

Shared Regulatory Services

Health & Safety Enforcement

Service Plan 2018/19



Health and
Safety at Work



Shared
Regulatory
Services



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Introduction

Shared Regulatory Services (SRS) is an innovative collaborative service formed between Bridgend, Cardiff and the Vale of Glamorgan Councils on 1st May 2015. The Service delivers a fully integrated service under a single management structure for Trading Standards, Environmental Health and Licensing functions with shared governance arrangements ensuring full elected member involvement.

The Health and Safety at Work etc. Act 1974 places a duty on Local Authorities to enforce this legislation and are required by Section 18 of the Act to set out the arrangements they have in place to discharge that duty. This Service Plan, our third as a shared service, is produced in response to that requirement and is designed to inform the business community and the wider audience, of the arrangements Bridgend, Cardiff and the Vale of Glamorgan has in place to regulate health and safety in the workplace. It also shows how these activities contribute to and support others in delivering Corporate and statutory objectives to the community as a whole.

The Service Plan contains two elements:

- The arrangements, supporting structures and controls that enable these interventions to be delivered.
- An Intervention Plan which details the type, method and number of interventions to be used in order to fulfil the major purpose of working with others and to contribute to the reduction in the number of fatal and major injuries and ill health in people in work and those affected by work activities.

It is therefore designed to meet both the requirements laid down by the Health and Safety Executive under the National Local Authority Enforcement Code and LAC 67(2) revision 7 and to clearly show how through the enforcement of regulation and provision of guidance, advice and support, workplace health, safety and welfare will be assured in Bridgend, Cardiff and the Vale of Glamorgan areas within the resources available to SRS.

The plan will illustrate how by various methods and teams, the service will meet the objectives of the Health and Safety at Work etc. Act 1974, and:-

- Secure the health, safety and welfare of persons at work;
- Protect persons other than persons at work against risk to health or safety arising from work activities.

Christina Hill
Operational Manager Commercial Services

1. Service Aims and Objectives

1.1 Service aims and objectives

The Health and Safety Enforcement Service is committed to improving health and safety outcomes by ensuring the highest health and safety standards are maintained throughout the region in order to protect employees, the self-employed and members of the public. To demonstrate this, the Service has adopted the following aims and objectives.

The overall aim of the Service is:-

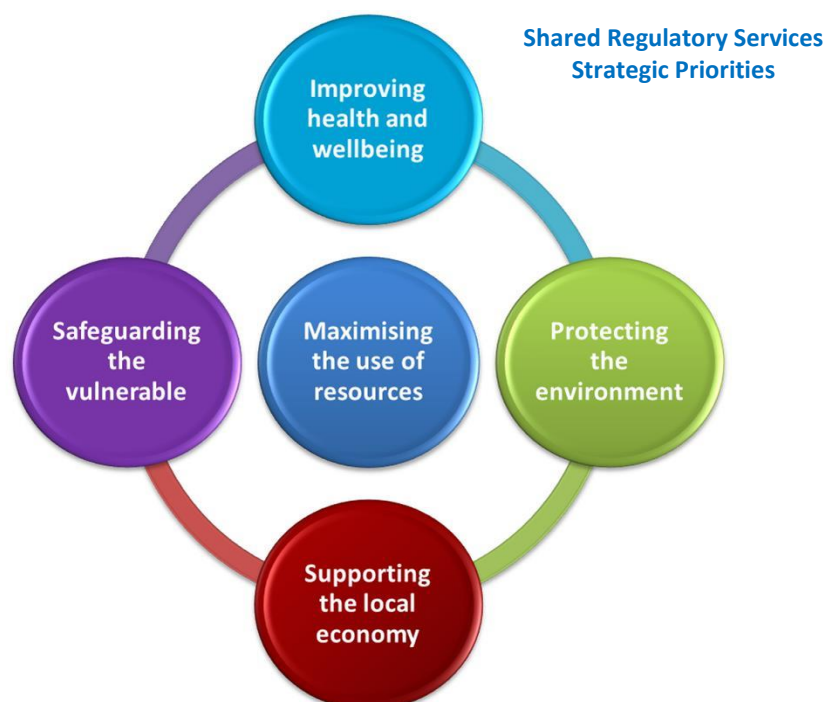
To work with others to protect people's health and safety by ensuring risks in the changing workplace are managed properly.

To achieve this, the service has adopted the following 5 key delivery priorities:-

- To target activity in accordance with national guidance, to manage the risk in high risk businesses or business activities.
- Contribute to the delivery of the HSE's National Strategic programme 'Helping Great Britain Work Well' through the application of proactive 'face to face' and 'non face to face' interventions based on risk and informed by evidence.
- Investigate notified Accidents, Occupational Disease and Dangerous Occurrences in accordance with the Accident Investigation Policy.
- Respond to all service requests received as complaints from employees or members of the public in accordance with the Complaint Investigation Policy.
- To respond in a timely manner to service requests on matters such as asbestos notifications, statutory notifications for lifting equipment and pressure systems, licensing applications etc.

1.2 Links to Corporate Objectives, national and local plans

As a regional organisation providing regulatory services across three local authority areas, we place the **corporate priorities** and outcomes of the three councils at the heart of all that we do (Appendix 3). In developing our own strategic priorities for Shared Regulatory Services, we have considered the priorities of all the three authorities, together with the needs and aspirations of our partners and customers so they translate into priorities that meet local needs.



Improving health and wellbeing – Amongst other factors impacting on health, the service works with others to contribute to the reduction in the number of fatal and major injuries; incidence of ill health and support the well-being of people in work, and those affected by work activities.

Supporting the local economy – The provision of timely advice, and education, on health and safety issues to businesses, stakeholders, and other local authorities and bodies can benefit the economic viability of businesses. The equitable enforcement of regulations helps to maintain a level playing field, allowing businesses to compete on equal terms. The implementation of non-inspection interventions outlined in LAC 67 (2) revision 7 facilitates achievement of this objective.

Safeguarding the vulnerable – The enforcement of health and safety legislation in some occupational settings has a positive impact in protecting vulnerable sectors of our society, for example: residential care homes; nurseries and early years' settings and service sector businesses such as tattooists; semi-permanent make-up practitioners; beauty therapists and cosmetic body piercers who target young people. Using a range of proactive interventions and engaging with these industry sectors supports protection of our vulnerable citizens.

Nationally the service also contributes to the **Welsh National Enforcement Priorities for Wales** for local regulatory delivery which highlight the positive contribution that regulatory services, together with local and national partners, can make in delivering better outcomes:-

- Protecting individuals from harm and promoting health improvement
- Ensuring the safety and quality of the food chain to minimise risk to human and animal health
- Promoting a fair and just environment for citizens and business
- Improving the local environment to positively influence quality of life and promote sustainability.

'Helping Great Britain Work Well' – the Health and Safety Executive Strategy published in February 2016 sets out 6 themes for the whole of the Great Britain health and safety system. Local authorities, as workplace regulators, are a key part of this system and are expected to play a role in:

- Encouraging and recognising improvements, being increasingly joined up to deliver improved outcomes and minimise unnecessary burdens on businesses;
- Continuing to promote the risk-based, goal-setting regulatory regime that has served health and safety in Great Britain so well;
- Working with partners in the system to make workplaces safer and healthier, providing a level playing field for responsible employers with regulators and co-regulators, by advising, promoting, and where necessary, enforcing good standards of risk control;
- Using proportionate, risk-based regulation to support better outcomes, innovation and the safe use of new technologies;
- Developing services and products that contribute to improved management and control of risks, sharing our knowledge, and;
- Continuing the dialogue and conversation with stakeholders to make the system better, always looking to provide simple, pragmatic advice and support

The Local Public Health Plan 2016/17-18/19 for Cardiff and Vale and Abertawe Health Boards published as part of the Local Public Health Strategic Framework provides details of how local Public Health teams work in partnership to improve and protect the health and well-being of the local population. The Plan sets out several priority work areas and actions necessary to achieve improvement. Priority areas include:-

- **Tobacco**
- Obesity
- Sexual health
- **Health at work**
- Immunisation
- Alcohol
- **Falls prevention**
- **Health protection**
- Healthcare public health

The Health and Safety Service contribute to priorities relating to tobacco, health at work, falls prevention and health protection.

2. Overview of the Service

2.1 Area profile

Shared Regulatory Services covers the Council areas of Bridgend, Cardiff and the Vale of Glamorgan and serves over 600,000 residents. Extending from St Mellons in the East of Cardiff to Maesteg in the west, the area encompasses Cardiff, the capital City of Wales with its array of cultural, financial and commercial organisations and the rural areas of Bridgend and the Vale of Glamorgan with their vibrant tourist and agricultural economies.



Bridgend is situated on the south coast straddling the M4 corridor. It comprises an area of 28,500 hectares and a population of just over 140,000



residents. To the north of the M4, the area consists of mainly ex-coal mining valley communities with Maesteg as the main centre of population. To the south of the M4, the ex-market town of Bridgend is the largest town, the hub of the economy and its employment base. To the south west on the coast lies Porthcawl, a traditional seaside resort with a high proportion of elderly residents, which is subject to a major influx of tourists during the summer period.

Cardiff is the capital city of Wales and is continuing to grow faster than any other capital city in Europe. In population terms, it is the largest city in Wales with a population of 360,000.

Measures of population however, belies Cardiff's significance as a regional trading and business centre. The population swells by approximately 70,000 daily with commuters and visitors. Cardiff is the seat of government and the commercial, financial and administrative centre of Wales. Cardiff boasts one of the most vibrant city centres in the UK and on a typical weekend, Cardiff's night time economy can attract over 40,000 people and sometimes more than 100,000 when the City's Millennium Stadium hosts international events.



The Vale of Glamorgan is bounded to the north by the M4 motorway and to the south by the Severn Estuary. It covers 33,097 hectares with 53 kilometres of coastline, and a population of over 130,000 residents.

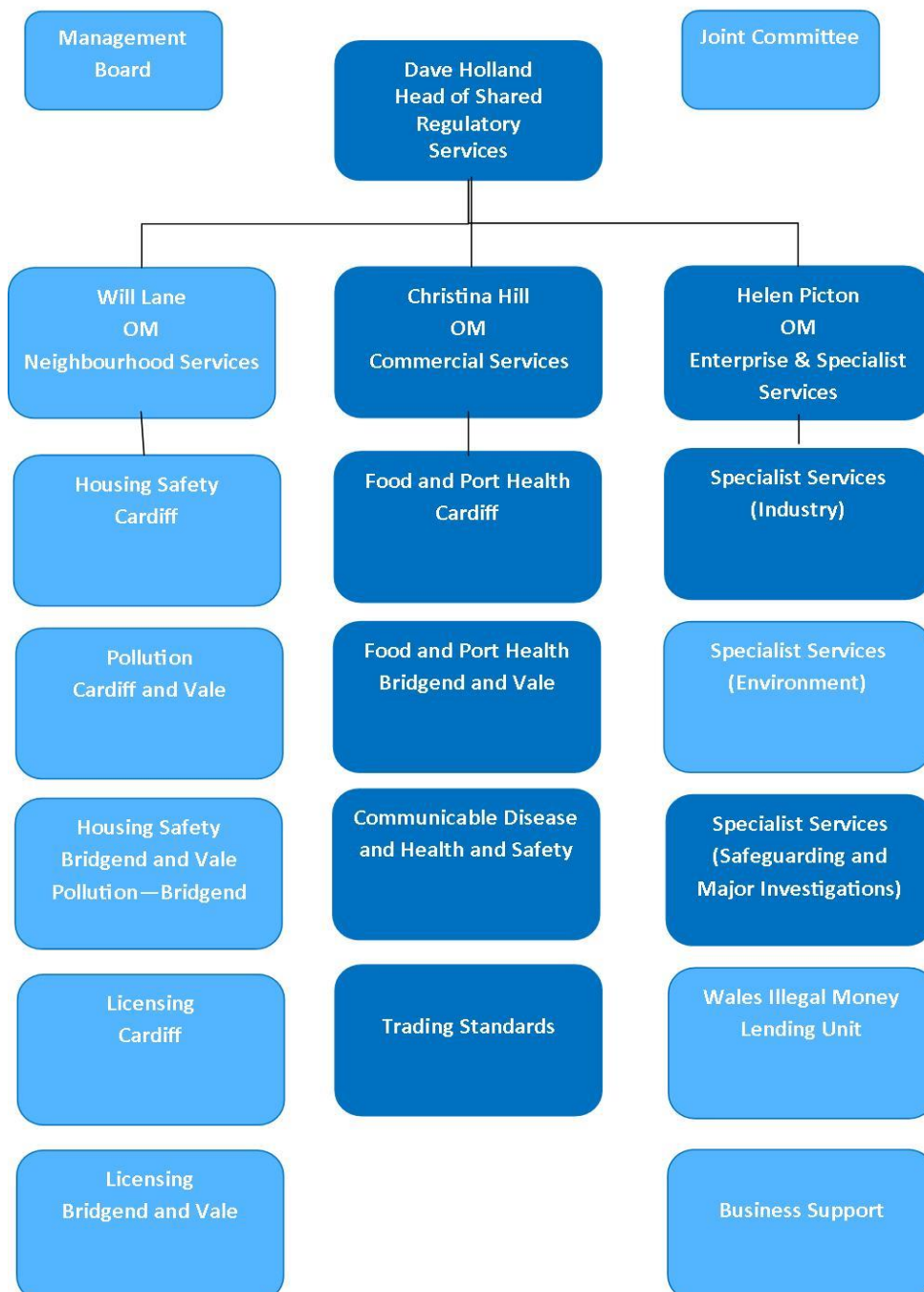


The area is predominantly rural in character, but contains several urban areas of note such as Barry, Penarth, Dinas Powys and the historic towns of Cowbridge and Llantwit Major. Barry is the largest town, a key employment area and popular seaside resort. The rural parts of the Vale provide a strong agricultural base together with a quality environment, which is a key part of the area's attraction. The area includes Barry Docks area and Cardiff International Airport.

2.2 Organisational structure

Health and Safety Enforcement Services are provided mainly by the Commercial Services section of Shared Regulatory Services with some distinct pieces of work delivered by Enterprise and Specialist Services. The Teams consists largely of Environmental Health Officers providing services across the three local authority areas. The Vale of Glamorgan Council act as the host authority for the Service with functions associated with this Plan delegated to the Shared Service Joint Committee. Commercial Services deal with the majority of health, safety and well-being activities within Shared Regulatory Services, with Enterprise and Specialist Services supporting this function through advisory (paid for) visits and outdoor public events and major investigations where they arise. Operational functions within the Service are illustrated in the following table with those that have responsibility for health and safety issues highlighted in darker blue.

Shared Regulatory Services Organisational Chart



2.3 Scope of the Health and Safety Enforcement Service

Shared Regulatory Services is responsible for providing a comprehensive health and safety service combining education, advice and enforcement. The enforcement of Health and Safety at Work legislation is shared with the Health and Safety Executive (HSE) and division of responsibilities is laid down by Regulation. The Service is responsible for enforcement in premises such as offices, retail premises, wholesale/retail warehouses, consumer services used by members of the public, places of entertainment and leisure, hotels and some residential accommodation and catering establishments. Activities are categorised as reactive and proactive and include proactive health and safety inspections; based on both national priority topics and local intelligence. The full scope of the Health and Safety Service includes:-

Reactive

- Investigating reported accidents, occupational diseases and dangerous occurrences;
- Responding to complaints and requests for service, including smoking in public places;
- Permissioning activities including skin piercing registrations, asbestos activities and lift reports;
- Responding to consultations from Licensing, Planning, Building Control etc.
- Providing advice and information to new businesses;
- Securing safety standards at outdoor sporting, cultural and entertainment events through the Events Liaison Panel;
- Prioritised and targeted health and safety promotional campaigns.

Proactive

- Planned high risk premises inspections which focus on national priority topics;
- Undertaking targeted initiatives based on local intelligence and evidence of risk;
- Evidence-based education of employers, employees and contractors through guidance and information;
- Promoting proportionate and sensible health and safety through business engagement and partnership working;
- Undertaking and participating in health and safety promotion campaigns;
- Liaising with other internal and external organisations including:- Planning, Building Control, Licensing, Trading Standards, Wellbeing Team, Corporate Health and Safety Team, HSE, other Technical panels etc.
- Devising material to help businesses comply with the law and promote good practice.

All reactive and proactive work is underpinned by local, regional and national liaison. This is an appropriate mechanism for ensuring consistency between enforcers, for sharing good practice, for sharing information and for informing other enforcers of potential difficult situations. The main liaison arrangements are as follows:-

- Working in partnership with HSE Wales;
- Complying with HELA and other guidance;
- Participation in the Directors of Public Protection Wales (DPPW) Regional Liaison Group via Welsh Heads of Environmental Health Group (WHeoEG) and Expert Panels;
- Participation in the South East Wales and South West Wales Health and Safety Task Groups and the All-Wales Health and Safety Expert Panel;
- Liaison with, and complying with, any advice and guidance from the HSE;

- Working with organisations and stakeholders to promote health and safety;
- Working with other services within the respective authorities such as Licensing, Planning and Building Control, Parks and Leisure, Corporate Health and Safety and Events Teams;
- Liaison with and commitment to Local Government Regulation (formerly LACORS);
- The Office for Product Safety & Standards (BEIS) for Primary Authority work;
- Welsh Government;
- Local Government Data Unit.

Service delivery points

Health and Safety Services are delivered from 3 service delivery points and primarily operates office hours from Mondays to Fridays. Weekend and out-of-business hour duties are carried out as the need arises. Shared Regulatory Services also operates an out-of-hours duty officer scheme for emergency situations.

Health and Safety Service Delivery Points		
Locations	Service Area	Office Hours
Civic Offices Angel Street Bridgend CF31 4WB	Health and Safety advice, education and enforcement.	Mon - Thurs 08:30 - 17:00 Friday 08:30 - 16:30
Level 1 County Hall Atlantic Wharf Cardiff		
Civic Offices Holton Road Barry CF63 4RU		

The Shared Regulatory Services website provides information on the services provided and the website address is www.srs.wales/en/Home.aspx

Responsibility

Responsibility for health and safety activities in SRS is broken down as follows:-

Team	Responsibility
Health and Safety Enforcement Team (Commercial Services)	Health and Safety proactive inspections and project interventions
	Investigation of complaints and service requests
	Investigation of accidents; occupational disease & dangerous occurrences
	Permissioning activities (<i>as detailed above</i>)
	Business engagement and partnership working
	Targeted promotion and education with businesses
Trading Standards Teams	Firework safety and petroleum licensing
Enterprise and Specialist Services Team (Industry)	Health and Safety at large outdoor events
	Coaching and paid for advice visits at the request of business
	Training and targeted education
Specialist Investigations and Safeguarding	Primary Authority partnership work
	Major investigations, including fatalities

2.4 Enforcement Policy

Fair and effective enforcement is essential to protect the economic, environmental and social interests of the public and business. Decisions about enforcement action and in particular the decision to prosecute, has serious implications for all involved and for this reason, the Shared Regulatory Service has adopted a Compliance and Enforcement Policy with Annex 3 specifically in relation to health and safety.

The Compliance and Enforcement Policy sets out the standards that will be applied by the Service when dealing with issues of non-compliance, and what residents, consumers and businesses can expect. Such a policy helps to promote efficient and effective approaches to regulatory inspection and enforcement, and balances the need for improvement in regulatory outcomes with minimising unnecessary burdens on business.

Traditionally based upon the principles of the Enforcement Concordat and the Regulators Compliance Code, local authority Enforcement Policies must now reflect the Regulators Code of 2014 and the regulatory principles required under the Legislative and Regulatory Reform Act 2006

The Regulators Code is based upon six broad principles:

- Regulators should carry out their activities in a way that supports those they regulate to comply and grow;
- Regulators should provide straightforward ways to engage with those they regulate and hear their views;
- Regulators should base their regulatory activities on risk;
- Regulators should share information about compliance and risk;
- Regulators should ensure clear information, guidance and advice is available to help those they regulate meet their responsibilities to comply;

Regulators should ensure that their approach to their regulatory activities is transparent

2.5 Challenges for the year ahead

Bridgend, Cardiff and the Vale of Glamorgan have approximately 9,245 premises that require a range of health and safety interventions such as inspection, survey, monitoring, advice and enforcement. Furthermore Cardiff as the Capital City of Wales attracts numerous outdoor events across a wide range of venues within the City. As entertainment and cultural activities are within local authority enforcement, the enforcement of health and safety requirements in the majority of these events falls to the Health and Safety Service.

Financial – The Shared Regulatory Service has reviewed funding agreements with the partner Councils. The SRS was created in 2015 and a financial model agreed for three years. That model was delivered successfully and the Joint Committee agreed proposals for a financial plan covering the next three years of the shared service. Those reductions of 5% p.a. for the next three years need to be found from core services which will necessitate some realigning of the service and proposals have been agreed for consultation with staff in Spring 2018. A final decision of implementing these budget savings will be made in September 2018.

Lean ways of working - The SRS works across three distinct areas, with a leaner structure encouraging new ways of working, this may present challenges for the Service and its workforce. This has required considerable change in culture, working methods, and staff development in addition to delivering “business as usual”. The Health and Safety Enforcement Team are now responsible for the entire SRS geographical area for Bridgend, Cardiff and the Vale of Glamorgan. Allocation of visits are considered by officer place of residence as well as skill and in the case of project interventions two or in some cases three will be completed on one site visit.

Notwithstanding this as the Service develops, there is clear benefits for business, staff and stakeholders as it is hoped to reduce burdens on local businesses by reducing the number of visits and improving advice and support services and harmonising regulatory controls between the regulatory functions. There are also proven opportunities to enhance and extend the technical capabilities of staff, provide improved access for all partners to new and/or scarce skills and very importantly an opportunity to allow the collaborative authorities to achieve required budget savings.

Events - The region hosts many outdoor events across a wide range of venues. The time spent planning, organising, monitoring events and inspecting premises during events each year should not be underestimated. These are additional commitments above the planned inspection programme, often not experienced by other Councils in Wales.

3. Service Delivery

3.1 Intervention Plan

All local authorities are required to base their approach to health and safety enforcement and thus their Intervention Plan on the:

- National Local Authority Enforcement Code and
- Local Authority Circular (LAC) 67/2 (rev 7): “Setting Local Authority Priorities and Targeting Interventions”

The National Local Authority Enforcement Code, developed by HSE, sets out Government expectations for a risk based approach to targeting health and safety regulatory interventions. It provides a principle based framework that recognises the respective roles of business and the regulator in the management of risk. Importantly the Code is designed to ensure that Local Authorities take a more consistent and proportionate approach to their regulatory intervention. Local Authority Circular 67/2 (rev 7) is provided under Section 18 Health and Safety at Work etc. Act 1974 and gives LAs guidance and tools for priority planning and targeting their interventions to enable them to meet the requirements of the national Enforcement Code. In March 2011, the Minister of Employment published ‘Good Health and Safety, Good for Everyone’. The focus of which was for LAs to concentrate on higher risk industries and tackle serious breaches of the rules. In May 2011 the Local Government Group (LGG) and HSE produced further guidance ‘Reducing Proactive Inspections’ for LAs to determine their proactive interventions. In simple terms, inspections are now limited to the highest risk premises only. In addition, a range of other proactive interventions should be applied to other premises to improve awareness and management of health and safety. Selection of an intervention type will be either based on agreed national priority topic areas or local-level intelligence.

All interventions are evidence based and typically include:-

- **Targeted, Planned Inspections (Proactive) where:**
 - a) The use of warranted powers under health and safety legislation would, if necessary, be used to gain entry or otherwise regulate part or all of a business activity, and
 - b) The reason for the inspection was to specifically target occupational health and safety issues at these premises.

Proactive inspection should only be used for the activities in the sectors contained in the list of priority topic areas which accompanies the National Code and LAC 67/2 (rev 7), or where there is local intelligence of failure to manage risk. Commonly, these premises are identified on an annual basis by local historical accident and complaint trends, local and national industry and accident data and the findings of local accident investigations. Recent workplace activities which have been subject to proactive inspections include:

- Golf courses - contractor and green keeper safety
- Residential Care Homes – managing Legionella, managing the risk of scalding, lifting equipment safety and preventing falls from height (*including bed rail use*)
- The duty to manage asbestos (*including industrial estates; office accommodation*)
- Beverage gas safety, and cellar safety, in the hospitality industry
- Gas safety in catering businesses

- **Non-inspection interventions:**

Local authorities are required to make proper use of non-inspection interventions where they are considered capable of achieving better overall outcomes than inspections alone although their delivery will require similar level of resources. These include business forums and targeted non face to face interventions, specifically:

- Any visit/face to face contact to educate, advise or engage duty holders, employees or other bodies such as trade associations e.g. awareness days, business forums, targeted training and advisory support visits.
- Any other targeted contact (not face to face) to educate, advise or engage duty holders, employees or other bodies such as trade associations e.g. raising H&S awareness by providing information packs.

Recent interventions have included:

- The Bridgend Employers Engagement Project (BEEP) advisory visits;
- The Bridgend Employers Engagement Project (BEEP) business forum;
- Infection control workshops for beauty sector practitioners;
- Level 2 health and safety training course held at one business;
- Paid for advice visits to support local businesses;
- Shisha advisory visits and mail-shot guidance on how to comply with smoke-free premises requirements.

Matters of evident concern - When inspecting premises, officers are also required to consider matters of “evident concern”. Matters of “evident concern” in the workplace could include not only a complete failure of health and safety management arrangements but a history of accidents or complaints, or a failure to identify well known and understood sector risks and repeated enforcement action on common themes. Where there is “evident concern” the scope of the inspection will widen to include whatever aspects of workplace health and safety is necessary.

Since the publication of LAC 67/2 (rev 6) there is no longer a requirement for Local Authorities to report the risk rating of premises visited (this requirement has been removed). However HSE advises that risk rating premises based on a duty holder’s health and safety performance is still useful information to assist in the determination of relative intervention priorities. SRS will therefore continue to adopt this approach to facilitate an intelligence-led approach to health and safety enforcement.

Health and safety interventions are thus planned and targeted by considering the risks to be addressed and having regard to the intervention available, the risk profile of the business/sector, national information and local knowledge and priorities.

Accident and Incident Investigation

All accident notifications received are assessed against specified criteria in the SRS Accident Notification and Investigation Procedure, which has regard to the incident/accident selection criteria in LAC 22/13. This ensures that resources are targeted at the more serious and significant incidents which are likely to be the result of inadequate health and safety arrangements being implemented by the duty holder. The most commonly reported accidents relate to: slips, trips and falls; falls from height; manual handling; or being struck by moving object. The core objectives of accident investigation are to:

- Identify the relevant duty holder(s) and witnesses
- Establish the key facts relating to the causes of the incident
- identify immediate and underlying causes
- identify any lessons learned
- ensure appropriate remedial action is taken to prevent a recurrence
- identify the relevant law and whether there are any breaches
- form a view about appropriate further action using the EMM framework (Enforcement Management Model)

An investigation may range from an enquiry by a single officer about a minor incident to a notification of a fatality, or major injury, involving a team of officers. As a result the timeliness and thoroughness of the investigation, and the quality of the evidence collected, are critical to its successful outcome.

Advice to businesses

SRS assists businesses wherever possible by providing health and safety advice and information in a variety of ways, including:

- Advice provided during the inspection process;
- Responding to permissioning activities;
- Responding to complaints and requests for service;
- Leaflets; posters and newsletters;
- The provision of training and business forum seminars;
- Participation in national events, such as European Health and Safety Week.
- Through the SRS website.

3.2 Intervention Plan 2018/19

An intervention plan confirming the programme of interventions for 2018/19 has been developed to demonstrate how, through reactive and proactive work, the service will secure improvements to health and safety standards in workplaces throughout Bridgend, Cardiff and the Vale of Glamorgan. This plan has been developed after considering the priority topic areas listed in LAC 67/2 (rev 7); local based intelligence and following discussions at the All-Wales Health and Safety Expert Panel and regional health and safety task groups.

The intervention plan has also been devised on consideration of staffing levels and resources available within SRS for 2018/2019.

Intervention Plan 2018 -2019				
Reactive work activity		Activity detail		
1.	Accident investigation	Receive notifications of all reportable injuries, occupational disease and dangerous occurrences from the HSE website, or employees / members of the public, and investigate in accordance with Accident Investigation Policy.		
2.	Complaint investigation	Receive and investigate all complaints (service requests) from employees, members of the public and others.		
3.	Permissioning Activities	Respond to licence and registration applications for skin piercing and tattooing activities, statutory examination reports, and asbestos notifications in a timely and effective manner.		
Proactive inspections – national priority		Activity detail	Target No. of premises	Total no. of interventions

projects			B	C	V	
1	Beverage gases in the hospitality industry	Following the success of Phase 1, this project will now be extended to tenanted pubs; nightclubs; sports and social clubs and workingmen clubs. The risk of falls from a height and exposure to oxygen depleted atmospheres associated with the storage, use and handling of beverage gas cylinders will be considered. This topic area will also be included as a 'bolt on' intervention in the golf club visits for 2018/2019.	25	47	32	104
2	Duty to Manage Asbestos	Both Phases 1 and 2 identified a widespread lack of asbestos management plans in businesses containing asbestos materials, and poor communication of survey information to contractors and local level management. A pilot study of the Bute Street area of Cardiff confirmed the presence of asbestos in shared office accommodation and identified a lack of surveys/management plans. The Bute Street Initiative will be extended during 2018/2019. The duty to manage asbestos will also be a 'bolt on' topic in the beverage gas/cellar safety project.	25	67	32	124
Proactive inspections – local intelligence led projects		Activity detail	Target No. of premises			Total no. of interventions
			B	C	V	
1	The management of Cryptosporidium in leisure pools.	Analysis of data collated by SRS has indicated an increasing trend in Cryptosporidium cases being reported since 2016; with leisure pools in SRS being implicated venues in a large proportion of cases. Local evidence confirms that the under 5's are most likely to be affected by this protozoan parasite which causes watery diarrhoea. All privately operated leisure pools throughout SRS will be visited on an unannounced basis during 2018/2019 to identify how businesses are managing the risk of Cryptosporidium in vulnerable populations and promoting good hygiene practices by pool users.	9	22	13	44
2	Golf Course Safety	Phase 3 of the local intelligence project on contractor and employee safety will take place during 2018/2019. The aim of these unannounced verification visits is to identify if duty holders have improved and sustained health & safety compliance following Phase 1 & 2 interventions, and identify challenges that have resulted in any reduction in standards. The project will culminate in a business forum (<i>see VEEP below</i>).	5	7	12	24
3	Health and safety in nail salons.	Local intelligence has identified a growing trend in concerns about nail salons throughout SRS; particularly with regard to: exposure to chemical fumes; exposure to dusts; management of biological hazards and sub-standard quality of work. This sector of the beauty industry is also linked to immigration and labour abuse concerns. A pilot study will be conducted by SRS during 2018/2019 to establish if poor practices and concerns are a wider issue.	5	10	5	20
Non inspection led interventions - National Priorities		Activity detail	Target No. of premises			Total no. of interventions
			B	C	V	
1	Preventing injury to	A new topic area on the HSE priority list for this year	0	100	0	100

	members of the public from large commercial and recycling bins	following the deaths of 11 members of the public who had unknowingly accessed commercial sized waste containers. This non-face-to-face intervention will be a targeted intervention to businesses operating in Cardiff City Centre; a location with a high proportion of rough sleepers who may access large bins for shelter or whilst searching for food.				
Non inspection led interventions – Local intelligence led		Activity detail	Target No. of premises.			Total no. of interventions
			B	C	V	
1	VEEP Business Forum	The Vale Employers Engagement Project business forum will take place during November 2018 and aims to support golf course managers/green keepers throughout SRS. The forum will be arranged by SRS and will be supported, by HSE; Public Health Wales; a range of external stakeholders and representatives from this sector of the leisure industry. The topic areas to be included in the forum will be influenced by the outcome of the Phase 3 verification visits.	5	7	12	24
2.	Smoke-free compliance in Shisha Bars	Local intelligence confirms that shisha bars in Cardiff continue to have a poor level of compliance with the requirements of The Health Act 2006 and Smoke-free Premises etc (Wales) Regulations 2007. SRS has already prosecuted one shisha café owner and is in the process of instigating legal proceedings against another 2 businesses. A further 6 shisha businesses will be visited and monitored during 2018/2019 to secure compliance with smoke-free requirements, and protect the health of both visitors and employees from exposure to tobacco smoke.	0	6	0	6
3.	Residential Care Home workshops Legionella & infection control	The unannounced verification visits to care homes during the 2017/2018 work plan identified that the management of Legionella continued to be the weakest area of compliance; mainly as a result of high staff turnover and inadequate staff training. To further support local care home owners/managers, 2 half day work shops will be held during 2018/2019 which will focus on: Legionella control measures; business resilience and Influenza; and enhanced infection control arrangements for Norovirus outbreaks. The work shops will be supported by Public Health Wales and a Bridgend-based industry expert on water hygiene.	12	19	9	40

The content of the Intervention Plan is reflected in the Service's Action Plan 2018/19 in Appendix 1.

4. Resources

4.1 Financial and staffing allocation

Financial allocation

The expenditure directly involved in providing the Health and Safety Service for 2018/19 is included in the Service budget and is considered adequate to ensure the effective delivery of the service.

Staffing allocation

The table below indicates the actual number of staff working on Health and Safety enforcement and related matters (in terms of full time equivalents FTE).

Position	Function	FTE
Operational Manager Commercial Services x 1	Public Protection including the management of health and safety.	0.2
Team Manager x 1	Communicable Disease and Health & Safety.	0.5
Team Manager x1	Management of the Health and Safety aspects delivered by the Enterprise & Specialist Services (Industry) Team	0.1
Commercial Services Officers x 3	All aspects of Health and Safety enforcement.	2.1
Commercial Services Officers x 2	Health and Safety enforcement, advice and training.	1.0
Commercial Services Technical Officer x 4	All aspects of Health and Safety enforcement.	3.2
Business Support Officer	Administrative support.	0.2

4.2 Staff Development and Competency

Operating a Shared Regulatory Service across three distinct areas presents many challenges for the Service and its workforce which has involved considerable changes in culture, working methods and staff development all of which will impact on the workforce. Shared Regulatory Service's approach to managing this is through the development of a Workforce Development Plan that provides a plan for developing the workforce to ensure the right mix of experience, knowledge and skills required to fulfil our goals and to ensure we get the right number of the right people in the right place at the right time.

The Workforce Development Plan provides a framework that addresses wide ranging issues and brings together the following areas:-

- Organisational culture
- Leadership and management development

- Core skills
- Recruitment, retention and progression
- Communication and employee engagement
- Employee performance management

Workforce development will also be enhanced through regular performance reviews which require line managers, with their staff, to identify personal objectives and assess training needs for staff.

Professional Development (CPD) will be actively encouraged and Officers will be offered the opportunities to attend a wide range of training courses, seminars, meetings and briefings to help maintain competency and improve technical, legal and administrative knowledge.

The Service also recognises the need for full technical support to be available to all Health and Safety Officers and this is achieved through a variety of ways, namely:-

- Internet subscription and library.
- HSE liaison.
- External Specialist services.

The Shared Regulatory Service operates systems to appoint, authorise, train, monitor and maintain a competent inspectorate. Part of this approach uses the framework developed jointly by HSE, CIEH and LG Regulation which focuses on generic inspection skills as well as specific technical knowledge needed in health and safety enforcement. The Regulators Development Needs Analysis (RDNA) tool assists the Council in identifying training and developmental needs of Inspectors and a revised competency led approach to authorisation of health and safety inspectors has been implemented. In addition the Service ensures that competency is secured by appointing appropriately qualified and experienced personnel to health and safety enforcement duties. There are specific job descriptions and person specifications for all employees of SRS and all appointments are made in accordance with the procedures for recruitment and selection.

5. Review

5.1 Quality Assessment

Shared Regulatory Services recognises the need to measure the effectiveness of its health and safety enforcement duties and strongly supports the ethos of continuous improvement. The Service therefore participates and undertakes a number of activities to ensure that work is of a high standard and opportunities to identify and implement improvements are taken.

Documented procedures

To ensure the quality and consistency of our activities, processes, procedures and work instructions for health and safety enforcement activities are documented and published electronically.

Documented procedures identify responsibility for the work carried out and ensure that all changes identified through audit are undertaken in accordance with improvement procedures. Activities such as inspections, administration, accident investigation and complaint administration can be accessed by all staff via Sharetree and the shared H&S Enforcement folder, and are audited internally for compliance.

Assessment and audits

The monitoring of the quality and delivery of our policies and procedures are assessed in a number of ways, namely:-

- All proactive health and safety projects require officer training, a shadow visit and a validation visit to ensure a consistent approach and assessment of technical knowledge.
- All officers are subject to annual (unannounced) reviews for proactive and reactive visits.
- Monthly reviews of officer targets.
- Customer consultation and feedback.
- Corporate complaints and compliments about the service.
- Peer review audits (informal and formal) by other local authorities, in accordance with the Section 18 standard may be undertaken.

Shared Regulatory Services is committed to continuous improvement using various management tools for identifying opportunities for improvement. The Service has used 'lean management' techniques to review processes and procedures which require the mapping out and examination of processes to identify more efficient and effective working practices

5.2 Review against the Service Plan

In order to ensure continuous improvement it is essential that performance is regularly monitored. Shared Regulatory Services has an effective performance management infrastructure in place for developing, delivering, monitoring and reviewing interventions which is undertaken through the following mechanisms:-

- The Shared Services Joint Committee approves this Service Plan which sets out the work programme for the service and reviews performance against the programme on an annual basis.
- Performance of the service is considered:
 - At team and divisional meetings on a monthly basis.
 - Performance and the Service Intervention Plan are reviewed quarterly through a framework of management review meetings.
 - Section and Divisional meetings allow for the effective management of local and national projects and are also one of the routes of communication that allow individual and team involvement in the development and delivery of interventions.
 - Performance of individuals is further strengthened through the Personal Development Review Scheme
 - Procedures and work instructions are managed through SRS Sharetree and the responsibility of the Team Manager to review and improve as appropriate

Performance and activity measures

In managing its performance and activity, the Health and Safety Service uses the Tascomi database to record, collate and share data and activity. The database is used to record details of premises, inspections (visits), complaints and other activities, including assessment of risk rating which can be used to assist in targeting interventions and designing the work programme.

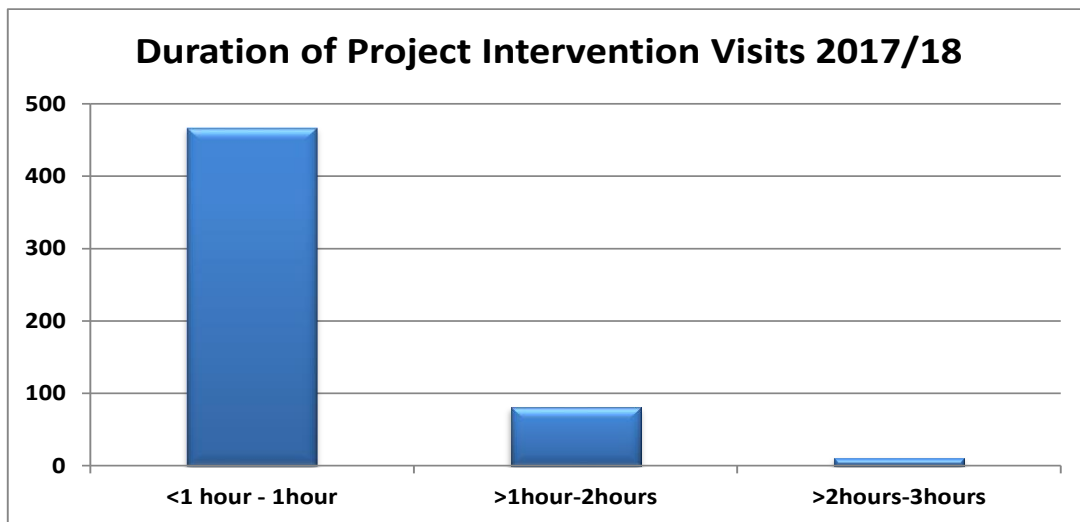
The Health and Safety Service has also recently developed a total electronic management system requiring the removal of all paper records used in the delivery and management of the service. All premises records, incident notification and reporting information and project management systems have been digitised. All information is now held on the Council's IT system and can be accessed directly, or through the Tascomi database. Although the aim initially was to reduce the reliance on, and accommodation issues of paper systems, the electronic storage and manipulation of data will enable a more accurate and faster response to both proactive and reactive requirements.

The performance indicators (PIs) used to measure the achievements of the health and safety enforcement team during the 2017/2018 work plan remain the same PIs that were modified in 2016/2017. These are:

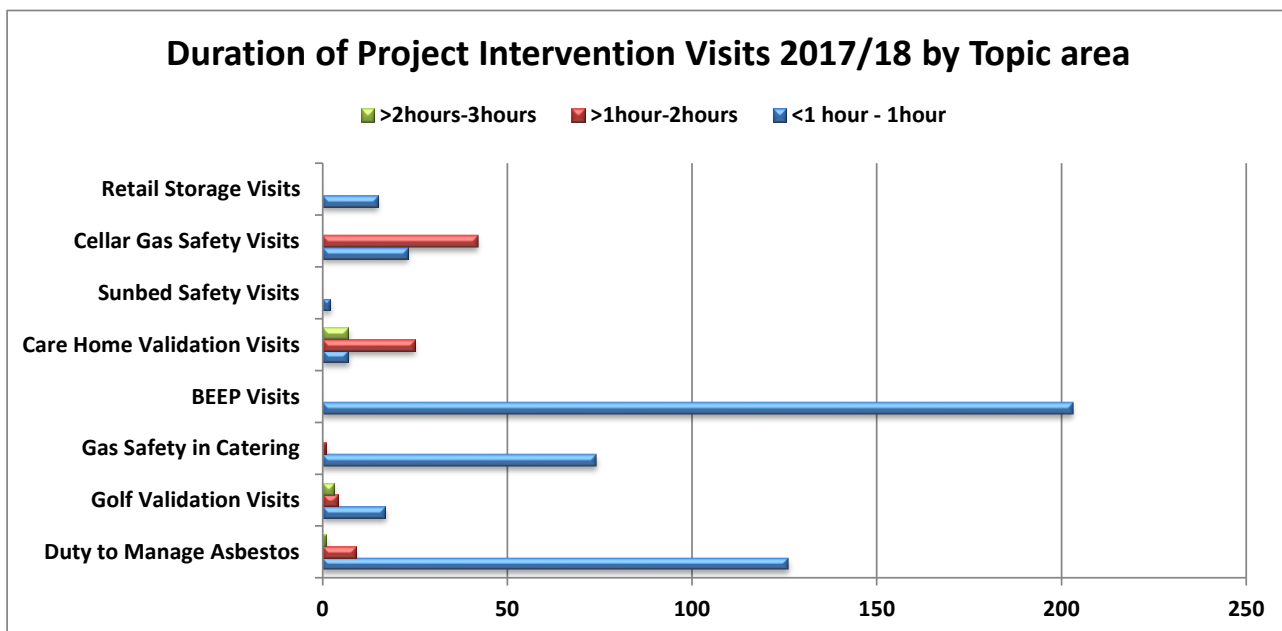
- 100% completion of proactive inspections
- 90% completion of proactive non-inspection interventions (visits)

In both cases, both PIs were achieved in 2017/2018.

Information was also collected from Officers about the time spent on visits for each intervention topic area considered during 2017/2018. Graphs 5.2(a) and 5.2(b) summarise Officer time spent on visits for the respective interventions considered during the 2017/2018 work plan.



Graph 5.2(a) Visit duration of project intervention visits during 2017/2018



Graph 5.2(b) Duration of project intervention visits for each topic area

Visit times ranged from 10 minutes to 3 hours - 84% (467) of visits took 1 hour or less; 14% (81) of visits took between 1 and 2 hours and 2% (11) of visits took between 2 and 3 hours.

The Bridgend Employer Engagement Project (BEEP) visits, which was a face-to-face advisory intervention, ranged between 10 minutes and 1 hour; depending on whether the duty holder of the business wished to participate in the intervention or not. The high number of BEEP visits undertaken by Officers has resulted in a disproportionately high number of visits in the '1 hour and under' category.

Validation visits to residential care homes (which considered 5 topic areas; one of which had technical complexities) and the cellar safety/beverage gas safety in the hospitality sector visits took the longest time to complete. The shorter enforcement visits were invariably in relation to gas safety in catering and the duty to manage asbestos; ranging from 30 minutes to 1 hour duration.

Officer preparation time varied with the technicality of the intervention and tended to reduce as the project progressed and Officers gained confidence with the topic area. Most interventions included in the 2017/2018 work plan were continuations of work commenced during the 2016/2017 work plan, which allowed Officers to keep preparation time to a minimum; usually 30 minutes to an hour. The only new intervention for 2017/2018 was the cellar safety/beverage gas safety in hospitality project. This required the completion of specific Officer training, shadow and validation visits before any Officer could complete their allocated work load, and a significant amount of background reading. Officer preparation time for this intervention ranged from 3 – 6 hours after attending the requisite training course.

LAE1 – Local Authority Health and Safety Annual Return - Under Annex D LAC 67/2 (rev 7) all Local Authorities in England and Wales are required to produce, and submit, an annual return to HSE detailing the Authority's health and safety activity and enforcement data. This is documented in a standardised format and is the only comparable data currently available within the three local authorities that make up SRS. Information on enforcement and health and safety activity over the last four years can be found below.

Business feedback

Business feedback is sought from all businesses involved in any of the project interventions undertaken by the Health and Enforcement Team, but this information is often difficult to obtain. Where it is received, information on whether businesses felt the intervention has helped them improve their health and safety standards is particularly useful. Feedback was received in relation to the following interventions during 2017/2018:

Duty to Manage Asbestos

Of the 132 visits undertaken for the duty to manage asbestos project, only 1 duty holder (0.8%) returned a customer feedback form. However, the duty holder confirmed that it was 'very satisfied' with the level of service; received a 'very clear' explanation of the visit outcome and what action was needed by the company; and confirmed that it was now in a position to improve the company's health and safety standards by modifying policies, procedures and practices.

Residential Care Homes (Phase 3 Verification Visits)

Of the 39 privately run residential care homes visited during the 2017/2018 work plan, only 1 duty holder (3%) returned a customer feedback form. Nevertheless, the comments confirmed the intervention to be a very positive experience for the care home manager.

"The Officer was very professional and helpful, and provided practical Ideas of how to improve health and safety in the workplace. I felt supported and listened to. The Officer was very easy to work with."

Bridgend Employers Engagement Project (BEEP) Business Forum

A total of 88 people attended the BEEP forum, of these: 51 (58%) were stakeholders (*sponsors, partners, exhibitors and presenters*) and 37 (42%) were delegates. All 37 (100%) completed the feedback form and all reported they had learnt something from attending the forum. All delegates found the forum 'good value' or better, with 11 (30%) indicating that it had been excellent. Specific comments provided by delegates included:

“A better understanding of health surveillance and employment law”

“Improved awareness on how to influence and manage health and safety culture”

“Clarity on how to incorporate health and well-being into the workplace”

“Gave a focus on specific areas of health and safety to apply in the workplace”

A total of 32 (91%) delegates reported that they would be making changes to their workplace as a result of attending the forum.

More detailed information on the BEEP project intervention can be found in Appendix 2 of this business plan.

Intervention Plan - Activities 2017/18

Shared Regulatory Services was formed in May 2015 providing Services across Bridgend, Cardiff and the Vale of Glamorgan. The 2017/2018 work plan was developed to continue to meet the needs of each of the local authority areas and to ensure a consistent approach to implementation.

In 2017/2018, **9,245** businesses within SRS were logged on the Tascomi database as falling under the Local Authority remit for health and safety enforcement.

- Bridgend **2,348** (25%)
- Cardiff **5,160** (56%)
- The Vale **1,737** (19%)

Table: Summary of Health and Safety and Enforcement Activity

Type	2014/15			2015/16			2016/2017			2017/18		
	B	C	V	B	C	V	B	C	V	B	C	V
No. of workplaces.	2478	6551	1883	2348	5160	1737	2156	5134	1679	2348	5160	1737
Total No. of proactive interventions	35	729	256	382	376	177	324	134	178	382	376	177
No. of A rated inspections *	2	21	132	264	240	86	7	25	18	264	240	86
No. of proactive intervention visits	33	535	124	103	104	79	185	109	73	103	104	79
No. of non-face to face interventions	0	173	0	15	32	12	132	0	87	15	32	12
Total No. of reactive visits	121	217	82	79	230	61	67	133	57	79	230	61
No. of accident and complaint visits	32	185	61	44	167	39	55	95	42	44	167	39
No. of Permissioning requests	89*	32	21	35	63	22	12	38	15	35	63	22
No. of revisits	3	101	15	11	47	18	45	43	26	11	47	18
No. of formal cautions	0	1	0	0	1	0	0	0	0	0	1	0
No of improvement notices	7	27	9	24	55	16	12	30	19	24	55	16
No. of prohibition notices	0	7	6	0	7	0	1	9	0	0	7	0
No. of prosecutions	0	0	0	0	1	0	0	0	0	0	1	0

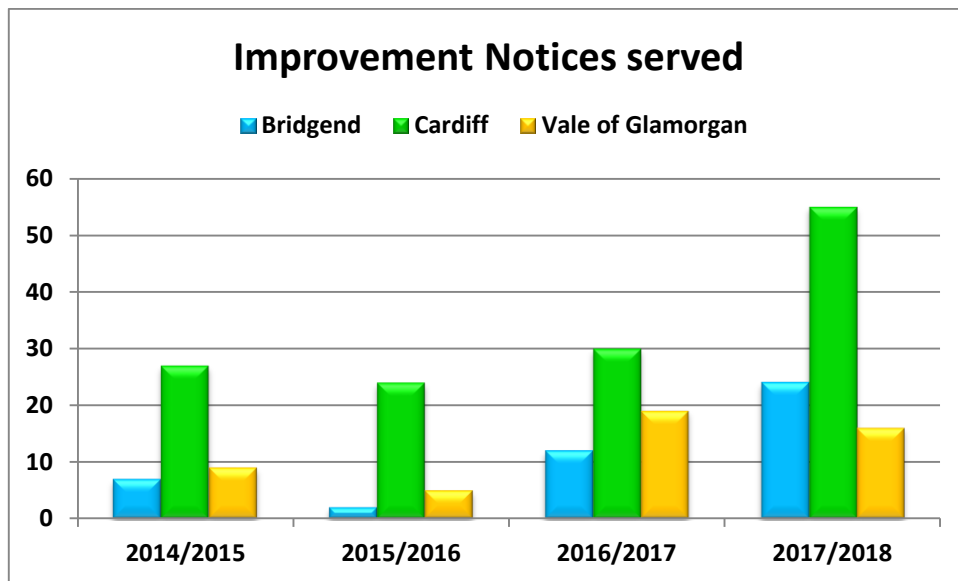
***Local Authorities no longer carry out 'A' rated inspections following changes to LAC 67/2 in 2017/2018**

* Includes provision of training/education; attendance at ESAG/ELP meetings and outdoor events

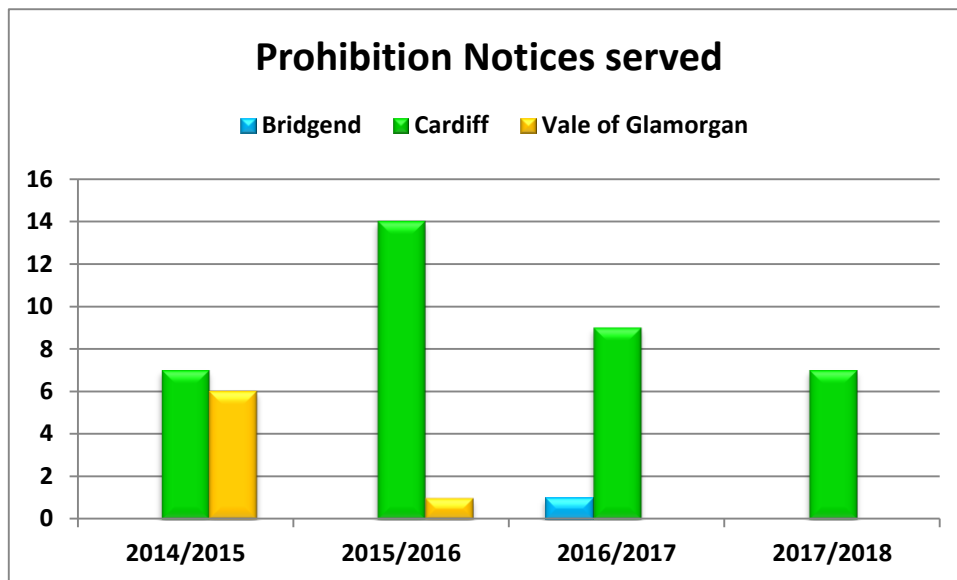
The table below illustrates some examples of enforcement notices served following receipt of complaints and referrals from colleagues in other teams (e.g. Food Safety; Housing Enforcement; Trading Standards):

Examples of reactive work requiring the service of formal notices

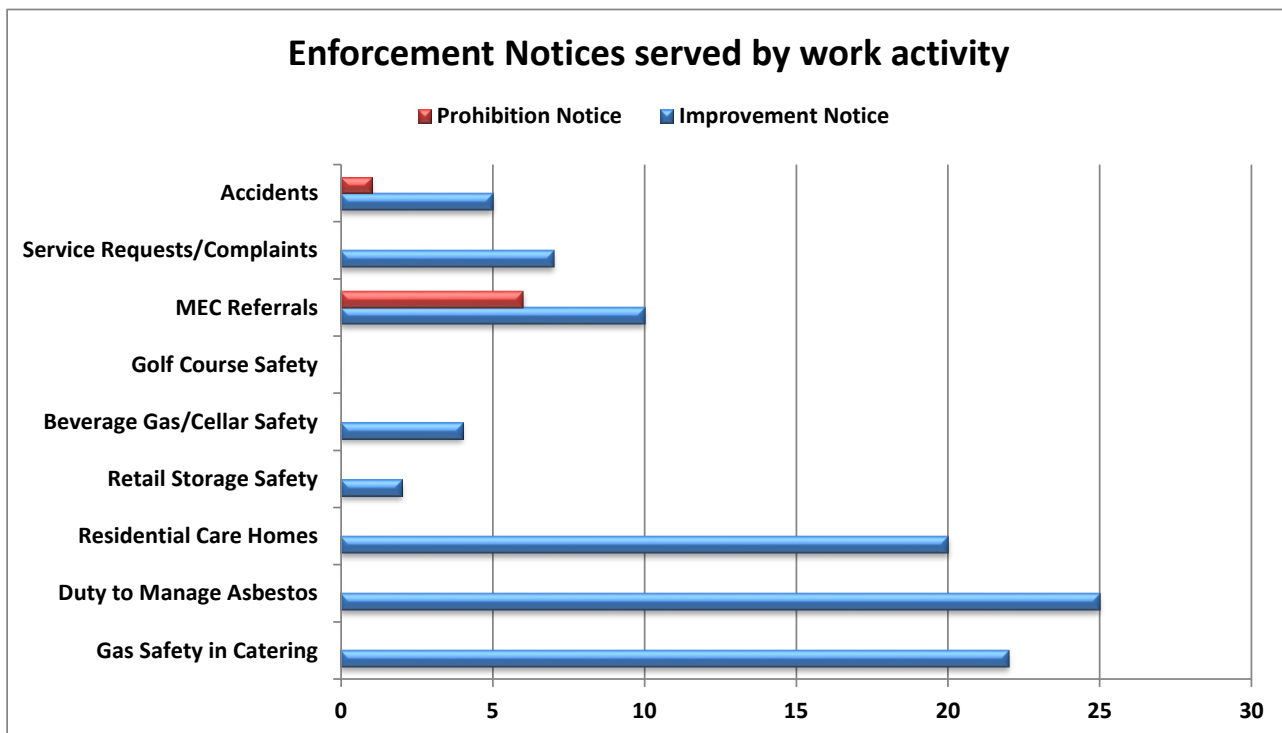
- A referral from the Housing Enforcement Team identified that operators of a shisha bar were allowing employees to access an unsafe area of the flat roof for opening and closing a number of poorly constructed ventilation panels. Access to the roof was immediately stopped by serving a Prohibition Notice (PN).
- A referral from the Food Safety Team identified a takeaway operator using electrical equipment in an external lean-to that had been inadequately weather-proofed. The electrical connections were not suitable for the environment, and presented a significant risk of danger. Use of the electrical equipment was immediately stopped by serving a PN, whilst improvements were secured by serving an Improvement Notice (IN).
- A referral from the Trading Standards Team identified that the operator of a food shop was using a tandoori oven that had not been installed by a suitably competent Gas Safe Registered engineer. The operator also had an external metal staircase that was inadequately secured and failed to have sufficient edge protection. Both pieces of equipment were immediately taken out of use by serving 2 PNs. Improvements were also secured by serving an IN.
- A referral from the Food Safety Team identified that kitchen staff were routinely leaving open an internal door to the first floor kitchen for additional ventilation. The door, which could not be securely locked, had an unguarded drop of several metres directly onto the staircase below; increasing the risk of both staff and objects falling from a height. There was also no signage on the said door to warn kitchen staff of the unguarded drop. The use of the kitchen door was immediately stopped by serving a PN.



Graph 5.2(c): Illustrating Improvement Notices issued in the 3 areas over last 4 financial years



Graph 5.2(d): Illustrating Prohibition Notices issued in the 3 areas over last 4 financial years



Graph 5.2(e): Illustrating what work activity resulted in the service of enforcement notices during 2017/2018
MEC referral is in reference to a matter of evident concern

More detailed information about the beverage gas safety in the hospitality sector intervention; expanded 'duty to manage asbestos' intervention; and the residential care home verification visits is included in the forthcoming section examining proactive work undertaken by Officers during the 2017/2018 work plan.

The table illustrated on the next 3 pages of this report provides more detail on how the team performed against targeted planned work in Bridgend, Cardiff and Vale of Glamorgan for 2017/2018. In addition to commitments made in last year's business plan, Officers successfully completed 3 additional bodies of work that were based on local intelligence. These included:

- Retail storage safety in businesses with a history of poor compliance (15 visits)

- Sunbed safety project visits were carried out in 2 new businesses
- Four regional workshops for beauty therapists were held during February and March.

Intervention Plan 2017 -2018								
Reactive work activity		Activity detail						
1.	Accident investigation	Receive notifications of all reportable injuries, occupational disease and dangerous occurrences from the HSE HELEX website; employees or members of the public and investigate in accordance with the SRS Accident Investigation Policy. A total of 23 notifications were investigated during 2017/2018: Bridgend (5); Cardiff (16); Vale (2)						
2.	Complaint investigation	Receive and investigate all complaints and service requests from employees, members of the public; referrals from other enforcement bodies and others. A total of 229 complaint/service requests/referrals were investigated during 2017/2018: Bridgend (41); Cardiff (151); Vale (37)						
3.	Permissioning Activities	Respond to licence applications, statutory equipment/plant reports, and asbestos notifications in a timely and effective manner. A total of 120 permissioning requests were dealt with by Officers during 2017/2018. 80 (67%) of these applications were skin piercing registration requests which require at least 1 Officer visit: Bridgend (30); Cardiff (34); Vale (16).						
4.	Outdoor events	Lead the Council's response to public safety matters at outdoor events via the Events Liaison Panel (ELP) and ESAG mechanisms. During 2017/2018, a total of 16 ESAG/ELP meetings were attended by Officers; 15 actual events were visited and monitored; and approximately 60 desk top exercises for other events were conducted. The latter involved scrutiny of event management plans and risk assessments, and the provision of feedback and advice to event organisers.						
Proactive work activity		Activity Detail	No. of premises T = Target A = Actual					
			Bridgend		Cardiff		Vale	
			T	A	T	A	T	A
1.	Petroleum Storage premises.	Inspect all premises that store petroleum or have stored petroleum.	3	13	6	11	1	6
2.	All applicable explosive storage premises.	Inspect all applicable premises that store explosives including fireworks.	26	26	47	47	18	18
Project based activity – National projects		Activity Detail	No. of premises					
			Bridgend		Cardiff		Vale	
			T	A	T	A	T	A
1.	Gas Safety in catering businesses	This project continues to have a positive impact on raising the standards of gas safety in catering businesses across SRS. Extend the intervention to additional food businesses across SRS.	17	21	33	45	10	11
2.	Duty to Manage Asbestos	This project was trialled in 2016/2017 and will be expanded during 2017/2018. Phase 2 will focus on older commercial buildings on industrial estates; Mill Lane Initiative; office accommodation in the Bute Street area of Cardiff. The duty to manage asbestos will also be a 'bolt on' topic for all cellar safety visits, and BEEP will address asbestos in Bridgend.	n/a	n/a	82	116	32	32
3.	Beverage gas safety in the hospitality sector	The project follows a number of fatalities and serious injuries to both employees and members of the public: including falls through unguarded cellar hatches and unlocked cellar doors, and exposure to low level oxygen atmospheres in cellar environments where beverage gases are stored and used. Phase 1 was a pilot designed to	10	10	40	40	20	21

		identify an evidence base to potentially extend the intervention to other businesses.						
Project based activity – Local projects		Activity detail	No. of premises.					
			Bridgend		Cardiff		Vale	
			T	A	T	A	T	A
2.	Residential Care Homes	Following the success of Phase 1 & 2, this project has now been adopted as an all-Wales H&S intervention. Phase 3 will include unannounced verification visits to measure sustained compliance on the 5 key topic areas. Legionella; Scalding; Falls from a height; Bed rail management; lifting equipment safety Discrepancies between the target and actual numbers visited is due to business closures since Phase 1 visits were undertaken.	14	12	22	19	11	9
4	Golf Course Safety	Phase 2 of the local intelligence project on contractor and employee safety will focus on monitoring progress and compliance from Phase 1. Further formal engagement to follow.	5	5	7	7	12	12
5.	Retail Storage	An additional intervention looking at the safe storage of goods in known poor performing premises pre-Christmas.	0	0	0	12	0	1
6.	Sunbed Safety	New sunbed premises were inspected as per the 2015/2016 & 2016/2017 interventions.	0	1	0	1	0	0

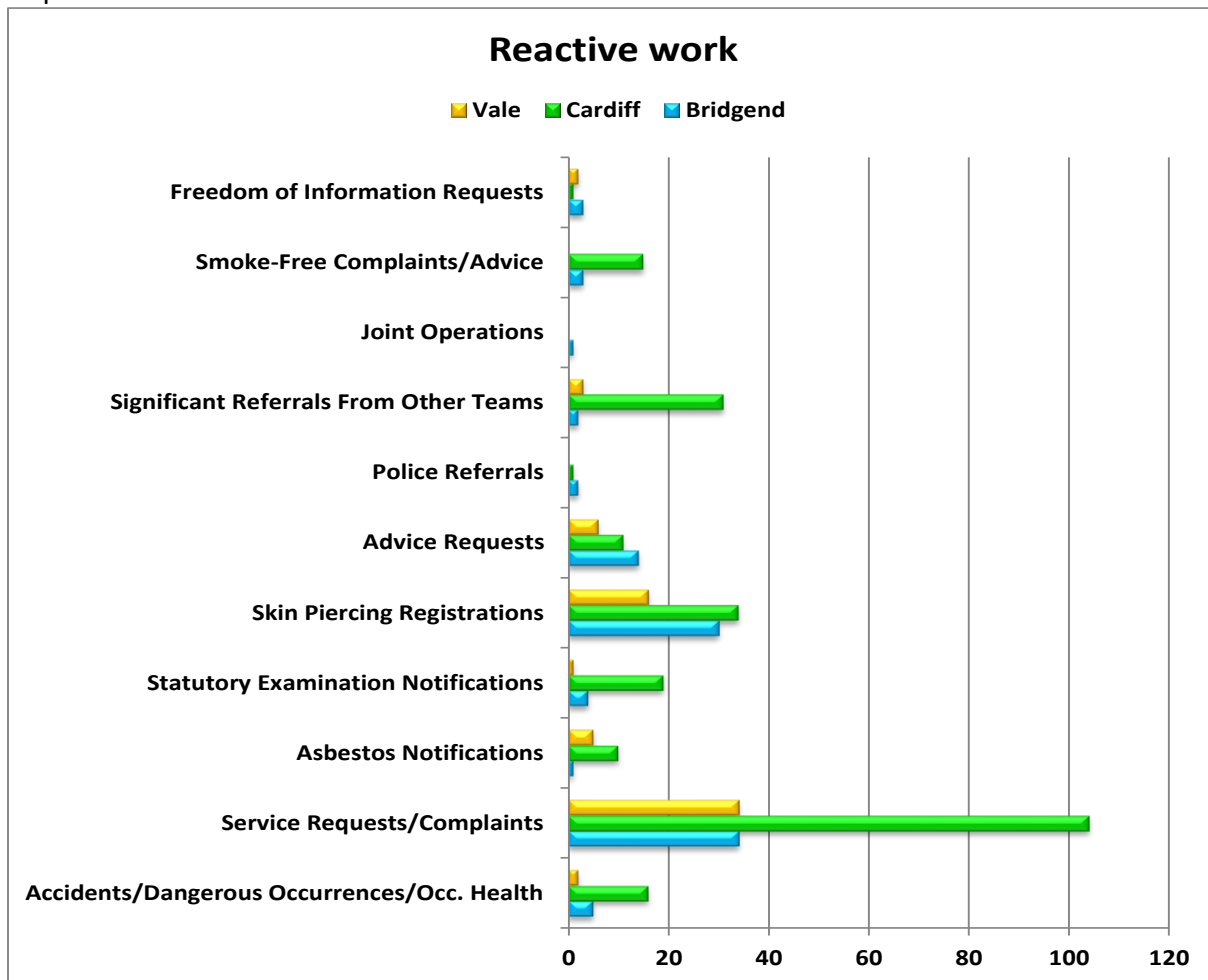
Non Inspection led interventions – National Priorities		Activity detail	No. of premises.					
			Bridgend		Cardiff		Vale	
			T	A	T	A	T	A
1.	Fragile Roof Campaign	Anticipated to be a non-face-to-face intervention following on from a recent HSE campaign and fatal accident resulting from a non-work activity on a Cardiff warehouse roof last year. Due to resource and time pressures, work at height messages and information were included in the BEEP intervention (visits and forum) and in letters sent to duty holders included in the duty to manage asbestos project.	tbc	261	tbc	116	tbc	32

Non Inspection led interventions – Local Intelligence Led		Activity detail	No. of premises.					
			Bridgend		Cardiff		Vale	
			T	A	T	A	T	A
1	Bridgend Employers Engagement Project (BEEP)	This employers engagement project is a multi-stakeholder intervention: SRS, HSE, PHW and industry. Will involve visits to businesses on all 23 industrial estates in Bridgend and follows on from the Phase 1 pilot in 2016/2017. The BEEP project will culminate with a full day business forum to be held on 27 th September 2017. Discrepancies between the target and actual numbers visited relates to business closures or businesses being HSE enforced.	270	261	n/a	n/a	n/a	n/a
2.	Beauty Therapists	The demand for semi-permanent tattooing continues to increase, together with a range of other cosmetic treatments. This work will involve a non-face-to-face intervention to confirm the number of beauty therapists working	100%	57	100%	88	100%	79

		in SRS and the range of services offered. The information will then be used to inform the next stage of intervention; anticipated to include regional workshops.						
3.	Beauty Therapist regional workshops	4 regional workshops were held during Quarter 4 of the 2017/2018 work plan, which was an additional piece of work than originally anticipated. A total of 70 businesses were invited, with a total of 40 delegates actually attending. Focus was on infection control; the impending special procedures licensing; and product safety.	24	14	22	14	24	12

Reactive Interventions

Reactive interventions include responses to, and investigations of: notifiable accidents; dangerous occurrences; occupational diseases; complaints; service requests; permissioning activities and requests for advice from businesses.



Graph 5.2(f): Shows the breakdown of reactive work carried out by the Health and Safety Team during 2017/2018

Accidents, Complaints and Service requests

Officers in the Health and Safety Team investigated a wide range of complaints/service requests during 2017/2018, with the most frequently reported concerns relating to:

- Leisure pool hygiene and water quality

- Gas leaks in food businesses and allegations of bogus engineers carrying out work
- Electrical safety
- The condition and cleanliness of toilet facilities available to both employees and members of the public
- Smoking in public places (*including non-compliant shisha areas*)
- Violence to employees whilst at work, lone working and working hours
- Slips, trips and falls to both employees and non-employees
- Finger entrapments in doors and windows
- The management arrangements in place at leisure facilities such as indoor trampoline parks, skate parks and soft play facilities
- Underage tattooing and skin piercing and inadequate infection control measures
- Workplace temperature and ventilation

Only one reported case of a medically diagnosed occupational illness (Carpel Tunnel Syndrome) was reported to SRS during 2017/2018; however, further enquiries with the duty holder identified additional confirmed cases in other work places under their control. This resulted in a co-ordinated approach between SRS and Torfaen Council for securing all necessary improvements.

Dangerous occurrences reported to SRS via the RIDDOR notification system during 2017/2018 included: a tower scaffold being blown over during high winds; an internal ceiling collapse in a public house and a tail-lift failure on a delivery van whilst off-loading goods at a retail shop. All of these were fully investigated by Officers.

Examples of significant accidents investigated by Officers during 2017/2018 are outlined below:

Significant accident investigations during 2017/2018
<p>Most investigations detailed below are on-going but likely to result in formal action being instigated.</p> <ul style="list-style-type: none"> • A member of the public sustained serious injuries after falling down cellar steps via an unlocked cellar door in a public house. • Several employees working at a bar sustained serious injuries as a result of poor controls and working practices being in place. Injuries included a fractured back - sustained during a fall from working on a slippery surface; and deep lacerations to the torso after falling on glass. • Poor standard equipment; inadequate monitoring by staff; and inadequate monitoring checks were causal factors in a series of significant injuries sustained by people, including young children and vulnerable persons, using local leisure facilities. • A number of children sustained serious injury after being struck by falling tree branches during storm-force weather conditions at an outdoor leisure facility. • An employee sustained serious head injuries after being struck by a poorly maintained security gate after it fell from its hinges during opening. • An employee was issued with a formal departmental warning after failing to follow instruction and falling from a height whilst using unsafe methods to access an internal roof area at his workplace.

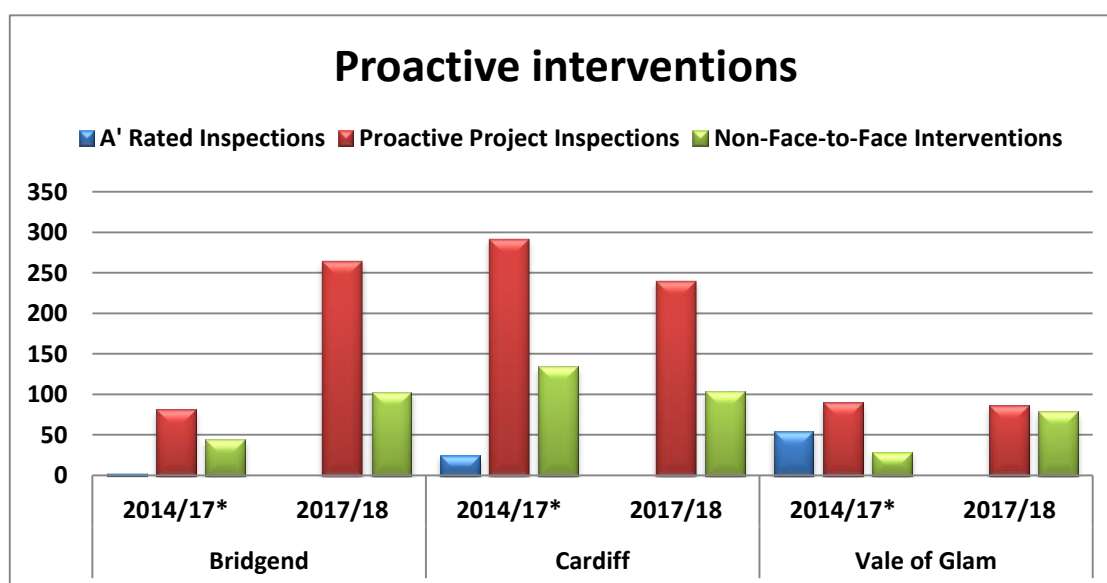
Permissioning requests relate to high-risk work activities that demand a form of approval from the Health and Safety Enforcement Service before the activity can proceed. These include registration applications for tattooists and skin piercers; notifications from contractors wishing to carry out specific work on asbestos (*ASB5 submissions; Notifiable Non-Licensed Work submissions*) and statutory examination reports (*lifting equipment, pressure systems*) which identify technical defects

which could cause a danger to users. All permissioning requests require Officer intervention, which includes both desk-top assessments and visits.

Proactive Interventions

Proactive Interventions include **proactive project inspections**, which are either local intelligence led or based on national priority topic areas, and **non inspection led interventions** which include targeted mail shots, educational/business engagement workshops and more formal business forums.

Graph 5.2(g) below compares the number of proactive interventions in Bridgend, Cardiff and Vale of Glamorgan for 2017/2018 against the average number of proactive interventions for the previous 3 financial years.



Graph 5.2(g) 2014/2017* averages the respective category figures over the 3 year financial period

Proactive 'A' rated inspections of high risk activities

As referenced earlier in this report, the requirement to undertake annual inspections of all businesses risk rated as an 'A' (*i.e. categorised to be in the highest risk banding*) was removed in LAC 67(2) rev 6 which explains why there are no 'A' rated premises inspections for 2017/2018. Moving forward, such high risk businesses/activities could now be included as a proactive project inspection/visit to ensure that health and safety standards did not deteriorate.

Proactive Project Inspections/Visits

575 businesses (Bridgend: 263 Cardiff: 227 Vale: 85) were targeted for proactive health and safety interventions in the following topic areas for 2017/2018:

- Managing health and safety in Residential Care Homes (verification visits)
- Duty to manage asbestos (Phase 2)
- Contractor and employee safety on golf courses (monitoring visits)
- Gas safety in catering establishments (Phase 4)
- Bridgend Employers Engagement Project (BEEP)
- Beverage gas safety/cellar safety in the hospitality sector (Phase 1 – pilot)

These projects were targeted initiatives based on evidence of risk and considered the strategic programme of national and regional projects as well as initiatives based on local intelligence. Details of the outcome of some of these projects follow:

Beverage Gas Safety in the Hospitality Sector – improving health and well being

In recent years a number of local authorities (LAs) in the UK, including SRS, have investigated a range of accidents relating to cellars. These have included falls through unguarded cellar hatches; falls down cellar steps through unlocked doors; and staff being exposed to low level oxygen atmospheres/high carbon dioxide levels as a direct result of beverage gas leaks. The aim of the project was to identify if businesses throughout SRS were effectively managing the risks associated with beverage gas safety and cellar access/egress.

Nationally, beverage gas safety in the hospitality industry has been highlighted as a priority topic area in the Health and Safety Executive (HSE) LAC 67/2 document since 2017/2018, and continues to be included for 2018/2019. It was also an agreed priority intervention for Local Authorities throughout Wales for 2017/2018.

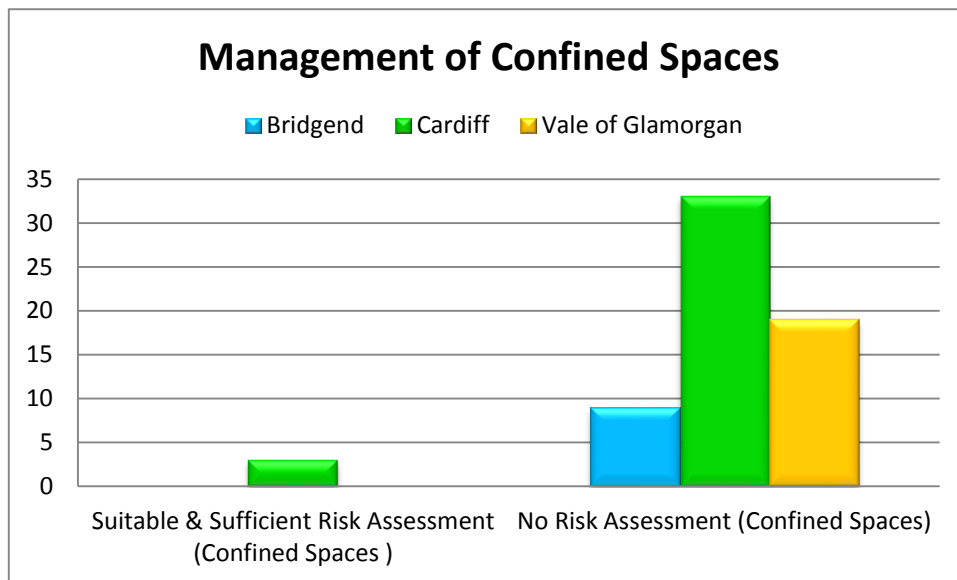
A selection of pubs, restaurants, hotels and nightclubs from both large national chains to small, independently run businesses were included in phase 1 of the SRS intervention. A total of 71 businesses were initially selected throughout Bridgend, Cardiff and the Vale.

- Bridgend 10
- Cardiff 40
- Vale of Glamorgan 21

Of the 71 premises, 5 premises had ceased trading and 2 businesses did not have cellars. The latter were considered to be outside of the scope of the project and were discounted. Of the remaining 64 businesses, all duty holders received a formal warning letter with legal contraventions, which equated to a 100% non-compliance rate. A total of 3 Improvement Notices were served at the time of writing the interim report; all of which related to a lack of risk assessment for working within a confined space and failure to implement appropriate control measures. No Prohibition Notices were served.

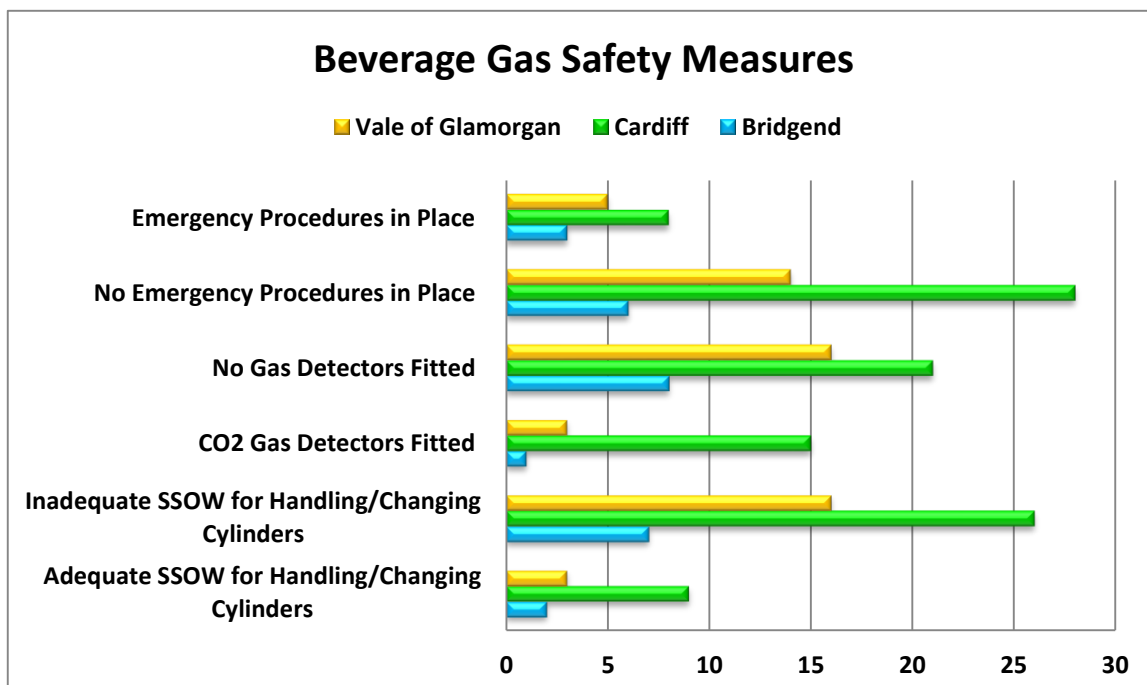
Arrangements to prevent or manage falls from a height, and prevent the risk of asphyxiation from exposure to beverage gases in confined spaces, were found to be consistently poor throughout SRS, irrespective of business size. Contraventions identified in businesses operated by an independent trader were also reflected in SMEs and businesses belonging to national brands.

Of the 64 businesses visited 61 (95%) did not have a confined spaces risk assessment in place.



Graph 5.2(h) The completion of confined space risk assessments in cellars 2017/2018

Of the 64 businesses visited only 14 (22%) businesses had adequate safe systems of work in place for the handling and changing of beverage gas cylinders. A cellar gas detection system had not been fitted in 45 (70%) of businesses to identify potential beverage gas leaks in the cellar before entering the room. The remaining 19 (30%) businesses did have carbon dioxide monitors fitted but poor employee training resulted in the repeater alarm not being adequately checked before entering the cellar. A total of 48 (75%) businesses had no documented emergency procedures in place for situations, including small and major gas leaks and for the safe rescue of persons from a confined space area.



Graph 5.2(i) Beverage gas control measures in cellars 2017/2018

Visits completed by Officers have had a significant impact in raising health and safety standards across the 64 businesses visited. Falls to employees and non-employees are being more robustly controlled, and the risk of asphyxiation associated with the storage and use of beverage gases in confined space cellars has been significantly reduced. Staff awareness about the risks associated

with beverage gases has been considerably improved; especially with regard to emergency procedures to employ after small or major gas leaks.

Phase 1 of the SRS cellar safety project has also achieved a wider impact; both across Wales and the UK which has had the effect of cascading improvements to a wider audience and raising standards in cellar safety throughout the hospitality industry. This enables SRS to focus resources on the less supported independent sector moving forward.

Engagement with National Companies and their Primary Authorities

- **S.A. Brain & Company Ltd.** Following a meeting held with management at the main brewery, S.A. Brain made a commitment to review all asphyxiation risk calculations and confined space assessments at all managed houses in Bridgend, Cardiff and Vale of Glamorgan, including the installation of CO₂ detectors where the asphyxiation risk was high. A further pledge was made to replicate these assessments in all tenanted houses as soon as possible. Cellar training arrangements would be reviewed and a more robust e-learning module introduced, in conjunction with its beverage gas supplier, within 6 months.
- **Greene King Plc.** Greene King and its Primary Authority, Reading Borough Council, have now taken steps to review and amend its cellar safety risk assessments throughout all UK sites and the business is working with their beverage gas supplier to ensure that best practice standards are in place throughout the organisation.
- **Stonegate Pub Company.** The company and its Primary Authority, Reading Borough Council, have liaised with SRS to review its confined space assessments; safe working practices and staff training which will subsequently be rolled out throughout the company.

Engagement with a Local Beverage Gas Supplier

In response to a meeting held between SRS and a local beverage gas supplier, the company created its own beverage gas safety pack which included the asphyxiation risk calculator; examples of safe working practices when handling and using gas cylinders; what safety features to check on a delivered gas cylinder and emergency procedures to follow in the event of beverage gas leaks. The supplier also installed a number of CO₂ detectors and provided cellar training to its clients.

HSE Referral - Potentially Unsafe Beverage Gas Cylinders

During cellar safety visits Officers identified that gas cylinders from one particular gas supplier were consistently missing their coloured test date rings or the test date ring was out-of-date; indicating that the cylinders had been refilled without being subject to a thorough examination. Officers also received intelligence that several businesses in Newport were also in receipt of cylinders with out-of-date test rings from the same supplier. This information was passed to colleagues in Newport City Council, who subsequently discovered a significant number of beverage gas cylinders in use at a large hotel complex which were immediately taken out of use. SRS referred this concern to the Health and Safety Executive (HSE) who subsequently issued the beverage gas cylinder supplier with 3 enforcement notices.

Residential Care Homes – safeguarding the vulnerable

The aim of Phase 3 of the care home project was to identify if care homes were achieving a more sustained level of compliance with health and safety legislation following completion of Phases 1 and 2. The verification visits focused on the same 5 topic areas as detailed above; however, the

management of bed rails only considered the use of third party beds rails and the completion of bed rail assessments where third party bed rails were in use.

Phase 3 visits were only made to those private residential care homes that were visited in Phase 1. The total number of premises visited during the 2017-2018 work plan did reduce from 43 to 39 following a number of recent care home closures and Phase 1 visits identifying that HSE should be the correct enforcing authority.

The number of private residential care homes visited in each respective area is detailed below.

Bridgend	12 residential care homes
Cardiff	18 residential care homes
Vale of Glamorgan	9 residential care homes

One new residential care home was identified in the Cardiff area following the completion of Phases 1 and 2 of the care home intervention. This business did receive a full inspection (*using the Phase 1 proforma*) during the 2017-2018 work plan but was not included in the verification analysis since sustained compliance could not be determined.

Key Findings

Staff Changes since Phase 1 & 2

Only 8 of the 39 care homes visited (20%) confirmed that there had been no staff changes in the last 12 months. A total of 17 (44%) care homes reported some level of change in the management team over the last year, and in some instances, a complete change of personnel in the management team had been experienced. Management changes were more prevalent in Cardiff based care homes, with 10 homes reporting changes of personnel in the general and/or deputy manager role. A total of 26 (67%) care homes reported changes to general care staff over the last year, with Cardiff based homes experiencing the highest level of staff turnover (46%) out of this group.

Management of Legionella

Of the 39 care homes visited, 21 (54%) did not have an up-to-date nominated 'Responsible Person' for the management of Legionella with a suitable level of training (*Bridgend 7; Cardiff 10; Vale 4*).

12 (31%) care homes did not have an up-to-date L8 risk assessment for the control of Legionella in the hot and cold water system; half of which were in the Cardiff area. Failure to fully implement control measures specified in the L8 risk assessment was identified in 14 (36%) care homes (*Bridgend 7; Cardiff 4; Vale 3*). Incomplete monitoring records were noted in 11 (28%) care homes (*Bridgend 5; Cardiff 3; Vale 3*).

Managing the Risk of Scalding

Of the 39 care homes visited, 37 (95%) were routinely carrying out scald temperature checks at hot water outlets and 33 (89%) of that cohort could evidence that hot water temperatures were being maintained below +44°C.

Whilst 22 (56%) of the homes could detail what corrective actions would be taken should a thermostat mixing valve (TMV) fail, 17 (44%) homes had no corrective actions in place for such an eventuality. Audit of hot water temperatures at outlets indicated that 5 care homes had some

water temperatures above +44°C that were regularly used by vulnerable residents; significantly increasing the risk of scalding.

There was no evidence of TMV servicing in 21 (54%) of the care homes visited during Phase 3; despite this topic area being covered during Phase 1 visits and in the care home business forum. Only 18 (46%) homes could demonstrate that annual servicing was taking place.

Lifting Equipment Safety

Three residential care homes reported on having no lifting equipment on site, and a further 8 homes confirmed that the site did not have a passenger lift. Of the remaining 28 care homes that did have a passenger lift on site, 4 (14%) homes continued to have inadequate control measures in place for securing, and restricting use of, the emergency over-ride key.

Thorough examination certificates for lifting equipment were missing in 9 care homes visited. Bridgend had the highest level of non-compliance with 6 of the 9 homes failing to produce current LOLER certificates (*2 homes in Cardiff and 1 in the Vale*). Duty holders were still confusing maintenance checks and thorough examinations; as highlighted during Phase 1 visits.

Proactive maintenance of lifting equipment was now being carried out in 33 of the homes. All care homes using slings to transfer residents were found to have an adequate selection of sizes available.

Bed Rail Management

Only 4 (10%) of the 39 care homes were still using third party bed rails; 3 in Bridgend and 1 in the Vale area. Bed rail assessments had been completed by 3 of the homes, but had not been completed for a resident based at 1 residential care home in Bridgend.

Preventing Falls from a Height

Suitable and sufficient risk assessments considering falls from a height had been completed by 34 (87%) care homes visited. All homes in the Vale area had completed these assessments.

Evidence of regular window restrictor checks could only be produced in 27 (69%) of the 39 care homes. Improvements to the guarding of high areas such as balconies, mezzanines and flat roofs were required in 2 homes (*Bridgend 1; Cardiff 1*).

Of the 39 care homes visited, 21 (54%) homes did not have a clear system in place for controlling the activities of contractors working at a height. The remaining homes requested RAMS (*risk assessment method statement*) documentation from contractors prior to works starting, or an equivalent system of control.

11 (28%) homes had no arrangements in place for the proactive maintenance of access equipment, including ladders.

Enforcement Action Taken

Following the completion of all Phase 3 verification visits, a total of **20 Improvement Notices** were served on **9 different care home duty holders** throughout SRS (*Bridgend 4; Cardiff 4; Vale 1*). The majority of Improvement Notices were served in relation to inadequate Legionella management controls (40%), which was in-keeping with the findings of the 2016-2017 visits. Separate

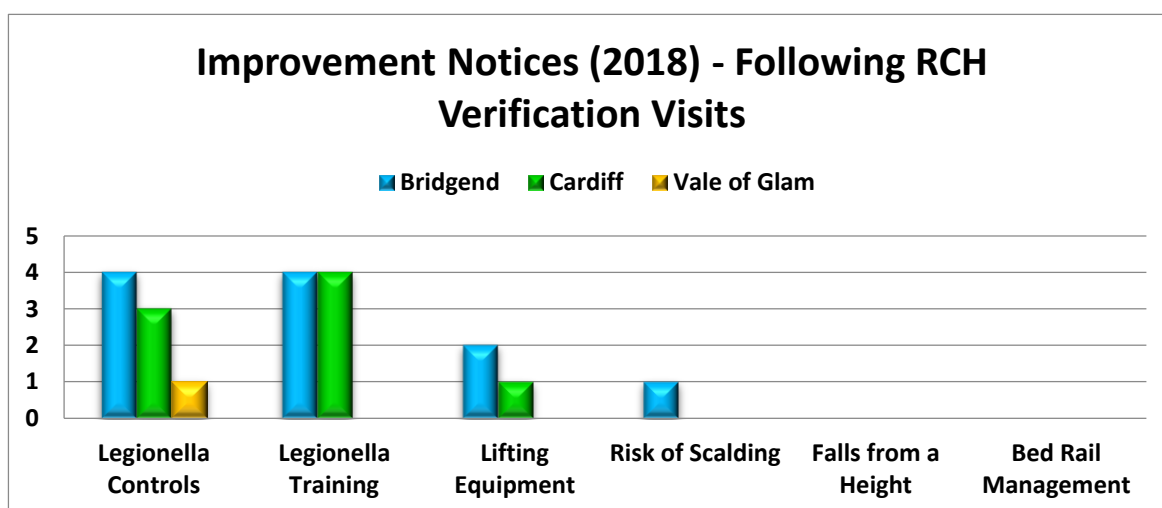
Improvement Notices were issued for inadequate Legionella training for key personnel (Responsible Persons) following Phase 3 visits.

3 Improvement Notices were served for a lack of current thorough examination for lifting equipment, which exhibited a decline in compliance since the Phase 1 inspections.

Of the 9 care homes that were issued with Improvement Notices, 4 of the homes had also been issued with Improvement Notices following Phase 1 inspections and revisits. In the case of 3 of these care homes, duty holders were issued with Notices concerning the same area of non-compliance as 18 months earlier; lifting equipment and management of Legionella.

Of the 4 care homes that received Improvement Notices following Phase 1 and Phase 3 visits, 1 had experienced 2 consecutive changes in management since July 2016, whilst the general manager of another had been on long-term absence for approximately a year.

Improvement Notices had to be served on 4 fewer care home duty holders following Phase 3 visits than after all Phase 1 inspections and revisits. No enforcement notices had to be served for contraventions concerning 'bed rail management' or 'falls from a height' for Phase 3.



Graph 5.2(j) Improvement Notices served following Phase 3 visits (2017-2018)

Conclusion

Verification visits to care homes identified that the control of Legionella in hot and cold water systems, and thorough examination of lifting equipment, continued to be the 2 topic areas with the greatest level of non-compliance; although fewer businesses were issued with enforcement notices when compared to Phase 1 statistics (13 businesses after Phase 1).

Although these topics were covered in the business forum, by keynote speakers and during the interactive workshops, analysis of the Phase 3 statistics highlighted that 20 of the 39 care homes that had attended the forum had subsequently experienced significant staff turnover, both at care staff and management team levels. It would appear that any knowledge gained through attending the forum subsequently became 'lost' due to a lack of business resilience. Many managers questioned during the Phase 3 visits indicated that no official 'hand over' had taken place with the previous Manager/Deputy Manager before commencing their new role.

One explanation for a continued lack of thorough examination certificates for lifting equipment (in some cases) could be due to care homes changing their insurance company on an annual basis. The general cover for the care home would be changed but the examination of lifting equipment; passenger lifts in particular, would often be omitted. There was also some remaining confusion about 'maintenance versus thorough examination' with some care home managers, with some individuals still under the assumption that they were the same thing.

One of the other main factors worthy of consideration that would influence business resilience, and the ability to sustain compliance more robustly, is that of money. Most of the private residential care homes throughout the region were operated by sole proprietors or small companies. Only 4 (10%) of the 39 homes were run by organisations with more than 5 care homes in their regional/national portfolio. Officers carrying out Phase 3 visits became aware that some care homes appeared to have lapsed Legionella control measures, inadequate Legionella training for key personnel and out-of-date LOLER certificates as a result of cost-saving measures. It was almost regarded as 'a risk worth taking' until being required to carry out the work following enforcement visits.

Moving Forward

To hold 2 half-day workshops for care homes throughout SRS during 2018/2019 which focus on the key area of non-compliance: the control of Legionella.

Golf Courses – supporting the local economy and improving health and well being

Further to the initial project visits undertaken during 2016/2017, all golf clubs throughout the SRS region were revisited during 2017/2018 to monitor improvements to health and safety standards and to confirm if all non-compliance issues previously identified had been resolved.

The revisits to all 24 golf courses throughout SRS (Bridgend 5; Cardiff 7; Vale 12) focused on the same themes as the initial visit:

- General Health and Safety Management
- Contractor Safety
- Green Keeper Safety
- Vehicle Safety and Movement

Re-visits to golf courses between April and June 2017 found that the majority of the duty holders had made considerable progress in addressing the non-compliances noted at the first visit. Improvements included:

- **100%** of golf courses had either appointed a health and safety professional to review, monitor and update policies and procedures or had provided formal training to key members of staff to manage health and safety in-house.
- **97%** were in the process of reviewing and updating policies and procedures, specifically in relation to managing contractors, working in/near water courses and lone working.
- **100%** of golf courses had, or were in the process of, devising a 'hole by hole' assessment outlining high risk areas and 'no go' areas where ride-on machinery tolerance was not capable of withstanding steep inclines.

- In **100%** of golf courses, maintenance of work equipment had become more frequent and committees/management were more conversant with their statutory obligations under the Lifting Operations and Lifting Equipment Regulations 1998 and Pressure Systems Regulations 2002.
- **47%** of golf courses had altered traffic routes to allow segregation of vehicles and pedestrians. Golf courses had also switched to proactive maintenance of golf buggies rather than on a reactive basis only.

Moving Forward

The findings of this intervention are to be shared and discussed with the Golf Union Wales and Golf Club Member Association (GCMA) at regional training events during 2018/2019. A commitment has also been made to undertake verification visits to all golf courses during 2018/2019; the findings of which will inform the topic areas to be included in the VEEP business forum which is being held to further support, and bolster resilience in, golf clubs throughout SRS.

Asbestos Duty to Manage: Improving Health and Well being

Asbestos continued to be a priority topic in LAC 67/2 rev 7 document and was identified as a priority piece of work for all Welsh Authorities in their 2017/2018 work plans. Following the success of the 2016/2017 pilot, SRS committed to extend the 'duty to manage asbestos' inspection-led intervention during 2017/2018 by carrying out stand-alone projects on industrial estates and in office accommodation, as well as including asbestos as a 'bolt-on' intervention for 3 additional pieces of work.

- Phase 1 (Industrial Estates) – 89 businesses
- Phase 2 (Industrial Estates) – 38 businesses
- Cellar Safety visits – 71 businesses
- Mill Lane Initiative – 11 businesses
- Bute Street Initiative (scoping exercise) – 10 businesses (*office accommodation*)
- Bridgend Employers Engagement Project (BEEP) – 261 businesses (*advisory intervention only*)

Industrial Estates (Phases 1 & 2)

Phases 1 & 2 of the duty to manage asbestos project included a total of 127 businesses throughout Cardiff (97) and the Vale of Glamorgan (32); including both small, independent companies and large national companies. The visits in the Vale focused on The Ty Verlon estate; Palmerston Workshops and the remaining units in Penarth Road, Llandough that had not been included in the initial pilot. The visits in Cardiff also included the Wholesale Fruit Centre (Bessemer Road Market) since there was a known history of asbestos throughout the site and incidents of accidental damage to asbestos containing materials (ACMs) by fork lift trucks. A total of 30 units in Bessemer Road Market were identified as being Local Authority enforced. Face-to-face visits to 14 duty holders confirmed the following:

- A management survey had been completed, but its content was confusing and had not been up-dated to reflect the re-modelling of a number of units.
- No duty holder had an asbestos management plan in place.
- No duty holder had provided training to their employees.
- The identification of ACMs was not consistent in all units.
- Duty holders were confused about responsibilities for the repair of damaged ACM, both inside and outside of the units.

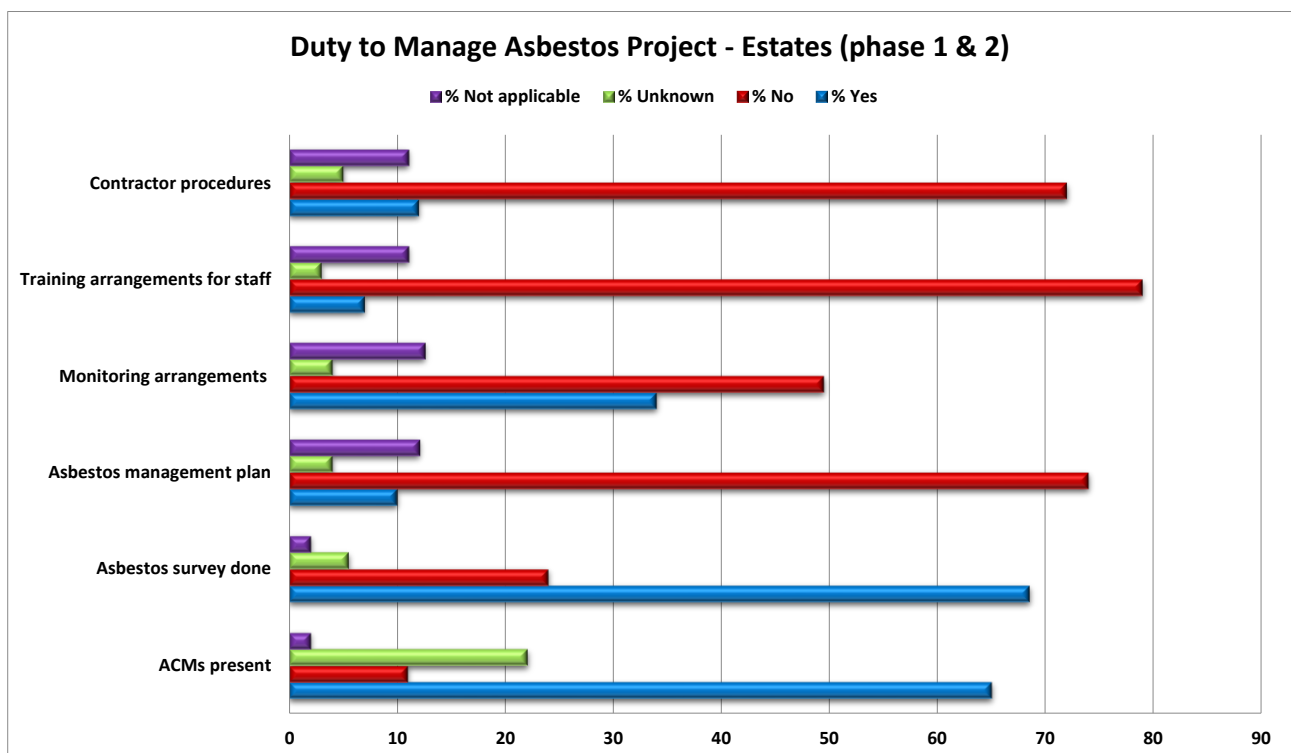
Since non-compliances were consistent throughout all 14 businesses, the remaining 16 businesses were sent enforcement letters on a non-face-to-face basis after scrutinising the asbestos survey for the respective units.

Industrial Estates (Phases 1 & 2) – Key Findings

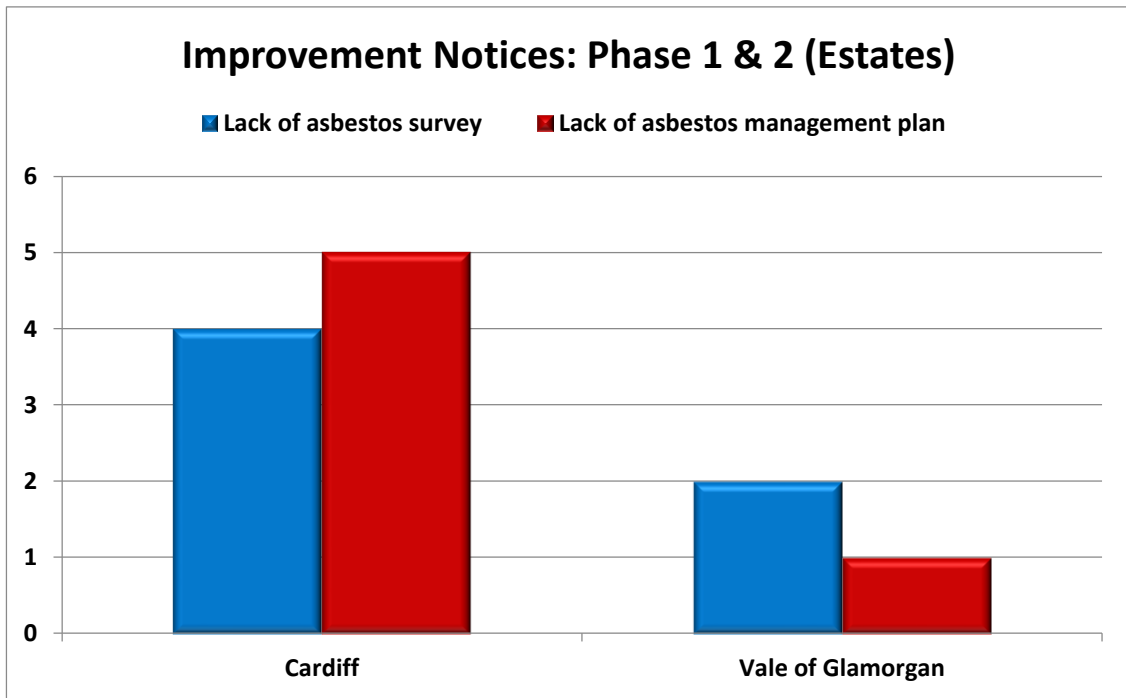
- Of the 127 businesses visited, 87% had an asbestos survey completed (*of varying quality*).
- A total of 82% of the sample size had confirmed asbestos in their building; however, only 13% had a detailed asbestos management plan in place.
- Only 9% of the sample size had provided their employees with training on asbestos and only 15% had procedures in place to advise contractors of asbestos in their premises before the commencement of repair or maintenance works.
- All businesses received formal warning letters which included both contraventions and recommendations; equating to 100% duty holder non-compliance with the Control of Asbestos Regulations 2012.
- Enforcement action had to be escalated to Improvement Notice in 11 businesses following Officers revisits (*1 business was operated by 2 partners so 2 I.N.s had to be served for that company*). A total of 12 Improvement Notices were served for phases 1 & 2 of the industrial estates.

Improvement Notices were served for not having an appropriate asbestos survey and not having an asbestos management plan in place. A number of the national companies did have asbestos management plans completed but the documentation was retained at Head Office and had not been effectively communicated to store management level.

- No Prohibition Notices were served for phase 1 & 2 of the industrial estates visits.



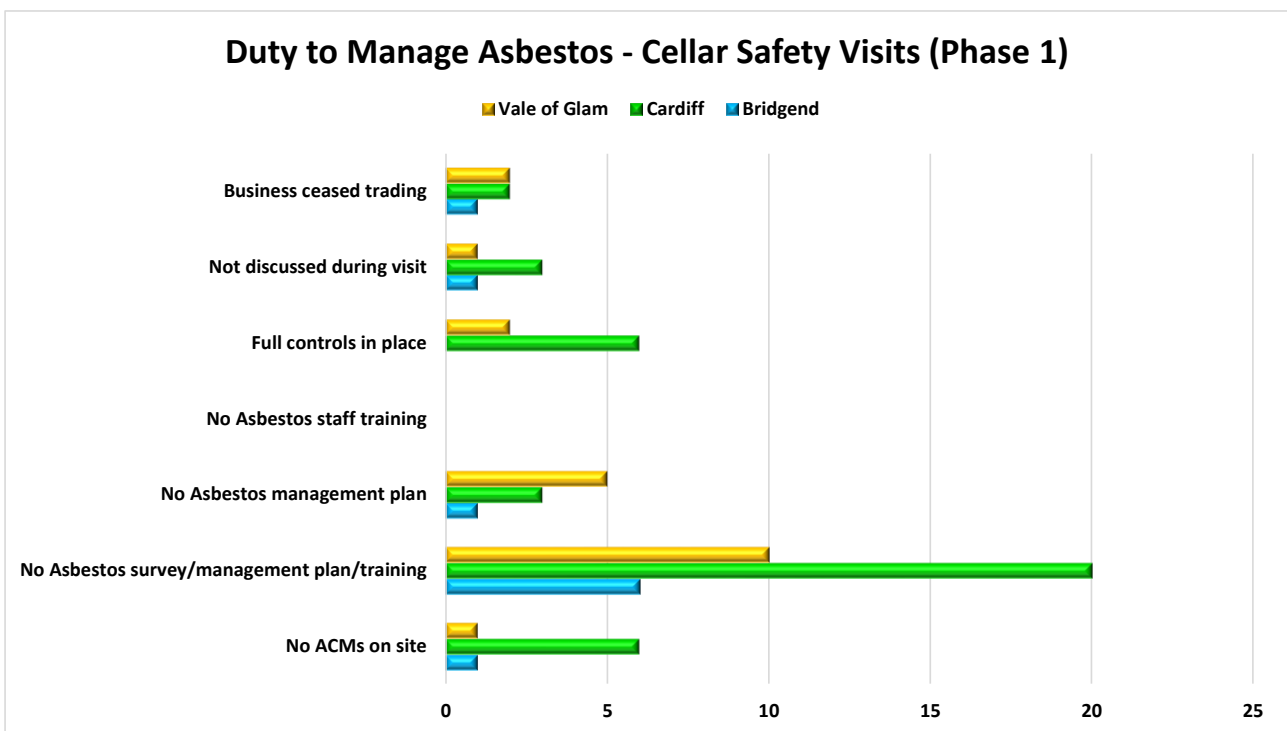
Graph 5.2(k) Main findings of Phases 1 & 2 asbestos visits 2017/2018 (Industrial estates)



Graph 5.2(l) Improvement Notices served for the 2017/2018 Phase 1 & 2 Industrial Estate visits (asbestos)

Cellar Safety Project Visits (Phase 1)

A total of 71 businesses (Bridgend 10; Cardiff 40; Vale 21) were included in phase 1 of this all-Wales project intervention. The duty to manage asbestos was included as a “bolt-on” topic intervention to identify if asbestos surveys and management plans had been prepared in all pubs, nightclubs, hotels and restaurants built pre-2000. The population of businesses being visited ranged from independently owned micro businesses to large nationals with Primary Authority partnerships in place.



Graph 5.2(m) Key findings of the duty to manage asbestos ‘bolt-on’ intervention in cellar visits

All businesses were issued with formal letters and, after carrying out subsequent revisits, 3 businesses were issued with Improvement Notices for the duty to manage asbestos (*1 in Bridgend; 1 in Cardiff; 1 in the Vale*).

Of the 66 businesses that were found to be trading, 36 businesses (55%) failed to have any asbestos survey, management plan or staff training in place.

A lack of asbestos management plans was identified in a further 9 businesses (14%), despite asbestos survey documents being available at the premises.

Only 8 businesses (12%) had no ACM present (*following major refurbishment work or construction occurred post 2000*), of which 6 businesses (9%) were in Cardiff.

Only 8 businesses (12%) were found to have full control measures in place for managing asbestos.

Mill Lane Initiative

A total of 11 businesses were included in the Mill Lane Initiative; a targeted intervention based on the age of the buildings, range of work activities and local intelligence on previous non-compliances. The 'duty to manage asbestos' was one of the four topic areas under consideration during the enforcement visits.

Only 2 (18%) of the 11 businesses could produce an asbestos management survey and evidence that all remaining asbestos containing materials (ACMs) on site were being managed.

Only 3 (27%) businesses could evidence that the building they occupied no longer contained ACMs.

Bute Street Initiative

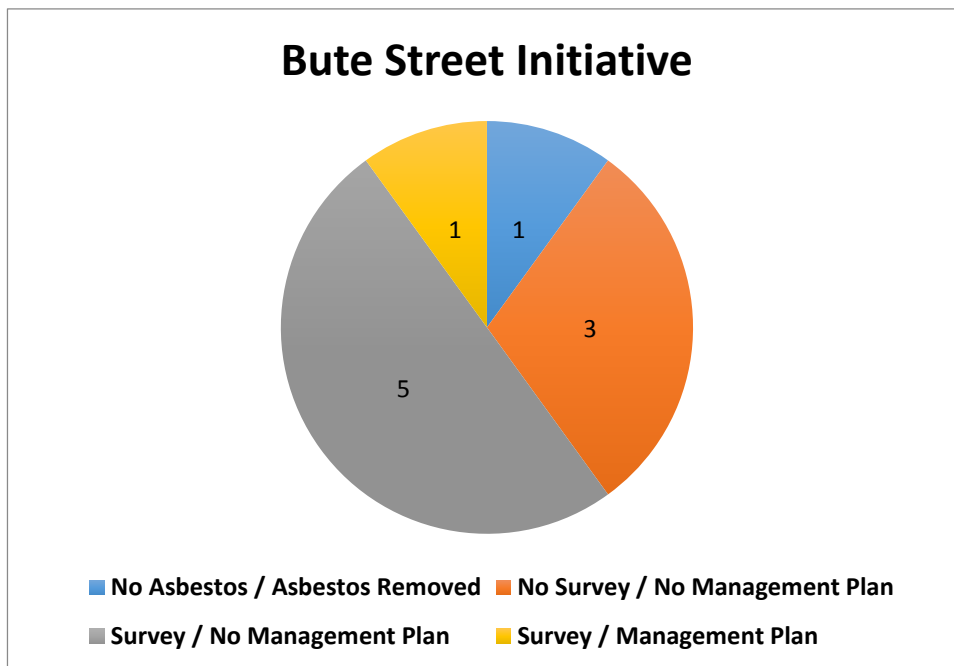
A pilot project for the Bute Street area of Cardiff Bay primarily focused on the 'duty to manage asbestos'. After carrying out a survey, a total of 10 buildings/10 businesses was selected as a 'dip test' to identify if sufficient evidence existed to expand the intervention in the Bay area during the 2018-2019 work plan.

Only 1 (10%) business could produce an asbestos survey and management plan; 5 (50%) businesses could produce an asbestos survey but no management plan was in place; and 3 (30%) businesses had no survey or management plan.

Duty holder responsibilities were unclear in 2 of the businesses visited.

The findings of the Bute Street Initiative reflected the findings of all other 'duty to manage asbestos' interventions undertaken by SRS over the last 2 years.

Additional matters of evidence concern identified included: management of contractors; failing to have up-to-date thorough examination certificates for passenger lifts; management of Legionella and old electrical installations that were not to current standard.



Graph 5.2(n) Key findings of the duty to manage asbestos 'bolt-on' intervention: Bute Street Initiative

Bridgend Employers Engagement Project (BEEP)

The 'duty to manage asbestos' was included as a priority topic in the 'BEEP' intervention; an advisory project that was held in conjunction with HSE, Public Health Wales and a range of other external stakeholders. Of the 261 businesses identified as falling to Local Authority for health and safety enforcement, 215 businesses received a face-to-face visit, with the remaining 46 premises receiving advisory letters. Information and advice on the 'duty to manage asbestos' was also made available to delegates at the BEEP forum, which took place during September 2017.

Moving Forward

- Expansion of the cellar safety project in the 2018-2019 work plan, including the 'duty to manage asbestos' as a bolt-on topic.
- Expansion of the 'Bute Street Initiative' in the 2018-2019 work plan.

Gas Safety in Catering Businesses – Improving health and well-being

Phase 4 of this proactive intervention took place during 2017/2018 and included 65 food businesses, principally independent takeaways, across Bridgend, Cardiff and Vale of Glamorgan. Of the 65 businesses, 21 (32%) required no further action; 44 (68%) were issued with a formal letter containing legal contraventions; and 12 (18%) were issued with Improvement Notices.

A total of 6 gas engineers were subsequently reported to Gas Safe Register regarding concerns about the quality of their work; quality of information contained within any certification left at the food business; and suspicions that the engineer had worked 'out-of-scope'. Two of these gas engineers were subsequently investigated by HSE and issued with formal warnings.

Range of Concerns Noted by Officers During Visits	Number of Premises (%)
No evidence of any gas certificate	31 (48%)
No make-up-air into the kitchen	24 (37%)
Appliances not beneath extraction canopy	8 (12%)
No risk assessment	7 (11%)
No emergency isolation valve (or obstructed)	7 (11%)
No restraining wires	7 (11%)
Non-commercial flexible hoses fitted to appliances	5 (9%)
Gas meter inaccessible	5 (9%)
Inadequate training	5 (9%)
No evidence of a recent gas certificate	4 (6%)
Extraction not switched on during cooking	4 (6%)
Pipework covered in foil	4 (6%)
No interlock on a recently changed gas installation	4 (6%)
Poor flame picture (orange or yellow flames)	4 (6%)
Burners removed from hob without proper isolation	3 (5%)
Damaged flexible hoses	3 (5%)

Bridgend Employers Engagement Project (BEEP) – supporting the local economy

Full details of this intervention are included in Appendix 2 of this report.

Major Outdoor Events – supporting the local economy

Officers attended a total of 16 Event Safety Group/Events Liaison Panel meetings across Bridgend, Cardiff and Vale of Glamorgan areas during 2017/2018. A total of 15 site visits were made (Bridgend 1; Cardiff 14) during which Officers worked with event organisers to resolve matters of evident concern that could impact on public safety. A further 60 events received desktop reviews to assess event management plans, site plan layouts and risk assessments. Event Organisers were subsequently provided with constructive feedback to bolster the robustness of their event management arrangements.

Achievements for 2017/18

The Achievements Section highlights a range of work activity including:

- Notable prosecutions
- Work undertaken in addition to the programmed work plan
- Programmed work which has resulted in a significantly positive impact within that industrial sector
- Awards

Prosecution of a Penny Press Manufacturer and Supplier – Improving health and wellbeing and safeguarding the vulnerable

On 3rd October 2017 SRS successfully prosecuted The Penny Press (UK) Limited for failing to comply with its duty under Section 3(1) Health and Safety at Work etc. Act 1974.

The company, which fabricates penny press machines found at leisure facilities across the country, had modified a machine and fitted it with wheels before supplying it to the National Museum of Wales at Cathays Park in Cardiff. The Penny Press (UK) Limited made this adaptation without carrying out stability tests or re-assessing how the wheels would affect the centre of gravity.



On 29th October 2015 a 5 year old child sustained a head injury and bruising to the arm when the adapted penny press overturned and fell onto him whilst he was turning the wheel to the front of the machine.

The Penny Press (UK) Limited was issued with a fine of £10,000 by the District Judge and was instructed to pay the following costs:

- £10,000 to the Health and Safety Laboratories (who tested the machine for the prosecution);
- £3,544.70 local authority costs;
- £1000 compensation order to the injured child; and
- £70 victim surcharge.

Proactive Intervention: Sunbed Safety – Improving health and wellbeing and safeguarding the vulnerable

Two new sunbed premises (Bridgend 1; Cardiff 1) opened during 2017/2018 which received proactive interventions to assess compliance with The Sunbeds (Regulation) Act 2010 and The Sunbeds (Regulation) Act 2010 (Wales) Regulations 2011. Both premises were found to have inadequacies in their arrangements for providing/supplying prescribed health information to sunbed users; failed to adequately assist clients carry out skin-type assessments and provided inadequate training to supervisors. Improvements were secured in both cases by formal warning letter.

Proactive Intervention: Retail Storage Safety – Improving health and wellbeing

Local intelligence identified that an increase in stock levels in discount retail outlets between Halloween and Christmas was likely to pose an increased risk to the health and safety of both employees and non-employees (*fire; falls from a height; trips and falls; and manual handling*). A total of 13 additional proactive interventions were undertaken (Cardiff 12; Vale 1) to businesses that were known poor performers to ensure that health and safety risks were being effectively controlled.

All businesses received letters to identify non-compliances, with 1 business receiving escalated enforcement by way of 2 Improvement Notices (*unsafe storage arrangements and poorly maintained ladders*).

Business Engagement – Raising awareness about infection control measures within the local semi-permanent make-up and beauty sector



Semi-permanent make up involves enhancing the brow, eye and lip areas with semi-permanent tattoos. Whilst the pigment does not penetrate as many dermal layers as a traditional tattoo, the risk of infection from blood-borne viruses remains equally high.

Throughout February and March 2018, 4 business engagement workshops were held with semi-permanent make-up practitioners registered with Bridgend, Cardiff and Vale of Glamorgan Councils. The purpose of the workshops was to advise businesses about the Public Health Act 2017 and impending licensing regime for special procedures, in addition to providing more detailed information on appropriate infection control regimes and product safety.

The 4 workshops were positively received and captured a total of 40 local beauty practitioners throughout SRS; Bridgend (14); Cardiff (14) and Vale (12).

Business Engagement – Nutritional Training and Health Options Award

The award is run throughout the three authority areas and is administered by Shared Regulatory Services.

The Healthy Options Award aims to encourage food businesses to provide healthier options to customers, through the use of healthier catering practices, increasing fruit, vegetables and starchy carbohydrates, as well as decreasing fat, especially saturated fat, sugar and salt. It also recognises provision of healthy options for children, rewards staff training, promotion and marketing of healthier options. Healthy Options Awards were renewed in 11 food business in SRS during 2017/2018 (Cardiff 9; Bridgend 2).

Nutritional training supports the uptake and sustainment of the healthy option award in Cardiff food businesses. The aim of this training is to increase knowledge and skills in food and nutrition. On completion, participants will be able to pass on basic, consistent information about the components of a balanced diet and the benefits of good nutrition for their customer's health and wellbeing. They will also have the opportunity to learn and share some useful ideas to incorporate healthier options into their menus. SRS continues to provide level 1 community food and nutritional skill training courses on request.

Proactive Intervention - Firework Safety

There are various regulations and guidance on the subject of firework safety, all designed to minimize the risk of uncontrolled fire or explosion to keep staff and customers and the general public as safe as possible. These include the enforcement of the law on storage of explosives in retail premises, sales of fireworks, the safety of fireworks and age-restrictions on sales. The Explosives Regulations 2014 came into effect on the 1st October 2014. There are three main aims to the regulations:

- To prevent fire or explosion
- To prevent communication of any fire or explosion, and
- To protect people from the effects of fire or explosion

In 2017/2018 officers carried out 91 inspections of premises across Bridgend (26), Cardiff (47) and the Vale of Glamorgan (18) that applied for a licence to store and sell fireworks and explosives. To ensure the risk to public safety was minimised they also carried out inspections at premises that had previously sold fireworks but had not applied for licences.

South and West Wales Safety Group Award

SRS Officers received a Certificate of Commendation from the South & West Wales Safety Group in recognition of the work put into the 2017/2018 Bridgend Employers Engagement Project, including the business forum.



5.3 Areas for Improvement

The following improvements are to be continued during 2018/2019:

- Cost effective implementation of proactive project interventions (*including bolt-on interventions where appropriate; utilising non-face-to-face strategies for communicating key messages and engaging with external stakeholders*).
- Developing officer competency in key topic areas being considered for proactive work so that all SRS customers receive the best possible level of service.
- Engaging with Primary Authority Partners so that improvements to health and safety policies, procedures and practices target a wider audience.

Appendix 1 – Action Plan 2018/2019

There are four Strategic Priorities relevant to the delivery of the Health and Safety Enforcement Function:

1. Improving health and wellbeing
2. Safeguarding the vulnerable.
3. Supporting the local economy
4. Maximising the use of resources.

Relevant Strategic Priorities	Objective	
1, 2, 3, 4	Q1	Secure approval from SRS Joint Committee for the 2018/19 Section 18 Health and Safety Service Plan.
1, 2, 3, 4		Host and facilitate 2 half-day work shops for the 40 private residential care homes throughout SRS, focusing on: the control of Legionella in hot and cold water systems; enhanced control measures during Norovirus outbreaks; and business resilience and Influenza.
1, 2		Commence and complete unannounced visits to 44 private leisure pools throughout SRS to identify how duty holders are managing the risk of Cryptosporidium to pool users.
1		Visit, and monitor, 3 shisha businesses in Cardiff to assess compliance with smoke-free legislation.
1, 3, 4	Q2	Commence and complete verification visits to 24 golf courses throughout SRS <i>(including the bolt-on intervention: cellar safety & beverage gas safety)</i>
1, 4		Prepare and commence Phase 2 of the cellar safety/beverage gas safety in Hospitality project to 80 businesses throughout SRS. <i>(including bolt-on intervention: duty to manage asbestos)</i>
1, 3, 4		Commence preparation for the Vale Employers Engagement Project business forum
1, 4	Q3	Continue and complete Phase 2 of the cellar safety/beverage gas safety Project.
1, 3, 4		Host the Vale Employers Engagement Project business forum
1		Visit, and monitor, 3 further shisha businesses in Cardiff to assess compliance with smoke-free legislation.
1, 2		Preparation for the pilot project on nail bar safety.
1, 2	Q4	Commence and complete the pilot project on 20 nail bars throughout SRS, analyse and report on the results.
1		Commence and complete duty to manage asbestos visits in 20 additional shared office accommodations in Bute Street, Cardiff.
1		Continue and complete enforcement of smoke-free legislative requirements in Cardiff shisha cafes.
2, 4		Mail shot to Cardiff centre businesses re: safety with commercial bin stores

Appendix 2 – Bridgend Employers Engagement Project (BEEP) Final Report

Executive Summary

Bridgend Employers Engagement Project (BEEP) was a partnership intervention led by Shared Regulatory Services (SRS), facilitated by the Health and Safety Executive (HSE) and Public Health Wales (PHW) and supported by experts from local businesses and organisations. The aim of the project was to support businesses effectively manage a safe, healthy and more prosperous workplace in line with HSE's strategy 'Helping Great Britain Work Well' and SRS's corporate priorities of 'Improving health and well-being, and 'Supporting the local economy'.

This intervention was informed by local intelligence, BEEP targeted businesses operating from all 24 industrial estates in Bridgend County Borough Council, this group are known to have higher than average accident and ill-health rates and show early morbidity and mortality. In 2016 a pilot study showed non-compliance in reporting of accidents, managing risk assessments, fire safety and working at height in businesses operating from the Bridgend and Brackla Estates.

609 businesses were identified for inclusion (348, 57% HSE enforced and 261, 43% LA enforced). Pre-visit standardised letters were sent to each business, this was followed by advisory visits undertaken between May and July 2017 using standardised protocols. All information was stored and analysed in Epi Info for Windows 7. The Business Forum was promoted in the initial letter, during the visit and followed up with e-mails, phone calls and local publicity.

374/609 businesses over 20 estates were visited, a response rate of 61% (57% for LA and 43% for HSE enforced businesses). The most common industry sectors identified were manufacturing and engineering, retail and light industry and micro businesses made up the greatest proportion of businesses followed by small businesses. Micro businesses were identified as requiring the most health and safety support particularly in relation to management of asbestos, risk assessment, accidents and ill-health, musculoskeletal disorders and working at height. Micro and small businesses were also identified as needing support to better manage tobacco and substance misuse. Businesses had limited awareness of the impact of substance misuse and tobacco use on health behaviours and business productivity and standards of health and safety (29% of the 92 referrals made were to PHW).

3 measures were used to indicate health and safety standards within businesses: business self-assessment of health and safety awareness and officers' judgment on safety and health performance and confidence in management. A correlation was observed between the distribution of safety and health performance and attitude of management. This is not unexpected as a business with a higher standard of safety and health performance is more likely to be managed competently and have a positive attitude to health and safety. In general, the business self-assessed awareness indicator showed some correlation with officer's judgement, although businesses were more optimistic in their standard than the officers.

The content of the business forum was informed by the outcome of the site visits and both the format and content was reported as successful, 100% of businesses reported learning something and 91% reported that they would make changes to their workplace as a result of attending the Forum. However attendance at the forum was poor, only 7% of businesses who had received a project visit attended, this was despite considerable application of resources to encourage attendance. The location and timing of the forum may be reasons for the level of attendance.

The project was ambitious in terms of geographical and industry scope, timeline and available resources to meet the project aims but it was necessary and 9 out of the 10 aims were achieved. There is no evidence to date that this intervention achieved the final aim to reduce the cost to businesses of injury and ill health. As anticipated this target group did present challenges in achieving positive engagement and this may in part be explained by the use of advisory visits rather than inspection led visits. Previous engagement projects undertaken by SRS have shown good engagement where the visits were inspection led and where a particular industry was targeted for example residential care homes

This intervention provided good evidence that partnership working is a cost effective way to support improved health and safety management within the workplace. Signposting businesses, improving access to support and building up trust between regulators and industry were all positive outcomes. However, considerable resources were used by SRS, HSE and PHW to implement and manage this engagement project. This level of resource allocation did not justify the outcome. In future employers' engagement projects will be undertaken using inspection led visits targeted at a specific industry to assure the best use of limited resources.

Acknowledgements

The BEEP Project Team: Shared Regulatory Services, Health and Safety Executive and Public Health Wales would like to extend their sincere gratitude to the following people and organisations who provided a range of support that ensured the success of this project including: financial support, implementation of the site visits, successful delivery of the Business Forum and data cleaning and analysis:

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- Wellbeing Through Work, Abertawe Bro Morgannwg University Health Board
- David ap John Williams and Cathryn Edwards, Business Wales
- Jeff Peters, Bridgend Business Forum
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This was a true example of positive partnership working!

Introduction

The Employers Engagement Project is a partnership approach to improving employee health, safety and well-being in the occupational setting. The partnership is led by a designated local authority (LA), facilitated by the Health and Safety Executive (HSE) and includes the support of experts from leading and local businesses and organisations such as local health boards, Public Health Wales (PHW), trade associations and the fire service. Support, guidance and tools are provided to help businesses break down the burdens – both real and perceived – of managing health and safety. Support is also provided to help businesses identify the benefits, such as reduced insurance costs and lost working time. The focus of this work is aimed at small and medium sized businesses that don't always have access to resources to help control their health and safety risks, and protect their employees from injuries and ill-health without an additional financial burden.

The employers' engagement project evolved from the Estates Excellence Initiative (www.hse.gov.uk/welsh/news/estates-excellence.htm) which targeted industrial estates with higher than average accident and ill-health rates, or areas where the Department of Health and local authority data showed early morbidity and mortality. This approach adopts HSE's strategy 'Helping Great Britain Work Well' (HGBWW) and has now widened to include any industry sector or location where evidence indicates a higher than average risk to staff and visitor health and safety, risks are not being managed effectively and access to resources to support a safe, health and prosperous workplace have not been realised.

In 2016, following the introduction of the Shared Regulatory Service (SRS) into Bridgend, Cardiff and the Vale of Glamorgan councils, a review of businesses records including historical information on accidents and complaints in Bridgend was undertaken. This informed a small pilot intervention of businesses on Brackla and Bridgend Estates with the view to establishing the level of legislative compliance and the receptiveness to receiving support from external agencies. Findings from 31 businesses identified key weaknesses in: reporting of accidents (16, 52%), managing risk assessments and fire safety (7, 23%) and working at height (5, 16%). Of the 31 businesses 27 (87%) employers expressed an interest in attending a business forum and engagement with officers confirmed considerable gaps in health and safety knowledge. As a result in 2017/18, this project BEEP (Bridgend Employers Engagement Project) was extended to include all 24 estates in Bridgend County Borough.

The aims of BEEP included:

External aims:

- Signpost employers to health, safety and wellbeing business support,
- encourage networking and peer support,
- promote collective ownership of health, safety and wellbeing in Bridgend,
- improve workplace skills and
- reduce the cost to businesses of injury and ill health.

Internal aims for regulators:

- scoping exercise,
- identify and update business records,
- begin to build up trust between businesses and officers that would facilitate a more productive intervention,
- undertake a baseline assessment of the hazards and risks to identify gaps in knowledge and signpost businesses to appropriate advice that would help employers manage those risks effectively and
- conclude with a free workshop, the content and format informed by the earlier site visits.

This report outlines the approach and findings of this employers' engagement intervention.

Background

Managing the health and wellbeing of workers improves organisational performance and reduces the cost of ill health and absence, which last year cost the Welsh economy £500 million. Employers Engagement Projects like BEEP aim to support businesses effectively manage a safe, healthy and more prosperous workplace in line with SRS's corporate priorities of 'Improving health and well-being, and 'Supporting the local economy' and the overall Service aim of 'To work with others to protect people's health and safety by ensuring risks in the changing workplace are managed properly'. This also fulfils HSE's strategy 'Helping Great Britain Work Well' by:

- **Acting together** - *Promoting broader ownership of health and safety in Great Britain;*
- **Tackling ill health** - *Highlighting and tackling the costs of work-related ill health and preventing ill health by making workplaces good workplaces by looking after the health and wellbeing of all staff*
- **Managing risk well** - *Simplifying risk management and helping business to grow;*
- **Supporting small employers** - *Giving SMEs simple advice so that they know what they have to do;*
- **Keeping pace with change** - *Anticipating and tackling new health and safety challenges;*
- **Sharing our success** - *Promoting the benefits of Great Britain's world-class health and safety system.*

Implementing this strategy at local level involved recruiting interested partners from industry including national high profile employers operating locally and small businesses offering relevant services, trade organisations, the local health board, organisations supporting the local economy and Public Health Wales. There were a number of potential opportunities for partners, these included:

- Increased membership, client base or new contracts,
- improved supplier/contractor H&S performance,
- enhanced profile locally,
- an opportunity to sign up to HGBWW,
- fulfil business objectives e.g. social responsibility
- continuing professional development for individuals and
- opportunities for future collaboration

The rationale for this approach was that by pooling local knowledge and specialist expertise within one intervention a more effective service could be delivered by facilitating easier access to health and well-being organisations, introducing businesses to reputable experts and without the burden of a trail of several inspections from different enforcing authorities.

Method

All 24 industrial estates in Bridgend were selected to be included in this project (Appendix 1). Initial records suggested that there were 574 businesses operating from the 24 estates, 238 (41%) were thought to be local authority enforced and 336 (59%) HSE enforced. This number was determined between December 2016 and February 2017 by reviewing inspection databases, using search engines and social media on the internet, officer surveys of each of the 24 estates and liaising with the Businesses Rates Department at Bridgend County Borough Council. Businesses were then checked to confirm that the main work activity equated to the designated enforcing authority. A master spread sheet was developed to cross check businesses once the visits had taken place.

Pre-visit standardised letters were sent to each business under the SRS and HSE jurisdiction for enforcement advising the managers of the initiative, the forthcoming visit and the invite to the business forum (Appendix 2). This was achieved by a batch mail merge using a standard letter template. This letter was sent out in the middle of May 2017. Further promotion to profile the project benefits and highlight the presence of officers on the estates was achieved by placing posters and flyers in local service businesses such as cafes. Bridgend Business Forum also profiled the initiative on their website and project partners particularly local businesses and safety consultants reinforced the value of the initiative with their clients who were based on the estates.

A project plan (Appendix 3), visit questionnaire (Appendix 4) and visit procedure (Appendix 5) were drafted, scrutinised and amended by the 3 key partners SRS, HSE and PHW.

Additional officers from SRS, HSE and PHW were recruited to the project to undertake the site visits. PHW, HSE and two officers from SRS industry team undertook visits to HSE enforced premises while SRS Health and Safety Enforcement team undertook the visits to the local authority enforced premises.

A workshop was organised for the project team to promote a consistent approach to site visits and completion of visit questionnaires. All initial visits were peer reviewed for consistency and coordinated by estate in an attempt to create a presence on each estate so businesses could feel at liberty to approach officers throughout the day. Visits were undertaken from the last week of May until the end of July 2017.

The purpose of the site visits was to obtain up to date intelligence on business activities operating on Bridgend industrial estates, obtain an indication of the level of compliance, identify common risks and hazards associated with specific businesses and inform the content and format of the proposed business forum. It was anticipated that this would take in the region of 30 minutes. Visits involved:

- Walk around the workplace to gain an understanding of the business and its significant risks;
- Identification of risks: agree key risks that were most relevant to the business and identify where there were knowledge gaps – these were recorded on the questionnaire
- Provision of a “sign post” leaflet: links and contact details to free occupational health, safety and well-being advice relevant to the businesses work-activities.
- Invitation to duty holders to a free training event to be held on 27th September 2017 at the Heronston Hotel, Bridgend
- Where possible competence and attitudes of management and safety and health performance were risk rated to use for future health and safety interventions.

Where the duty holder did not agree to the officer walking around the premises or did not have time for the visit then as much information as possible was collected for the visit questionnaire. The visits were classified as advisory visits rather than inspection led (enforcement) visits. Advisory visits had been utilised successfully by previous employers' engagement projects and this type of visit was considered to reflect the ethos of this particular intervention approach.

All data from the summary questionnaires were input on a secure database set up in EPI INFO for Windows 7, (an epidemiological statistical data software package). Data was cleaned and analysed in this database. This activity was undertaken by 2 final year Environmental Health undergraduates from Cardiff Metropolitan University who were to use the anonymised information for the purposes of their dissertations. This was supervised by the SRS Team Manager and without this resource the level of detail obtained from this initiative would not have been possible.

In parallel with this the strategic project team, recruited and worked with local partners to attain sponsorship to fund the business forum and identify key specialists who would be willing to deliver presentations, manage workshops and support the forum with exhibitions.

The business workshop forum was booked for 27th September 2017 at the Heronston Hotel, a popular local venue in Bridgend for this particular type of event. Very few comparable venues were available in this region. The forum was delivered by SRS and other stakeholders including the Health and Safety Executive (HSE), Institution of Occupational Safety and Health (IOSH) and Public Health Wales. The forum was fully funded by partners and at no cost to the businesses attending. This approach supported access to all businesses irrespective of their size and ability to provide financial support to participate. The aim of the forum was to provide practical and sensible guidance on how to proportionately manage health, safety and well-being in the workplace. Thus the training needs of the business were identified by both the officers and businesses during the visits in order that the support/advice/guidance given in the forum could be targeted accordingly (Appendix 6 outlines the forum programme).

Results

The final total number of businesses identified from HSE and LA records and walking surveys was 609:

- 348 (57%) HSE enforced and
- 261 (43%) LA enforced.

These were located over 24 industrial estates within the County Borough of Bridgend (Appendix 1 outlines the visits by estate and enforcing authority). All 609 were sent the pre visit letter (Appendix 2).

- Of the 348 HSE enforced business 159 (46%) were visited, no further action was taken with the remaining 189 business due to lack of resources.
- Of the 261 LA enforced businesses 215 (82%) were visited, the remaining 46 were sent follow up letter (these businesses had been visited on more than one occasion but access hadn't been achieved).

Site visits

In total 374/609 (61%) businesses were visited. Of the 374 visits 114 (30%) were 'walk and talk' visits, this type of visit involved a discussion with the business as well as being shown around the premises (43% of LA enforced businesses were walk and talk compared to 15% of HSE enforced businesses). The remaining 260 (70%) involved a discussion with the business but this was usually restricted to a small part of the premises.

The average duration of a visit was 24 minutes (median: 20 minutes, mode: 5 minutes), visit time ranged from 0 – 135 minutes. Visit duration times between enforcing authorities were comparable with the exception of 'mode': LA – 30 minutes and HSE – 5 minutes. During the visits officers saw a range of business representatives, 83% of visits engaged with individuals in a position to make changes to their operation, the range of business representatives included:

- 132 (40%) managers,
- 92 (28%) Directors,
- 49 (15%) owners,
- 45 (14%) general employees and
- 12 (3%) Health and Safety Managers.

Business Characteristics

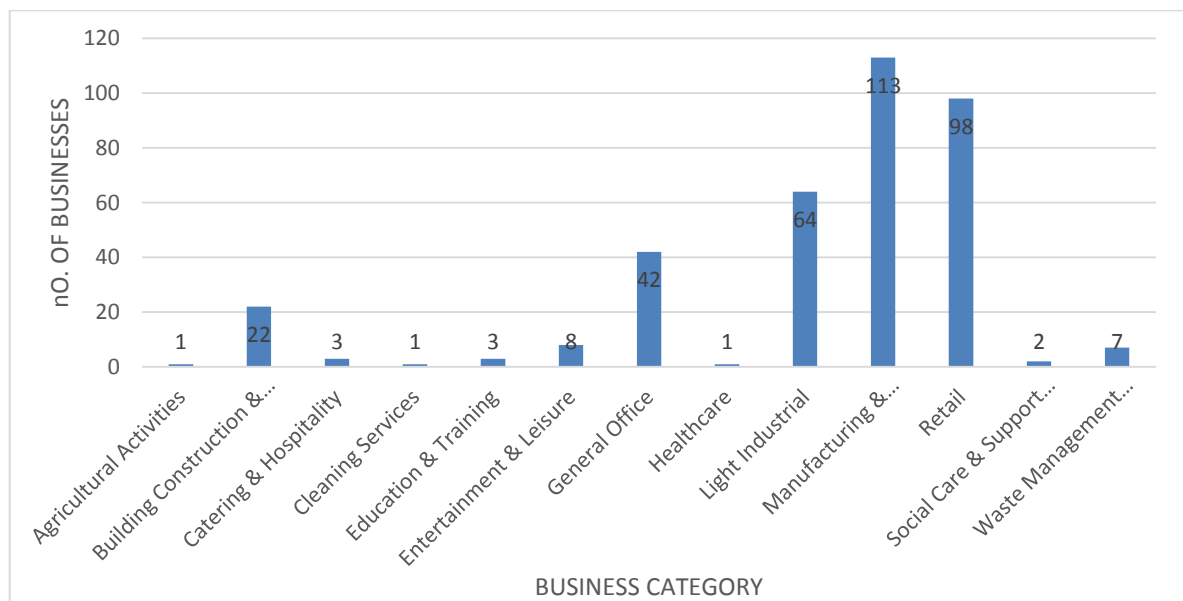
Of the 374 visited; 215 (57%) were LA enforced premises and 159 (43%) were HSE enforced premises. The 374 businesses operated over 20 industrial estates (Graph 1 and Appendix 1). Bridgend Industrial Estate and Pyle, Village Farm Industrial Estate were the two largest estates, Bridgend comprising 28% of all businesses visited and Pyle 20% of all businesses visited. The next largest estate was Brynmenyn where 34 (9%) businesses were visited.

GRAPH 1: NO. OF BUSINESSES LOCATED ON THE INDUSTRIAL ESTATES IN BRDIGEND (n =374)



365 businesses provided information on their primary activity; manufacturing and engineering (113, 31%) comprised the greatest proportion of business activity, followed by retail (98, 27%) and light industry (64, 18%).

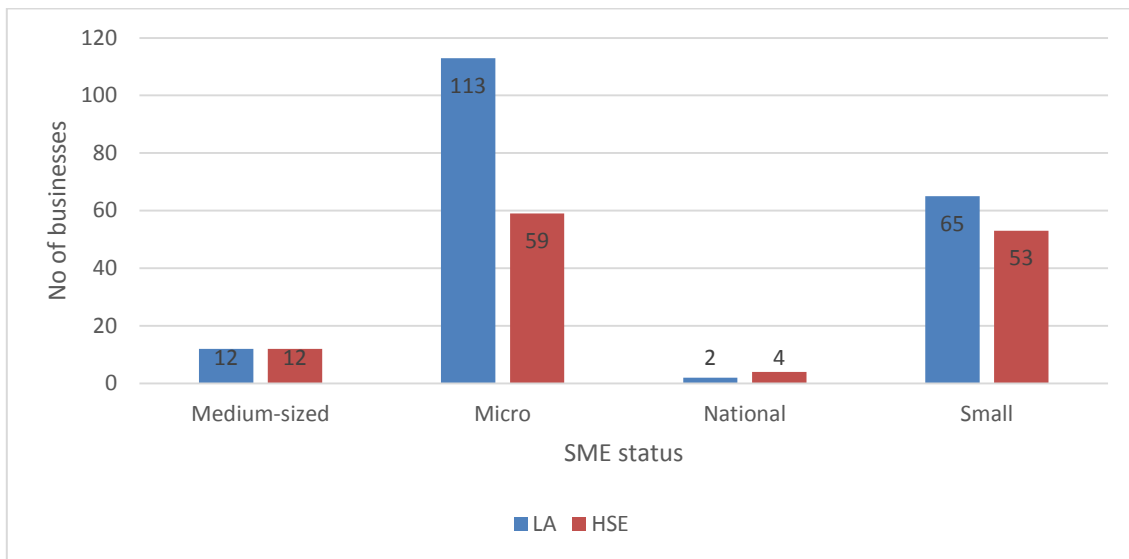
GRAPH 2: CLASSIFICATION OF BUSINESS ACTIVITIES (n = 365)



320 businesses provided information on employee numbers (192, 60% LA enforced and 128, 40% HSE enforced businesses). Micro businesses (172, 54%) made up the greatest proportion of businesses operating on Bridgend estates, followed by small businesses (118, 37%), (Graph 3). There was almost

double the number of LA enforced than HSE enforced businesses in the micro business category. Numbers of small and small-medium sized businesses were comparable by enforcing authority.

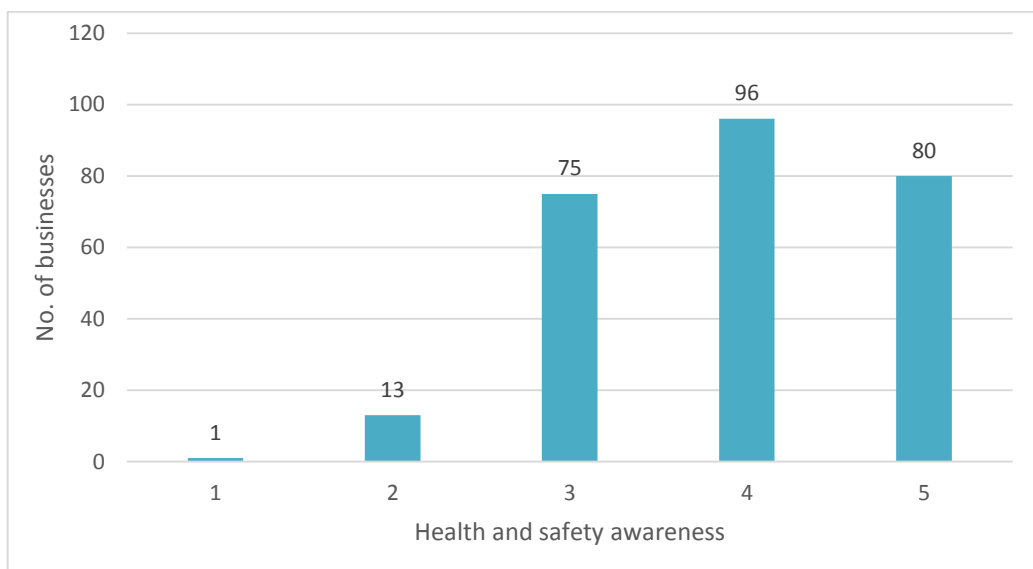
GRAPH 3: BUSINESS SIZE BY ENFORCING AUTHORITY (n = 320)



Indicators of health and safety standards

Information on ‘awareness of health and safety duties’ was obtained from 265 businesses (Graph 4), this indicator was self-assessed, businesses were asked to quantify their level of awareness of their health and safety duties where 1 = ‘being unaware’ to 5 = ‘extremely aware’. 176 (66%) businesses reported that they either had a ‘good awareness’ or were ‘extremely aware’ of their health and safety duties. The distribution of ‘awareness’ levels was similar for LA enforced and HSE enforced businesses.

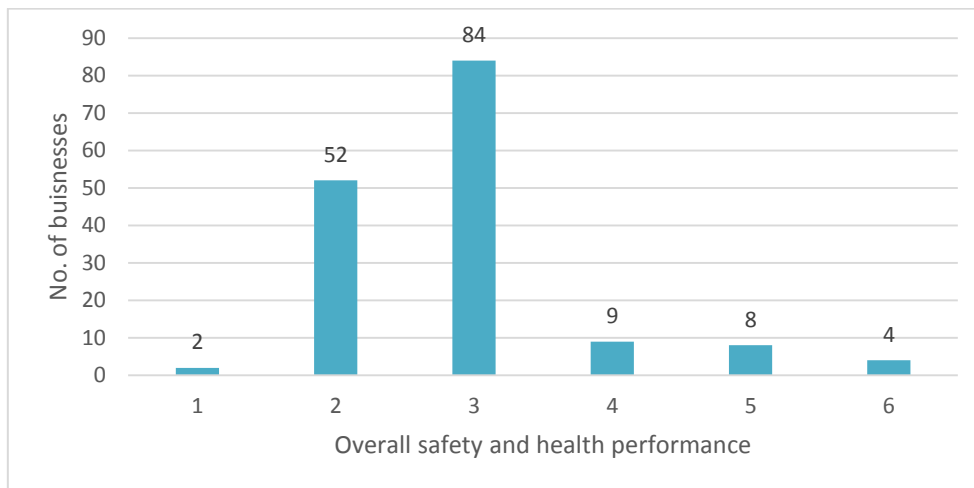
GRAPH 4: BUSINESS AWARENESS OF THEIR HEALTH AND SAFETY DUTIES (n = 265)



NB. 1 = being unaware to 5 extremely aware

Information on safety and health performance was obtained from 159 businesses. This information was a judgement by the visiting officer and was only obtained where a ‘walk and talk’ visit was undertaken. Consistency in this judgement was obtained by referral to a standardised document (Appendix 7). 54 (34%) businesses were recorded by officers as having either ‘high’ or ‘good’ standards, only 21 (13%) businesses were recorded as having standards as ‘patchy’, ‘generally unsatisfactory’ or ‘unacceptable’ (Graph 5).

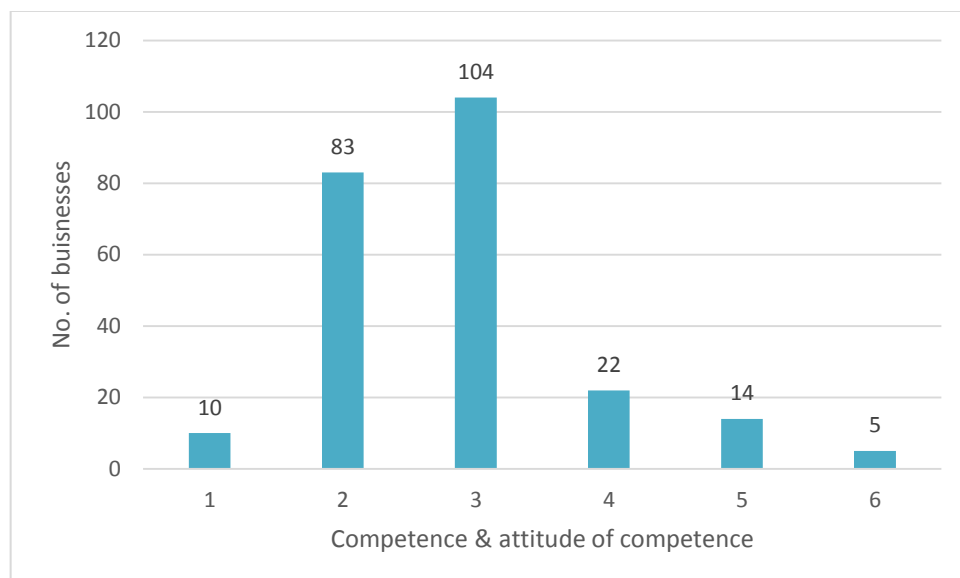
GRAPH 5: OVERALL SAFETY AND HEALTH PERFORMANCE (n = 159)



NB. 1 = high standards to 6 = standards unacceptable

Competence and attitude of management was recorded by officers in 238 businesses (Graph 6). This information was also a judgement by the visiting officer and was only obtained where a ‘walk and talk’ visit was undertaken. Consistency in this judgement was obtained by referral to a standardised document (Appendix 7). Whilst 104 (44%) had some evidence that ‘management was up to task’, 41 (17%) businesses were recorded as having ‘management ambivalence to health and safety’ or worse.

GRAPH 6: COMPETENCE AND ATTITUDE OF MANAGEMENT (n = 238)



NB. 1 = best practice to 6 = management avoid the task and/or connive in cutting corners

Graphs 5 and 6 show a similar distribution in numbers of businesses reported as having high standards through to poor standards for safety and health performance and attitude of management. This finding is not unexpected as a business with a higher standard of safety and health performance is more likely to be managed competently and have a positive attitude to health and safety. These two indicators would usually be expected to correlate.

The trends shown in Graphs 5 and 6 were also similar when stratified by business size with the exception of national businesses where the highest proportion of businesses was recorded in category ‘6’ the poorest standard for both indicators (2, 40%) but this finding should be viewed with caution given the sample size of 6.

The self-assessed indicator 'health and safety awareness' was compared with the officers' judgements 'safety and health performance' and 'competence and attitude in management'. As expected some businesses assessed themselves more optimistically than visiting officers although there was some indication of a correlation (small sample sizes would suggest a level of caution with interpretation of some of these results):

- Of the 72 businesses that assessed themselves as being 'extremely aware of their health and safety duties' 10 (14%) were judged by the visiting officer as having management that were either ambivalent or not up to task. However, 8 (11%) were judged as 'best practice' and 37 (51%) as having 'strong evidence of management being up to task'
- Of the 13 businesses that described themselves as having 'little awareness of health and safety', 8 (62%) were judged by officers as having 'management that were ambivalent or not up to task'.
- 46 businesses who reported being 'extremely aware of their health and safety duties' were also judged by an officer for overall safety and health performance. 2 (4%) were reported as having 'high' standards and 23 (50%) as having 'good' standards. 9 (20%) were reported with 'unsatisfactory' or 'unacceptable' standards.
- Of the 9 businesses with 'little awareness of health and safety' 4 (44%) were reported as having 'unsatisfactory' or 'unacceptable' standards

Health and safety provision and additional support

214/292 (73%) businesses reported having access to health and safety support, this result was comparable for LA and HSE enforced businesses. As expected there was a clear difference between the size of business and access to health and safety support, micro businesses (56%) having the least access to support compared with 96% of small medium businesses and 100% of national businesses:

- 56% (81) of micro businesses
- 87% (96) of small businesses
- 96% (22) of small medium businesses and
- 100% (6) of large businesses

72 (43%) relied on in house expertise (the quality of this expertise was not scrutinised), the remaining 57% used a range of external consultants.

Businesses were also asked if they had an occupational health provision, 108/274 (39%) reported using occupational health services, of the 69 that provided information, 32 (46%) relied on internal service provision. The level or quality of this provision was not scrutinised.

Table 1 outlines those areas where businesses reported needing further advice or support following discussion with the visiting officer. The management of asbestos, accident and ill-health including return to work and well-being, musculoskeletal disorders and risk assessments were the most commonly identified.

TABLE 1: AREAS WHERE BUSINESSES WERE IDENTIFIED AS NEEDING FURTHER ADVICE AND SUPPORT

Area further advice/support required	No (%age)
General	
Risk assessment	41 (16%)
Training and Supervision	29 (11%)
Accidents and ill health	50 (20%)
Health Issues	
Asbestos	40 (17%)
Chemicals	28 (12%)
Legionella	12 (5%)
Muscular disorders	47 (19%)
Noise	10 (4%)
Hand Arm Vibration Syndrome	7 (3%)
Safety Issues	
Fire	34 (14%)
Machinery guarding	11 (5%)
Slips and trips	37 (15%)
Security	14 (6%)
Working at Height	37 (15%)
Workplace transport	34 (14%)

65/284 (23%) visits resulted in 92 referrals to other organisations. The most common referral related to problems with the estates on which the business operated these included parking and traffic issues, in addition to access problems and condition of the infrastructure (Table 2). All referrals were sent through to the responsible organisation for action.

TABLE 2: NO. OF REFERRALS (n = 92)

Referral details	Frequency	Percent
Estates	40	43%
PHW - Fit for Work	8	9%
PHW – Substance Misuse	8	9%
PHW - Tobacco use	13	14%
ABMU – in work support	2	2%
Fire Safety	0	0%
HSE	11	12%

SRS	6	7%
Private Consultant	2	2%
Natural Resources Wales	2	2%
Total	92	100%

Visiting officers identified 7 potential matters of evidential concern; 5 in HSE enforced and 2 in LA businesses, issues included noise levels, RIDDOR, working at height and workplace transport. None of these referrals resulted in the service of prohibition notices.

Substance misuse

109/226 (48%) reported having a substance misuse policy and 44 (20%) reported implementing a programme of awareness. Table 3 compares the presence and implementation of policies with business size. In comparison to other businesses, micro businesses were the least likely to have a substance misuse policy and only 11% of those that had a policy implemented an awareness programme. Similarly only 18% of small medium sized businesses implemented an awareness programme. Further anecdotal evidence from visiting officers suggested that the substance misuse policy related primarily to alcohol and there seemed to be little awareness regarding legal and illegal drug misuse, this view was reinforced at the forum.

TABLE 3: SUBSTANCE MISUSE BY BUSINESS SIZE

Business Size	% age of businesses with a substance misuse policy	% age of businesses who have implemented a programme of awareness
Micro	35%	11%
Small	58%	29%
Small medium	59%	18%
National	67%	20%

Tobacco use

145 (64%) businesses reported employing smokers, the number of smokers employed ranged from 1 to 100, (mean 6; median 3; mode 1). Of these 145 businesses, 126 (87%) had a smoking policy and 43/82 (52%) businesses who employed non-smokers had a smoking policy. Tobacco use was compared with business size (Table 4).

TABLE 4: TOBACCO USE BY BUSINESS SIZE

Business Size	Businesses employing smokers	Businesses with a smoking policy	Businesses requested supported to reduce smoking
Micro	42 (40%)	69 (66%)	21 (22%)
Small	83 (85%)	83 (86%)	41 (43%)
Small medium	14 (82%)	15 (88%)	7 (44%)
National	5 (83%)	6 (100%)	2 (33%)

83% of small and 42% of micro businesses employed smokers and both business categories indicated that they wanted support to reduce smoking in the workplace.

Business Forum, 27th September 2017 - Evaluation

The content of the forum was informed by the results of the site visits and the format followed that of previously successful events that had been delivered by SRS. The range of venues able to host this particular format of event was limited within the Bridgend area, however the Heronston Hotel, a popular local venue fulfilled the required criteria. Appendix 6 outlines the forum programme. In addition to the talks and break-out sessions, delegates had the opportunity to seek advice from a range of experts in safety, health and well-being, and free confidential health checks were also available. Many delegates used the networking opportunities to seek one-to one advice from local consultants, specialist organisations and regulators in an informal setting. Some photographs capture the event atmosphere:



During the site visits, 92/324 (28%) businesses indicated that they were interested in attending the Forum and a further 30 requested additional spaces. These businesses also indicated that they would like additional support on a range of health and safety issues, including RIDDOR requirements, health and safety management, legionella, asbestos, equipment safety and risk assessment.

A total of 88 people attended the Forum, of these:

- 51 (58%) were stakeholders (sponsors, partners, exhibitors and presenters)
- 37 (42%) were delegates

The 37 delegates represented 27 businesses from 9 industrial estates (Table 5), 12 (44%) were LA enforced and 15 (56%) were HSE enforced businesses. For a point of reference Table 5 also includes the number of businesses visited and the number of businesses operating from those estates that were represented at the forum. The 27 businesses attending the forum represented 7% of the businesses visited (6% LA enforced and 9% HSE enforced).

TABLE 5: ESTATES REPRESENTED AT THE FORUM

Estate Name	No. of delegates	%age of delegates	No. of businesses visited	No. of businesses operating from that estate
ABERGARW	2	5.41%	15	25
BRACKLA	8	21.62%	31	73
BRIDGEND IND EST	17	45.95%	106	139
EXTERNAL	3	8.11%	n/a	n/a
PYLE	1	2.70%	76	96
SOUTH CORNELLY	1	2.70%	12	17
TONDU	1	2.70%	24	28
TREMAINS ROAD	1	2.70%	12	18
WATERTON	3	8.11%	22	28
Total	37	100.00%	298	424

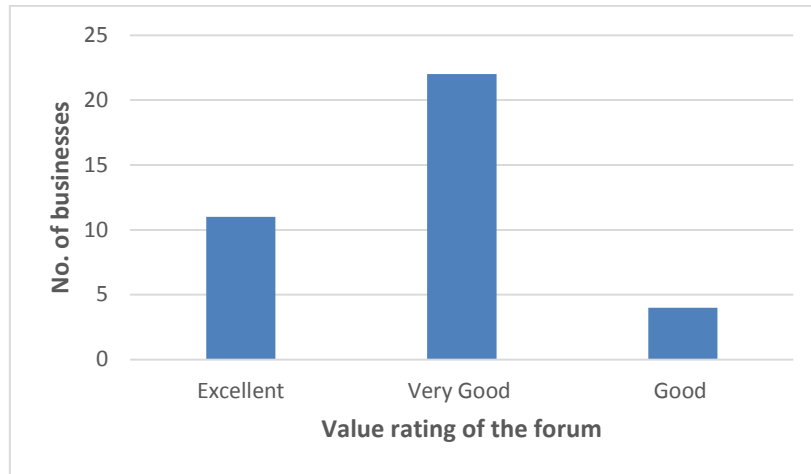
Small businesses (54%) had the greatest representation at the forum, followed by micro businesses (27%), (Table 6).

TABLE 6: SIZE OF BUSINESS ATTENDING FORUM

SME	Frequency	Percentage
MEDIUM	10	27.03%
MICRO	5	13.51%
NATIONAL	2	5.41%
SMALL	20	54.05%
Total	37	100.00%

All 37 delegates completed the feedback form and 37 (100%) delegates reported that they had learnt something from attending the forum and all delegates found the forum 'good value' or better, with 11 (30%) indicating that it had been 'excellent' value (Graph 7).

GRAPH 7: HOW DELEGATES RATED THE VALUE OF THE FORUM



Specific feedback from businesses on what they found particularly useful included:

- A better understanding of health surveillance and employment law
- Clarity on how to incorporate health and well-being into the workplace
- Improved awareness on how to influence and manage health and safety culture
- Gave a focus on specific areas of health and safety to apply in the workplace
- Good update to improve own health and safety procedures
- Learning from other businesses and specialists
- Better understanding of the legal requirements
- The quality of workshops and presenters

32/35 (91%) businesses reported that they would be making changes to their workplace as a result of attending the forum. Proposed changes included:

- Adopt a better approach to employees using PPE, incorporating disciplinary approach
- Improvements to employee induction
- Updating employment law policy to include drug and alcohol
- Changes to dust extraction and LEVs
- Improvements to documents and records
- Review and updating of H&S policies to include information from forum (fire safety, risk assessments, working at height, confined space, ventilation)
- Develop/Improve health and safety culture and employee engagement
- Improving communication
- Incorporating/improving health surveillance
- Health and well-being in the workplace

36/36 (100%) businesses confirmed they were interested in attending further workshops. Businesses were also given the opportunity to provide any other comments, the most common comments included:

- Very informative and well organised day
- Good format, workshops relaxed, interactive and helpful
- Good network opportunity
- Worthwhile event

Summary of Results

- 374 businesses were visited of which 57% were LA enforced and 43% were enforced by HSE.
- Overall response rate of 61% (82% LA enforced businesses and 46% HSE enforced businesses).
- 83% of visits were with individuals who were in a position to make changes within the organisation, 68% involved engagement with either the director or manager of the business.
- The response rate and source of information collected during the visits is representative of businesses operating from estates in Bridgend County Borough and can be used to inform future interventions and business engagement projects within this target group.
- Micro businesses made up the greatest proportion of businesses operating on the estates (172, 54%). This group are particularly hard to reach and have the least access to health and safety support and advice.
- 3 health and safety indicators were used (business's self-assessed their levels of awareness and officers judged performance and confidence in management) to provide insight into health and safety standards but small samples size would suggest a level of caution with interpretation of some of these results. A correlation was observed between the distribution of safety and health performance and attitude of management. This is not unexpected as a business with a higher standard of safety and health performance is more likely to be managed competently and have a positive attitude to health and safety. In general, the self-assessed awareness indicator showed some correlation with officer's judgement, although businesses were more optimistic in their standard than the officers.
- Site visits confirmed that business needed more support in the following areas:
 - Management of asbestos
 - Risk Assessment
 - Accidents and ill-health
 - Musculoskeletal disorders and
 - Working at height
- Officers confirmed a lack of business awareness in relation to substance misuse and tobacco use and its impact on health and safety in the workplace. Visits also confirmed that businesses had policies in place but these were not implemented, this was particularly prevalent in micro and small businesses.
- 92 referrals from 65 businesses were made to a range of stakeholder organisations, 43% to Bridgend County Borough Council Estates Department and 29% to Public Health Wales.
- The Business Forum was well promoted: face to face engagement with follow up phone calls and e-mails, local posters displayed on estates, utilising Bridgend Business Forum and local business networks. Attendance was still poor, data was not available to explain this but it postulated that a day event was too much for smaller businesses to commit to, and the use of 'advisory visits' to encourage attendance (previous experience in SRS has found that inspection led visits support a response rate of greater than 60%). In addition, trust may have influenced attendance.
- 88 people attended the Forum however only 37 (42%) were delegates representing 27 businesses from 9 industrial estates. This represented 7% of the businesses visited (6% in LA enforced and 9% in HSE enforced businesses).
- Small businesses made up the greatest proportion of those attended (20, 54%), 5 (14%) micro business attended. Compatible with HSE's strategy 'Helping Great Britain Work Well'
- The format and content of the Forum was successful: 37 (100%) reported learning something and 32 (91%) reported that they would make changes to their workplace as a result of attending the Forum. 36 (100%) confirmed that they would be interested in attending further workshops.
- The 5 internal aims of BEEP were achieved and regulators are now better informed about the industries and health, safety and well-being risks associated with businesses operating on the 24 industrial estates operating in Bridgend County Borough. This will enable a more accurate risk based approach to future proactive interventions. Four of the 5 external aims were achieved and it is envisaged that the 4 aims will reduce the cost to businesses of injury and ill health, the final aim.

- Considerable resources were used by SRS, HSE and PHW to manage, coordinate and scope this project. Undertaking site visits and encouraging attendance at the Forum was also extremely resource intensive.

Conclusion

The project aim was to support businesses effectively manage a safe, healthy and more prosperous workplace in line with:

- HSE's 'Helping Great Britain Work Well' Strategy and
- SRS's corporate priorities of 'Improving health and well-being, and 'Supporting the local economy' and the overall Service aim of 'To work with others to protect people's health and safety by ensuring risks in the changing workplace are managed properly'

This intervention was informed by local intelligence, BEEP targeted businesses operating from the 24 industrial estates in Bridgend County Borough Council, this group are known to have higher than average accident and ill-health rates and show early morbidity and mortality.

The project was ambitious in terms of geographical and industry scope, timeline and available resources to meet the project aims but it was necessary and 9/10 (90%) aims were achieved. Further, it was the first employers' engagement project that attempted more detailed analysis of business characteristics and indicators of compliance. This information will provide good intelligence to inform future interventions. BEEP also provided a useful platform for networking of sponsors, local businesses and health providers as well as regulator engagement with Business Wales, a collaboration which also provides additional benefits to targeted businesses.

As anticipated this target group did present challenges in achieving positive engagement and this may in part be explained by the use of advisory site visits rather than inspection led visits. Previous engagement projects undertaken by SRS have shown good engagement where the visits were inspection led and where a particular industry was targeted for example the 2017 residential care homes intervention. Response rates for site visits were good and from both HSE and SRS's viewpoint this phase of the project was critical to facilitate the up-dating of records thus enabling future policy decisions to be informed from accurate information.

Site visits have clearly identified that micro businesses require the most support and this group should be the focus of further health and safety interventions, particularly in the areas of: Management of asbestos, risk assessment, accidents and ill-health, musculoskeletal disorders and working at height. Visits also confirmed a lack of business awareness in relation to substance misuse and tobacco use, it was evident that businesses did not fully appreciate the impact of poor health and health behaviours on business productivity and standards.

The business forum, which was informed by the outcome of the site visits and supported businesses in better managing risks associated with their industry. It also enabled further employer engagement in a more informal setting. The format and content of the forum was successful: 37 (100%) reported learning something and 32 (91%) reported that they would make changes to their workplace as a result of attending the Forum. 36 (100%) confirmed that they would be interested in attending further workshops. However attendance at the forum was poor, only 7% of businesses who had received a project visit attended, this was despite considerable application of resources to encourage attendance. There are a number of possible reasons for this level of attendance: location, its possible that more businesses would have attended if the workshop had taken place on their estate; the timing, smaller businesses may have been unable to attend the full day, although it was made clear that businesses did not have to commit to attending the whole day.

This intervention provided good evidence that partnership working is a useful approach to support businesses in the effective management of health and safety within the workplace, however a more efficient approach would be to use inspection led visits targeted at a specific industry. The approach and focus of business engagement project are one of the most effective methods of assuring legislative compliance and encouraging business growth.

Moving Forward

The following points are worthy of consideration in improving the outcome of future employers engagement projects:

- Utilise inspection led visits to a targeted industry sector.
- With continued limited local authority resources target industries by region rather than local authority
- Where appropriate those local authorities considering utilising the EEP approach to seek support from previous project leaders.

This project provides good intelligence to regulators and public health organisations for future initiatives, the following should be considered:

- Public Health Wales to follow up issues relating to substance misuse and tobacco use in businesses that participated in BEEP.
- SRS H&S enforcement team to undertake an employers' engagement project in the Vale of Glamorgan – VEPP, this should be informed by intelligence, be inspection led and target a specific industry sector throughout Bridgend, Cardiff and the Vale.
- SRS Industry to follow up on issues relating to health and safety risks associated with management of asbestos risk assessment, accidents and ill-health, musculoskeletal disorders and working at height.
- HSE to plan a future BEEP forum, working with partners and likely to focus on management of respiratory risk (asbestos, dusts, fumes, legionella and related occupational health surveillance).

Appendix 3 – Corporate priorities and outcomes of partner authorities

Bridgend County Borough Council	City of Cardiff Council	Vale of Glamorgan Council
		

Corporate Priorities

<ul style="list-style-type: none"> • Supporting a successful economy; • Helping people to become more self reliant; • Smarter use of resources 	<ul style="list-style-type: none"> • Working for Cardiff; • Working for Wales; • Working for the future; • Working for public services 	<ul style="list-style-type: none"> • Reducing poverty and social inclusion; • Providing decent homes and safe communities; • Promoting regeneration, economic growth and employment; • Promoting sustainable development and protecting our environment; • Raising overall standards of achievement; • Valuing culture and diversity; • Encouraging and promoting active and healthy lifestyles; • Safeguarding those that are vulnerable and promoting independent living.
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Corporate Outcomes

<ul style="list-style-type: none"> • Supporting a successful economy; • Helping people to become more self reliant; • Smarter use of resources 	<ul style="list-style-type: none"> • Cardiff is a great place to grow up; • Cardiff is a great place to grow older; • Supporting people out of poverty; • Safe, confident and empowered communities; • A Capital City that works for Wales; • Cardiff grows in an resilient way; • Modernising and integrating our public services. 	<ul style="list-style-type: none"> • An inclusive and safe Vale; • An environmentally responsible and prosperous Vale; • An aspirational and culturally vibrant Vale; • An active and healthy Vale.
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