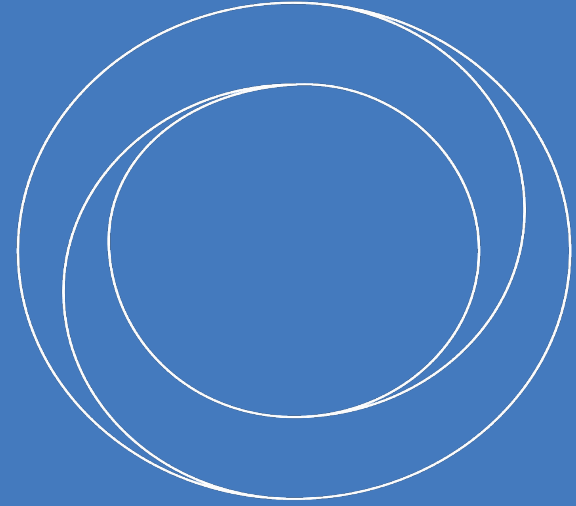


Completing a Peer Review



- A peer reviewer should **review each response** the contracting authority has given to each criteria and **examine the evidence*** they have provided to **ensure the attainment level they have selected is an accurate reflection** of the functions level of maturity.
- Use of both **the Guidance document** (which provides more detail on each theme and criteria) together with the appendices of this document that **gives examples of types of evidence** to look for should be used to support the peer reviewer.
- The peer reviewer should **take notes** where they believe the awarded score is not reflective (either higher or lower). This should then be **shared with the contracting authority** who will amend the score or further clarify.

**suggested examples of evidence can be found in the appendices to this document*



Appendices:

- **Tripartite peer review matching process**
- **Examples of required evidence**
- **New ways of working, Peer Review Process**



Tripartite peer review matching process guidance

A tripartite peer review matching process is a system where three participants review each other's self assessment without reviewing each other. This process is often used to maintain objectivity and reduce potential conflicts of interest. Here's a step-by-step explanation:

Participant A, B, and C: In this process, there are three participants, labeled as A, B, and C. Each of them will have their assessment that needs peer review.

Initial matching: To start, CO uses the CCIAF system and assigns each participant a reviewer from the cohort. For example, A reviews B's self assessment, B reviews C's self assessment, and C reviews A's self assessment.

Reviewers Don't Review Each Other: Crucially, in a tripartite peer review, A does not review C's self assessment, B does not review A's self assessment, and C does not review B's self assessment. This arrangement prevents any potential conflicts of interest or bias that might arise if participants were to review each other.



Tripartite peer review matching process guidance

Review and Feedback: Each reviewer carefully evaluates the self assessment based on predefined criteria, provides a score, also provides constructive feedback, comments, and recommendations for improvement.

Feedback: After the reviews are complete, the feedback is shared with the contracting authority. This is an opportunity to discuss your assessment in detail.

A receives feedback from B

B receives feedback from C

C receives feedback from A.

Organisation Review: Organisations (A, B, and C) can then use the feedback to make revisions and improvements to their assessment and accept the scores provided by their peer reviewer. They can choose not to accept the score if they believe they have better evidence to back up their score.

Final Submission: The final versions of the self assessment, along with the feedback received and revisions made, are submitted for internal governance and finally submitted to CO.



Theme	Practice Area	Example Evidence
Theme 1. Commercial strategy, planning and governance	Practice Area 1.1: overall commercial strategy and plan	<ul style="list-style-type: none">• Commercial Strategy• Development Plan• Resource Plan• Blueprint• Links to organisation objectives• Annual Review• Communications to commercial teams
	Practice Area 1.2: commercial pipeline and planning	<ul style="list-style-type: none">• Commercial Pipeline• Pipeline reporting system• Contract management strategy• Pipeline publication• Contingency Planning strategy• Collaborative strategy



Theme	Practice Area	Example Evidence
<p>Theme 1. Commercial strategy, planning and governance</p>	<p>Practice Area 1.3: commercial governance and management framework</p>	<ul style="list-style-type: none"> • Commercial Governance Framework • Wider organisational Governance Framework • Standard Operating Procedures • Lines of Defence Assurance • Contract and Supplier segmentation approach • Commercial Risk Management Strategy • Management Information tool • Scheme of delegation • Training plan • Continuous Improvement Plans
	<p>Practice Area 1.4: commercial leadership and senior ownership</p>	<ul style="list-style-type: none"> • Contract Management strategy • Commercial strategy • SRO reporting tools and communication strategy • Benefits realisation reporting documents • Continuous Improvement strategy • Commercial strategy and links to the organisation objectives • Knowledge retention strategy • Contract Handover strategy



Theme	Practice Area	Example Evidence
Theme 2. Commercial Capability and Resourcing	Practice Area 2.1: Improving Commercial Capability	<ul style="list-style-type: none">• Training and Development Plan for the Function• Training and Development plan for commercial and non commercial staff• Evidence of CIPS qualifications or working towards CIPS
	Practice Area 2.2: Commercial Resourcing and Operating Model	<ul style="list-style-type: none">• Commercial Blueprint• Commercial Strategy• CIPS qualification• Succession plan• Knowledge retention strategy
	Practice Area 2.3: Contract Management Competency	<ul style="list-style-type: none">• Contract Management training plan• Evidence of contract managers qualifications



Theme	Practice Area	Example Evidence
Theme 3. Commercial Lifecycle - Define: pre-procurement	Practice Area 3.1: shaping and defining the business need	<ul style="list-style-type: none"> • Procurement handbook • Category and Market Strategies • Minutes from requirements planning sessions • Evidence of Category Experts working with external groups, strategies should demonstrate inclusion of these groups
	Practice Area 3.2: supply market analysis and early market engagement	<ul style="list-style-type: none"> • Category Strategy • Commercial Strategy • Stakeholder mapping tools • Market Engagement Strategy • Pipeline Strategy • Decision Making Triage Process • Market Development Strategies • Collaboration Strategy • Evidence of use of Price Benchmarking Tool
	Practice Area 3.3: developing and analysis commercial options	<ul style="list-style-type: none"> • Procurement Handbook • Category and Market strategies • Evaluation models and techniques • Business case appraisal guidance • Benefits delivery strategy • Benefits reports • Exec Board minutes • Collaborative Procurement Strategy • Systems /Data strategy



Theme	Practice Area	Example Evidence
Theme 4. Commercial Lifecycle - Procure: procurement and contracting	Practice Area 4.1: applying effective contract terms	<ul style="list-style-type: none"> • Procurement Handbook • Tendering process • Contract award process • Contract Management training • CIPS qualifications or equivalent • Defined exit strategy • Continuous improvement plans
	Practice Area 4.2: procurement/commercial activity, bid evaluation and supplier selection	<ul style="list-style-type: none"> • Procurement Handbook • Category Strategy • Financial Modeling Examples • Evaluation Methodology • Outsourcing Reports • Conflict of Interest forms • Supplier due diligence methodology • Supplier financial reporting • Business Continuity Planning • Market Engagement Reports • Lessons Learned documentation • Collaboration Strategy
	Practice Area 4.3: appropriate risk allocation between parties	<ul style="list-style-type: none"> • Procurement Handbook • Risk Management Strategy • Tender evaluation methodology • Pre-contract strategy • Cost-benefit analysis tools • Commercial Strategy • Options appraisal techniques • Market/Supplier Communications strategy • Minutes and Decision making strategy to assure the category/market strategy • KPI documents



Theme	Practice Area	Example Evidence
Theme 5. Commercial lifecycle - Manage: contract management	Practice Area 5.1: contract mobilisation and transition	<ul style="list-style-type: none"> • Contract Management Strategy • Contract management reports • Risk management strategy
	Practice Area 5.2: managing delivery and performance	<ul style="list-style-type: none"> • Business Case • KPI reports • Minutes of Contract performance meetings • Contract Dispute Resolution process • Invoice payment process • Finance process • Supplier Performance Management strategy • Benefits realisation reports • Board reports • Payment Audit Process • Open Book Policy
	Practice Area 5.3: managing contract risk	<ul style="list-style-type: none"> • Risk Management Strategy • Risk Log • Business Continuity plans • Supplier Business continuity plans • Contract management process • Finance process • Payment process • Supplier due diligence • Supplier management process • Risk management strategy • Business Continuity plans • Supplier Business continuity plans



Theme	Practice Area	Example Evidence
Theme 5. Commercial lifecycle - Manage: contract management	Practice Area 5.4: supply chain, inventory management / stock control (NHS Only)	<ul style="list-style-type: none">• Strategy document covering inventory management• Standard Operating Procedures• Stocking sheets• Stock reports
	Practice Area 5.5: supply chain logistics (NHS Only)	<ul style="list-style-type: none">• Receipt and Distribution Standard Operating Procedure(s)• On/off site goods receipting process• Organisations goods inwards policy• Operational logistics model – internal and external• Customer feedback forms and complaints procedures



Theme	Practice Area	Example Evidence
Theme 6. Managing categories, markets, supplier relationships and working with partners	Practice Area 6.1: delivering category and market strategies	<ul style="list-style-type: none">• Category management strategy• Market management strategy• Category management internal reporting process• Market intelligence reports• Price benchmarking tools• Collaborative commercial strategy• Board reports on Category and Market strategies
	Practice Area 6.2: Supplier relationship management and collaborative working in partnership	<ul style="list-style-type: none">• Supplier Segmentation strategy• Strategic Supplier Management Strategy• Reporting process• Performance management strategy• Organisation objectives• Collaboration documentation



Theme	Practice Area	Example Evidence
Theme 7. Commercial systems, reporting and information	Practice Area 7.1: using commercial systems and tools	<ul style="list-style-type: none"> • Commercial systems strategy • Systems training plan • Individual Objectives • Team objectives • Data security strategy • Tendering and Procurement systems in place • Use of contract management systems • Systems integration process • ICS wide systems strategy • Data governance framework • Continuous improvement plans • Data governance framework
	Practice Area 7.2: reporting and utilising commercial intelligence and insights	<ul style="list-style-type: none"> • Commercial reporting framework • Information retention policy • Board reports showing the performance of the function • Spend data reporting tools • Systems strategy • Customer feedback strategy • Commercial reporting strategy
	Practice Area 7.3: data systems and performance management, GS1 and Patient level costing (7.3 for NHS only)	<ul style="list-style-type: none"> • Data & systems strategy • System reports • Key performance Indicators and or service metrics



Theme	Practice Area	Example Evidence
Theme 8. Policy	Practice Area 8.1: Policy awareness and implementation	<ul style="list-style-type: none"> Commercial strategy Communication Strategy Training and development plan Compliance management process Supplier management, contract management and tendering strategy Category Strategy Resource allocation Strategy
	Practice Area 8.2: Social Value	<ul style="list-style-type: none"> Commercial strategy includes social value Tender evaluation methodology Contract management strategy Board reports Training plan
	Practice Area 8.3: Small, Medium Enterprises (SMEs)	<ul style="list-style-type: none"> Market engagement strategy Supplier due diligence Supplier relationship management Category and market management strategy Benchmarking reports Continuous improvement plans
	Practice Area 8.4: Sustainability and Net Zero	<ul style="list-style-type: none"> Targets have been set to improve the handling of waste and the use of water and energy Plans are in place to achieve government-wide sustainability targets within defined timescales before 2030 Comprehensive reporting is in place for achieving Net Zero, Biodiversity Net Gain, water quality and consumption, waste reduction and recycling. (Examples of Reports) Buildings meet the minimum energy efficiency standards (MEES), certification is available / on display (DEC and EPC) and recommendations of DEC advisory reports are being addressed Monitoring is in place to report the actual (operational) energy performance of buildings. Reports are available Incorporation into category & commercial strategy Carbon reduction reports from suppliers