

Meeting of:	Shared Regulatory Services Joint Committee
Date of Meeting:	Tuesday, 29 September 2020
Relevant Scrutiny Committee:	All Scrutiny Committees
Report Title:	Overview and Update on Shared Regulatory Services
Purpose of Report:	This report provides an update on the work undertaken by the Shared Regulatory Service (SRS)
Report Owner:	Director of Environment and Housing
Responsible Officer:	Head of Shared Regulatory Services
Elected Member and Officer Consultation:	No Elected Members have been consulted. The following officers have been consulted; Assistant Director, Cardiff Council, Head of Legal and Regulatory services, Bridgend County Borough Council
Policy Framework:	This is matter delegated to the Joint Committee
Executive Summary:	<ul style="list-style-type: none"> The report appraises the Committee of the work of the service and progress toward completing the actions contained in the SRS Business Plans.

Recommendations

The Committee is asked to:-

1. Consider, note and agree the contents of this report
2. Approve the draft Communicable Disease and Port Health Plan for use in the SRS region, and authorise the Head of the Shared Regulatory Service to make administrative amendments to the 2020-21 Plan, should the need arise.
3. Approve the draft Health and Safety Enforcement Service Plan for use in the SRS region, and authorise the Head of the Shared Regulatory Service to make administrative amendments to the 2020-21 Plan, should the need arise

Reasons for Recommendations

1. The report appraises the Committee of the work of the service and the progress toward completing the actions contained in the SRS Business Plans.
2. To ensure that the Shared Regulatory Service has robust arrangements in place to fulfil its role of protecting public health through the investigation of cases and outbreaks of communicable disease and the application of control, preventative and enforcement measures.
3. To ensure that the Shared Regulatory Service has robust arrangements in place to deliver its obligations as an enforcing authority under the Health and Safety at Work Act 1974 and comply with statutory guidance.

1. Background

- 1.1** SRS Business Plans are developed in consultation with stakeholders; they inform and direct the work of the service and contribute toward the corporate priorities of each partner Council. The service has five key aims, namely:

- Improving Health and Wellbeing
- Safeguarding the Vulnerable
- Protecting the Local Environment
- Supporting the Local Economy
- Maximising the use of our resources

This report contains information outlining how the service is working to achieve better outcomes for residents and businesses within the region through a series of different actions and work programmes. The report provides an overview of activities undertaken in the period April to September 2020.

2. Key Issues for Consideration

Human Resources

- 2.1 Sickness absence levels at the end of Quarter 1 were 1.71 days per FTE person overall.

	Short Term Days Lost per FTE	Long Term Days Lost per FTE	Total Days lost Per FTE
Q1 2020-21	0.37	1.34	1.71
Q1 2019/20	0.55	1.29	1.83

- 2.2 When compared with the same time frame in 2019-20, Q1 saw a 33% reduction in the short term FTE absence figure for SRS and a 7% reduction in the total days lost per FTE. In contrast there was a slight increase of 4% in the number of days lost per FTE due to long term sickness when compared to Q1 in 2019-20. There are no immediate discernible trends in the absence figures represented, however it may be the case that the ability for all staff to work from home as a result of the COVID 19 pandemic and lockdown has contributed to the quite substantial reduction in the rate of short term absence, year on year.
- 2.3 Once again, these figures compare favourably when viewed in the wider context of comparison against the average sickness rates across the partner Councils.

Financial Position Quarter 1

- 2.4 The financial monitoring report for the period 1st April to 30th June 2020 is attached at **Appendix 1**. It has been prepared from the consolidated figures gathered from each Authority for this period. The Service is reporting a forecast outturn position of a £520k overspend, against the 2020/21 gross revenue budget of £8.209m.

Performance Monitoring

- 2.5 Joint Committee members are provided with data on activity levels to help reassure local members at each council that SRS activity continues to tackle issues across the region. Performance data for quarter 1 of 2020-21 is set out at **Appendix 2** and is reported to each Council in line with the legacy performance management regimes and existing service plans. A presentation on the Q1 performance contained in **Appendix 2** will be provided at the Joint Committee meeting.
- 2.6 The quarter saw the height of the COVID 19 pandemic and associated lockdown, and huge pressures were placed on the Service. This was both in terms of the

enforcement demands of the new Public Health (Coronavirus Restrictions) (Wales) Regulations and also in ensuring that the needs of staff were met with regard to those with underlying health conditions being protected, and those with possible symptoms being able to isolate. At the same time, the steer provided by national regulators such as the Food Standards Agency was to avoid physical inspections other than those related to emergency incidents, and faced with this, SRS relied on letters and phone calls as the primary means to engage with businesses. The combination of these factors has meant that our traditional inspection programme for Q1 and beyond has been severely impacted.

- 2.7** That said, certain areas of service delivery saw a significant increase in demand, for example in relation to noise nuisance. This particular spike is likely due to the simple fact that residents have been spending more time at home and are therefore more attuned to others' noise as well as making more noise (such as playing music) themselves. **Appendix 3** gives a flavour of the broad range of COVID related enforcement and advice work carried out by SRS during Q1, and presents this in a useful infographic format. The Service updates below provide a degree of detail and context for Joint Committee on some of the key areas of this work.

Service Update – COVID 19 related work

Business Closure and social distancing

- 2.8** When the UK was put into lockdown on 23rd March 2020 in an unprecedented step to limit the spread of coronavirus, the government put into place a limited number of reasons for people to be allowed to leave their homes. As a consequence, many non-essential shops and businesses had to close, and all non-key workers were required to work from home where possible. It became the responsibility of SRS to enforce the Health Protection (Coronavirus Restrictions) (Wales) Regulations and one of the early demands of this legislation was ensuring that a wide range of businesses falling into the non-essential category across the SRS region closed, and remained closed.
- 2.9** For those essential businesses such as food stores that were able to remain open, the onus was on maintaining social distancing between customers and staff both within the premises and while queueing outside prior to entry. This was an unsettling time for all concerned, and SRS provided the necessary guidance to enable businesses to put in place the measures necessary to ensure that 2m social distancing could be maintained in food stores.

Hotels

- 2.10** At the start of the lockdown, hotels were not allowed to open their doors to guests in the traditional sense. However, at the request, or with the permission of the local authority, they could accommodate key workers, so that they could be located closer to their place of work. SRS facilitated this process to ensure that this

exemption was not abused and was only used for bona fide circumstances. This was achieved through consideration of each particular context and the authorisation of individuals to stay at hotel premises on a case by case basis.

Scams and unfair trading

- 2.11** Scammers and rogue traders will always seek to exploit any excuse to make a profit at the expense of others, and unfortunately, the COVID 19 pandemic has presented the ideal set of circumstances for some to prey on the very real fears of the public at this time. Reinforcing the fact that the perpetrators of scams really are the lowest of the low, SRS has received complaints from residents where rogues have offered a whole range of COVID related frauds. These included such scams as driveway cleaning marketed at preventing the spread of the virus and the door to door sale of 'COVID testing kits' (at a time when genuine testing was in its infancy and very difficult to access). Other scams we have become aware of have been sent to unsuspecting residents via email and text notifying them that they had been seen out on more than just the one occasion per day for exercise (which was all that was permitted at the time) and as a result they must pay a fixed penalty notice charge.
- 2.12** SRS also became aware of incidents of 'price gouging' or profiteering whereby the price of essential commodities fluctuated depending on demand, this being at a time when supply chain issues coupled with panic buying left some shelves bare in retail outlets. Finally in this category, a number of residents experienced difficulty in obtaining refunds for bookings cancelled as a result of the pandemic and lockdown restrictions, for example holidays, weddings, concerts and other events. The Competition and Markets Authority has since published its guidance on *Coronavirus (COVID-19), consumer contracts, cancellation and refunds* to support individuals encountering such difficulties, as well as securing undertakings from a number of big players in the sectors concerned.

Test Trace and Protect scheme

- 2.13** Perhaps the biggest commitment made by SRS during lockdown is its participation in the Test, Trace and Protect scheme (TTP). Senior officers have been at the heart of the TTP initiative from the outset. Across the two health boards almost 20 officers have been involved in the tracing of people who have tested positive for coronavirus linking with health professionals to identify trends and incidents and restrict the spread of the disease.
- 2.14** Moving forward, incidence rates are being closely monitored, so that the SRS input into TTP can be tailored accordingly. This allows TTP demand to be met during local spikes and in any second wave that occurs, while at the same time allowing the flexibility for staff made available to TTP to devote time to their substantive SRS roles during quieter times.

Support for re-opening of businesses

- 2.15** Just as SRS was at the forefront of the initial business closure work, it has been playing a crucial role in supporting businesses as they prepare to re-open to the public and in maintaining good practices thereafter. As part of this work, the Service has provided tailored guidance to a number of shopping centres and sporting venues to assist the management with the necessary risk assessments and implementation of reasonable measures.
- 2.16** More recently, as Welsh Government has allowed further business sectors to re-open, the focus for the Service has changed to one where businesses are being challenged as to the continued adequacy of the measures they have in place as well as their ability to control the behaviours of customers. To assist the Service in requiring non-compliant businesses to put in place the necessary measures, a Premises Improvement Notice can be issued. This requires the person responsible for the non-compliant premises to put in place such measures as the Enforcement Officer believes are necessary and proportionate to secure compliance.
- 2.17** Furthermore, if a Premises Improvement Notice hasn't been complied within the time specified, and the Enforcement Officer considers that closure of the premises (or part of the premises) is necessary and proportionate to minimise the risk of exposure to coronavirus, then a Premises Closure Notice can be issued. Such a notice has the effect of closing the premises for the time specified which can be no more than 336 hours (14 days). Note that there are circumstances in which a closure notice can be issued without the need to have first issued an improvement notice.

Product safety testing on PPE

- 2.18** The early days of lockdown saw huge demands being placed on supply chains for items essential to the pandemic response such as hand sanitisers, masks and gloves. To help alleviate this and maximise availability, the UK Government encouraged manufacturers of different products to re-purpose, and this saw many alcohol producers for example switch to the manufacture of hand sanitiser. At the same time, suppliers sourced hand sanitiser from across the UK and beyond, often outside of their normal areas of expertise.
- 2.19** As the three partner Councils began distributing COVID related items of PPE to staff, SRS obtained samples for testing by the Public Analyst and other specialist laboratories to ensure effectiveness. The results of analysis give cause for concern with 14 of the 40 hand sanitiser samples failing to meet the required standard (of at least 60% alcohol to be an effective hand sanitiser), while one other sample failed to meet the description and claims made about it. Together, these figures represent an overall failure rate of 35%.

- 2.20** SRS has since been working with the three authorities to ensure non-compliant stock is quarantined, and a number of product safety investigations are in progress.

Service Update – Communicable Disease and Port Health Plan 2020-21

- 2.21** SRS publishes a number of operational plans to advise stakeholders of the work to be carried out in certain environments. The document attached at **Appendix 4** is the Communicable Disease and Port Health Plan, which sets out how the SRS will fulfil its role of protecting public health through the investigation of cases and outbreaks of communicable disease and the application of control, preventative and enforcement measures.
- 2.22** The plan relates to the ‘business as usual’ services relating to communicable disease and does not fully describe the services contribution to TTP arrangements. It should not however be underestimated how the TTP programme contributes to protecting public health during the Covid-19 pandemic.
- 2.23** Joint Committee is asked to consider the draft Communicable Disease and Port Health Plan and approve its use in the SRS region. In addition, Joint Committee is asked to authorise the Head of the Shared Regulatory Service to make administrative amendments to the 2020-21 Plan, should he need arise.

Service Update – Section 18 Health and Safety Plan 2020-21

- 2.24** Section 18 of the Health and Safety at Work Act requires Local Authorities to produce a Health and Safety Service Plan setting out the arrangements in place to discharge these duties. A copy of the draft Health and Safety Enforcement Service Plan for 2020-21 is attached as **Appendix 5** to this report, and is designed to inform residents as well as the business community of Bridgend, Cardiff and the Vale of Glamorgan, on the arrangements the Councils have in place to regulate health and safety.
- 2.25** Joint Committee is asked to consider the draft Health and Safety Enforcement Service Plan and approve its use in the SRS region. In addition, Joint Committee is asked to authorise the Head of the Shared Regulatory Service to make administrative amendments to the 2020-21 Plan, should he need arise.

Enforcement Activity

- 2.26** Details of recent cases investigated by the SRS that have resulted in prosecution are set out in **Appendix 6** to this report.

3. How do proposals evidence the Five Ways of Working and contribute to our Well-being Objectives?

3.1 The Well-being of Future Generations Act requires the SRS to underpin decision making by contributing to the seven well-being goals of the Act, following the five ways of working, and consequently undertaking actions that will have a positive impact on people living in the future as well as those living today. Consequently, SRS seeks to work in the following ways:

- Looking to the long term
- Taking an integrated approach;
- Involving a diversity of the population in the decisions affecting them;
- Working with others in a collaborative way to find shared sustainable solutions
- Acting to prevent problems from occurring or getting worse.

3.2 The fundamental purpose of the SRS (here defined as trading standards, environmental health and licensing) is to protect residents, consumers, businesses and communities. The broad range of responsibilities can make it difficult to demonstrate succinctly their impact and value in terms of the wellbeing; the SRS Business Plans provide members with greater detail and articulate how those statutory responsibilities, and subsequent activities, contribute toward wellbeing across the region. This update report reflects some of the activities undertaken in recent months to promote the sustainable development principle.

4. Resources and Legal Considerations

Financial

4.1 The Participants' contribution towards the Shared Regulatory Service is recharged on a quarterly basis, based upon the approved budgets for 2019/20. Accounting for the full year is reported to the Committee at the Annual General Meeting.

Employment

4.2 There are no immediate employment implications associated with this report.

Legal (Including Equalities)

4.3 There are no immediate legal implications associated with this report.

5. Background Papers

Appendices:

- Appendix 1 Quarter 1 Financial report
- Appendix 2 Quarter 1 Performance data
- Appendix 3 Quarter 1 infographic on COVID related work
- Appendix 4 Communicable Disease and Health Protection Plan 2020-21
- Appendix 5 Health and Safety Enforcement Service Plan
- Appendix 6 Details of SRS prosecutions.

Meeting of:	Shared Regulatory Services Joint Committee
Date of Meeting:	Tuesday, 08 September 2020
Relevant Scrutiny Committee:	No Relevant Scrutiny Committee
Report Title:	Revenue Monitoring for the Period 1st April to 30th June 2020
Purpose of Report:	To provide the Partner Authorities with details of the financial performance achieved during Quarter 1 of 2020/21 in respect of the Shared Regulatory Service
Report Owner:	Section 151 Officer
Responsible Officer:	Miles Punter Director of Environment and Housing Services
Elected Member and Officer Consultation:	Head of Service for Shared Regulatory Service
Policy Framework:	This is a matter for the Shared Regulatory Committee
Executive Summary:	<ul style="list-style-type: none"> • The revenue position for 2020/21 includes a savings target of £166k required by the Partner Authorities from the current year's budget, resulting in an agreed gross revenue budget of £8.209m. • As at 30th June 2020, the Shared Regulatory Service is reporting a forecast outturn position of a £520k overspend, against the 2020/21 gross revenue budget of £8.209m. • The forecast outturn position is the result of ongoing costs relating to the January 2020 horse seizure. As a direct consequence of the impact of the Covid19 virus, there is now an unanticipated delay of 6 months in the case being heard at court. • Covid19 has also impacted on income generation ability of the SRS. It is considered that income may result in a 76% shortfall of target if the current position continues. However, it is hoped that this position will be mitigated by Covid19 income loss claims submitted to Welsh Government. • This report advises on the financial position of the Service, and the resulting impact to each of the Partner Authorities when considering the forecast outturn position in respect of financial year 2020/21.

Recommendation

1. That the position with regard to the 2020/21 forecast outturn position is noted.

Reason for Recommendation

1. That the Members are aware of the position with regard to the 2020/21 forecast outturn position pertinent to the Board and relevant Scrutiny Committee.

1. Background

- 1.1 On the 10th December 2019, the Shared Regulatory Service (SRS) Committee approved the SRS Gross Revenue Budget for 2020/21.
- 1.2 The Managing Director (at the Host Authority) has delegated emergency powers as set out in the Council's Constitution. As a consequence of Covid19, the powers have been amended to cover the period that Council Meetings have been suspended, therefore allowing matters which are deemed to require immediate action to be resolved.
- 1.3 The lockdown measures introduced in March 2020 as a result of the Covid19 pandemic have impacted considerably on the work undertaken within the SRS, together with the ability of the service to undertake inspections and visits. This has required the Service to modify the way in which it works which will undoubtedly have an impact on service delivery throughout 2020/21. In light of these significant changes, it has been necessary to constantly review service delivery throughout the lockdown period, and determine long-term measures that can be implemented to include the accessibility of services, risk assessments for officers and the collaborative working arrangements with other organisations.
- 1.4 At this time, there is an uncertainty on how many businesses will cease trading as a result of Covid19, and the very likely economic downturn directly associated with the pandemic. Each business that ceases trading and remains vacant will result in a loss of income for the Council.
- 1.5 The impact of the pandemic has also had a visible bearing on income generated by the service. As at quarter 1, only 6% of the budgeted income has been received by the Service, should the collection level remain at this rate, the year-end position could result in 76% shortfall of target.
- 1.6 In January 2020, the Service undertook an operation where the SRS worked as part of a multidisciplinary team in the seizure of 240 horses - many of the mares have since had foals with the numbers still rising. The horses are currently being housed in secure accommodation with access to veterinary care where necessary. The case was scheduled to be heard on the 1st April 2020, however, the case has now been deferred for trial until October 2020. The financial impact of this operation is illustrated later in this report.

2. Key Issues for Consideration

- 2.1 The Gross Revenue Budget and provisional outturn position for 2020/21 are shown in the tables below, with the position in respect of each of the partners detailed to include both the Core and Authority Specific expenditure positions. The service has a forecast outturn position of a £520k overspend against a gross revenue budget of £8.209m, as illustrated in the following table:

	Gross Budget	Forecast Outturn	Outturn Variance
Authority	£'000's	£'000's	£'000's
Bridgend	1,738	1,803	(65)
Cardiff	4,782	5,168	(386)
Vale	1,689	1,758	(69)
Total Gross Expenditure	8,209	8,729	(520)

- 2.2 Multiple recruitment drives have been undertaken, however, the Service continues to experience significant issues in attracting appropriate candidates to particular disciplines within the service, which may in part be due to a national scarcity of resource being available.
- 2.3 To address these issues, the Service has recruited 4 apprentices, who are being supported to progress within disciplines managed by the Service, with a view to retaining the apprentice in areas where they are best suited, and the need exists. The contracts of employment are fixed at 18 months, which enables the apprentice to access relevant external training. The current contracts are due to expire in 2021. Funding for these posts, plus costs the employment costs of university students to SRS disciplines was provided for by the agreed £200k retention from the 2018-19 SRS underspend.
- 2.4 The Service has continued to work with local universities in the practical support of students who are enrolled on degree courses relevant to areas within the SRS where there are vacancies. However, due to the impact of Covid19, this initiative has been greatly reduced towards the end of March 2020, but is planned to recommence as soon as the position within the local universities permits, which is expected to be late September 2020. This support provides the students with appropriate practical experience to aid their formal qualification, whilst actively contributing to the success and performance of the SRS.
- 2.5 Where possible, staff have worked from home since the outbreak of Covid19, with only skeleton staffing levels at the hubs, therefore achieving compliance with the social distancing guidance issued.
- 2.6 Due to qualifications and specific skills held by SRS employees, some staff have been seconded out of the service to support the delivery of PPE, supporting patients being discharged from local hospitals, hotel authorisation to house key workers plus inclusion within the Test, Trace and Protect teams across the SRS area. This has placed additional pressure on residual staffing levels and workflows.

2.7 A full breakdown of the forecast outturn position is shown in **Appendix A**.

Core Services

2.8 The approved gross Core Services Budget for 2020/21 is £5.832m and has an overall forecast outturn overspend position of £439k. The Core service's budget is allocated in line with the population split across the participating authorities, as illustrated in the following table:

Authority	%	Gross	Forecast	Outturn
		Budget	Outturn	Variance
		£'000's	£'000's	£'000's
Bridgend	22.45%	1,310	1,406	(96)
Cardiff	57.24%	3,338	3,594	(256)
Vale	20.31%	1,184	1,271	(87)
Total Core		5,832	6,271	(439)

2.9 Animal Services is forecasting an overspend of £623k, which is the result of unbudgeted costs relating to the January 2020 multiple horse seizure. As a direct result of the Covid19 restrictions, the court case has been delayed by 6 months and will now not be heard until October 2020. The financial impact of the court delay are the ongoing unbudgeted accommodation and security costs. A claim has been submitted to Welsh Government (WG) to fund these costs from the Local Authority Emergency Hardship Grant that has been made available to fund additional expenditure incurred due to the Covid19 pandemic. However, WG advised that they were not prepared to fund these costs from the grant. Alternative funding streams are therefore being explored.

2.10 Environmental Services are forecasting a £16k underspend, which is the result of an air quality officer who is currently on a partial secondment to Cardiff to assist in the City's Air Quality Initiative. A £16k income budget which formed part of the savings built into the 2020/21 budget under this heading, has only achieved 5% of the annual target to date, although it is eagerly anticipated that the position will perform closer to budget should the current restrictions be lifted.

2.11 Food Services are forecasting a £79k underspend, which is the result of on-going issues in attracting suitably qualified applicants that meet the specific skill set required by this discipline. As a consequence, the service continues to carry vacant posts, accessing support provided by both agency and students studying applicable qualifications to meet activity targets. As a result of guidance provided by the Foods Standards Agency, visits to premises that remained open during the period were undertaken remotely, with visits only being undertaken where it was considered that there may be a risk. Site visits have been undertaken to assess and award the approved premises status to businesses who provide a business to business supply to enable them to remain trading during lockdown. High risk visits have now recommenced, with all businesses that

applied for a rating during this period, to receive a site assessment in the coming periods.

- 2.12** Housing Services is forecasting a £23k overspend which is primarily due to no income being anticipated against the £20k NEST income budget in respect of the service's support of the Welsh Government backed NEST scheme, which is due to the impact of Covid19 restrictions. A claim in respect of the lost income is be submitted to WG in the next period. The number of member and customer referrals have increased, however, at this time non-emergency housing issues are not being investigated. Throughout the period, the service has worked tirelessly with the housing and homelessness sections of the partner authorities to investigate residents who have presented themselves as being homeless who had previously resided at both caravan and camp sites.
- 2.13** Health & Safety and Communicable Disease are forecasting a marginal overspend of £3k, which is the result of the accumulation of smaller variances across the headings. A number of staff from this section are currently on secondment to the regional Track, Trace and Protect teams for both the Cardiff & Vale plus Cwm Taf Health Boards. Issuing advice in accordance with the Health Protection (Coronavirus Restrictions) (Wales) Regulations 2020 where required, and attended regular multi-agency care home meetings, plus attending weekly meetings with the Social Services Commissioning Teams across the SRS region.
- 2.14** Pollution Services are currently forecasting a £12k underspend, which is the result of a part year vacancy. There has been an increase in the amount of domestic complaints during lock down, most of which have been undertaken by a multi-agency approach with other interested parties. Students that have returned to Cardiff ahead of the 2020/21 academic year have generated a significant number of noise complaints. No relaxation of the waste collection guidelines has resulted in a number of private adverts appearing on social media within the Bridgend area. Those businesses without a waste carrier license have been referred on to National Resources Wales by the service.
- 2.15** Trading Standards are forecasting an overall underspend of £103k, which is the result of the shortage of suitable candidates to fill vacant posts, plus some maternity leave which has not been covered. The teams have been extremely busy during Q1, with 700 Covid19 related service requests being received in the period. These have included verifying that social distancing and other Covid19 related restrictions are being adhered to at business premises - and following up any breaches of the regulations. 33 prohibition notices have been issued to close business premises for non-compliance. There have been a number of rogue trader operations undertaken across the region, with "no cold calling letters" issued in targeted areas to remind residents of their rights, and of new scams taking place in their areas. The service has worked with a number of businesses where items on sale have been laboratory tested and deemed not fit for purpose.
- 2.16** £39k of additional expenditure which is directly related to Covid19 has been recovered directly from WG in the period via a claim against the Hardship Grant.

- 2.17** Two team leaders from within Core continue to be on secondments out of the service, with team members acting up into the management roles. The cost of these posts are being recovered from Cardiff Council and Welsh Government.
- 2.18** The 2020/21 Welsh Government Rentsmart Grants of £66k are built into the SRS budget. The grant forms an element of the Housing Support Grant received directly by the partner Authorities, therefore, as with previous years, the SRS costs will be recouped directly from the partners at year end.

Authority Specific Services

- 2.19** The approved gross budget of £2.377m in respect of Authority Specific (AS) Services has a forecast outturn overspend of £81k, as detailed in the following table:

	Gross Budget	Forecast Outturn	Outturn Variance
Authority	£'000's	£'000's	£'000's
Bridgend	428	397	31
Cardiff	1,444	1,574	(130)
Vale	505	487	18
Total AS Services	2,377	2,458	(81)

- 2.20** The £31k underspend at Bridgend, relates directly to forecast under-spend within the Kennelling & Vets Service. Activity levels on this heading continue to perform below target and are consistent with activity levels in previous periods. Despite an uptake in dog ownership during the Covid19 restriction period, the number of dogs being presented as homeless has continued to decline.
- 2.21** At the date of this report, Bridgend Licensing and Empty Homes services are both anticipating a nil variance.
- 2.22** The £130k forecast overspend at Cardiff predominantly relates to a forecast overspend of £146k within the Taxi Licensing Section, which relates to expenditure above target within both the Employee and Supplies and Services elements of the budget, and is consistent with performance achieved in previous years. Cardiff's 2020/21 Licensing income budget has been partially adjusted to reflect the budget shortfall held by the SRS.
- 2.23** The Cardiff Licensing team leader is on secondment to the Welsh Local Government Association and is working in collaboration with Welsh Authorities on the national framework in respect of the consultation on the modernisation of taxi licenses in Wales. This has enabled a fellow team member to act up into the management role.
- 2.24** HMO Cathays and HMO Plasnewydd are forecasting a combined balanced position.

- 2.25 The Student Liaison Officer is also forecasting a nil variance at this time.
- 2.26 As a direct result of commercial and licensed premises in Cardiff being closed the activity levels within the Night Time Noise team is currently at a minimal level, which has resulted in a £16k underspend being anticipated. However, it is considered that this position may change as lockdown restrictions are eased.
- 2.27 Cardiff Port Health Authority is anticipated to achieve a nil variance.
- 2.28 Overall, the Vale has a forecast outturn underspend of £18k.
- 2.29 The Licensing Service is forecasting an underspend of £9k and relates to a part year vacant post.
- 2.30 The £10k overspend within the Burial section reflects a higher than average number of public health funerals undertaken by the service this year. However, it is understood that none of the funerals undertaken by the date of this report are Covid19 related.
- 2.31 The Pest Control Service is forecasting a £3k underspend, which may in part be due to a change in working practices as a result of the impact of Covid19.
- 2.32 The Kennelling and Vets Service continues to emulate the reduction in pressures experienced at Bridgend, and as a result has a forecast £16k underspend.

Net Position

- 2.33 In accordance with the Joint Working Agreement (JWA), income budgets remain the responsibility of each Partner Authority and are shown in this report for completeness. The following table illustrates the provisional outturn overspend of £774k, against a net budget of £6.083m.

	Gross	Provisional	Outturn
	Budget	Outturn	Variance
Authority	£'000's	£'000's	£'000's
Bridgend	1,271	1,484	(213)
Cardiff	3,464	3,827	(363)
Vale	1,348	1,546	(198)
Total Net Expenditure	6,083	6,857	(774)

- 2.34 A full breakdown of the forecast outturn position is illustrated in **Appendix B**.
- 2.35 The net position for Bridgend is a provisional overspend of £213k against a net budget of £1.271m and is the result of income recovery forecast to be £148k below target. Core income is anticipated to under recover by £18k, with an additional £130k under recovery of income occurring within the Licensing Section, which may be partially due to the vehicle licenses being extended in line the Government's extension of MOT's to August 2020.

- 2.36** The net position for Cardiff is a net provisional overspend of £363k against a net budget of £3.464m. The 2020/21 income budgets held by Cardiff have been reduced by £294k, when compared to the 2019/20 income budgets. This has resulted in a forecast £23k over recovery of income being forecast in the year. A claim has been submitted to WG in respect of Covid19 income losses.
- 2.37** Core is forecast to under achieve the income target by £3k.
- 2.38** The HMO Plasnewydd 5-year license period expired in October 2019, with the consultation now completed, it is anticipated that the outcome will be reported to the relevant Cardiff Cabinet in September 2020. During the consultation no income is generated within this license area.
- 2.39** HMO Cathays and HMO Plasnewydd are forecast to achieve the income targets of £142k, with a nil variance forecast.
- 2.40** The Licensing Section is forecast to exceed the £850k income target by £24k.
- 2.41** Cardiff Port Health Authority is funded by precepts and has therefore fully achieved the target.
- 2.42** The Student Liaison Initiative is anticipated to exceed the £17k income target by £2k.
- 2.43** The forecast net outturn position for the Vale of Glamorgan is a net overall overspend of £198k, against a net budget of £1.348m. Income is forecast to under achieve target by an overall total of £129k.
- 2.44** Core is anticipated to over achieve target by £6k.
- 2.45** Pest Control is anticipated to under achieve target by £7k which may in part be the result of new work practices being implemented within this unit as a consequence of Covid19.
- 2.46** Licensing is forecast to under achieve the income target by £128k, which may be the result of an extension to vehicle licenses in line with the UK Government's MOT exemption until August 2020. A claim has been submitted to WG for lost income relating to quarter 1, however at present this has not been approved by WG.

3. How do proposals evidence the Five Ways of Working and contribute to our Well-being Objectives?

Validation of the manner in which the SRS contributes to the Well-Being Objectives will be provided for within the Overview and Update Report submitted to the Committee by the Service.

4. Resources and Legal Considerations

Financial

4.1 As detailed in the body of this report.

Employment

4.2 There are no employment implications.

Legal (Including Equalities)

4.3 There are no legal implications.

5. Background Papers

None.

	Bridgend 2020/21			Cardiff 2020/21			Vale 2020/21			Total Gross Expenditure 2020/21		
	Budget £000's	Outturn £000's	Variance £000's	Budget £000's	Outturn £000's	Variance £000's	Budget £000's	Outturn £000's	Variance £000's	Budget £000's	Outturn £000's	Variance £000's
<u>Authority Specific</u>												
Bridgend Licensing	343	343	0							343	343	0
Bridgend Empty Homes	38	38	0							38	38	0
Kennelling & Vets Fees (Bridgend)	47	16	31							47	16	31
Cardiff Licencing				700	846	(146)				700	846	(146)
HMO Cathays				201	201	0				201	201	0
HMO Plasnewydd				275	275	0				275	275	0
Student Liaison				64	64	0				64	64	0
Night Time Noise				62	46	16				62	46	16
Cardiff Port Health				142	142	0				142	142	0
Vale Licensing							380	371	9	380	371	9
Burials (Vale)							1	11	(10)	1	11	(10)
Pest Control Service (Vale)							104	101	3	104	101	3
Vets & Kennelling Fees (Vale)							20	4	16	20	4	16
Sub total	428	397	31	1,444	1,574	(130)	505	487	18	2,377	2,458	(81)
<u>Core Services</u>												
Animal Services	86	226	(140)	219	576	(357)	78	204	(126)	383	1,006	(623)
Environmental	49	45	4	124	115	9	44	41	3	217	201	16
Food Services	329	311	18	837	792	45	297	281	16	1,463	1,384	79
Housing Services	142	145	(3)	364	381	(17)	128	131	(3)	634	657	(23)
Health & Safety & Communicable Disease	139	139	0	353	355	(2)	125	126	(1)	617	620	(3)
Pollution Services	194	192	2	495	488	7	176	173	3	865	853	12
Trading Standards	371	348	23	946	887	59	336	315	21	1,653	1,550	103
Sub total	1,310	1,406	(96)	3,338	3,594	(256)	1,184	1,271	(87)	5,832	6,271	(439)
Gross Expenditure Budget	1,738	1,803	(65)	4,782	5,168	(386)	1,689	1,758	(69)	8,209	8,729	(520)




	2020/21 Expenditure Budget £000's	2020/21 Income Budget £000's	2020/21 Net Budget £000's	Jun-20 Profiled Net Budget £000's	Jun-20 Actual Expenditure £000's	Jun-20 Actual Income £000's	Jun-20 Net Position £000's	Net Variance To Date £000's	Projected £000's	Projected YE Variance Favour/(Adverse) £000's
	A	B	C = A - B	D	E	F	G = E - F	H = D - G	I	J = C - I
Bridgend										
Core	1,310	(60)	1,250	313	278	(1)	277	36	1,364	(114)
Authority Specific										
Licensing	343	(407)	(64)	(16)	70	(24)	46	(62)	66	(130)
Empty Homes	38	0	38	10	9	0	9	1	38	0
Kenneling & Vets	47	0	47	12	3	0	3	9	16	31
	1,738	(467)	1,271	319	360	(25)	335	(16)	1,484	(213)
Cardiff										
Core	3,338	(183)	3,155	789	719	(13)	706	83	3,415	(260)
Authority Specific										
Cardiff Licencing	700	(850)	(150)	(38)	193	(127)	66	(104)	(29)	(121)
HMO Cathays	201	(55)	146	37	33	(95)	(62)	99	89	57
HMO Plasnewydd	275	(87)	188	47	62	0	62	(15)	245	(57)
Student Liaison	64	(17)	47	12	14	0	14	(2)	45	2
Night Time Noise	62	0	62	15	6	0	6	9	46	16
Cardiff Port Health	142	(126)	16	4	33	0	33	(29)	16	0
	4,782	(1,318)	3,464	866	1,060	(235)	825	41	3,827	(363)
Vale of Glamorgan										
Core	1,184	(11)	1,173	293	251	0	251	42	1,254	(81)
Authority Specific										
Vale Licensing	380	(290)	90	22	77	(16)	61	(39)	209	(119)
Burials (Vale)	1	0	1	0	2	0	2	(2)	11	(10)
Pest Control Service (Vale)	104	(40)	64	16	22	(10)	12	4	68	(4)
Vets & Kennelling Fees (Vale)	20	0	20	5	0	0	0	5	4	16
	1,689	(341)	1,348	336	352	(26)	326	10	1,546	(198)
Grand Total	8,209	(2,126)	6,083	1,521	1,772	(286)	1,486	35	6,857	(774)





Shared
Regulatory
Services

Gwasanaethau
Rheoliadol
a Rennir



 Target achieved or exceeded
 Target not achieved but on target for end of year
 Target not achieved - Corrective

 Well below target but expected to improve
 Well below target - Urgent improvement required

Team	Authority	Ref	Title	Q1 Actual	RAG Status	Q1 Comment	Annual target
Food - Combined total	Bridgend	SRS/FH/001 (PPN/001ii)	The number of high-risk inspections of Category A and B businesses that were carried out during the year.	1			
Food - Combined total	Bridgend	SRS/FH/001 (PPN/001ii)	The number of inspections due on high-risk food businesses (Category A and B) during the year.	66			
Food - Combined total	Bridgend	SRS/FH/001 (PPN/001ii)	The percentage of high risk businesses (Category A and B) that were liable to a programmed inspection that were inspected, for food hygiene.	1.52%	Red	The shortfall in inspections is due to the Covid-19 pandemic following advice from the FSA to defer planned interventions to enable the redeployment of resources to address matters relating to the emergency and reduce footfall in businesses. This required the service to focus on urgent reactive work, and the initiation of remote interventions to new businesses or those that had changed operations as a result of the outbreak to identify matters of public health concern. This resulted in 47 new food businesses being contacted and given advice. A further 32 businesses were contacted and found to be closed. In addition SRS received 119 service requests in relation to food safety, 41 of which related to Covid-19. Furthermore the team undertook a project to determine if holiday accommodation was housing key workers, engaged with seaports of Cardiff, Barry and Cardiff International Airport to ensure enhanced measures and controls were implemented. Furthermore several members of the Team were also seconded to the Test, Trace and Protect strategy.	100%
Food - Combined total	Cardiff	SRS/FH/001 (PPN/001ii)	The number of high-risk inspections of Category A and B businesses that were carried out during the year.	11			
Food - Combined total	Cardiff	SRS/FH/001 (PPN/001ii)	The number of inspections due on high-risk food businesses (Category A and B) during the year.	208			
Food - Combined total	Cardiff	SRS/FH/001 (PPN/001ii)	The percentage of high risk businesses (Category A and B) that were liable to a programmed inspection that were inspected, for food hygiene.	5.29%	Red	The shortfall in inspections is due to the Covid-19 pandemic following advice from the FSA to defer planned interventions to enable the redeployment of resources to address matters relating to the emergency and reduce footfall in businesses. This required the service to focus on urgent reactive work, and the initiation of remote interventions to new businesses or those that had changed operations as a result of the outbreak to identify matters of public health concern. This resulted in 122 new food businesses being contacted and given advice. A further 224 businesses were contacted and found to be closed. In addition SRS received 298 service requests in relation to food safety, 61 of which related to Covid-19. Furthermore the team undertook a project to determine if holiday accommodation was housing key workers, engaged with seaports of Cardiff, Barry and Cardiff International Airport to ensure enhanced measures and controls were implemented and several members of the Team were also seconded to the Test, Trace and Protect strategy.	100%
Food - Combined total	Vale of Glam	SRS/FH/001 (PPN/001ii)	The number of high-risk inspections of Category A and B businesses that were carried out during the year.	1			
Food - Combined total	Vale of Glam	SRS/FH/001 (PPN/001ii)	The number of inspections due on high-risk food businesses (Category A and B) during the year.	65			
Food - Combined total	Vale of Glam	SRS/FH/001 (PPN/001ii)	The percentage of high risk businesses (Category A and B) that were liable to a programmed inspection that were inspected, for food hygiene.	1.54%	Red	The shortfall in inspections is due to the Covid-19 pandemic following advice from the FSA to defer planned interventions to enable the redeployment of resources to address matters relating to the emergency and reduce footfall in businesses. This required the service to focus on urgent reactive work, and the initiation of remote interventions to new businesses or those that had changed operations as a result of the outbreak to identify matters of public health concern. This resulted in 31 new food businesses being contacted and given advice. A further 61 businesses were contacted and found to be closed. In addition SRS received 104 service requests in relation to food safety, 30 of which related to Covid-19. Furthermore the team undertook a project to determine if holiday accommodation was housing key workers, engaged with seaports of Cardiff, Barry and Cardiff International Airport to ensure enhanced measures and controls were implemented and several members of the Team were also seconded to the Test, Trace and Protect strategy.	100%
Food - Combined total	SRS	SRS/FH/001 (PPN/001ii)	The number of high-risk inspections of Category A and B businesses that were carried out during the year.	13			
Food - Combined total	SRS	SRS/FH/001 (PPN/001ii)	The number of inspections due on high-risk food businesses (Category A and B) during the year.	339			
Food - Combined total	SRS	SRS/FH/001 (PPN/001ii)	The percentage of high risk businesses (Category A and B) that were liable to a programmed inspection that were inspected, for food hygiene.	3.83%	Red	The shortfall in inspections is due to the Covid-19 pandemic following advice from the FSA to defer planned interventions to enable the redeployment of resources to address matters relating to the emergency and reduce footfall in businesses. This required the service to focus on urgent reactive work, and the initiation of remote interventions to new businesses or those that had changed operations as a result of the outbreak to identify matters of public health concern. This resulted in 200 new food businesses being contacted and given advice. A further 317 businesses were contacted and found to be closed. In addition SRS received 521 service requests in relation to food safety, 132 of which related to Covid-19. Furthermore the team undertook a project to determine if holiday accommodation was housing key workers, engaged with seaports of Cardiff, Barry and Cardiff International Airport to ensure enhanced measures and controls were implemented and several members of the Team were also seconded to the Test, Trace and Protect strategy.	100%

Team	Authority	Ref	Title	Q1 Actual	RAG Status	Q1 Comment	Annual target
Food - Combined total	Bridgend	SRS/FH/002 (PPN/001ii)	The number of high-risk inspections of Category C businesses that were carried out during the year.	0			
Food - Combined total	Bridgend	SRS/FH/002 (PPN/001ii)	The number of inspections due on high-risk food businesses (Category C) during the year.	475			
Food - Combined total	Bridgend	SRS/FH/002 (PPN/001ii)	The percentage of high risk businesses (Category C) that were liable to a programmed inspection that were inspected, for food hygiene.	0.00%	Red	The shortfall in inspections is due to the Covid-19 pandemic following advice from the FSA to defer planned interventions to enable the redeployment of resources to address matters relating to the emergency and reduce footfall in businesses. This required the service to focus on urgent reactive work, and the initiation of remote interventions to new businesses or those that had changed operations as a result of the outbreak to identify matters of public health concern. This resulted in 47 new food businesses being contacted and given advice. A further 32 businesses were contacted and found to be closed. In addition SRS received 119 service requests in relation to food safety, 41 of which related to Covid-19. Furthermore the team undertook a project to determine if holiday accommodation was housing key workers, engaged with seaports of Cardiff, Barry and Cardiff International Airport to ensure enhanced measures and controls were implemented. Furthermore several members of the Team were also seconded to the Test, Trace and Protect strategy.	90%
Food - Combined total	Cardiff	SRS/FH/002 (PPN/001ii)	The number of high-risk inspections of Category C businesses that were carried out during the year.	0			
Food - Combined total	Cardiff	SRS/FH/002 (PPN/001ii)	The number of inspections due on high-risk food businesses (Category C) during the year.	924			
Food - Combined total	Cardiff	SRS/FH/002 (PPN/001ii)	The percentage of high risk businesses (Category C) that were liable to a programmed inspection that were inspected, for food hygiene.	0.00%	Red	The shortfall in inspections is due to the Covid-19 pandemic following advice from the FSA to defer planned interventions to enable the redeployment of resources to address matters relating to the emergency and reduce footfall in businesses. This required the service to focus on urgent reactive work, and the initiation of remote interventions to new businesses or those that had changed operations as a result of the outbreak to identify matters of public health concern. This resulted in 122 new food businesses being contacted and given advice. A further 224 businesses were contacted and found to be closed. In addition SRS received 298 service requests in relation to food safety, 61 of which related to Covid-19. Furthermore the team undertook a project to determine if holiday accommodation was housing key workers, engaged with seaports of Cardiff, Barry and Cardiff International Airport to ensure enhanced measures and controls were implemented and several members of the Team were also seconded to the Test, Trace and Protect strategy.	90%
Food - Combined total	Vale of Glam	SRS/FH/002 (PPN/001ii)	The number of high-risk inspections of Category C businesses that were carried out during the year.	1			
Food - Combined total	Vale of Glam	SRS/FH/002 (PPN/001ii)	The number of inspections due on high-risk food businesses (Category C) during the year.	406			
Food - Combined total	Vale of Glam	SRS/FH/002 (PPN/001ii)	The percentage of high risk businesses (Category C) that were liable to a programmed inspection that were inspected, for food hygiene.	0.25%	Red	The shortfall in inspections is due to the Covid-19 pandemic following advice from the FSA to defer planned interventions to enable the redeployment of resources to address matters relating to the emergency and reduce footfall in businesses. This required the service to focus on urgent reactive work, and the initiation of remote interventions to new businesses or those that had changed operations as a result of the outbreak to identify matters of public health concern. This resulted in 31 new food businesses being contacted and given advice. A further 61 businesses were contacted and found to be closed. In addition SRS received 104 service requests in relation to food safety, 30 of which related to Covid-19. Furthermore the team undertook a project to determine if holiday accommodation was housing key workers, engaged with seaports of Cardiff, Barry and Cardiff International Airport to ensure enhanced measures and controls were implemented and several members of the Team were also seconded to the Test, Trace and Protect strategy.	90%
Food - Combined total	SRS	SRS/FH/002 (PPN/001ii)	The number of high-risk inspections of Category C businesses that were carried out during the year.	1			
Food - Combined total	SRS	SRS/FH/002 (PPN/001ii)	The number of inspections due on high-risk food businesses (Category C) during the year.	1805			
Food - Combined total	SRS	SRS/FH/002 (PPN/001ii)	The percentage of high risk businesses (Category C) that were liable to a programmed inspection that were inspected, for food hygiene.	0.06%	Red	The shortfall in inspections is due to the Covid-19 pandemic following advice from the FSA to defer planned interventions to enable the redeployment of resources to address matters relating to the emergency and reduce footfall in businesses. This required the service to focus on urgent reactive work, and the initiation of remote interventions to new businesses or those that had changed operations as a result of the outbreak to identify matters of public health concern. This resulted in 200 new food businesses being contacted and given advice. A further 317 businesses were contacted and found to be closed. In addition SRS received 521 service requests in relation to food safety, 132 of which related to Covid-19. Furthermore the team undertook a project to determine if holiday accommodation was housing key workers, engaged with seaports of Cardiff, Barry and Cardiff International Airport to ensure enhanced measures and controls were implemented and several members of the Team were also seconded to the Test, Trace and Protect strategy.	90%

Team	Authority	Ref	Title	Q1 Actual	RAG Status	Q1 Comment	Annual target
Food - Combined total	Bridgend	SRS/FH/003 (PN/008ii)	The number of new businesses identified which were subject to a risk assessment visit by or returned a self-assessment questionnaire to Food Hygiene during the year.	1			
Food - Combined total	Bridgend	SRS/FH/003 (PN/008ii)	The total number of new businesses identified by food hygiene.	81			
Food - Combined total	Bridgend	SRS/FH/003 (PN/008ii)	The percentage of new businesses identified which were subject to a risk assessment visit or returned a self-assessment questionnaire during the year, for food hygiene.	1.23%	Red	The shortfall in inspections is due to the Covid-19 pandemic following advice from the FSA to defer planned interventions to enable the redeployment of resources to address matters relating to the emergency and reduce footfall in businesses. This required the service to focus on urgent reactive work, and the initiation of remote interventions to new businesses or those that had changed operations as a result of the outbreak to identify matters of public health concern. This resulted in 47 new food businesses being contacted and given advice and risk assessed remotely with a view to visiting them if necessary.	90%
Food - Combined total	Cardiff	SRS/FH/003 (PN/008ii)	The number of new businesses identified which were subject to a risk assessment visit by or returned a self-assessment questionnaire to Food Hygiene during the year.	2			
Food - Combined total	Cardiff	SRS/FH/003 (PN/008ii)	The total number of new businesses identified by food hygiene.	376			
Food - Combined total	Cardiff	SRS/FH/003 (PN/008ii)	The percentage of new businesses identified which were subject to a risk assessment visit or returned a self-assessment questionnaire during the year, for food hygiene.	0.53%	Red	The shortfall in inspections is due to the Covid-19 pandemic following advice from the FSA to defer planned interventions to enable the redeployment of resources to address matters relating to the emergency and reduce footfall in businesses. This required the service to focus on urgent reactive work, and the initiation of remote interventions to new businesses or those that had changed operations as a result of the outbreak to identify matters of public health concern. This resulted in 122 new food businesses being contacted and given advice and risk assessed remotely with a view to visiting them if necessary.	90%
Food - Combined total	Vale of Glam	SRS/FH/003 (PN/008ii)	The number of new businesses identified which were subject to a risk assessment visit by or returned a self-assessment questionnaire to Food Hygiene during the year.	3			
Food - Combined total	Vale of Glam	SRS/FH/003 (PN/008ii)	The total number of new businesses identified by food hygiene.	100			
Food - Combined total	Vale of Glam	SRS/FH/003 (PN/008ii)	The percentage of new businesses identified which were subject to a risk assessment visit or returned a self-assessment questionnaire during the year, for food hygiene.	3.00%	Red	The shortfall in inspections is due to the Covid-19 pandemic following advice from the FSA to defer planned interventions to enable the redeployment of resources to address matters relating to the emergency and reduce footfall in businesses. This required the service to focus on urgent reactive work, and the initiation of remote interventions to new businesses or those that had changed operations as a result of the outbreak to identify matters of public health concern. This resulted in 31 new food businesses being contacted and given advice and risk assessed with a view to visiting them if necessary.	90%
Food - Combined total	SRS	SRS/FH/003 (PN/008ii)	The number of new businesses identified which were subject to a risk assessment visit by or returned a self-assessment questionnaire to Food Hygiene during the year.	6			
Food - Combined total	SRS	SRS/FH/003 (PN/008ii)	The total number of new businesses identified by food hygiene.	557			
Food - Combined total	SRS	SRS/FH/003 (PN/008ii)	The percentage of new businesses identified which were subject to a risk assessment visit or returned a self-assessment questionnaire during the year, for food hygiene.	1.08%	Red	The shortfall in inspections is due to the Covid-19 pandemic following advice from the FSA to defer planned interventions to enable the redeployment of resources to address matters relating to the emergency and reduce footfall in businesses. This required the service to focus on urgent reactive work, and the initiation of remote interventions to new businesses or those that had changed operations as a result of the outbreak to identify matters of public health concern. This resulted in 200 new food businesses being contacted and given advice and risk assessed remotely with a view to visiting the business if necessary.	90%

Team	Authority	Ref	Title	Q1 Actual	RAG	Q1 Comment	Annual target
Food	Bridgend	PAM/023 (formerly PPN/009)	Number of food establishments which are 'broadly compliant' with food hygiene standards	1273			
Food	Bridgend	PAM/023 (formerly PPN/009)	Number of food establishments trading at 31 March	1304			
Food	Bridgend	PAM/023 (formerly PPN/009)	Percentage of food establishments which are 'broadly compliant' with food hygiene standards	97.62%	Green	Target exceeded.	94%
		PAM/023 (formerly PPN/009)					
Food	Cardiff	PAM/023 (formerly PPN/009)	Number of food establishments which are 'broadly compliant' with food hygiene standards	3013			
Food	Cardiff	PAM/023 (formerly PPN/009)	Number of food establishments trading at 31 March	3160			
Food	Cardiff	PAM/023 (formerly PPN/009)	Percentage of food establishments which are 'broadly compliant' with food hygiene standards	95.35%	Green	Target exceeded.	94%
Food	Vale of Glam	PAM/023 (formerly PPN/009)	Number of food establishments which are 'broadly compliant' with food hygiene standards	1178			
Food	Vale of Glam	PAM/023 (formerly PPN/009)	Number of food establishments trading at 31 March	1210			
Food	Vale of Glam	PAM/023 (formerly PPN/009)	Percentage of food establishments which are 'broadly compliant' with food hygiene standards	97.36%	Green	Target exceeded.	94%
Food							
Food	SRS	PAM/023 (formerly PPN/009)	Number of food establishments which are 'broadly compliant' with food hygiene standards	5464			
Food	SRS	PAM/023 (formerly PPN/009)	Number of food establishments trading at 31 March	5674			
Food	SRS	PAM/023 (formerly PPN/009)	Percentage of food establishments which are 'broadly compliant' with food hygiene standards	96.30%	Green	Target exceeded.	94%

Team	Authority	Ref	Title	Q1 Actual	RAG Status	Q1 Comment	Annual target
Trading Standards Combined total	Bridgend	SRS/TS/001 (PPN/0011)	The number of high-risk businesses that were inspected during the year by trading standards.	0			
Trading Standards Combined total	Bridgend	SRS/TS/001 (PPN/0011)	The number of high-risk businesses that were selected for inspection at the beginning of the year by trading standards.	16			
Trading Standards Combined total	Bridgend	SRS/TS/001 (PPN/0011)	The percentage of high risk businesses that were liable to a programmed inspection that were inspected, for trading standards.	0.00%	Red	The shortfall in high risk inspections is due to the Covid-19 pandemic restrictions which resulted in the suspension of inspections and the re-allocation of resources to support businesses and ensure compliance with Coronavirus Regulations. This resulted in 30 visits to check businesses for non compliance with social distancing and trading regulations and the issue of a number of prohibition notices closing premises that were still trading and fixed penalty notices for persistent offenders. Furthermore the service received 266 service requests, 129 of which were complaints relating to Covid 19 or persons/businesses seeking Covid-related advice. These included non-compliance with social distancing, premises trading in breach of regulations and refunds for holidays that were cancelled. During the period the team have also carried out market surveillance of hand sanitisers and face masks that have been supplied as PPE, carried out a multi agency inspection of retail premises following complaints of anti social behaviour associated with the use of nitrous oxide, sent food standards questionnaires to food premises to verify details and provide advice and guidance and provided detailed guidance to all estate agents and letting agents across SRS to assist with the interpretation of the new regulations.	100%
Trading Standards Combined total	Cardiff	SRS/TS/001 (PPN/0011)	The number of high-risk businesses that were inspected during the year by trading standards.	0			
Trading Standards Combined total	Cardiff	SRS/TS/001 (PPN/0011)	The number of high-risk businesses that were selected for inspection at the beginning of the year by trading standards.	40			
Trading Standards Combined total	Cardiff	SRS/TS/001 (PPN/0011)	The percentage of high risk businesses that were liable to a programmed inspection that were inspected, for trading standards.	0.00%	Red	The shortfall in high risk inspections is due to the Covid-19 pandemic restrictions which resulted in the suspension of inspections and the re-allocation of resources to support businesses and ensure compliance with Coronavirus Regulations. This resulted in 126 visits to check businesses for non compliance with social distancing and trading regulations and the issue of a number of prohibition notices closing premises that were still trading and fixed penalty notices for persistent offenders. Furthermore the service received 569 service requests, 273 of which were complaints relating to Covid 19 or persons/businesses seeking Covid-related advice. These included non-compliance with social distancing, premises trading in breach of regulations and refunds for holidays that were cancelled. During the period the team have also carried out market surveillance of hand sanitisers and face masks that have been supplied as PPE, carried out a multi agency inspection of retail premises following complaints of anti social behaviour associated with the use of nitrous oxide, sent food standards questionnaires to food premises to verify details and provide advice and guidance and provided detailed guidance to all estate agents and letting agents across SRS to assist with the interpretation of the new regulations.	100%
Trading Standards Combined total	Vale of Glam	SRS/TS/001 (PPN/0011)	The number of high-risk businesses that were inspected during the year by trading standards.	0			
Trading Standards Combined total	Vale of Glam	SRS/TS/001 (PPN/0011)	The number of high-risk businesses that were selected for inspection at the beginning of the year by trading standards.	5			
Trading Standards Combined total	Vale of Glam	SRS/TS/001 (PPN/0011)	The percentage of high risk businesses that were liable to a programmed inspection that were inspected, for trading standards.	0.00%	Red	The shortfall in high risk inspections is due to the Covid-19 pandemic restrictions which resulted in the suspension of inspections and the re-allocation of resources to support businesses and ensure compliance with Coronavirus Regulations. This resulted in 48 visits to check businesses for non compliance with social distancing and trading regulations and the issue of a number of prohibition notices closing premises that were still trading and fixed penalty notices for persistent offenders. Furthermore the service received 248 service requests, 118 of which were complaints relating to Covid 19 or persons/businesses seeking Covid-related advice. These included non-compliance with social distancing, premises trading in breach of regulations and refunds for holidays that were cancelled. During the period the team have also carried out market surveillance of hand sanitisers and face masks that have been supplied as PPE, carried out a multi agency inspection of retail premises following complaints of anti social behaviour associated with the use of nitrous oxide, sent food standards questionnaires to food premises to verify details and provide advice and guidance and provided detailed guidance to all estate agents and letting agents across SRS to assist with the interpretation of the new regulations.	100%
Trading Standards Combined total - SRS	SRS	SRS/TS/001 (PPN/0011)	The number of high-risk businesses that were inspected during the year by trading standards.	0			
Trading Standards Combined total - SRS	SRS	SRS/TS/001 (PPN/0011)	The number of high-risk businesses that were selected for inspection at the beginning of the year by trading standards.	61			
Trading Standards Combined total - SRS	SRS	SRS/TS/001 (PPN/0011)	The percentage of high risk businesses that were liable to a programmed inspection that were inspected, for trading standards.	0.00%	Red	The shortfall in high risk inspections is due to the Covid-19 pandemic restrictions which resulted in the suspension of inspections and the re-allocation of resources to support businesses and ensure compliance with Coronavirus Regulations. This resulted in 204 visits to check businesses for non compliance with social distancing and trading regulations and the issue of a number of prohibition notices closing premises that were still trading and fixed penalty notices for persistent offenders. Furthermore the service received 1083 service requests, 520 of which were complaints relating to Covid 19 or persons/businesses seeking Covid-related advice. These included non-compliance with social distancing, premises trading in breach of regulations and refunds for holidays that were cancelled. During the period the team have also carried out market surveillance of hand sanitisers and face masks that have been supplied as PPE, carried out a multi agency inspection of retail premises following complaints of anti social behaviour associated with the use of nitrous oxide, sent food standards questionnaires to food premises to verify details and provide advice and guidance and provided detailed guidance to all estate agents and letting agents across SRS to assist with the interpretation of the new regulations.	100%

Team	Authority	Ref	Title	Q1 Actual	RAG Status	Q1 Comment	Annual target
Trading Standards Combined total	Bridgend	SRS/TS/003 (PPN/008i)	The number of new businesses identified which were subject to a risk assessment visit by or returned a self-assessment questionnaire to trading standards during the year.	12			
Trading Standards Combined total	Bridgend	SRS/TS/003 (PPN/008i)	The total number of new businesses identified by trading standards.	107			
Trading Standards Combined total	Bridgend	SRS/TS/003 (PPN/008i)	The percentage of new businesses identified which were subject to a risk assessment visit or returned a self-assessment questionnaire during the year, for trading standards.	11.21%	Red	The shortfall in high risk inspections is due to the Covid-19 pandemic restrictions which resulted in the suspension of inspections and the re-allocation of resources to support businesses and ensure compliance with Coronavirus Regulations. This resulted in 30 visits to check businesses for non compliance with social distancing and trading regulations and the issue of a number of prohibition notices closing premises that were still trading and fixed penalty notices for persistent offenders. Furthermore the service received 266 service requests, 129 of which were complaints relating to Covid 19 or persons/businesses seeking Covid-related advice. These included non-compliance with social distancing, premises trading in breach of regulations and refunds for holidays that were cancelled. During the period the team have also carried out market surveillance of hand sanitisers and face masks that have been supplied as PPE, carried out a multi agency inspection of retail premises following complaints of anti social behaviour associated with the use of nitrous oxide, sent food standards questionnaires to food premises to verify details and provide advice and guidance and provided detailed guidance to all estate agents and letting agents across SRS to assist with the interpretation of the new regulations.	90%
Trading Standards Combined total	Cardiff	SRS/TS/003 (PPN/008i)	The number of new businesses identified which were subject to a risk assessment visit by or returned a self-assessment questionnaire to trading standards during the year.	89			
Trading Standards Combined total	Cardiff	SRS/TS/003 (PPN/008i)	The total number of new businesses identified by trading standards.	378			
Trading Standards Combined total	Cardiff	SRS/TS/003 (PPN/008i)	The percentage of new businesses identified which were subject to a risk assessment visit or returned a self-assessment questionnaire during the year, for trading standards.	23.54%	Red	The shortfall in high risk inspections is due to the Covid-19 pandemic restrictions which resulted in the suspension of inspections and the re-allocation of resources to support businesses and ensure compliance with Coronavirus Regulations. This resulted in 126 visits to check businesses for non compliance with social distancing and trading regulations and the issue of a number of prohibition notices closing premises that were still trading and fixed penalty notices for persistent offenders. Furthermore the service received 569 service requests, 273 of which were complaints relating to Covid 19 or persons/businesses seeking Covid-related advice. These included non-compliance with social distancing, premises trading in breach of regulations and refunds for holidays that were cancelled. During the period the team have also carried out market surveillance of hand sanitisers and face masks that have been supplied as PPE, carried out a multi agency inspection of retail premises following complaints of anti social behaviour associated with the use of nitrous oxide, sent food standards questionnaires to food premises to verify details and provide advice and guidance and provided detailed guidance to all estate agents and letting agents across SRS to assist with the interpretation of the new regulations.	90%
Trading Standards Combined total	Vale of Glam	SRS/TS/003 (PPN/008i)	The number of new businesses identified which were subject to a risk assessment visit by or returned a self-assessment questionnaire to trading standards during the year.	9			
Trading Standards Combined total	Vale of Glam	SRS/TS/003 (PPN/008i)	The total number of new businesses identified by trading standards.	126			
Trading Standards Combined total	Vale of Glam	SRS/TS/003 (PPN/008i)	The percentage of new businesses identified which were subject to a risk assessment visit or returned a self-assessment questionnaire during the year, for trading standards.	7.14%	Red	The shortfall in high risk inspections is due to the Covid-19 pandemic restrictions which resulted in the suspension of inspections and the re-allocation of resources to support businesses and ensure compliance with Coronavirus Regulations. This resulted in 48 visits to check businesses for non compliance with social distancing and trading regulations and the issue of a number of prohibition notices closing premises that were still trading and fixed penalty notices for persistent offenders. Furthermore the service received 248 service requests, 118 of which were complaints relating to Covid 19 or persons/businesses seeking Covid-related advice. These included non-compliance with social distancing, premises trading in breach of regulations and refunds for holidays that were cancelled. During the period the team have also carried out market surveillance of hand sanitisers and face masks that have been supplied as PPE, carried out a multi agency inspection of retail premises following complaints of anti social behaviour associated with the use of nitrous oxide, sent food standards questionnaires to food premises to verify details and provide advice and guidance and provided detailed guidance to all estate agents and letting agents across SRS to assist with the interpretation of the new regulations.	90%
Trading Standards - SRS Combined total		SRS/TS/003 (PPN/008i)	The number of new businesses identified which were subject to a risk assessment visit by or returned a self-assessment questionnaire to trading standards during the year.	110			
Trading Standards - SRS Combined total		SRS/TS/003 (PPN/008i)	The total number of new businesses identified by trading standards.	611			
Trading Standards - SRS Combined total		SRS/TS/003 (PPN/008i)	The percentage of new businesses identified which were subject to a risk assessment visit or returned a self-assessment questionnaire during the year, for trading standards.	18.00%	Red	The shortfall in high risk inspections is due to the Covid-19 pandemic restrictions which resulted in the suspension of inspections and the re-allocation of resources to support businesses and ensure compliance with Coronavirus Regulations. This resulted in 204 visits to check businesses for non compliance with social distancing and trading regulations and the issue of a number of prohibition notices closing premises that were still trading and fixed penalty notices for persistent offenders. Furthermore the service received 1083 service requests, 520 of which were complaints relating to Covid 19 or persons/businesses seeking Covid-related advice. These included non-compliance with social distancing, premises trading in breach of regulations and refunds for holidays that were cancelled. During the period the team have also carried out market surveillance of hand sanitisers and face masks that have been supplied as PPE, carried out a multi agency inspection of retail premises following complaints of anti social behaviour associated with the use of nitrous oxide, sent food standards questionnaires to food premises to verify details and provide advice and guidance and provided detailed guidance to all estate agents and letting agents across SRS to assist with the interpretation of the new regulations.	90%

Team	Authority	Ref	Title	Qtr 1 Actual	RAG Status	Qtr 1 Comment	Annual Target
Pollution	Bridgend	SRS/LC/008	No. of domestic noise and air complaints responded to within 3 working days	319			
Pollution	Bridgend	SRS/LC/008	No. of domestic noise and air complaints received.	333			
Pollution	Bridgend	SRS/LC/008	Percentage of domestic noise and air complaints responded to within 3 working days.	95.80%	Green	Target exceeded.	90%
Pollution	Cardiff	SRS/LC/008	No. of domestic noise and air complaints responded to within 3 working days	845			
Pollution	Cardiff	SRS/LC/008	No. of domestic noise and air complaints received.	893			
Pollution	Cardiff	SRS/LC/008	Percentage of domestic noise and air complaints responded to within 3 working days.	94.62%	Green	Target exceeded.	90%
Pollution	Vale of Glam	SRS/LC/008	No. of domestic noise and air complaints responded to within 3 working days	204			
Pollution	Vale of Glam	SRS/LC/008	No. of domestic noise and air complaints received.	226			
Pollution	Vale of Glam	SRS/LC/008	Percentage of domestic noise and air complaints responded to within 3 working days.	90.27%	Green	Target exceeded.	90%
Pollution	SRS	SRS/LC/008	No. of domestic noise and air complaints responded to within 3 working days	1368			
Pollution	SRS	SRS/LC/008	No. of domestic noise and air complaints received.	1452			
Pollution	SRS	SRS/LC/008	Percentage of domestic noise and air complaints responded to within 3 working days.	94.21%	Green	Target exceeded.	90%

Team	Authority	Ref	Title	Qtr 1 Actual	RAG Status	Qtr 1 Comment	Annual Target
Pollution	Bridgend	SRS/LC/009	No. of commercial and industrial noise and air complaints responded to within one working day.	71			
Pollution	Bridgend	SRS/LC/009	No. of commercial and industrial noise and air complaints received.	90			
Pollution	Bridgend	SRS/LC/009	Percentage of commercial and industrial noise and air complaints responded to within one working day.	78.89%	Green	Target exceeded.	75%
Pollution	Cardiff	SRS/LC/009	No. of commercial and industrial noise and air complaints responded to within one working day.	164			
Pollution	Cardiff	SRS/LC/009	No. of commercial and industrial noise and air complaints received.	210			
Pollution	Cardiff	SRS/LC/009	Percentage of commercial and industrial noise and air complaints responded to within one working day.	78.10%	Green	Target exceeded.	75%
Pollution	Vale of Glam	SRS/LC/009	No. of commercial and industrial noise and air complaints responded to within one working day.	56			
Pollution	Vale of Glam	SRS/LC/009	No. of commercial and industrial noise and air complaints received.	75			
Pollution	Vale of Glam	SRS/LC/009	Percentage of commercial and industrial noise and air complaints responded to within one working day.	74.67%	Amber	Staff have had to operate in drastically different circumstances as a result of the pandemic and the team has been affected by resource being reallocated to TTP and other Covid related work. Despite this we have maintained a service to the public and responded within very tight response times. This result, whilst only fractionally off target represents an improvement compared to the same period in 2019/20.	75%
Pollution	SRS	SRS/LC/009	No. of commercial and industrial noise and air complaints responded to within one working day.	291			
Pollution	SRS	SRS/LC/009	No. of commercial and industrial noise and air complaints received.	375			
Pollution	SRS	SRS/LC/009	Percentage of commercial and industrial noise and air complaints responded to within one working day.	77.60%	Green	Target exceeded.	75%

Team	Authority	Ref	Title	Qtr 1 Actual	RAG Status	Qtr 1 Comment	Annual Target
Pollution	Bridgend	SRS/LC/010	No of alarm complaints responded to within one day.	6			
Pollution	Bridgend	SRS/LC/010	No. of alarm complaints received.	6			
Pollution	Bridgend	SRS/LC/010	Percentage of alarm complaints responded to within one day.	100.00%	Green	Target exceeded.	90%
Pollution	Cardiff	SRS/LC/010	No of alarm complaints responded to within one day.	28			
Pollution	Cardiff	SRS/LC/010	No. of alarm complaints received.	30			
Pollution	Cardiff	SRS/LC/010	Percentage of alarm complaints responded to within one day.	93.33%	Green	Target exceeded.	90%
Pollution	Vale of Glam	SRS/LC/010	No of alarm complaints responded to within one day.	2			
Pollution	Vale of Glam	SRS/LC/010	No. of alarm complaints received.	2			
Pollution	Vale of Glam	SRS/LC/010	Percentage of alarm complaints responded to within one day.	100.00%	Green	Target exceeded.	90%
Pollution	SRS	SRS/LC/010	No of alarm complaints responded to within one day.	36			
Pollution	SRS	SRS/LC/010	No. of alarm complaints received.	38			
Pollution	SRS	SRS/LC/010	Percentage of alarm complaints responded to within one day.	94.74%	Green	Target exceeded.	90%

Team	Authority	Ref	Title	Qtr 1 Actual	RAG Status	Qtr 1 Comment	Annual Target
Licensing	Bridgend	SRS/LC/004	Number of applications determined within 2 months	10			
Licensing	Bridgend	SRS/LC/004	Number of applications received	10			
Licensing	Bridgend	SRS/LC/004	% of licensed premises applications received and determined within 2 months.	100.00%	Green	Target achieved.	100%
Licensing	Cardiff	SRS/LC/004	Number of applications determined within 2 months	87			
Licensing	Cardiff	SRS/LC/004	Number of applications received	87			
Licensing	Cardiff	SRS/LC/004	% of licensed premises applications received and determined within 2 months.	100.00%	Green	Target achieved.	100%
Licensing	Vale of Glam	SRS/LC/004	Number of applications determined within 2 months	23			
Licensing	Vale of Glam	SRS/LC/004	Number of applications received	23			
Licensing	Vale of Glam	SRS/LC/004	% of licensed premises applications received and determined within 2 months.	100.00%	Green	Target achieved.	100%
Licensing	SRS	SRS/LC/004	Number of applications determined within 2 months	120			
Licensing	SRS	SRS/LC/004	Number of applications received	120			
Licensing	SRS	SRS/LC/004	% of licensed premises applications received and determined within 2 months.	100.00%	Green	Target achieved.	100%

Team	Authority	Ref	Title	Qtr 1 Actual	RAG Status	Qtr 1 Comment	Annual Target
Licensing	Bridgend	SRS/LC/005	Number of applications determined within 2 months	5			
Licensing	Bridgend	SRS/LC/005	Number of applications received	5			
Licensing	Bridgend	SRS/LC/005	% of licensed personal applications received and determined within 2 months.	100.00%	Green	Target achieved.	100%
Licensing	Cardiff	SRS/LC/005	Number of applications determined within 2 months	69			
Licensing	Cardiff	SRS/LC/005	Number of applications received	69			
Licensing	Cardiff	SRS/LC/005	% of licensed personal applications received and determined within 2 months.	100.00%	Green	Target achieved.	100%
Licensing	Vale of Glam	SRS/LC/005	Number of applications determined within 2 months	4			
Licensing	Vale of Glam	SRS/LC/005	Number of applications received	4			
Licensing	Vale of Glam	SRS/LC/005	% of licensed personal applications received and determined within 2 months.	100.00%	Green	Target achieved.	100%
Licensing	SRS	SRS/LC/005	Number of applications determined within 2 months	78			
Licensing	SRS	SRS/LC/005	Number of applications received	78			
Licensing	SRS	SRS/LC/005	% of licensed personal applications received and determined within 2 months.	100.00%	Green	Target achieved.	100%

Team	Authority	Ref	Title	Qtr 1 Actual	RAG Status	Qtr 1 Comment	Annual Target
Licensing	Bridgend	SRS/LC/006	Number of applications determined within 2 months	0			
Licensing	Bridgend	SRS/LC/006	Number of applications received	0			
Licensing	Bridgend	SRS/LC/006	% of Gambling Premises applications received and determined within 2 months.	0.00%	Green	No applications received.	100%
Licensing	Cardiff	SRS/LC/006	Number of applications determined within 2 months	0			
Licensing	Cardiff	SRS/LC/006	Number of applications received	0			
Licensing	Cardiff	SRS/LC/006	% of Gambling Premises applications received and determined within 2 months.	0.00%	Green	No applications received.	100%
Licensing	Vale of Glam	SRS/LC/006	Number of applications determined within 2 months	0			
Licensing	Vale of Glam	SRS/LC/006	Number of applications received	0			
Licensing	Vale of Glam	SRS/LC/006	% of Gambling Premises applications received and determined within 2 months.	0.00%	Green	No applications received.	100%
Licensing	SRS	SRS/LC/006	Number of applications determined within 2 months	0			
Licensing	SRS	SRS/LC/006	Number of applications received	0			
Licensing	SRS	SRS/LC/006	% of Gambling Premises applications received and determined within 2 months.	0.00%	Green	No applications received.	100%



747

Service requests received making complaint or seeking advice on Covid-19 related matters.



204



Visits made to businesses to check compliance with regulations in respect of social distancing and business closures.

18

Officers seconded to TTP in Professional Lead and Contact Tracer roles. Our Communicable Disease Team continued to provide support to care homes and deal with escalated referrals

Test · Trace · Protect

110

Care settings that received Infection Prevention and Control Assessments

89

Waning letters issued

31

Prohibition Notices issued and 6 Fixed Penalty Notices

26

Incidents of new Covid-19 cases in care home settings managed

1565

Noise and Air complaints received. 420 more than the same period last year.



82

Service requests and referrals received in relation to Doorstep crime, Scams and Safeguarding issues.



159

Hotels, caravan sites and overnight accommodation contacted .

42

Permits granted to hotels, and overnight accommodation to house key workers and the homeless.



308

New food businesses contacted and given advice on food hygiene and food standards



25

Profiteering incidents or Covid-19 related scams reported.

Shared Regulatory Services

Communicable Disease and Health Service Plan

2020-21



Communicable
Disease



Contents

Introduction

1. Service Aims and Objectives

- 1.1 Primary aims
- 1.2 Links to the Corporate Objectives and local plans

2. Overview of Service

- 2.1 Area Profile
- 2.2 Organisational structure
- 2.3 Scope of the Communicable Disease Service
- 2.4 Resources
- 2.5 Staff Development and competency
- 2.6 Challenges for the year ahead
- 2.7 Action Plan 2020/2021

3. Service Delivery and Performance 2019/2020

- 3.1 Introduction
- 3.2 Performance and Activities
- 3.3 Achievements
- 3.4 Customer satisfaction.

Appendix A – Full report of the enforcement intervention to assess shisha lounge compliance with smoke-free legislative requirements.

Appendix B – Corporate priorities of Bridgend, Cardiff and Vale of Glamorgan Councils.

Introduction

Local Authorities have a responsibility to provide comprehensive health protection service to businesses, residents and visitors of Bridgend, Cardiff and the Vale of Glamorgan. This is largely achieved through the investigation of cases and outbreaks of communicable disease and the application of control, preventative and enforcement measures together with a number of other proactive activities. This Service Plan is produced to inform the business community and wider audience of the arrangements Bridgend, Cardiff and the Vale of Glamorgan has in place to discharge this duty.

As we enter the new financial year, we do so mindful of the unprecedented challenges of the global Covid-19 pandemic which is posing a growing threat to the health and wellbeing of societies. At this early stage we have already seen the demand on our resources increase significantly, while officers have had to rapidly adjust to new ways of working. This is particularly evident in the area of Test, Track and Protect which currently sits within the remit of Commercial Services. We recognise the need to continue to adapt as the situation evolves and are realistic in acknowledging that our priorities and plans may change as the year progresses.

This service plan therefore outlines our current arrangements and proposed interventions and actions to be delivered during the year. Whilst these may be subject to change, we remain committed to protecting and improving the health of people across the region.

Christina Hill
Operational Manager Commercial Services

1. Service Aims and Objectives

1.1 Primary aims

The Communicable Disease Service is committed to protecting individuals from harm, preventing communicable disease and promoting health improvement and to demonstrate this; the service has adopted the following aims and objectives.

The overall aim of the service is:-

The protection and improvement of the health of the people of Bridgend, Cardiff and the Vale of Glamorgan

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

- The timely investigation, surveillance, control, and prevention of sporadic and outbreak cases of communicable disease, including the development and implementation of related public health intervention strategies.
- The enforcement of Health Protection legislation to minimise the spread of communicable disease and contamination from radiation and chemicals that threaten health.
- The provision of infection control and nutritional training.
- Leading and supporting the work of council services and external organisations including local communities and industry to protect and minimise the impact of public health risks to the population of Bridgend, Cardiff and the Vale of Glamorgan.
- In line with Cardiff's Healthy City status undertake targeted health promotion and intervention activities by acting upon the social, economic, environmental and biological determinants of health and wellbeing.

1.2 Links to Corporate Objectives 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 A). In developing our own strategic priorities and outcomes 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.



SRS priorities particularly relevant to the delivery of the communicable disease service are :-

Improving health and wellbeing Amongst other factors impacting health, the service works with others to protect public health by controlling and preventing sporadic cases and outbreaks of communicable disease contributing to the reduction in ill health in people.

Supporting the local economy The provision of timely advice and engagement on health and infection control 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.

Safeguarding the vulnerable Much of the reactive surveillance work forms the foundation for proactive evidence based interventions focused on vulnerable and 'at risk' sectors of our community. This work routinely involves working in partnership with the business community, Public Health Wales, voluntary organisations and supporting other Council services such as Schools.

Nationally the service also contributes to the **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.

The Local Public Health (medium term) Plan 2020-2023, 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. A number of themes detailed in the public health work programme dovetail with work being undertaken by the Communicable Disease, Health and Safety service as part of its proactive

and reactive work (e.g. delivering the Healthy Option Award scheme; providing appropriate infection control advice when interviewing confirmed cases of communicable disease; enforcement of current smoke-free legislation across the region).

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, 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.

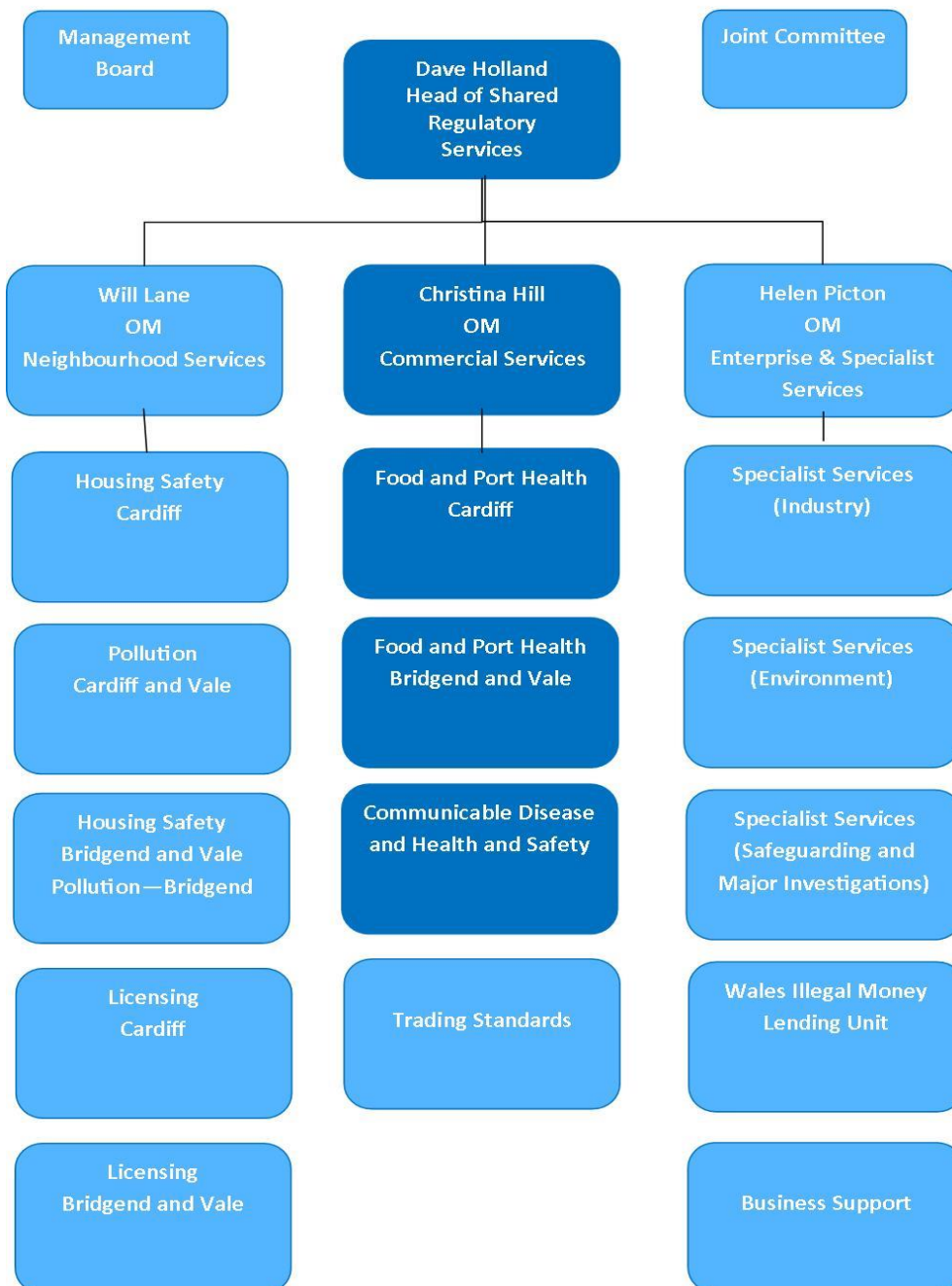


2.2 Organisational Structure

Communicable Disease Services are provided by the Commercial Services Team within Shared Regulatory 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.

Operational functions within the Service are illustrated in the following table with those that have responsibility for public health issues highlighted in darker blue.

Shared Regulatory Services Organisational Chart



2.3 Scope of the Communicable Disease Service

A comprehensive health protection and improvement service is delivered by combining surveillance, public health intervention, epidemiological studies, enforcement, advice, training and promotion. Much of the reactive surveillance work forms the foundation for proactive evidence based interventions focused on vulnerable and 'at risk' sectors of our community; in particular young people and the elderly. Examples of proactive interventions undertaken by the service will be detailed later on in this report. Outbreak and cluster investigations also form a significant part of our reactive role.

Shared Regulatory Services, and its Officers, continues to lead nationally on aspects of communicable disease and health protection, most notably since 2018 when the Team Manager was seconded to Welsh Government to lead on the development of the Special Procedures Licensing regime in accordance with the Public Health (Wales) Act 2017. Another Officer from the service additionally contributes to the national 'task and finish' group which, to-date, has assisted in the development of the Level 2 Award in Infection Prevention and Control.

The Key services delivered are:

- The investigation of confirmed sporadic and outbreak cases of communicable disease and all actions required as a result of those investigations;
- Responding to complaints of suspected food poisoning and infectious disease risks
- Enforcement of Health Protection legislation including the service of 'Requests for Cooperation', the application for Part 2A Orders and exclusion of infected cases or close contacts from place of work, education or leisure activities.
- Lead on local and national communicable disease initiatives, which involve proactive business engagement and partnership working commonly Public Health Wales, Business Wales, Welsh Government and other Council services such as education and corporate health and safety.
- Undertake health promotion and public health interventions (*e.g. Healthy Option Awards; Healthy and Sustainable Pre-School Schemes; preparing educational videos*).
- Management and delivery of infection control and nutritional training.
- Assess client consultation and infection control arrangements in businesses registering to undertake skin piercing activities (*tattooing; cosmetic piercing; acupuncture; electrolysis; semi-permanent make-up*).

Service delivery points

Communicable Disease Services are delivered from all 3 hubs: County Hall, Cardiff; Civic Offices in the Vale and Ravens Court in Bridgend on an agile basis. The Service generally operates office hours from Monday to Friday, with Lead Officers being contactable outside of office hours via the 24 hour emergency service for the investigation and control of communicable diseases of public health significance; such as E. Coli O157, Typhoid and Legionnaires' disease. Officers will also conduct investigations and case interviews outside of normal office hours for significant pathogens so that the spread of communicable disease in the wider community is controlled as quickly as possible.

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

2.4 Resources

Financial allocation

The expenditure directly involved in providing the Communicable Disease Service for 2020/2021 is included in the Service budget and is considered adequate to ensure the effective delivery of the service under normal circumstances.

Staffing allocation

The table below indicates the actual number of staff working on Communicable Disease Control and related matters (in terms of full time equivalents FTE).

N.B. - during the 2019/2020 business year a Commercial Services Officer post and Commercial Services Technical Officer post became vacant.

Position	Function	FTE
Head of Shared Regulatory Services	Management of Shared Regulatory Service.	0.05
Operational Manager Regulatory Commercial Services x 1	Management of Commercial Services	0.10
Team Manager Communicable Disease, Health and Safety (also a designated Lead Officer) x 1	Management and delivery of the Communicable Disease Service.	0.50
Lead Officer for Communicable Disease x 2	All aspects of communicable disease investigation, enforcement, control and prevention.	1.2
Commercial Services Officer (Communicable Disease, Health & Safety) x 3	Assist with all aspects of communicable disease investigation, enforcement, control and prevention (<i>additional resource can be diverted to CD function as service demand dictates</i>)	0.5
Commercial Services Technical Officer (Communicable Disease, Health & Safety) x 2	All aspects of communicable disease investigation and enforcement	1.20

2.5 Staff Development and Competency

Shared Regulatory Service's approach to managing the competency of its employees is through the Workforce Development Plan which provides a structure for developing staff to ensure the right mix of experience, knowledge and skills, 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 to blend:-

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

To improve business resilience, and bolster the competency of staff in the Communicable Disease, Health and Safety Team, a number of additional Officers were up-skilled during 2019 so that they are now competent using the Tarian database and confident interviewing confirmed cases of illness. This in-house training has, and continues to be, enhanced by Lead Officer and Support Lead Officer training courses as they become available from Public Health Wales.

Workforce development is enhanced through annual performance reviews where the Team Manager identifies personal objectives for each member of the team and assesses training needs for the year ahead. This management tool is further supported by periodic team meetings and regular team contact (*face-to-face discussions; Email communications and telephone calls*).

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

Officers within the Communicable Disease, Health & Safety Team additionally have access to the technical support and expertise of the local CCDC (Consultant in Communicable Disease Control) and Health Protection Team in Public Health Wales, particularly when dealing with outbreaks and clusters of communicable disease, and complex conditions that have a significant impact on the wider community (such as TB).

Lead Officers regularly attend regional communicable disease task group meetings and the all-Wales Expert Panel for communicable disease meetings.

The Service ensures that competency is secured by appointing appropriately qualified and experienced personnel to carry out the communicable disease function. There are specific job descriptions and person specifications for all employees of Shared Regulatory Services and all appointments are made in accordance with the procedures for recruitment and selection.

2.6 Challenges for the year ahead

Special Procedures Licensing: Part 4 of the Public Health (Wales) Act 2017 requires a mandatory licensing scheme for practitioners and premises carrying out 'special procedures' in Wales. Such 'special procedures' includes carrying on the business of tattooing; cosmetic body piercing; semi-permanent skin colouring; acupuncture and electrolysis. Under this new regulatory regime all practitioners must achieve the required standard to be granted a personal licence, whilst the premises must reach the requisite standard to be approved. Both the licence and approval are renewable on a 3 yearly basis. A new competency framework will require the practitioner to successfully complete infection control and first aid training, and pass a professional interview, before being issued with their licence. Each Local Authority will also be required to undertake at least 1 unannounced inspection of all approved premises every 3 years to determine its compliance against a prescribed standard.

Whilst SRS welcomes the introduction of this new robust regulatory regime for 'special procedures' across Bridgend, Cardiff and Vale of Glamorgan, the scheme does present a number of significant challenges for SRS during the year ahead.

- ✚ Welsh Government is currently unable to confirm a date when the new legislation will come into force; initially the new licensing regime was to be introduced in April 2019, but this has been repeatedly delayed due to Brexit and now the COVID-19 pandemic. Consequently SRS is currently unable to make an accurate business forecast of additional staff/resources necessary to deliver this new regulatory requirement alongside existing work commitments.
- ✚ As a region, SRS has the highest number of skin piercing businesses and practitioners in Wales. The delivery of training, arrangement of professional interviews for all applicants and more regular inspection of premises will have a significant impact on the team's capacity for other statutory work.
- ✚ During the 2019/2020 year, SRS became an approved centre for the delivery of the RSPH level 2 infection control training. Unfortunately Welsh Government had to delay the 'train-the-trainer' course for Officers delivering the Level 2 course due to the COVID-19 pandemic.
- ✚ At the time of writing this report, only 3 approved centres are currently able to offer the RSPH level 2 infection control training across the region. A lack of other training providers across the region will place a higher demand on courses being offered by SRS.
- ✚ Officer guidance on the implementation of Part 4 of the Act has yet to be provided to Local Authorities.

Challenges presented by rare, emerging and re-emerging pathogens: The service continues to be presented, either nationally or locally, with challenges presented by rare; emerging and re-emerging pathogens. Three pathogens that are currently impacting on, or likely to impact, the service during 2020/2021 are: Coronavirus COVID-19; Legionella and Tuberculosis.

COVID-19 - The worldwide pandemic of Coronavirus COVID-19, and subsequent 'lockdown' across the UK, has had a significant impact on the team. Officers have had to rapidly familiarise themselves with new legislation and effectively deal with non-compliant businesses; support closed care settings (*such as nursing and residential care homes*) instigate effective infection prevention and control measures alongside multi-agency stakeholders and work alongside port health colleagues to monitor the health status of in-coming passengers and crew via air and seaports. As 'lockdown' incrementally relaxes over ensuing months, the team will also be actively involved with contact tracing in accordance with the Government's Test, Track and Protect strategy. Whilst this plan does not go into any detail as to the arrangements of TTP, members will be suitably informed of the services in depth contribution to this initiative.

Legionella – The COVID-19 pandemic has resulted in a significant number of buildings and work places either fully closing, or being less frequently occupied, across the Bridgend, Cardiff and Vale of Glamorgan areas during the emergency period. The increased potential for water stagnation, and less robust water management controls, could escalate the proliferation of legionella bacteria in hot and cold water systems. A failure to raise awareness of these risks amongst home owners and businesses could subsequently see an increase in the number of confirmed cases of *Legionella pneumophila* following the relaxation of 'lockdown' in a population already exposed to a virus that compromises the respiratory system.

Tuberculosis (TB) – The number of confirmed cases is steadily increasing across the SRS region. This is predominantly the result of the diverse ethnic profile of the population across all 3 authority areas; a growing number of homeless people, particularly in Cardiff; and both Cardiff and Bridgend possessing a large prison population. The team continued to work closely with Public Health Wales and Housing Services during 2019/2020 to effectively manage the risk of infection to the wider community for a number of confirmed TB cases, and it is anticipated that this trend will continue during the 2020/2021 business year.

Cardiff's City Status: Cardiff is the capital city of Wales, and the largest Local Authority in the Principality, with a population of 360,000 which swells by approximately 70,000 each day from commuters, students and visitors; both national and international. Its popularity as a leisure and entertainment destination continues to grow, with many large scale events taking place across the city throughout the year. This status presents a range of public health risks whose control and prevention is the responsibility of the communicable disease service in partnership with Public Health Wales. The risks vary in terms of complexity, significance and resource application.

End of transition period for UK leaving the EU: As the UK prepares to leave the EU, SRS is keeping abreast with the potential changes as they occur. The outcome, however, may have a significant impact on border control arrangements across the UK. Since SRS has both sea ports and airports within its jurisdiction, this could have a profound impact on cases of communicable disease directly entering the service area. Whilst multi-agency preparations remain on-going, the full ramifications of Brexit remain unclear at this juncture.

2.7 Action Plan 2020/2021

The following action plan is evidence based and has been developed for 2020/2021 and outlines how through reactive and proactive work the Service will:

1. Improve health and well being
2. Safeguard the vulnerable
3. Support the local economy and
4. Maximise the use of resources

The Communicable Disease and Health Protection Service also contributes to the Section 18 Health and Safety Enforcement Plan, and the Food Law Enforcement Plan, and details of this contribution are contained within those respective documents.

Communicable Disease Action Plan 2020/2021	
Relevant Strategic Priorities	Objective
	Investigate and control sporadic and outbreak notifications of communicable disease and undertake public health interventions to prevent increased incidence of illness and minimise onward transmission
1, 2, 3	Q1 Undertake timely investigations of sporadic cases of communicable disease; outbreaks and suspected food poisonings, and apply appropriate control and preventative measures.
1, 2, 3	Continue to support businesses and legacy authorities across SRS with infection control training and advice during outbreaks.
1, 2	Support Public Health Wales deal with possible and confirmed cases of COVID-19 that refuse to self-isolate in accordance with current Government requirements (<i>preparation of 'requests to co-operate' or Part 2A Orders under Health Protection legislation</i>).
1, 2	Prepare a warning letter template; prohibition notice template and fixed penalty notice template for the enforcement of the Health Protection (Coronavirus Restrictions) (Wales) Regulations 2020 (<i>as amended</i>).
1, 2	Investigate people and workplaces failing to comply with the requirements of the Health Protection (Coronavirus Restrictions) (Wales) Regulations 2020 (<i>as amended</i>) and take appropriate enforcement action to mitigate the spread of the virus.
1, 2, 4	Support Welsh Government, Public Health Wales, Local Health Boards, Care Inspectorate for Wales and Social Services prevent and control the spread of novel Coronavirus infection (COVID-19) in closed care settings (<i>e.g. residential care homes; nursing homes etc.</i>)
1, 2, 3	Undertake case and contact tracing as part of the Government's Test, Track and Protect programme.
1, 3	Prepare guidance for businesses that have been mothballed or less frequently used to advise of the risks associated with Legionella and measures to be taken to minimise the risk of COVID-19 infection.
1, 2, 3	Q2 Undertake timely investigations of sporadic cases of communicable disease; outbreaks and suspected food poisonings, and apply appropriate control and preventative measures.
1, 2, 3	Continue to support businesses and legacy authorities across SRS with infection control training and advice during outbreaks.
1, 2	Support Public Health Wales deal with possible and confirmed cases of COVID-19 that are refusing to self-isolate in accordance with current Government requirements (<i>preparation of 'requests to co-operate' or Part 2A Orders under Health Protection legislation</i>).
1, 2	Investigate people and workplaces failing to comply with the requirements of the Health Protection (Coronavirus Restrictions) (Wales) Regulations 2020 (<i>as amended</i>) and take appropriate enforcement action to mitigate the spread of the virus.

1, 2, 4		Support Welsh Government, Public Health Wales, Local Health Boards, Care Inspectorate for Wales and Social Services prevent and control the spread of novel Coronavirus infection (COVID-19) in closed care settings (<i>e.g. residential care homes; nursing homes etc.</i>)
1, 2, 3		Undertake case and contact tracing as part of the Government's Test, Track and Protect programme.
1, 2, 3	Q3	Undertake timely investigations of sporadic cases of communicable disease; outbreaks and suspected food poisonings, and apply appropriate control and preventative measures.
1, 2, 3		Continue to support businesses and legacy authorities across SRS with infection control training and advice during outbreaks.
1, 2		Support Public Health Wales deal with possible and confirmed cases of COVID-19 that are refusing to self-isolate in accordance with current Government requirements (<i>preparation of 'requests to co-operate' or Part 2A Orders under Health Protection legislation</i>).
1, 2, 4		Support Welsh Government, Public Health Wales, Local Health Boards, Care Inspectorate for Wales and Social Services prevent and control the spread of novel Coronavirus infection (COVID-19) in closed care settings (<i>e.g. residential care homes; nursing homes etc.</i>)
1, 2, 3		Undertake case and contact tracing as part of the Government's Test, Track and Protect programme.
1, 2		Proactive intervention to examine how the risk of Legionella is being managed in cooling towers across the Cardiff area, and hot tubs on display across Cardiff, Bridgend and Vale of Glamorgan areas.
1, 2, 3	Q4	Undertake timely investigations of sporadic cases of communicable disease; outbreaks and suspected food poisonings, and apply appropriate control and preventative measures.
1, 2, 3		Continue to support businesses and legacy authorities across SRS with infection control training and advice during outbreaks.
4		Continue review of working arrangements and procedures currently implemented in the communicable disease service to promote officer efficiency.
1, 2		Support Public Health Wales deal with possible and confirmed cases of COVID-19 that are refusing to self-isolate in accordance with current Government requirements (<i>preparation of 'requests to co-operate' or Part 2A Orders under Health Protection legislation</i>).
1, 2, 4		Support Welsh Government, Public Health Wales, Local Health Boards, Care Inspectorate for Wales and Social Services prevent and control the spread of novel Coronavirus infection (COVID-19) in closed care settings (<i>e.g. residential care homes; nursing homes etc.</i>)
1, 2, 3		Undertake case and contact tracing as part of the Government's Test, Track and Protect programme.
1, 2		Proactive intervention to examine how the risk of Legionella is being managed in cooling towers across the Cardiff area, and hot tubs on display across Cardiff, Bridgend and Vale of Glamorgan areas.
1, 3		

3. Service Delivery and Performance 2019/20

3.1 Introduction

The Communicable Disease Service is supported by an active surveillance system managed through the national database, Tarian, which is utilised by all Welsh Local Authorities and Public Health Wales. All information pertaining to communicable disease incidents (*e.g. Norovirus issues in a school or residential care setting*); sporadic cases of notifiable illness and outbreaks are logged on Tarian. Since its introduction Tarian has facilitated more effective communication between stakeholders; supports effective case management; enables early detection of outbreaks and enabled the Authority to more readily identify trends in infectious disease cases.

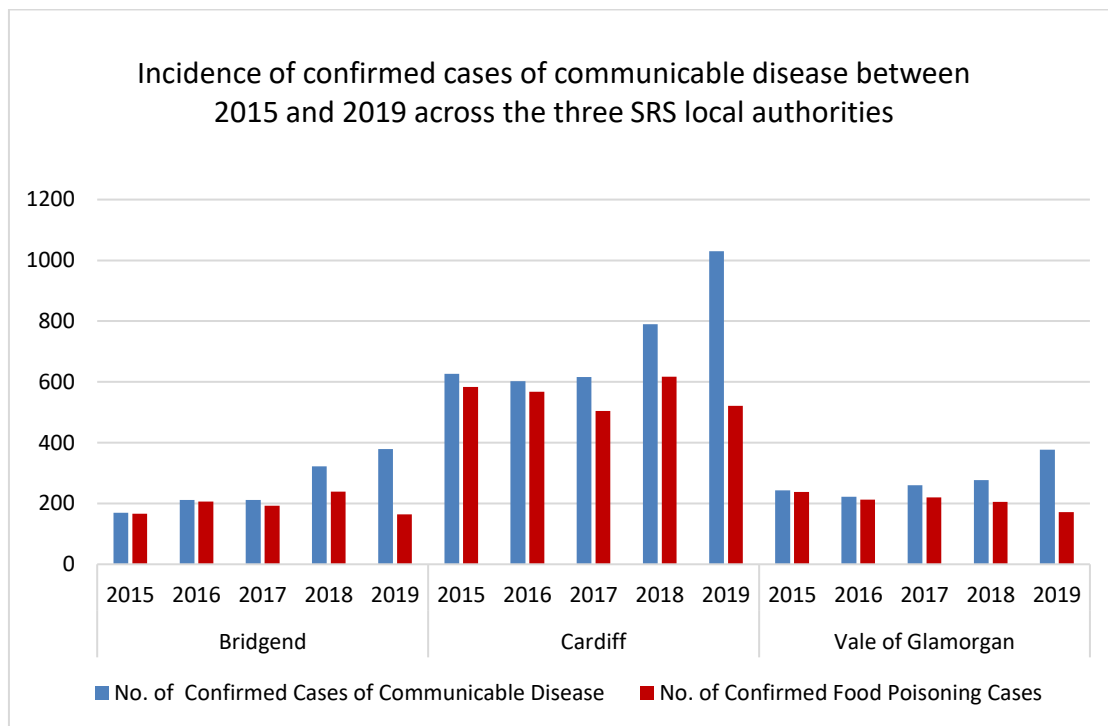
In 2019 there were 2149 cases of communicable diseases notified to SRS. 1786 (83%) of these were laboratory confirmed and 363 (17%) were unconfirmed (suspected) food poisoning cases. This is an increase on previous years. In 2018 there were 1707 cases, of which 1389 (81%) were lab confirmed and in 2017 there were 1354 cases, of which 1070 (79%) were lab confirmed.

The table below shows the number of cases of confirmed and unconfirmed communicable diseases per local authority.

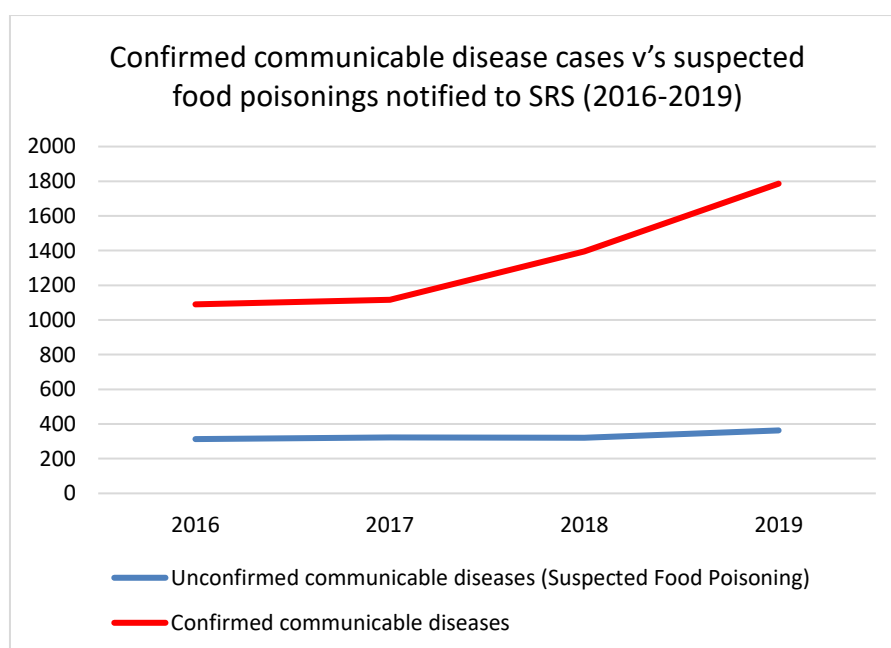
	Confirmed CDs (CFP₁)	Unconfirmed CDs	Total
Bridgend	379(164)	60	439
Cardiff	1030(521)	261	1291
Vale	377(172)	42	419
Total	1786 (857)	363	2149

CFP₁ = confirmed food poisoning as applied in the 'Disease' tab in Tarian

The graph below illustrates the incidence of notified cases of communicable disease across Bridgend, Cardiff and Vale of Glamorgan between 2015 and 2019. The upward trend of notified cases reflects the introduction of PCR testing in the microbiology laboratories in June 2018.

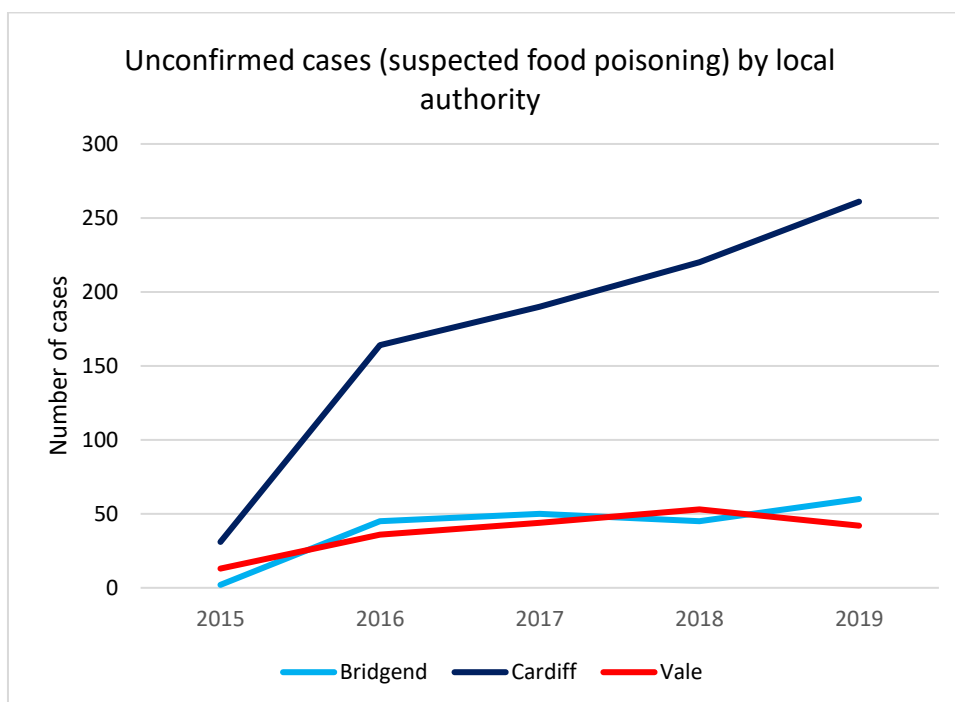


Confirmed food poisoning cases - as applied in the 'Disease' tab in Tarian



The above graph illustrates an increase of confirmed communicable disease cases notified to SRS, especially between 2017 and 2019. This can in part be explained by the introduction of molecular testing methods in the microbiology laboratories in June 2018.

The number of suspected food poisoning complaints has remained fairly constant over the 3 year period, however 2019 has seen a slight increase of cases (363) when compared with 2018 (321). This increase is seen in Cardiff and Bridgend, however the Vale have seen a decrease in unconfirmed cases.



3.2 Performance activities

The investigation of confirmed sporadic and outbreak cases of communicable disease require a reactive service and our performance measures therefore reflect this by measuring response to notifications.

Sporadic cases

The Notification Guidance made under the Health Protection (Notification) (Wales) Regulations 2010 dictates the response times required to be taken by Local Authorities investigating cases of communicable disease. All cases of confirmed communicable disease notified to SRS are responded to and every effort is made to undertake a full investigation by carrying out case interviews. The target response time for contacting the case is dependent on the public health significance of the pathogen concerned; as detailed in the table below.

L.A. target response times for common communicable disease pathogens

Pathogen	Response time
Campylobacter	Within 2 working days (unless part of a cluster or outbreak)
Cryptosporidium	Within 1 working day (same day if an outbreak)
Giardia	Within 1 working day (same day if part of an outbreak)
Salmonella spp.	Within 1 working day (same day if part of an outbreak, or case is a food handler/works in a closed community such as a care home) Salmonella typhoid or paratyphoid – Within 4 hours
E. coli O157	Within 4 hours
Hepatitis A	Within 4 hours
Hepatitis E	Within 2 working days

Shigella	Shigella sonnei – Within 1 working day; other Shigella sp. - Within 4 hours
Legionella spp.	Within 4 hours

Response times were reviewed in October 2018

A review of the response rates of cases (% of notified cases that were interviewed) across the 3 local authorities for Campylobacter showed that this was consistent across the 3 SRS local authorities.

Campylobacter response rates 2019 (2018 figures shown in red as a comparison)

	Bridgend	Cardiff	Vale	SRS Total
Cases interviewed	161 (183)	497 (447)	168 (160)	826 (790)
Total cases	187 (198)	576 (492)	191 (174)	954 (864)
Response rate	86% (92%)	86% (91%)	88% (92%)	87% (91%)

A comparison of response rates from 2015 to 2019

	2019	2018	2017	2016	2015
Bridgend	86%	92%	96%	97%	77%
Cardiff	86%	91%	93%	94%	96%
Vale	88%	92%	97%	96%	50%

Response times for all 3 Authorities continued to remain high during 2019, primarily due to the fact that Officers interviewed cases by telephone within a couple of days of notification. Evidence, and experience, indicates that cases of illness are more willing to engage with the interview process if still experiencing symptoms, or have only recently recovered. It is also more likely that the recall of the case will be more accurate and detailed, thereby enabling the Officer to identify all possible risk factors and instigate timely public health intervention to minimise the onward transmission of illness. The slight decrease in response rate percentage from that observed during 2018 can be attributed to several factors; namely:

- An overall increase in the number of Campylobacter notifications received by SRS.
- Reduction in staffing levels – the creation of vacancies due to the departure of 2 Commercial Services Officers and 1 Commercial Services Technical Officer during 2019/2020.
- Additional work demands – principally in relation to more significant pathogens such as Hepatitis A; Legionella; and Tuberculosis.

Campylobacter Infection

The incidence of Campylobacter infection throughout SRS far exceeds other notifiable diseases, as illustrated in the table below, which reflects the national trend observed across the UK. The reason for such high numbers of cases is the wide range of risk factors associated with Campylobacter, which may include: foreign travel; consumption of undercooked poultry and poultry offal (*i.e. 'pink' chicken livers*); consumption of unpasteurised dairy products; consumption of contaminated drinking or leisure water; contact with animals/birds and their faeces; domestic sewerage problems and close contact with an infected person (*i.e. changing nappies of an infected child*) and subsequent poor hand hygiene.

More recently identified risk factors associated with cases of this illness have been consumption of raw milk; feeding pet animals raw food (meat) and the practice of washing

raw chicken packaging for recycling (where the bacteria becomes splashed onto adjacent surfaces and subsequently transferred onto hands, ready-to-eat foods or other equipment).

Campylobacter remains an important public health risk. The pathogen has multiple risk factors in addition to having a low infective dose, meaning that a person only needs to be exposed to a small amount of the bacteria to become ill. It is therefore critical that the communicable disease service retains the requisite level of resource to be able to effectively investigate all confirmed cases in a timely manner.

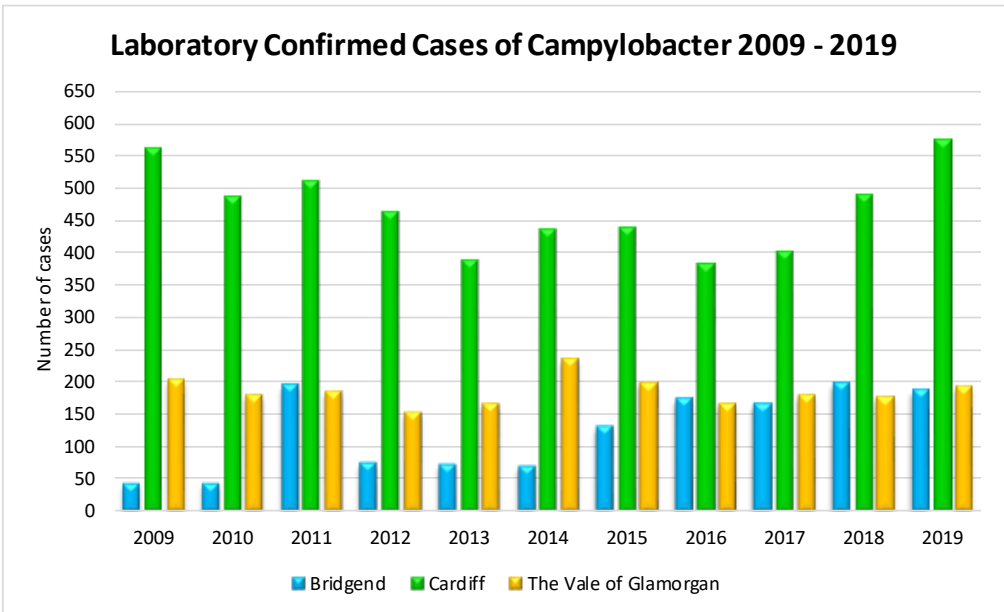
Incidence of confirmed communicable disease cases in 3 local authorities between 2015 and 2019

	Bridgend					Cardiff					Vale				
	2015	2016	2017	2018	2019	2015	2016	2017	2018	2019	2015	2016	2017	2018	2019
Campylobacter	137	173	164	198	187	442	385	400	491	576	198	164	177	174	191
Salmonella	14	13	23	22	13	53	60	50	56	54	12	16	27	11	17
Cryptosporidium	6	12	5	11	17	42	71	22	35	52	15	18	11	17	9
Giardia	2	1	0	23	28	29	39	34	41	69	10	7	5	12	36
E. coli O157	1	1	1	0	2	4	2	1	0	4	2	2	1	0	0
E. coli non O157*				16	24				27	46				6	18
Hepatitis E	6	2	2	2	5	7	4	5	5	3	1	4	3	2	2
Hepatitis A	0	0	0	3	0	1	3	5	2	1	0	0	1	1	7
Listeria	0	0	1	0	1	2	1	1	0	1	0	2	0	0	0
Legionella	2	2	3	2	3	9	3	4	3	8	2	0	2	8	5
Shigella	0	0	1	2	1	13	3	4	12	15	3	0	0	7	4
Other	1	8	11	43	98	25	31	81	118	201	0	9	25	39	88
Total	169	212	211	322	379	627	602	607	790	1030	243	222	252	277	377

*June/July 2018 onwards (due to changes in laboratory testing methods this is now being reported to SRS)

NB. ‘Other’ includes Entamoeba histolytica/dispar, Borrelia burgdorferi (Lyme disease), Leptospira, Vibrio cholera, Taenia, Cyclospora and Norovirus. The majority of cases in this category are Norovirus (94 in Bridgend, 196 in Cardiff and 87 in the Vale of Glamorgan in 2019).

Reported cases of Campylobacter from 2009 - 2019



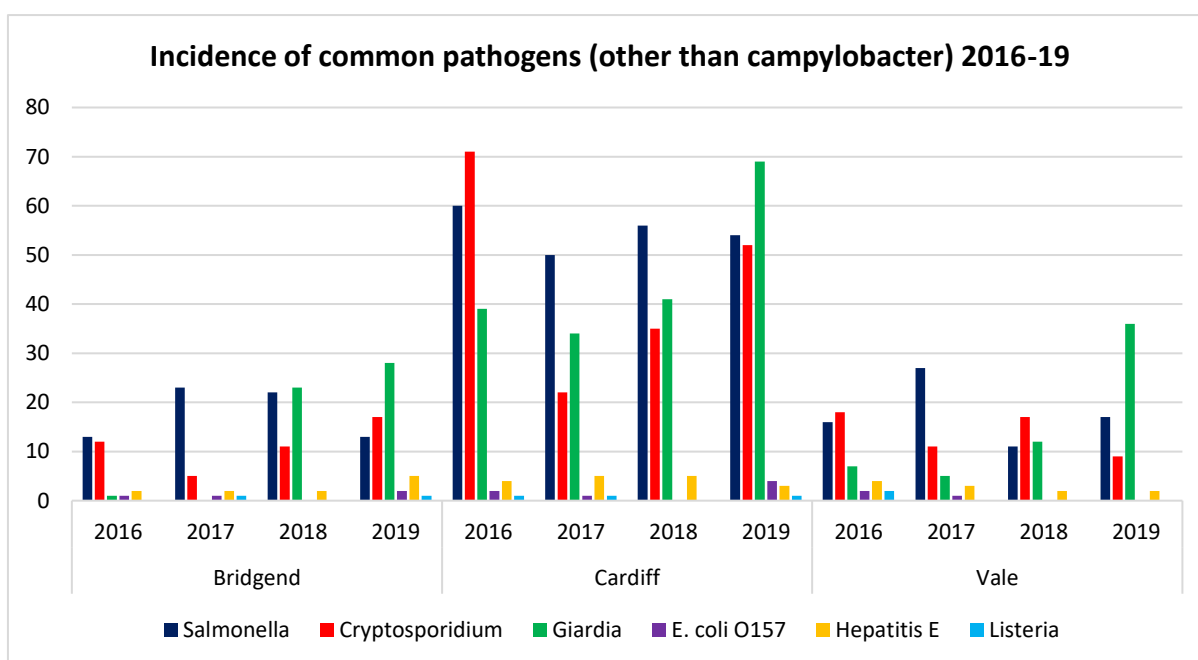
Pathogens of Public Health Significance Investigated by SRS

Pathogens of public health significance (other than *Campylobacter*) commonly require more detailed investigation; either because the pathogen can be readily spread within the community, or because of the seriousness of the infection. The need to complete enhanced interview questionnaires to identify close contacts of a case, and/or potentially instigate wider public health interventions, is particularly true for pathogens such as: *Shigella*; Hepatitis A and E; *E.coli* O157; *Legionella* and *Giardia*. This will usually require an Officer to interview the case face-to-face, instead of by telephone, and will often necessitate arranging faecal pots from close contacts to identify if the infection has spread in a particular setting.

e.g. Vaccination of close contacts to Hepatitis A cases; Ensuring confirmed cases of Giardiasis receive appropriate antibiotic treatment from their GP; Ensuring that cases working with food or vulnerable people only return to work after the satisfying the relevant microbiological clearance requirement; Formally excluding cases working with food or vulnerable people from work until microbiological clearance has been confirmed.

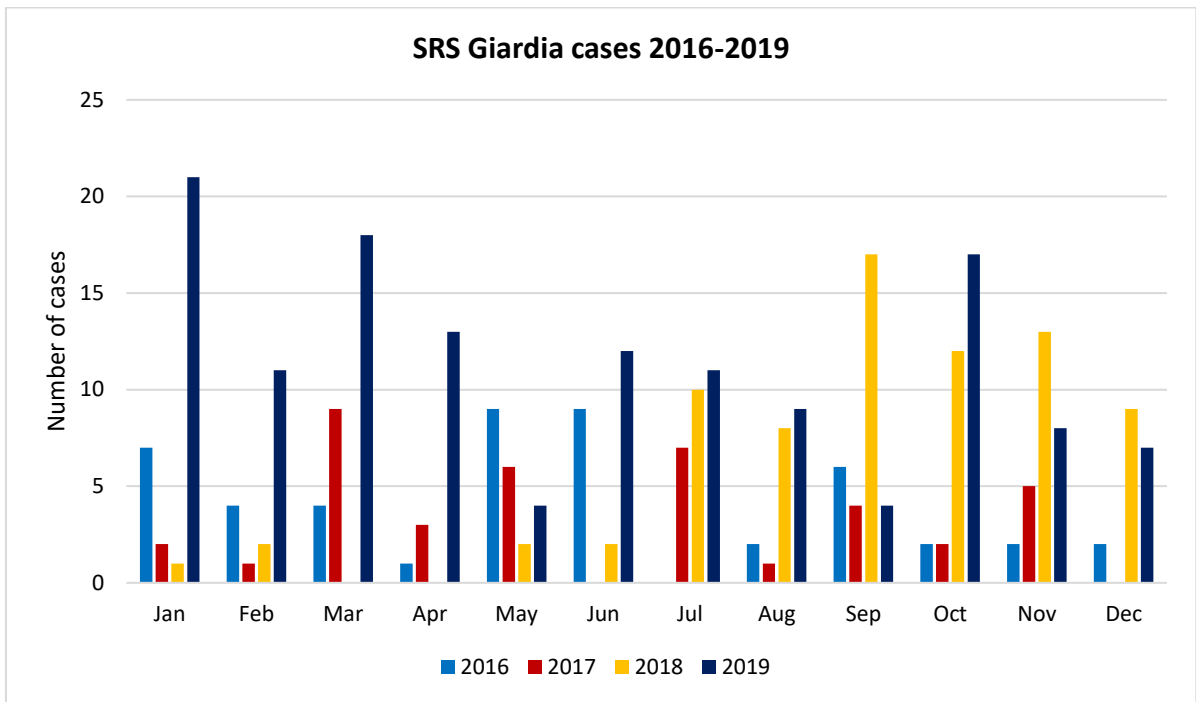
Contrary to the general public perception, most communicable diseases are not necessarily caused from consuming contaminated food; despite the case having traditional 'food poisoning' symptoms. Risk factors are often associated with the consumption of (or exposure to) contaminated water; direct contact with animals and/or their faeces; close contact with an infected person (including sexual contact).

The graph below illustrates the incidence of common pathogens (other than *Campylobacter*) that have caused illness across SRS between 2016 and 2019.



There is a continued trend in the increase of certain pathogens since the introduction of molecular testing methods in the laboratory. Where *Salmonella* was generally the most common pathogen after *Campylobacter*, this has now been surpassed by *Giardia*, which is now the second most common pathogen across all three local authorities.

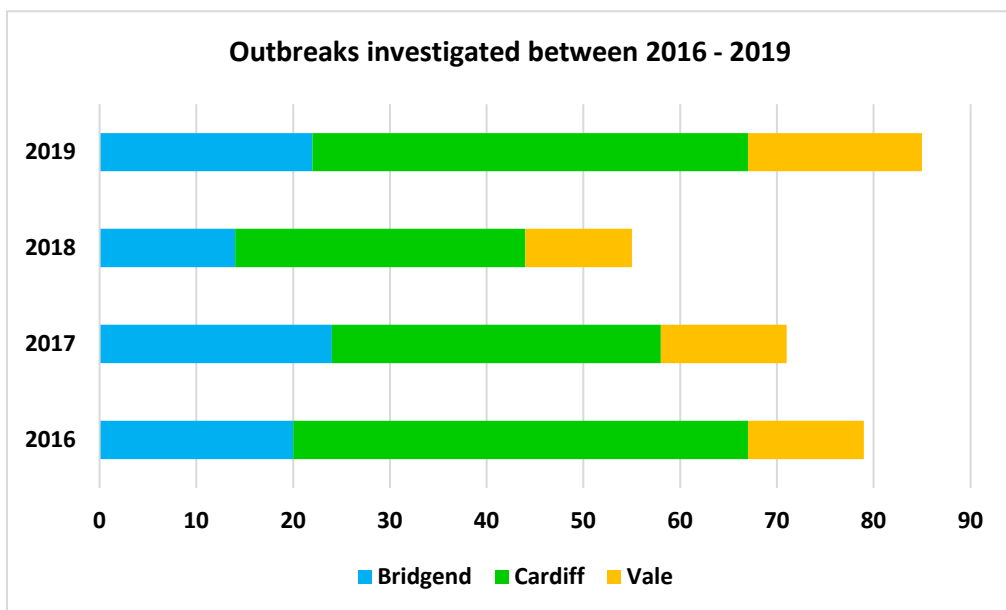
The graph below illustrates the number of *Giardia* notifications received by SRS per month between the years of 2016 and 2019. As can be seen on the graph, the number of cases have significantly increased since July 2018.



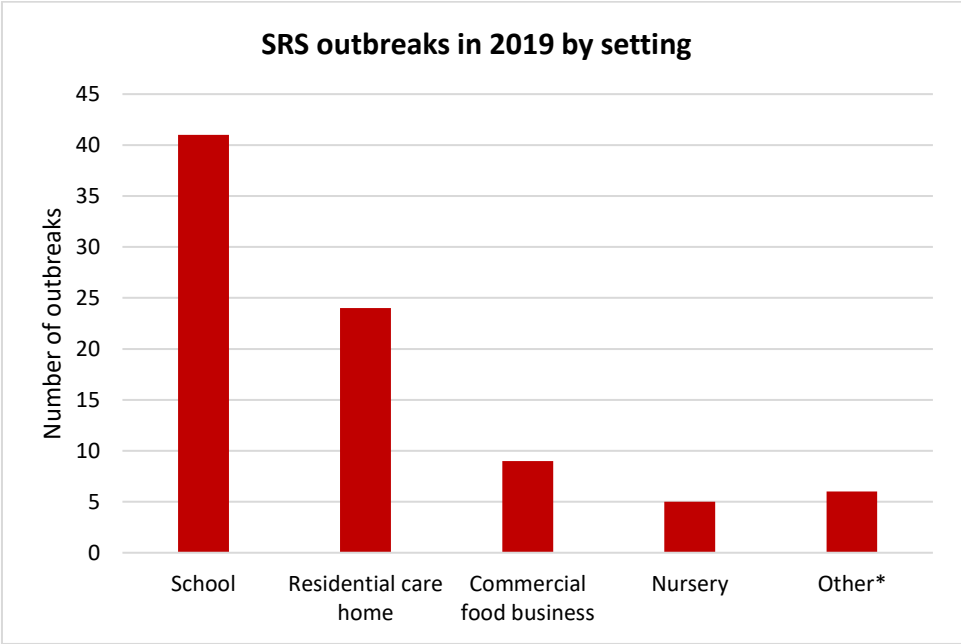
Outbreaks in 2019

85 outbreaks were investigated in 2019. This is a significant increase on previous years. Reasons could be better reporting and identification of outbreaks by business, organizations and health professionals or an increase in incidence in 2019.

- 22 in Bridgend
- 45 in Cardiff
- 18 in the Vale of Glamorgan



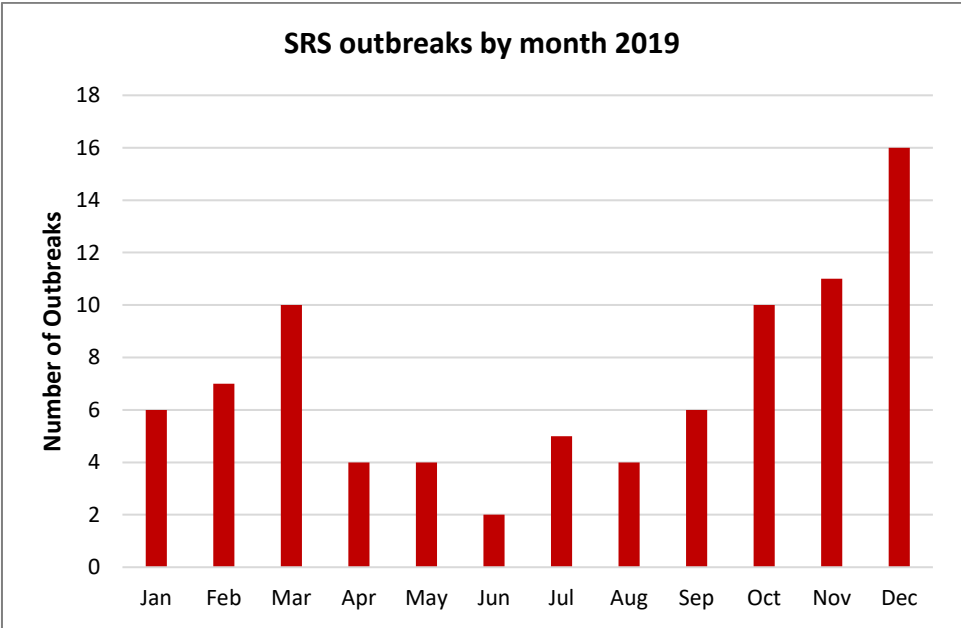
The graph below details the settings in which outbreaks occurred in SRS in 2019.



*Other includes 1 prison, 1 family residential centre, 2 children’s hospices and 1 rest bite care centre for adults.

Schools (48%) accounted for the highest number of outbreaks across SRS during 2019, followed by care homes (28%), Commercial food businesses (11%) and nurseries (6%). 23 (27%) of outbreaks were confirmed to be Norovirus, 58 (68%) were suspected Norovirus and 4 (5%) were other pathogens, including Campylobacter and a flu like illness.

The following graph shows the number of outbreaks reported by month. There were more outbreaks during the winter months with the most outbreaks notified in December.



3.3 Achievements & Public Health Interventions

Prosecutions for Smoke-Free Offences under The Health Act 2006 and Smoke-Free Premises etc. (Wales) Regulations 2007 – Improving health and wellbeing & safeguarding the vulnerable.



The Communicable Disease, Health & Safety Team successfully prosecuted 5 duty holders between 01/04/2019 and 31/03/2020 for smoke-free offences in shisha cafes across Cardiff following a joint exercise with South Wales Fire & Rescue Service. The full report for this intervention is included in Appendix A of the Service Plan.

Managing the Risk of Legionella in Water Systems in Barry, Vale of Glamorgan – Improving health and wellbeing; business engagement & safeguarding the vulnerable



Throughout 2018- 2019 the Vale of Glamorgan experienced the highest number of Legionella cases per 100,000 population in Wales (*see table below*). From August 2018 until November 2019 the total number of cases potentially linked to the Vale of Glamorgan was concluded to be 13 (*12 confirmed cases & 1 equivocal case*). Between February 2019 and January 2020, 10 incident meetings were held to enable multi-agency stakeholders to review cases histories and identify all potential links associated with this cluster of cases. Multi-agency partners included: Public Health Wales (PHW); Health and Safety Executive (HSE); Local Authority (LA); Natural Resources Wales (NRW).

Incidence of Legionella per 100,000 population in Wales by local authority 1/1/17-18/6/19

Local Authority	Incidence per 100,000
Blaenau Gwent	1.44
Bridgend	2.77
Caerphilly	1.66
Cardiff	2.21
Carmarthenshire	4.83
Ceredigion	2.74
Conwy	0.86
Denbighshire	0.00
Flintshire	1.93
Gwynedd	3.23
Merthyr Tydfil	3.34
Monmouthshire	2.14
Neath and Port Talbot	2.82
Newport	1.98
Pembrokeshire	0.80
Powys	2.26
Rhondda Cynon Taf	2.09
Swansea	3.26
Vale of Glamorgan	8.42
Wales	2.37

Discussions focused on the detailed travel histories of all cases and likely exposures associated with their respective travel routes (*including an assessment of weather and prevailing wind conditions*), and the identification and analysis of all potential risks within each case locality.

All cooling towers in the immediate vicinity of Barry were sampled and tested, with follow-up interventions being undertaken by HSE to ensure that treatment and disinfection regimes were being successfully maintained.

Domestic hot and cold water systems were tested where cases resided in LA managed accommodation.

Environmental Health Officers in SRS trawled the Barry area to identify all possible Legionella risk factors and carried out follow-up work with local schools; hospitals; leisure facilities; local businesses; window cleaning contractors; building sites and persons responsible for

managing water facilities in the immediate locale.

SRS additionally produced a bilingual information sheet for households on how to control the risk of Legionella in a domestic setting which was distributed via social media and was made available on the SRS website.

Whilst the actual source of infection was not identified due to a number of confounding factors (*time span between reported cases; not all case sputum samples were sent to the reference laboratory for typing; limited commonalities between cases*) the active surveillance of confirmed Legionella cases across the SRS region remains a high priority for Officers in the Communicable Disease, Health and Safety Team.

Investigation of a Hepatitis A Outbreak in the Vale of Glamorgan - Improving health and wellbeing; stakeholder engagement & safeguarding the vulnerable



Hepatitis A is a human virus transmitted through the ingestion of contaminated food or water, in addition to person-to-person spread via the faecal-oral route (*i.e. close physical contact with an infected person*).

Food types often implicated in Hepatitis A outbreaks include: raw shellfish, raw and unwashed fruit and vegetables, untreated drinking water, and unpasteurised dairy products.

Onset of symptoms can range from 2-6 weeks after exposure to the virus, and whilst a person is symptomatic, they are infectious and pose a risk of transmission to other persons in their: household, school, place of work, and network of friends. Because of this, an infected person must be excluded from work, nursery or school until 7 days after the onset of jaundice and/or other symptoms. Once confirmed cases have been identified it is therefore critical that a quick public health response ensues.

In May 2019 SRS was notified of a confirmed case of Hepatitis A in the Vale of Glamorgan area who had been referred to hospital after presenting at a doctors' surgery with jaundice. The case was immediately interviewed to confirm symptoms (and onset date); to establish all possible risk factors and identify likely contacts during the period of infectivity. Contact tracing was particularly challenging due to the size of the immediate household (2 parents and 7 children in Family 'A') and large extended family network that lived in the immediate local area. In total the index case had been in regular contact with 4 immediate family households; a partner and their extended family; a number of friends and work colleagues during the infectious period.

In the ensuing 2 weeks the Officer worked alongside Public Health Wales to arrange for household contacts to be tested and a further 4 household contacts in the immediate family were found to be positive cases of Hepatitis A. This subsequently required contact tracing of a wider network of friends, provision of infection control advice and vaccination of friends who had shared food/drink with the new cases and a cohort of children at a local primary school nursery.

Further investigation identified that a cousin of Family 'A' had also been in contact with a confirmed case. Testing was arranged, which initially came back as a positive result, and prompted the vaccination of an entire year in a separate primary school alongside infection control support visits. A household contact of this new child was also a food handler on a deli counter so had to be excluded from work until test results had been obtained.

In June 2019 a further 2 confirmed cases, and 1 possible case, of Hepatitis A were reported to SRS. Investigation of these cases identified that the 2 confirmed cases had shared a drink with one of the confirmed cases in Family 'A'. Since these cases fell beyond the initial household, an outbreak was declared by Public Health Wales. Again, contact tracing was particularly challenging since the possible cases worked in a care setting with vulnerable adults and had recently cooked Sunday lunch for a number of residents. One of the confirmed cases also lived in a foster home but retained contact with biological relatives which again resulted in a complex network of likely contacts.

No other linked, confirmed cases were subsequently identified and the outbreak was declared as closed once 2 incubation periods had lapsed with no new cases. The source of the outbreak could not be identified, although a number of cases and contacts reported eating fresh berries without washing them beforehand.

Surveillance and Investigation of Campylobacter Cases Associated with a UK-Wide Restaurant Chain in Cardiff - Improving health and wellbeing; stakeholder engagement & safeguarding the vulnerable

When Officers interview confirmed cases of Campylobacter, data is collected about all potential risk factors during their incubation period. Where commercial food businesses are mentioned, information is collated on an implicated premises spreadsheet to facilitate surveillance and the identification of possible trends at a later date. Where trends are identified, referrals are made to the Food Safety Team for further investigation. The same practice is applied during the investigation of suspected food poisonings where a food business is likely to be a plausible source of the illness.



During November 2019 Officers noted that 3 confirmed cases of *Campylobacter* had eaten at the same restaurant in Cardiff independently of each other; 1 in October and 2 on consecutive days during November (1 being a case from the Rhondda Cynon Taff area). All cases reported eating duck (which had been served pink in 2 cases). A trawl of historic cases since 2016 revealed a total of 15 confirmed and suspected cases of food poisoning associated with 2 restaurants in Cardiff owned by the same UK-wide chain; 12 of which were confirmed *Campylobacter*. Of these 15 cases, 7 had been reported during 2019.

A referral made to the Food Safety Team resulted in the company being issued with a Remedial Action Notice to stop serving less than thoroughly cooked duck at the Cardiff venues after officers identified the company's food safety management system (HACCP) permitted the cooking of duck to 60°C for 30 seconds. The HACCP document advocating this practice had been amended in November 2018.

Multi-agency incident meetings ensued which were chaired by a Consultant for Communicable Disease Control (CCDC) at Public Health Wales (PHW) and included officers of SRS and Rhondda Cynon Taff Environmental Health teams and the Food Standards Agency (FSA) for both England and Wales. The purpose of the meetings was to validate the actions taken to-date; discuss the company's HACCP in light of current FSA guidelines about the cooking of duck (*75°C for 30 seconds; or an equivalent time/temperature combination*) and deliberate the wider public health implications of the company continuing to serve pink duck across its estate in England.

A number of significant outcomes occurred as a direct result of surveillance undertaken by Officers in the Communicable Disease, Health and Safety Team:

- An unsafe cooking practice that had not been independently verified, and was not in line with current FSA guidelines, was stopped in all venues across Cardiff.
- Both FSA Wales and FSA England supported the action taken by SRS in this matter.
- FSA England discussed this matter further with both the company and its Primary Authority.
- FSA England identified that many restaurant companies, particularly in London, were deviating from FSA guidelines for the cooking of duck.

Assisting Public Health Wales Minimise Community Transmission of Tuberculosis (TB) - Improving health and wellbeing; stakeholder engagement & safeguarding the vulnerable

Cases of TB are increasing across the world and within our local communities; the majority being successfully managed with effective treatments. The treatment of TB, especially extensive and multi drug resistant TB, is very costly both in terms of financial costs of treatment and time commitment to the treatment (*which can often takes years to complete*). TB cases are becoming increasingly more complex to manage, with a range of social and cultural issues making treatment and its successful completion more challenging to manage. These issues include cases often leading chaotic lifestyles; ethnic diversity; cultural differences; language barriers in addition to complex physical and psychosocial needs. As a result of these factors it is often necessary to employ a range of interventions to facilitate the successful completion of treatment.

Since Local Authorities have delegated powers under health protection legislation, which enables authorised Officers to take enforcement action where an infectious person or contaminated thing presents, or could present, significant harm to health and voluntary co-operation is not forthcoming, Lead Officers in SRS are often requested to assist Public Health Wales deal with confirmed cases of TB in the community or an enclosed setting.



During March 2020, 3 Officers spent a day each at HMP Parc in Bridgend to assist Public Health Wales undertake a screening exercise of both Prison Officers and inmates to identify active cases of TB and evidence of latent TB infection. HMP Parc is the largest prison setting in the UK and this was the first time screening of this magnitude had been undertaken in a closed setting. In total approximately 1900 people were screened between 3rd and 13th March.

Between April 2019 and March 2020, Officers from the Communicable Disease, Health and Safety Team were asked to assist Public Health Wales minimise community transmission of TB in 4 confirmed cases of the disease in the Cardiff area. This required Officers to:

- Serve formal Regulation 8 ‘request to co-operate’ letters on TB cases when voluntary compliance was not forthcoming;
- Prepare Part 2A Order applications, and support the applications through the court system, when formal ‘requests to co-operate’ were not being adhered to be a case;
- Collaborate with other key stakeholders, including: Police; Border Force; Prison Service; Probation Service; Social Workers; Healthcare Consultants; hospital staff; Local Authority housing services (including homeless teams); courts; translation services; voluntary agencies and private landlords;
- Provide financial support to cases to facilitate the treatment process – provision of food vouchers (*to improve health status throughout the duration of treatment*); payment of rent arrears/loss of earning (*where the Local Authority had required the case to be excluded from a workplace throughout the duration of treatment*).
- Represent the Authority in outbreak control meetings (as a core member) for TB cases in HMP Parc in Bridgend.

Business Engagement – Nutritional Training and Healthy Options Award



The award continues to be offered across the 3 authority areas and is administered by the Communicable Disease, Health and Safety Team.

The Healthy Option Award aims to encourage food businesses to provide healthier options to customers via the introduction of healthier catering practices; increasing the amount of fruit, vegetables and starchy carbohydrates on the menu; decreasing saturated fat, sugar and salt content in the food offered. The scheme also recognises the provision of healthy options for children; rewards staff training; and the promotion and marketing of healthier options. During 2019/2020, 3 new awards were issued across SRS: 1 gold award (Bridgend College); 1 silver award (British Gas) and 1 bronze award (National Trust).

Nutritional training supports the uptake and sustainment of the healthy option award in food businesses across the 3 authority areas, and consequently SRS continues to provide level 1 community food and nutritional skill training courses on request. The aim of the training is to increase knowledge and skills in food and nutrition, particularly about the components of a balanced diet and how good nutrition can influence a person's health status.

SRS is a member of, and continues to support, the Cardiff, Vale and Bridgend Healthy and Sustainable Pre-School Schemes (CHaSPS) and Gold Standards Health Snack Award advisory group. The communicable disease service provides infection control advice and support to its members as necessary, and reinforces the infection control message via attendance at events the group organises.

Business Engagement – Infection Control Advice to Duty Holders

A Lead Officer attended a Q&A session with regional managers of Flying Start childcare settings across Cardiff to provide advice and guidance about infection control measures in childcare settings. It is planned to provide follow-up training and support sessions with leaders of Flying Start settings in Cardiff during their quarterly meetings in 2020/2021.

Oversight of Exhumations in SRS.

Between 01/04/2019 and 31/03/2020, Officers from the Communicable Disease, Health and Safety Team were required to attend 3 exhumation across the SRS region (Cardiff 2; Bridgend 1). In accordance with the provisions of the Burial Act 1857, Environmental Health was notified of the exhumation, via a Ministry of Justice licence, to take any necessary actions in the interests of public health and decency. This requires Officer presence at both the disinterring of the coffin and the actual exhumation.

Contributing Member of the Welsh Government Task & Finish Group for the Special Procedures Licensing Regime

An Officer from the Communicable Disease, Health and Safety Team continues to represent SRS at the Welsh Government's Special Procedures task and finish group. The group has been actively contributing to the development of the RSPH Level 2 Award in Infection Prevention and Control, and the licence application process for both practitioners and premises (including fee structures), for the new special procedures regulatory framework specified in Part 4 of the Public Health (Wales) Act 2017. During 2019/2020 SRS is now an approved centre for delivering the RSPH Level 2 Award in Infection Prevention and Control, and staff are in the process of completing all necessary 'train the trainer' competencies.

Skin Piercing Registrations – Improving health and wellbeing

Officers from the Communicable Disease, Health and Safety Team routinely carry out skin piercing registration visits, for both premises and practitioners, in accordance with the Local Government (Miscellaneous Provisions) Act 1982 and bye-laws made thereunder. The legislation requires all duty holder carrying on the business of tattooing; semi-permanent skin colouring; cosmetic body piercing; acupuncture and electrolysis to be registered with their respective Local Authority and to operate in compliance with bye-laws specifically sanctioned by that Local Authority.

These visits focus on procedural infection control provisions; assess client consultation arrangements to ensure that the risk of contraindications is minimised; and ensure that the structure of all treatment areas will facilitate effective cleaning and disinfection.

During 2018/2019 Officers carried out **82** skin piercing registration visits across SRS: Bridgend (8); Cardiff (61); Vale of Glamorgan (13).

Requests to Co-operate under Health Protection Legislation – Improving health and wellbeing; safeguarding the vulnerable

In accordance with Regulation 8 of the Health Protection (Local Authority Powers) (Wales) Regulations 2010, Local Authorities have the power to request individuals or groups to co-operate with the Authority for health protection purposes. The 'request to co-operate' is to prevent / protect against / control / provide a public health response to an incidence or spread of infection, or contamination which presents / could present significant harm to health. From an operational perspective this power would be used to exclude an infected person from returning to work with food or vulnerable persons (*i.e. under 5's; over 65's; immunocompromised persons*); to prevent the continuation of an activity that could result in the infection of other people; or to restrict the activities of an infected person so that the risk of spread to the wider community is controlled.

During the 2019 / 2020 business year, the Communicable Disease, Health and Safety Team issued **13** 'requests to co-operate' under Regulation 8: **3** were served in relation to COVID-19 (2 symptomatic cases refusing to self-isolate and 1 on a travel provider that would not provide passenger information for a returning flight into Cardiff Wales Airport; **8** confirmed cases (E. coli 0157, E. coli 026, Campylobacter, Shigella flexneri) were excluded from work/school until the requisite clearance had been achieved; **1** was served on the operators of HMP Parc in Bridgend in relation to confirmed TB cases in the prison and **1** Tuberculosis case was requested to co-operate with a prescribed medical testing and monitoring regime to ensure risks to the wider community were negated.

3.4 Customer Evaluation Forms

Once officers have interviewed a confirmed case of communicable disease, the customer is routinely sent an evaluation questionnaire, alongside an advice sheet about what has made them ill, in order to gauge their opinion of the service provided and identify likely changes in behaviour after discussing their illness with an officer.

Feedback from all cases:

- 144/145 (99%) cases reported being 'satisfied' with the service, of which 123/145 (85%) reported being 'very satisfied'
- 145/146 (99%) cases reported that the advice given by officers was useful
- 87/146 (60%) cases reported changing their food preparation practices or choices as a result of the interview
- 124/135 (92%) cases reported that the investigating officer suggested a cause for the infection
- 145/146 (99%) cases reported that the officers performance was good, of which 130/146 (89%) reported that the officers performance was very good.

Feedback from Campylobacter cases only:

- 110/124 (89%) cases reported feeling better prepared to prevent further infection.

Feedback from cases infected with a pathogen of public health significance:

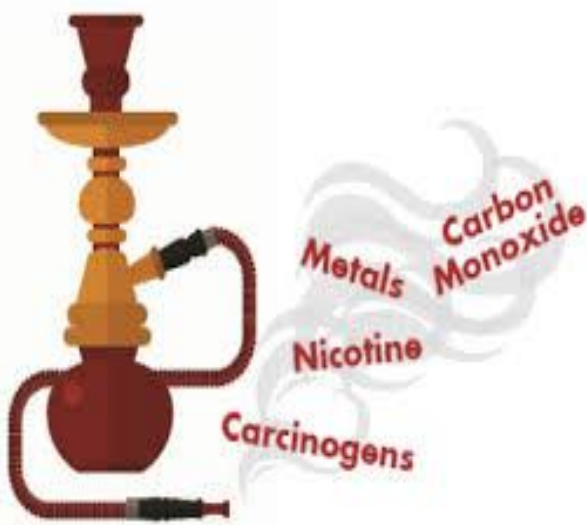
- 19/19 (100%) cases reported that the preventative measures were clearly explained.
Of these, 16/19 (84%) reported that explanations were very clear.

The response rate for returned evaluation forms in 2019 remained low at 13% (146/1093) and was lower than in previous years: 2018 (20%), 2017 (21%) and 2016 (22%).

Appendix A- Enforcement Intervention to Assess Shisha Lounge Compliance with Smoke-Free Legislative Requirements



Enforcement Intervention to Assess Shisha Lounge Compliance with Smoke-Free Legislative Requirements



Executive Summary

Tobacco smoking with a water pipe, or shisha pipe, is increasing in popularity across the globe, particularly among young adults. This trend is being encouraged by the marketing of flavoured tobacco that is more palatable to younger consumers, and a misperception that shisha pipe smoking is less harmful to health on the basis that the water in the pipe filters the tobacco before consumption.

There is a growing body of evidence that shisha smoking poses a serious potential health hazard to both smokers, and non-smokers exposed to second-hand smoke, and is not a 'safe' alternative to cigarette smoking. In fact, since shisha smoking sessions are likely to last between 20-80 minutes, a person could inhale over 100 times the equivalent smoke produced by smoking a single cigarette in one sitting.

Emerging evidence suggests that shisha smoking detrimentally affects cardiovascular health, in particular heart rate and blood pressure. It is also purported that the practice quadruples the risk of lung cancer and has a positive association with other types of cancer. The risk of cross-infection from pathogens such as Herpes, Tuberculosis and Hepatitis significantly increases through the sharing of shisha pipes in a social context.

The Health Act 2006 and Smoke-Free Premises etc. (Wales) Regulations 2007 introduced the prohibition of smoking in certain premises, places and vehicles that are open to the public and/or work places. All premises found to be fully, or significantly, enclosed must be designated as 'smoke-free' and provided with compliant 'No Smoking' signs.

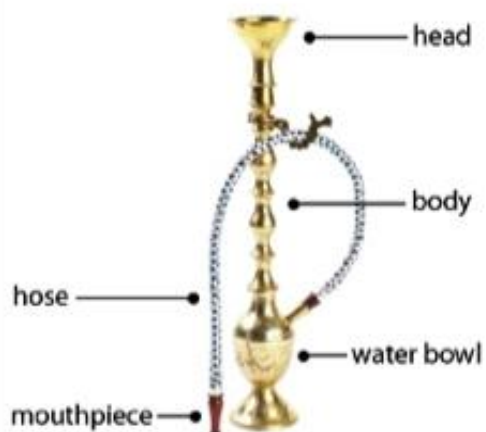
Since the advent of the smoking ban, Cardiff has seen an increasing number of shisha lounge operating in the student areas of the City. Historically, compliance with smoke-free legislative requirements has been poor and prosecution fines have been low. In an attempt to improve the level of compliance in shisha lounges, the Communicable Disease, Health and Safety Team of Shared Regulatory Services (SRS) worked collaboratively with South Wales Fire and Rescue Service during 2018-2019 to produce collective guidance and undertake joint, unannounced enforcement visits in February 2019.

Unannounced enforcement visits confirmed that compliance with the provisions of smoke-free legislation remained poor, with all duty holders permitting the smoking of cigarettes and charcoal lit shisha in enclosed rooms. Whilst duty holders had installed roof vents and wall shutters, these were consistently found to be closed during trading hours (*see figure 1*).

What is Shisha?

Shisha is a water pipe that allows a person to smoke tobacco, often sweetened and flavoured to make it more appealing to a wider audience. Alternative names for shisha include hookah or narghile; however, they all have a water pipe construction.

A shisha water pipe traditionally operates by burning charcoal in the head of the device, which in turn ignites a tobacco mixture located beneath the charcoal and heats up the water in the bowl. When the smoker inhales through the hose, a vacuum is created above the water, draws air through the body of the pipe and over the tobacco and charcoal loaded into the pipe's head. The heated air, which now also contains charcoal combustion products, passes through the tobacco and produces smoke aerosol. The smoke passes through the body of the water pipe, bubbles through the water in the bowl and is carried through the hose to the smoker.



Health Risks of Smoking Shisha

Many people are likely to be smoking water pipes without being fully aware of potential risks to their health. There appears to be a misperception that shisha is less harmful to a person's health than cigarette smoking because nicotine is absorbed in the water contained within the pipe and the inhaled smoke is 'purified' by water filtration. However, a World Health Organisation Advisory Note on Waterpipe Tobacco Smoking (2005)¹ iterates that whilst the water does absorb some of the tobacco nicotine, shisha smokers can be exposed to a sufficient dose that could cause addiction. The report suggests that, since a typical water pipe smoking session can last between 20-80 minutes, the smoker may be inhaling an equivalent amount of smoke as that generated by consuming at least 100 cigarettes.

Potential health effects of shisha smoking include:

- Chronic obstructive pulmonary disease
- Impaired pulmonary function
- Increased risk of cancer
- Increased risk of heart conditions
- Increased risk of infectious disease by sharing water pipes (*including Hepatitis, Herpes and Tuberculosis*)

In the article "*Smoking & Tobacco Use*"², the Centers for Disease Control and Prevention report that shisha smokers may absorb more of the toxic substances found in cigarette smoke than cigarette smokers do, and over a typical session, a shisha smoker is likely to inhale 90,000ml of smoke compared with 500-600ml when smoking a cigarette.

Second-hand smoke exposure to non-smokers in close proximity to shisha pipes can also present a health risk. Not only does the smoke contain cancer-causing chemicals such as polycyclic aromatic hydrocarbons and volatile aldehydes; harmful gases such as carbon monoxide; and heavy metals such as arsenic and lead commonly associated with cigarette tobacco, but will also contain toxins from the burning charcoal used to light the water pipe^{2,3}.

In 2015, The Royal College of Physicians reported that carboxyhaemoglobin concentrations were greater than 10% in shisha smokers, compared with 6.5% in cigarette smokers and 1.6% in non-smokers⁴.

Health professionals have also expressed concerns that the use of flavoured and sweetened tobacco may be particularly attractive to young people, including those who do not smoke cigarettes^{5,6}.

Analysis undertaken by the University of Pittsburgh School of Medicine (2018) found that shisha smoking accounted for over half of the tobacco smoke volume consumed by young smokers in America⁷.

A 2019 scientific statement paper by the American Heart Association states that the growth of water pipe use among younger populations is global. Data from the Global Youth Tobacco Survey, which included 13-15 years olds across 7 Middle Eastern countries, found shisha smoking rates to range from 9-15%, which exceeded cigarette smoking rates across all countries studied. The reasons for young persons engaging with shisha smoking as a social activity included: relaxation; entertainment; the pleasant taste and smell; and the visual effect of voluminous smoke. Younger people also cited the absence of health warnings and health campaigns associated with shisha as reasons why they considered it a safer tobacco product³.

One study reported by the American Lung Association in its “*Smoking Facts*” article found that 15-23 year olds who had never smoked cigarettes, but had tried shisha, were more likely to have started smoking cigarettes, become regular cigarette smokers and smoke more cigarettes per day 2 years later. In 2012-2013, 15.7% of young adults aged 18-24 smoked water pipes but were not established cigarette smokers⁶.

More recently, manufacturers of water pipes have produced versions that use electric heat to ignite the tobacco instead of charcoal as a ‘*safer alternative*’ to traditional shisha smoking. However, early research released by Chemists at the University of Cincinnati found that e-charcoal smoke killed 80% of sample lung cells 24 hours after exposure, compared to 10-25% of sample lung cells exposed to traditional charcoal smoke⁸. Whilst further scientific study is required to investigate the health effects associated with electronic shisha, these early results would suggest that e-charcoal shisha could potentially be more harmful than its traditional charcoal counterparts.

Relevant Legislative Requirements for Smoke-Free Premises

The introduction of The Health Act 2006 and The Smoke-Free Premises etc. (Wales) Regulations 2007 saw the prohibition of smoking in certain premises, places and vehicles that are open to the public and/or work places. The legislation requires such premises/places/vehicles to be smoke-free if fully enclosed (*either temporarily or permanently*) or substantially enclosed (*i.e. existence of a roof/ceiling and at least 50% of the wall surface area enclosed*). If either criterion apply, the duty holder must also display compliant ‘No Smoking’ signage.

The legislation provides a wide definition of ‘smoking’, which includes smoking tobacco; smoking anything containing tobacco; or smoking any other substance. Additionally the perpetrator would need to be in possession of lit tobacco; anything lit containing tobacco; or any other lit substance in a form that could be smoked. As a result, the definition of ‘smoking’ captures the smoking of shisha pipes.

In 2015, The Royal College of Physicians reported that the popularity of shisha has surged in the UK over the previous decade, and most notably, since the introduction of ‘smoke-free’ legislation across Great Britain in 2007. In London alone, there has been a 210% increase in cafes serving shisha since the introduction of the smoking ban by The Health Act 2006. Despite this growing social trend, there remains substantial confusion about the health effects of smoking shisha by healthcare professionals and consumers alike. In one UK based study, 36% of GPs described smoking shisha as the equivalent of smoking 16-20 cigarettes, whilst 20% of GPs believed the practice more akin to smoking 0-5 cigarettes.⁴

Cardiff currently has 13 known shisha lounges; however, planning applications continue to be received for new premises wishing to make water pipes available to its customers. No commercial shisha lounges are currently known to be operational across Bridgend and the Vale of Glamorgan.

Background to SRS Intervention

Since the advent of the 'smoking ban' in Wales, the Cardiff area has had a noticeable increase in shisha lounges; predominantly in the multi-cultural student areas of Roath and Cathays. Since 2007 Officers have undertaken a number of advisory and enforcement visits to shisha lounges across the City to reinforce the requirements of the 'smoke-free' legislation; however, most businesses continue to operate in breach of The Health Act 2006 and Smoke-Free Premises etc. (Wales) Regulations 2007 with premises being either fully enclosed or substantially enclosed whilst trading.

In November 2012, the television programme, "X-Ray", carried out secret filming in 5 shisha cafes in the student area of Cardiff, which included the test purchasing of shisha by a 16 year old volunteer. All shisha lounges were fully enclosed at the time of the visits, despite patrons observed smoking shisha and cigarettes.

In August 2017, all shisha businesses operating in the Cardiff area were sent a mail shot letter to reiterate the requirements of the smoke-free legislation; to highlight that the granting of planning permission did not automatically make a shisha area compliant with smoke-free provisions and to confirm the enforcement expectations of SRS. All duty holders were advised that the Authority would be adopting a zero tolerance approach to non-compliances. All new shisha lounges that commenced trading post-August 2017 were sent the same mail shot letter as they commenced trading.

Legal proceedings were taken against duty holders of shisha lounges during 2018; however, fine levels were low and provided no discernible deterrent to non-compliant behaviour. This period also coincided with a number of significant fires in shisha premises across Cardiff, which raised their profile with the South Wales Fire and Rescue Service and resulted with escalated enforcement for fire safety precautions.

In an attempt to raise compliance levels in shisha premises across Cardiff, the Communicable Disease, Health and Safety Team of SRS worked in partnership with South Wales Fire and Rescue Service during 2018/2019, which culminated in joint enforcement visits being made to shisha businesses in February 2019.

Project Aims

From the perspective of SRS, the aims of the collaborative shisha intervention were to:

- Educate shisha business operators about fire safety and smoke-free legislative requirements through the production and dissemination of a comprehensive, collaborative guidance document.
- Identify if businesses throughout the Cardiff area of Shared Regulatory Services (SRS) were operating in compliance with the provisions of The Health Act 2006 and The Smoke-Free Premises etc. (Wales) Regulations 2007.

Collaborative Guidance

Both partner agencies agreed that there was a need to reaffirm the relevant legislative provisions applicable to shisha lounges in one guidance document. South Wales Fire and Rescue Service agreed to lead on the production of this educative material, with input from SRS, and to disseminate the guidance during the fire safety visits they would undertake in advance of the joint visits on 6th February 2019.

A copy of the collaborative guidance is included as Appendix A of this report.

Outcomes of Enforcement Visits

On 6th February 2019 Officers from the Communicable Disease, Health and Safety Team of SRS and South Wales Fire and Rescue Service carried out joint, unannounced enforcement visits to all known, and potential, Cardiff based shisha lounges in City Road and Crwys Road. Of the 10 businesses visited, 1 restaurant confirmed that they did not supply shisha to their customers, despite making initial enquiries about operating a shisha lounge. The shisha area to the rear of one takeaway was not operational at the time of the visit, and a further 2 businesses were not trading after experiencing fire damage at the premises (and subsequent enforcement action by the Fire Service).

The remaining 6 shisha lounges were open and trading at the time of the visits, with customers observed smoking shisha pipes lit with charcoal briquettes in either fully enclosed or substantially enclosed rooms. Whilst all of the businesses had either installed a number of shutters, or roof vents, along at least 2 sections of wall space in the smoking areas, these were found to be closed at the time of the visits (*see figure 1*). It is worth noting at this juncture that smoke-free legislation specifically precludes the consideration of doors, windows and other openable structures when carrying out calculations to determine if a room is substantially enclosed or not.



Figure 1: Wall shutters found in a closed position during shisha enforcement visits in February 2019

The majority of duty holders had also failed to display compliant ‘No Smoking’ signage at the entrance to premises that were either fully, or significantly, enclosed.

Duty holders, which included both limited companies and individual directors, were invited to make representations under caution about the following alleged offences:

- Failing to prevent smoking in a smoke-free area; contrary to Section 8(1) of The Health Act 2006.
- Failing to display ‘No Smoking’ signs in a smoke-free area; contrary to Section 6(1) of the Health Act 2006.

- Encouraging or assisting an identified number of persons to commit an offence by allowing them to smoke lit charcoal shisha pipes in a smoke-free area; contrary to Section 44(1) of the Serious Crime Act 2007.

A number of unannounced, follow-up visits were undertaken by Officers in June 2019 to verify if non-compliances witnessed on 6th February 2019 were a 'one-off' or indicative of more habitual behaviour. All shisha lounges visited during June 2019 were found to be permitting the smoking of charcoal lit shisha pipes in either fully enclosed or substantially enclosed rooms.

One business, which had commenced trading towards the latter part of 2018, was issued with a departmental warning, whilst prosecution proceedings were recommended for the remaining 5 duty holders. To-date the shisha intervention has achieved the following outcomes:

Shisha Business	Fine	Costs	Victim Surcharge	Other Actions Taken
Company A	£1500	£175	£50	Shutters removed; staff changes
Director of Company A	£600	£175	£30	
Company B	£1000	£150	£50	Boards covering roof vents removed
Director 1 of Company B	£400	£150	£30	
Director 2 of Company B	£400	£150	£30	
Company C	£3080	£175	£77	Failed to attend court
Director of Company C	£2640	£175	£66	
Director of Company D	£600	£240	£30	Amending design of shisha area
Company E	£100	£100	£30	Staff changes; staff training provided
Director of Company E	£100	£100	£30	

Conclusions

Officers found shisha duty holders operating in breach of The Health Act 2006 and Smoke-Free Premises etc. (Wales) Regulations 2007 during enforcement visits in February and June 2019, despite being previously advised of the standards to be achieved. On both occasions, roof vents and shutters were in closed positions, making the smoking areas either fully or substantially enclosed.

During all visits to shisha lounges that were open for trade, both customers and employees were observed smoking cigarettes and shisha pipes lit with charcoal briquettes in enclosed rooms. Non-smoking employees and patrons were also present, who would have been exposed to the health risks associated with second-hand smoke.

In mitigation, most duty holders stated that they assumed their businesses were compliant on the basis that planning permission had been granted. Subsequent liaison with the Planning

Authority, and Architects commissioned to prepare layout plans for a number of planning applications, identified that a number of shisha lounges had not been constructed in accordance with the original drawings.

Duty holders also alleged that it was normal operating procedure for all roof vents and shutters to be open during trading hours, and what was witnessed on 6th February 2019 was not usual practice. This assertion was refuted during unannounced visits undertaken by Officers in June 2019, when the same practices were found to persist.

Unlike previous legal proceedings for smoke-free offences, the fine levels were markedly higher on this occasion; however, it remains to be seen if larger financial penalties will have a positive impact in realising behavioural change in the operation of shisha lounges in Cardiff moving forward.

Moving Forward

It is the intention of SRS to replicate its smoke-free intervention in shisha businesses during the winter months of 2019/2020 to verify if this enforcement initiative has achieved a more sustained level of compliance. It will also enable the Authority to assess compliance in any new shisha lounges, and revisit those businesses whose shisha lounges were not operational on 6th February 2019.

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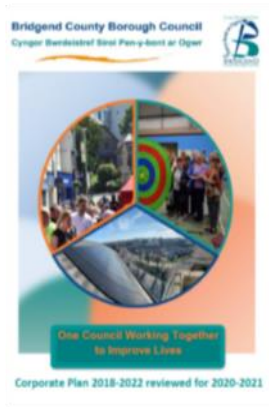
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Appendix B- Corporate priorities of partner local authorities

Bridgend County Borough Council

Priorities

Aims



- Supporting a successful sustainable economy
- Helping people and communities to be more healthy and resilient
- Smarter use of resources

- Improve learner outcomes
- Support growth and prosperity
- Develop and enhance community support and services
- Build resilient communities
- Support better health and well-being
- Transform the Council's estate
- Support areas of corporate change
- Support environmental sustainability

City of Cardiff Council

Priorities

Outcomes



- Working for Cardiff
- Working for Wales
- Working for the future
- Working for public services

- 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 a resilient way
- Modernising and integrating our public services

Vale of Glamorgan Council

Priorities



- To work with and for our communities
- To support learning, employment and sustainable economic growth
- To support people at home and in their community
- To respect, enhance and enjoy our environment

Shared Regulatory Services

Health & Safety Enforcement

Service Plan 2020/21



Health and
Safety at Work



Shared
Regulatory
Services



Contents

Introduction

1. Service Aims and Objectives

- 1.1 Service aims and objectives
- 1.2 Links to Corporate objectives and local plans

2. Overview of Service

- 2.1 Area profile
- 2.2 Organisational structure
- 2.3 Scope of the Health and Safety Enforcement Service
- 2.4 Enforcement Policy
- 2.5 Challenges for the year ahead.

3. Service delivery

- 3.1 Intervention Plan
- 3.2 Intervention Plan 2020/2021

4. Resources

- 4.1 Financial and staffing allocation
- 4.2 Staff Development

5. Review

- 5.1 Quality Assessment
- 5.2 Review against the Service Plan
 - Performance and activity measures
 - Intervention Plan activities 2019/2020
 - Achievements for 2019/2020
- 5.3 Areas for improvement & challenges ahead

Appendix 1 – Action Plan 2020/2021

Appendix 2 – Management of Hand Arm Vibration (HAVS) and Noise in Golf Clubs, Main Car Dealerships and Small Tyre and Exhaust Fitting Premises

Appendix 3 – Corporate Priorities of Bridgend, Cardiff and Vale of Glamorgan Councils

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 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.

As we enter the new financial year, we do so mindful of the unprecedented challenges of the global Covid-19 pandemic which is posing a growing threat to the health and wellbeing of societies. At this early stage we have already seen the demand on our resources increase significantly, while officers have had to rapidly adjust to new ways of working. We recognise the need to continue to adapt as the situation evolves and are realistic in acknowledging that our priorities and plans may change as the year progresses. This service plan therefore outlines our current arrangements and proposed interventions and actions to be delivered during the year. Whilst these may be subject to change, we remain committed to protecting and improving the health and safety of people across the region.

Christina Hill
Operational Manager Commercial Services

1. Service Aims and Objectives

1.1 Service aims and objectives

Shared Regulatory Services 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 work-related injuries, 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.



SRS priorities particularly relevant to the delivery of this plan are :-

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.

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.

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 8) facilitates achievement of this objective.

Nationally the service also contributes to the [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 (medium term) Plan 2020-2023 - Published as part of the Local Public Health Strategic Framework the Local Public Health Plan provides details of how local Public Health teams work in partnership to improve and protect the health and well-being of the local population. A number of themes detailed in the public health work programme dovetail with work being undertaken by the Communicable Disease, Health and Safety service as part of its proactive and reactive work (*e.g. delivering the Healthy Option Award scheme; providing appropriate infection control advice when interviewing confirmed cases of communicable disease; enforcement of current smoke-free legislation across the region*).

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 mainly provided by the Commercial Services arm of Shared Regulatory Services, with some distinct pieces of work being delivered by Enterprise and Specialist Services. The teams largely comprise of Environmental Health Officers providing services across the three local authority areas. The Vale of Glamorgan Council acts as host authority for the Service, with functions associated with this Plan being delegated to the Shared Service Joint Committee. Commercial Services deal with the majority of health, safety and well-being activities within Shared Regulatory Services, whilst Enterprise and Specialist Services support this function through the provision of advisory (paid for) visits; Primary Authority Partnership work; overseeing public safety at large outdoor events and assisting with major investigations as 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. There are approximately **9,638** premises across the region that require a range of health and safety interventions such as inspection, survey, monitoring, advice and enforcement and activities are categorised as reactive and proactive and include proactive health and safety inspections/interventions; based on both national priority topics and local intelligence. The full scope of the health and safety function 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 proactive health and safety interventions 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 (WHEG) 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 all 3 regional hubs which operate office hours from Monday to Friday. Weekend and out-of-business hour duties are carried out as the need arises. The service also operates an out-of-hours duty officer scheme for emergency situations.

SRS.wales

Tel: 0300 1236696



@SRS_Wales



<http://www.srs.wales>

Bridgend

Civic Offices
Angel Street
Bridgend
CF31 4WB

Normal offices hours:

Monday to Thursday: 8.30am to 5.00pm
Friday: 8.30 am to 4.30pm

Cardiff

Level 1
County Hall
Cardiff
CF10 4UW

Normal office hours:

Monday to Thursday: 8.30am to 5.00 pm
Friday: 8.30 am to 4.30pm

Vale of Glamorgan

Civic Offices
Holton Road
Barry
CF63 4RU

Normal offices hours:

Monday to Thursday: 8.30am to 5.00pm
Friday: 8.30am to 4.30pm

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
Trading Standards Teams	Targeted promotion and education with businesses
Enterprise and Specialist Services Team (Industry)	Firework safety and petroleum licensing
	Health and Safety at large outdoor events
	Coaching and paid for advice visits at the request of business
	Training and targeted education
Major 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

COVID-19 Pandemic – SRS had to quickly and dramatically change its way of working with the onset of the COVID-19 pandemic. Since the commencement of lockdown in March 2020, the service rapidly found itself involved with the monitoring and enforcement of the Health Protection (Coronavirus Restrictions) (Wales) Regulations 2020; supporting and providing advice to care homes that did not have any cases of COVID-19; managing outbreaks in care homes with confirmed cases of COVID-19; engaging with multi-agency stakeholders to secure the health and safety of staff and residents in enclosed settings; dealing with escalated concerns identified in the wider community contact tracing (TT&P); and providing businesses with support and advice to ensure they are COVID-secure when re-opening in accordance with lockdown relaxation rules. This had a significant impact on the service in the latter part of 2019/20 and it remains unclear how it will impact on the service's ability to deliver interventions planned for 2020/2021. It is however important to ensure the Service remains at the forefront of this work to ensure the skill set is fully utilised to protect public health.

Delivering the SRS in the future - We are delivering the SRS with a reducing resource. Our current three year financial programme involves changes to working practices. We have to examine and introduce new ways of prioritising our services which may result in a reduction in service provision,

or the charging for some services and difficult decisions about the level of service provision. These efforts will help reduce the impact of reduced funding, but maintaining performance in light of budget cuts may affect the service ability to maintain delivery at existing performance levels. We will however seek to measure activities and outcomes to ensure performance is managed effectively and in a meaningful way.

Major events - SRS plays an important role in the successful staging of major events across the three local authority areas. Major events staged through the participant Councils go through a detailed planning process via the respective Events Safety Advisory Group in Bridgend and the Vale of Glamorgan, and in Cardiff via the Events Liaison Panel. SRS plays a role throughout the planning stages with respect to food safety, health and safety and brand protection. While summer is traditionally the busiest time for events, June, July and August were exceptionally busy for events. This is due in part to the success of the City of Cardiff Council in promoting itself on the world stage as the home of successful events. All of this has an impact on the Shared Service in terms of meeting demand from other areas of responsibility, at a time of diminishing staff resource, and in covering weekend and evening work.

New legislation - It is likely that implementation of the all-Wales licensing regime for special procedures (*tattooing, cosmetic piercing, acupuncture and electrolysis*) in accordance with the Public Health (Wales) Act 2017 will be delayed until 2021 as a result of the COVID-19 pandemic.

This licensing regime will replace the existing registration scheme with a more robust system that will require a personal licence and premises approval to be renewed at 3 yearly intervals. Each applicant will be required to complete a level 2 infection control training course, and professional interview, before a licence can be issued. The full impact of this new regulatory regime on resources has yet to be determined; however, officers will need to deliver the level 2 infection control course; hold professional interviews with all practitioners who are currently registered with the 3 Authority areas (and all new applicants thereafter) and undertake unannounced inspections at all premises subject to approval at least every 3 years. Whilst costs will be recoverable, at the present time it is impossible to forecast how current resources will be able to match the demands of this piece of work.

Since SRS has the largest number of registered skin piercing practitioners and premises throughout all of the Welsh Authorities, it will likely experience the largest amount of impact from this new legislative regime.

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 9): "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 9) 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 9), 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 are detailed within this business plan.

- **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:

- Level 2 health and safety training courses
- Paid for advice visits to support local businesses
- Mail shot self-assessment questionnaires to organisations that operate inflatable amusement devices.

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. The service will therefore continue to adopt this approach to facilitate an intelligence-led approach to health and safety enforcement.

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 specified 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 2020/2021

An intervention plan confirming the programme of interventions for 2020/2021 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 9); 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 the Communicable Disease, Health and Safety Enforcement Team for 2020/2021; however, there may be a need to dynamically review the implementation of this work plan as the COVID-19 pandemic evolves over time.

Intervention Plan 2020 -2021						
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 in line with service request and complaints policy.				
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 projects		Activity detail	Target No. of premises			Total no. of interventions
			B	C	V	
1	Legionella management associated with hot tubs and spas pools on display	A new Annex A priority topic area in LAC 67/2 (rev 9) in addition to being an appropriate local intervention following the cluster of Legionella cases in Barry during 2018-2019. Officers will only consider those spa pools/hot tubs that are operational whilst on display. Aim of intervention is to raise awareness of the risks and assessment of controls in place (in accordance with L8 Approved Code of Practice)	10	10	10	30
2	Solid fuel and gas safety in commercial catering	Last year's gas safety in catering intervention identified a number of commercial appliances with either inadequate or faulty ventilation, together with a number of gas leaks. Officers also dealt with problems associated with solid fuel cooking appliances and elevated levels of carbon monoxide. The 2020/2021 project will examine both elements in order to reduce risks to employees and non-employees further. Gas safety in commercial catering continues to be an Annex A priority topic area in LAC 67/2 (rev 9) whilst carbon monoxide poisoning from solid fuel cooking equipment is an Annex B activity suitable for proactive inspection.	15	15	15	45

3.	Duty to Manage Asbestos	Continues to be an Annex A priority topic area in LAC 67/2 (rev 9). This project has had a positive impact on raising standards, and awareness, throughout businesses in SRS since the initial pilot project in 2016/17. The duty to manage asbestos will be included in the solid fuel and gas safety in commercial catering visits as a 'bolt on' topic, where applicable.	10	10	10	30
Proactive inspections – local intelligence led projects		Activity detail	Target No. of premises			Total no. of interventions
			B	C	V	
1.	Legionella management – cooling towers	Whilst this has been removed from LAC 67/2 (rev 9), SRS dealt with a long-standing cluster of Legionella cases in the Barry area during 2018-2019, and the risk of Legionella has significantly increased during the COVID-19 pandemic with the mothballing and less frequent use of buildings. Review of all LA cooling towers in Cardiff will be completed during 2020/2021 to ensure control measures remain robust and in accordance with L8 Approved Code of Practice.	0	4	0	4
2.	Indoor trampoline parks; ninja warrior leisure facilities & soft play facilities	Officers will continue scrutinising compliance with the PAS 5000 standard in indoor trampoline park settings; effective management of risk in leisure settings such as ninja warrior / indoor soft play. Providing advice about cleaning/disinfection and managing the risk of cross-infection will also be covered.	10	10	10	30
Non inspection led interventions - National Priorities		Activity detail	Target No. of premises			Total no. of interventions
			B	C	V	
1.	Preventing injury to members of the public from large commercial and recycling bins	Officers will disseminate the SRS guidance sheet to all relevant businesses as a 'bolt on', non-inspection intervention for all premises subject to a proactive inspection (where large waste receptacles are used).	10	10	10	30
Non inspection led interventions – Local intelligence led		Activity detail	Target No. of premises.			Total no. of interventions
			B	C	V	
1.	Dissemination of guidance to businesses re-opening during and after the COVID-19 pandemic lockdown	Provision of advice and support to businesses re-opening during the COVID-19 pandemic (i.e. hotels opening to accommodate key workers); provision of advice to businesses re-opening with the relaxation of lockdown to ensure they are COVID-secure; provision of primary authority advice to ensure businesses are COVID-secure.	20	20	20	60
2.	Provision of advice and support to the care home sector as part of the COVID-19 pandemic to ensure appropriate use of PPE and robust implementation of	Carrying out infection prevention and control assessments, and providing advice and support, with care homes to prevent/control the spread of COVID-19.	30	80	50	160

infection control measures.					
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The content of the Intervention Plan is reflected in the Service’s Action Plan 2020/21 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 2020/21 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, health & safety.	0.5
Team Manager x 1	Management of the health and safety aspects delivered by the Enterprise & Specialist Services (Industry) Team	0.1
Commercial Services Officers x 5	All aspects of health and safety enforcement (plus communicable disease work)	3.3
Commercial Services Officers x 2	Health and safety enforcement (large events), advice and training.	1.0
Commercial Services Officer x 1	Lead officer for fatality investigations/major investigations	0.1
Commercial Services Technical Officer x 3	All aspects of health and safety enforcement (plus communicable disease work)	1.8
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. We aim to use our Workforce Development Plan to ensure our officers have the right mix of experience, knowledge and skills required to fulfil our goals. Our Plan illustrates how we want to encourage and support our officers to develop new skills and work in different ways. Investing in people is a fundamental element of our maximising resources priority. The Workforce Development Plan provides a framework to blend:-

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

Workforce development is supported by regular performance reviews where line managers and employees identify, and adapt, personal objectives in line with personal objectives and training needs. Officers are also expected to satisfy the continual professional development requirements of their accredited professional organisation, and are supported to enable them to achieve this.

The Service also recognises the need for full technical support to be available to all health and safety enforcement 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. 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 Shared Regulatory Services 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 in, 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 Joint Committee for the Shared Regulatory Service 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 management meetings on a monthly basis.
- Team 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 #Its about me.
- 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

The health and safety service uses the Tascomi database 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.

All premises records, incident notification and reporting information and project management systems are digitised and held on the Council's IT systems. Records can be accessed directly or via the Tascomi database.

Each year an intervention plan is prepared to identify the number of interventions due at the start of the year together with any targeted intervention activities including specific project work and performance. The following sections identify those planned interventions due at the beginning of 2019/20 and reports on the delivery of those interventions together with information on enforcement activities.

Programmed Proactive interventions

In terms of performance in relation to the completion of national or local intelligence led proactive programmed interventions/inspections, the target for completion is 90% of the programme. In 2019/20, however the service achieved 113% in Bridgend, 138% in Cardiff and 103% in the Vale. This was as a result of additional inspections being undertaken as part of the 'duty to manage asbestos project' and the 'gas safety in commercial catering project'. Full details of these results can be found on page 24.

Programmed Non-inspection led interventions

Performance in relation to the completion of national or local intelligence led non-inspection led interventions is measured against a target of 85% completion of the programme resulted in the service achieving 160% in Bridgend, 78% in Cardiff and 180% in the Vale of Glamorgan. These results reflect the additional interventions undertaken in Bridgend and the Vale in relation to inflatable amusement devices and the fact that interventions planned for Qtr 4 in Cardiff in relation to shisha bars was postponed due to the Covid-19 pandemic. Full details of these results can be found on page 24.

LAE1 – Local Authority Health and Safety Annual Return - Under Annex D LAC 67/2 (rev 9) 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 three years can be found below.

Business feedback

Whilst duty holder feedback is sought from all businesses involved in any of the health and safety project interventions, this information is inherently difficult to obtain; especially if escalated enforcement action has to be taken. Whilst all businesses included in the 2019/2020 initiatives were sent feedback forms with their initial inspection letters, only 3 completed forms were returned. Notwithstanding this, 100% said that they had changed their practices and procedures as a result of the advice they received and 100% were satisfied with the overall level of service.

Intervention Plan - Activities 2019/2020

The 2019/2020 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 2019/2020, **9,638** businesses within SRS were logged on the Tascomi database as falling under the Local Authority remit for health and safety enforcement.

- Bridgend **2,436** (25%)
- Cardiff **5,386** (56%)
- Vale of Glamorgan **1,816** (19%)

The following table provides a summary of enforcement activity during the last 4 years across Bridgend, Cardiff and the Vale of Glamorgan.

Type	2016/2017			2017/18			2018/19			2019/20		
	B	C	V	B	C	V	B	C	V	B	C	V
No. of workplaces.	2156	5134	1679	2348	5160	1737	2388	5314	1792	2436	5386	1816
Total No. of proactive interventions	324	134	178	382	376	177	108	359	122	206	314	193
No. of A rated inspections *	7	25	18	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
No. of proactive intervention visits	185	109	73	264	240	86	63	144	74	107	155	99
No. of non-face to face interventions*	132	0	87	103	104	79	0	136	0	61	73	62
No. of other face-to-face contacts**	n/a	n/a	n/a	15	32	12	45	79	48	38	86	32
Total No. of reactive visits	67	133	57	79	230	61	107	234	60	90	274	91
No. of accident and complaint visits	55	95	42	44	167	39	70	174	47	75	188	75
No. of Permissioning requests	12	38	15	35	63	22	37	60	13	15	86	16
No. of revisits	45	43	26	11	47	18	5	23	6	4	29	10
No. of formal cautions	0	0	0	0	1	0	0	0	0	0	0	0
No of improvement notices	12	30	19	24	55	16	14	10	0	0	11	0
No. of prohibition notices	1	9	0	0	7	0	3	6	4	0	20	3
No. of prosecutions	0	0	0	0	1	0	0	2	1	0	6	0

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

* Includes event desk top assessments

** Includes provision of training/education; attendance at ESAG/ELP meetings and outdoor events; Primary Authority work; paid for advice visits; business forums

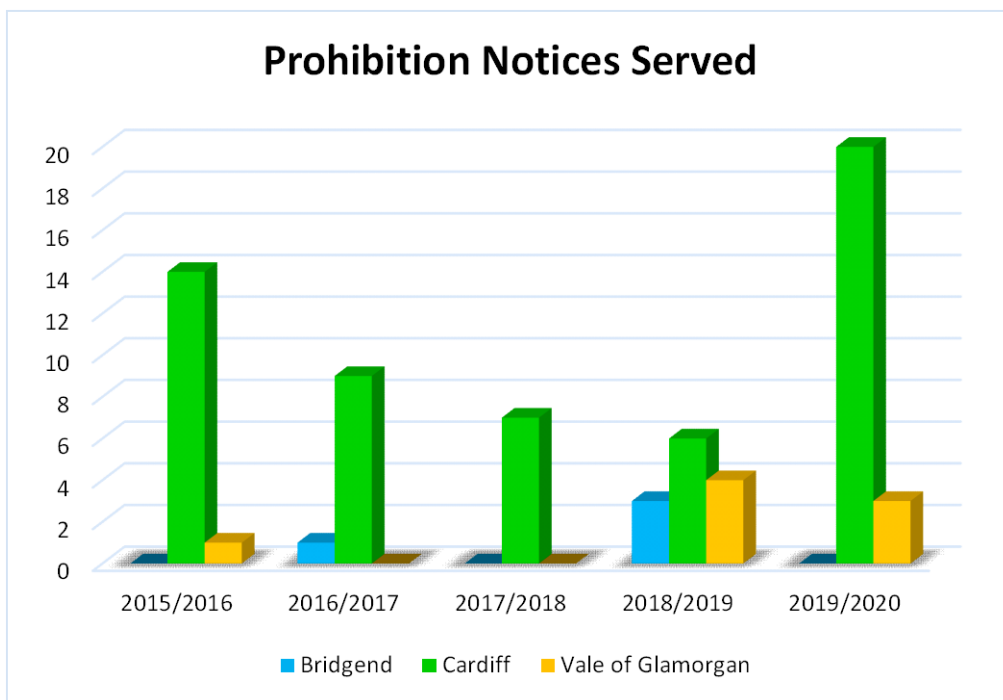
Total number of reactive visits = accidents/complaints/service requests/permissioning requests

In addition to the 6 successful prosecutions taken by SRS during 2019/2020, a departmental warning was also issued to the person in control of a Cardiff based shisha lounge for breaches of smoke-free legislation.

In most cases, duty holders are required to submit time-tabled action plans, with supporting evidence, to illustrate compliance with contraventions identified during proactive intervention

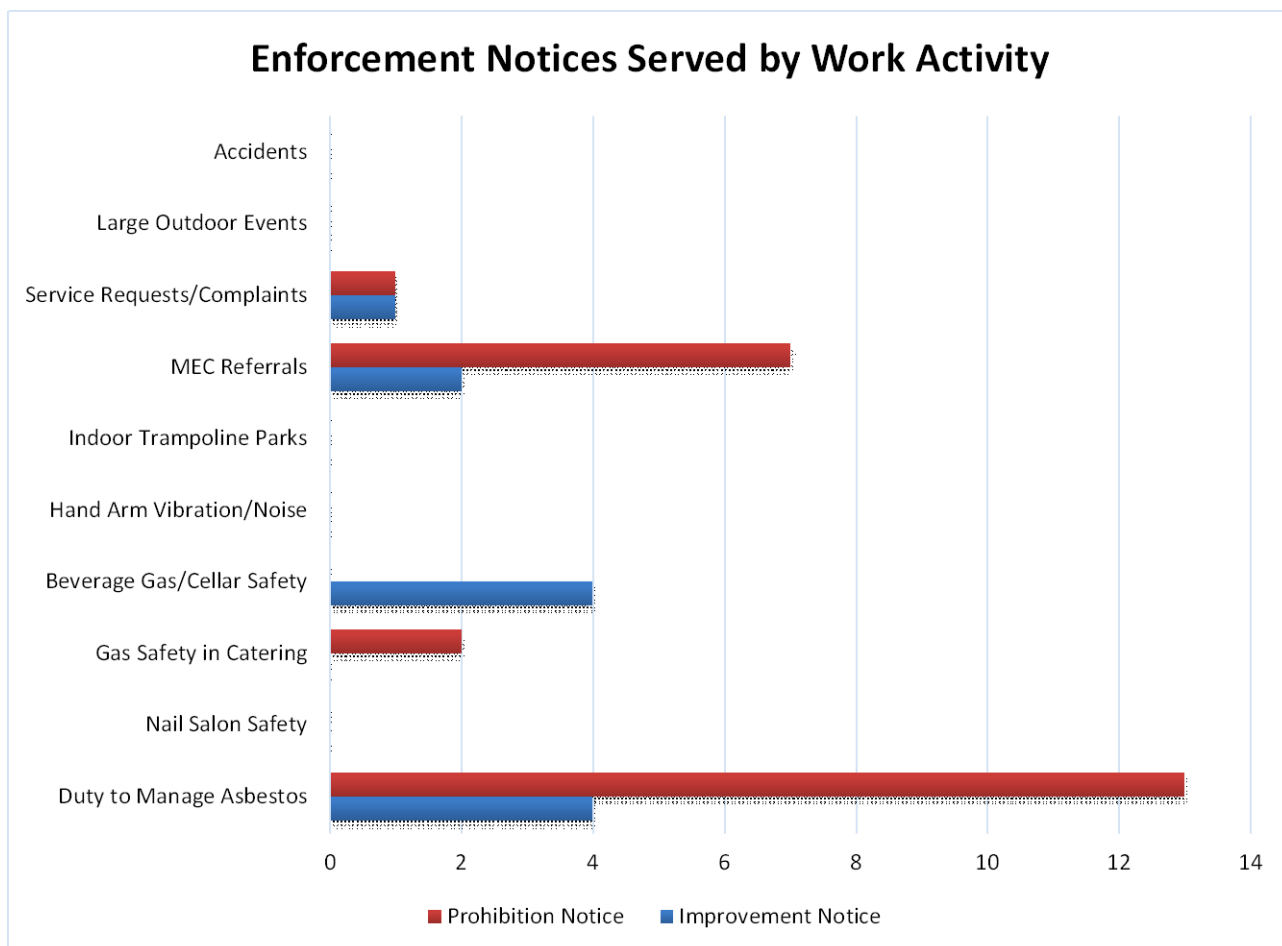
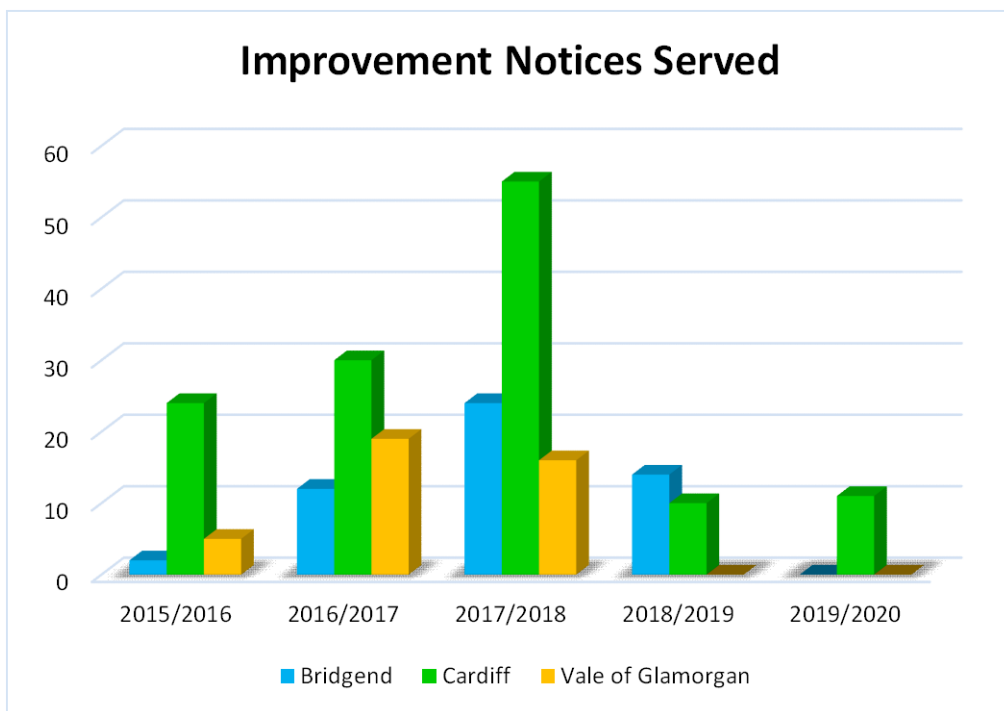
visits. The same approach is similarly adopted during the investigation of reactive work. This explains the low number of actual revisits undertaken by officers to businesses. Revisits in person are time consuming, and an inefficient way of operating the service, so are only undertaken when the need arises.

In addition to officers issuing prohibition notices to eliminate risks of serious personal injury, a number of 'directions to leave undisturbed' were also issued to duty holders where potentially defective equipment was identified.



Examples of reactive work during 2019/2020 requiring the service of prohibition notices

- A warehouse was found storing goods at a height on an unguarded mezzanine area, presenting a risk of both goods and people falling from a height. The use of the mezzanine area for storage purposes was stopped immediately by issuing a prohibition notice.
- A food business was found to have erected an additional room to the rear of the building, resulting in the gas boiler flue discharging products of combustion inside the premises. The use of the boiler was immediately stopped by issuing a prohibition notice, and immediate liaison took place with colleagues in the Food Safety Team since the venue was consequently not able to readily access a supply of hot water.
- All 13 committee members of a social club were issued with prohibition notices after a storeroom that was commonly used by both employees and non-employees was found to contain friable and significantly damaged asbestos materials.
- The use of a solid fuel charcoal grill was prohibited after the Fire Service identified that its use was directly responsible for elevated levels of carbon monoxide in the living accommodation above the food business. A defective extract ventilation system was causing an overspill of products of combustion into the domestic properties.



MEC referral is in reference to a matter of evident concern

More detailed information about the beverage gas safety intervention; duty to manage asbestos intervention; management of hand arm vibration and noise in golf clubs/main care dealerships/small tyre and exhaust premises and gas safety in catering is included in the forthcoming section examining proactive work undertaken by Officers during the 2019/2020 work plan.

The Intervention Plan table illustrated below provides specific details on how the team performed against targeted planned work in Bridgend, Cardiff and Vale of Glamorgan for 2019/2020. It should be noted however that during the year the service experienced a number of staff changes which saw the arrival of three new team members (2 x Commercial Services Officer and 1 x Technical Officer) at the start of the period, and the departure of three team members (2 x CSO and 1 x TO) towards the end of the year. Furthermore the substantive manager of the team remained on extended secondment to Welsh Government resulting in another CSO continuing to cover the Team manager role in her absence. This reduction in resources together with the need to address additional training needs inevitably impacted on the team’s capacity to fully deliver the planned proactive work. Notwithstanding this, the remaining team members continued to deliver a significant amount of both reactive and proactive work during the year which can be seen below.

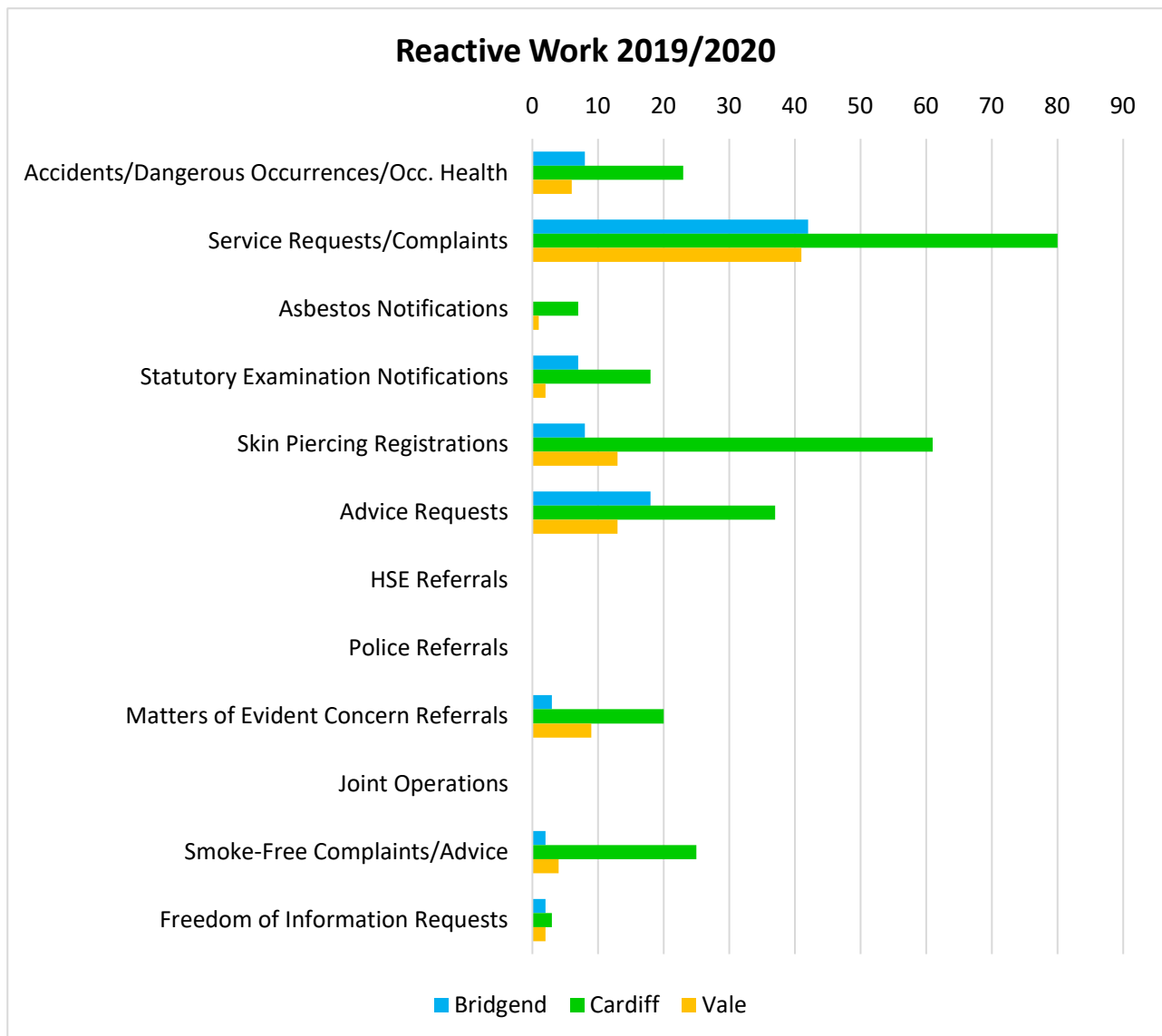
Intervention Plan 2019 -2020								
Reactive work activity		Activity detail						
1.	Accident investigation	Receive notifications of all reportable injuries, occupational disease and dangerous occurrences from the HSE HELEX website; employees or members of the public and investigate in accordance with the SRS Accident Investigation Policy. A total of 37 notifications were investigated during 2019/2020 in accordance with the accident investigation procedure: Bridgend (8); Cardiff (23); Vale (6). A total of 304 RIDDOR notifications were received between 01/04/19 and 31/03/20 – Bridgend (57); Cardiff (198) and Vale (49).						
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 301 complaints/service requests/referrals were investigated during 2019/2020: Bridgend (67); Cardiff (165); Vale (69) Complaints and service requests also include smoke-free complaints; requests for advice; FOI requests; matters of evident concern referrals.						
3.	Permissioning Activities	Respond to licence applications, statutory equipment/plant reports, and asbestos notifications in a timely and effective manner. A total of 117 permissioning requests were dealt with by Officers during 2019/2020. 82 (70%) of these applications were skin piercing registration requests which require at least 1 Officer visit: Bridgend (8); Cardiff (61); Vale (13).						
4.	Outdoor events	The Enterprise & Specialist Services Team are lead officers for specified outdoor events and lead the Council’s response to public safety matters at outdoor events via the Events Liaison Panel (ELP) and ESAG mechanisms. During 2019/2020, a total of 25 ESAG/ELP meetings were attended by Officers; 9 actual events were visited and monitored; and approximately 127 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	
		T	A	T	A	T	A	

1.	Petroleum Storage premises.	Inspect all premises that store petroleum or have stored petroleum.	-	12	-	22	-	7
2.	All applicable explosive storage premises.	Inspect all applicable premises that store explosives including fireworks.	-	20	-	45	-	15
Project based activity – National projects		Activity Detail	No. of premises					
			Bridgend		Cardiff		Vale	
			T	A	T	A	T	A
1.	Beverage gases in the hospitality industry	Following the success of Phases 1 & 2, this project provided a sufficient evidence base to be continued during 2019/2020. The risk of falls from a height, and exposure to oxygen depleted atmospheres was assessed in nightclubs, independently managed pubs; sports and social clubs and workingmen clubs.	20	20	20	22	20	20
2.	Duty to manage asbestos	This project has had a positive impact on raising standards, and awareness, throughout businesses in SRS since the initial pilot project in 2016/17. The duty to manage asbestos was included in the gas safety in commercial catering visits as a 'bolt on' topic, where applicable, and Phase 3 of the beverage gas safety initiative.	30	41	30	56	30	38
3.	Gas safety in commercial catering	SRS dealt with a number of reported gas leaks in commercial catering establishments during 2018/19. This national priority intervention continued throughout SRS in 2019/20.	25	28	25	41	25	22
Project based activity – Local projects		Activity detail	No. of premises.					
			Bridgend		Cardiff		Vale	
			T	A	T	A	T	A
1.	Preventing the risk of employee exposure to Hand Arm Vibration (HAVS) & noise at work	During 2018/19 SRS, together with another LA in SE Wales, received a number of occupational disease notifications for HAVS associated with the motor trade. The topic areas of HAVS and noise at work exposure were also a weak area of compliance in the golf course visits undertaken throughout 2016-2018. This project intervention was done in 2 phases: <ul style="list-style-type: none"> Phase 1 required all golf clubs to provide copies of their revised HAVS and Noise at work risk assessments following their attendance at the VEEP business forum. Phase 2 involved officers visiting main dealerships in the motor trade, and tyre & exhaust businesses, to assess how they are managing the risk of employee exposure to HAVS and noise at work. 	6	5	7	7	11	11
			11	11	18	18	5	4
2.	Indoor trampoline parks and Ninja Warrior leisure facilities	SRS continued to investigate a number of complaints and accidents to members of the public using indoor trampoline facilities and indoor Ninja warrior-style facilities during 2019/20.	1	0	5	3	0	0

3.	Health and safety in nail salons	Completion of the pilot project which commenced during 2018/2019. 1 business in the Vale had ceased trading and could not be visited.	1	1	6	6	4	3
4.	Safe Estates – safety management review of a company operating sites across SRS	SRS received a referral from Newport Council about poor safety practices being implemented at a warehouse facility where the duty holder also operated sites across the SRS region. A safety management review was undertaken to examine the matters of evident concern.	-	1	-	1	-	1
Non Inspection led interventions – National Priorities		Activity detail	No. of premises.					
			Bridgend		Cardiff		Vale	
			T	A	T	A	T	A
1.	Preventing injury to members of the public from large commercial waste and recycling bins	A new topic area on the HSE priority list in 2018/19 following the deaths of 11 members of the public who had unknowingly accessed commercial sized waste containers. This non-face-to-face intervention was an additional targeted intervention to businesses visited as part of the beverage gas safety project.	0	19	0	9	0	11
2.	Inflatable Amusement Devices	A new topic area on the HSE national planning priority list contained within Annex A of LAC 67/2 (rev 8) following a number of serious incidents where inflatable amusement devices have collapsed or blown away in windy conditions. An intelligence gathering form produced by the SW Wales H&S Task Group was issued to event organisers attending ELP/ESAG meetings, or those businesses likely to use inflatable devices in fixed premises. All returned forms were collated and analysed to inform the targeting of resources moving forward, and fed back to HSE via the Expert Panel mechanism.	5	8	15	13	5	9
Non Inspection led interventions – Local Intelligence Led		Activity detail	No. of premises.					
			Bridgend		Cardiff		Vale	
			T	A	T	A	T	A
1	Smoke-free compliance in shisha bars	Following on from the shisha intervention that commenced during 2018/2019, officers will visit a further 3 shisha premises during 2019/20 to secure compliance with The Health Act 2006 and Smoke-Free Premises etc. (Wales) Regulations 2007 to protect the health of both visitors and employees from exposure to tobacco smoke. This intervention was planned for Quarter 4, but had to be postponed due to the COVID-19 pandemic.	0	0	3	1	0	0

Reactive Interventions

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



Accidents, Complaints and Service requests

Officers investigated a wide range of complaints/service requests during 2019/2020, with the most frequently reported concerns relating to:

- Poor infection control arrangements during the COVID-19 pandemic
- Gas leaks (*both natural gas and LPG*) in commercial food businesses
- Electrical safety concerns
- The condition and cleanliness of toilet facilities
- Smoking in public places (*including non-compliant shisha areas*)
- Slips, trips and falls to both employees and non-employees

- Poor safety management arrangements at indoor trampoline parks and Ninja Warrior style leisure facilities (*i.e. poor supervision; inadequate safety briefings to customers*)
- Unsafe storage arrangements on mezzanine areas in warehouse storage facilities
- Overloading of commercial vehicles; poor traffic management; unsafe racking
- Investigation of unregistered skin piercing activities (“scratchers”)

No dangerous occurrences were notified to SRS during 2019/2020 and 2 occupational disease notifications were received (*both in relation to work-related Hand Arm Vibration exposure*).

Examples of significant accidents and complaints investigated by Officers during 2019/2020 are outlined below:

Significant accident & complaint investigations during 2019/2020
<ul style="list-style-type: none"> • A delivery driver sustained multiple fractures after falling from the back of his HGV whilst loading the vehicle. • An employee sustained serious burns to her foot after standing on top of a deep fat fryer whilst returning filters to the kitchen extraction canopy after routine cleaning. Whilst undertaking this unsafe working practice, her foot slipped and fell into the hot oil that remained inside the fryer unit. • A customer sustained injuries after a delivery driver struck a pedestrian whilst manoeuvring his vehicle in a shared car park space. • A food handler sustained facial burns whilst lighting a gas pizza oven after a build-up of gas caused the flame to blow back onto the member of staff. • The team was notified of a number of serious injuries sustained by customers visiting 2 Cardiff based indoor trampoline parks and 2 Cardiff based indoor Ninja warrior leisure facilities – injuries included broken legs and backs, with the majority of injures persons being children.

All of the above were fully investigated by officers, with appropriate enforcement action being taken.

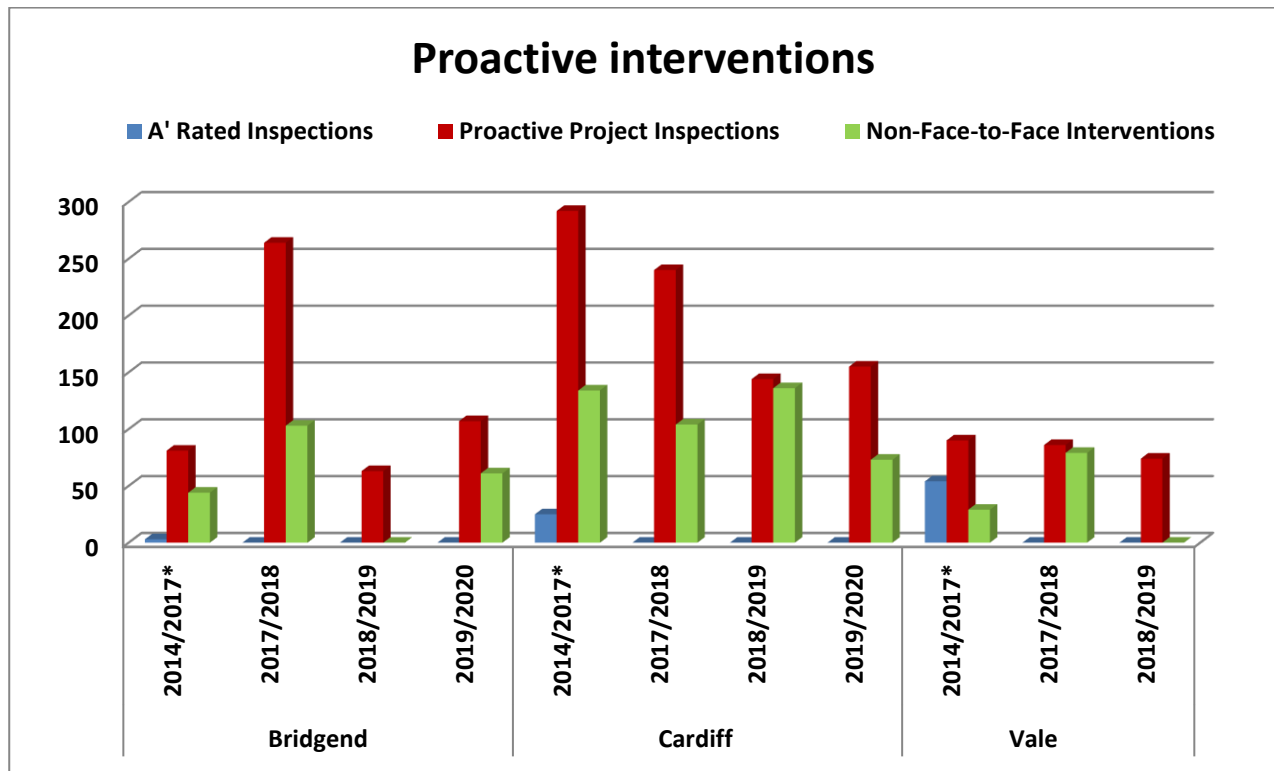
Permissioning requests relate to high-risk work activities that demand a form of approval from the Health and Safety Enforcement Service before the activity can proceed. These include registration applications for tattooists and skin piercers; notifications from contractors wishing to carry out specific 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.

The graph below compares the number of proactive interventions in Bridgend, Cardiff and Vale of Glamorgan for 2019/2020 against the average number of proactive interventions for the previous 4

financial years (*visits made in relation to petroleum and explosives are excluded since they are not in-scope of the annual LAE1 return*).



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 2019/2020. Moving forward, such high risk businesses/activities could now be included as a proactive project inspection/visit to ensure that health and safety standards do not deteriorate.

Proactive Project Inspections/Visits

358 businesses (Bridgend: 106; Cardiff: 154; Vale: 98) received proactive health and safety interventions in the following topic areas during 2019/2020:

- Gas safety in commercial catering premises.
- Duty to manage asbestos.
- The management of Hand Arm Vibration and Noise in golf clubs; main car dealerships and small tyre and exhaust fitting premises.
- Beverage gas safety/cellar safety in the hospitality sector (Phase 3)
- Health and safety in nail salons (conclusion of pilot study)

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

The aim of the Safety in Cellars Project - Phase 3 was to identify if the selected independent pubs; nightclubs; sports and social clubs and private member clubs within SRS were effectively managing the risks of falls from a height and asphyxiation to both employees and non-employees (*e.g. contractors, members of the public*) who could potentially access cellar areas; either intentionally or by accident.

A total of 62 businesses were initially identified across SRS for inclusion in Phase 3 of the project – Bridgend (20); Cardiff (22); Vale (20). These included a combination of independently operated pubs, restaurants, nightclubs, sports and social clubs and private members clubs.

Phase 3 Results

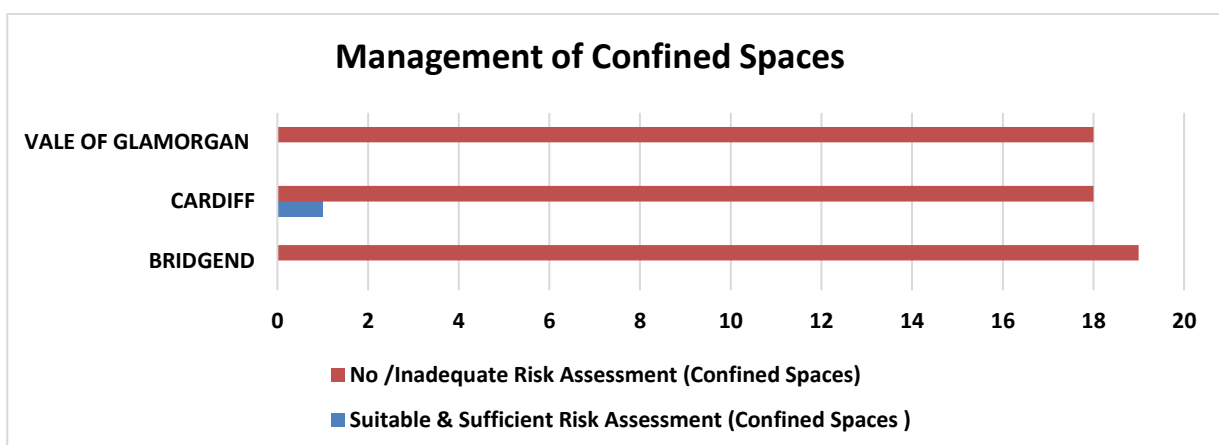
All cellar visits were completed by the last week of March 2020. Of the 62 premises initially identified, 2 premises had ceased trading and 4 businesses did not have cellars. The latter were considered to be outside of the scope of the safety in cellars project and were subsequently excluded. A final cohort of **56 businesses** were included in this intervention.

The results for Phase 3 project visits closely reflected the outcomes of Phase 2; the management of beverage gas safety in confined spaces, and failure to implement suitable and sufficient control measures, being the weakest areas of compliance. The majority of businesses visited had a profound lack of understanding with regards to the severity of the risk involved with working in a confined space with beverage gases present. Consequently duty holders failed to recognise the necessity for critical control measures such as carbon dioxide or oxygen depletion monitors to be installed. These non-compliances were consistently observed across Bridgend, Cardiff and the Vale of Glamorgan which replicated the findings of Phase 2.

The key findings identified from all project visits are detailed below:

Confined Spaces Risk Assessment and Controls

The key findings for the management of confined spaces compliance are illustrated in Graph 1. Of the 56 businesses visited, 55 (98%) did not have a suitable and sufficient confined spaces risk assessment in place and had not adequately considered the risks associated with working in a cellar environment. The main responses from businesses were that they had not considered their cellar area to be a confined space and therefore were not aware of the legal requirement to complete a confined space risk assessment.

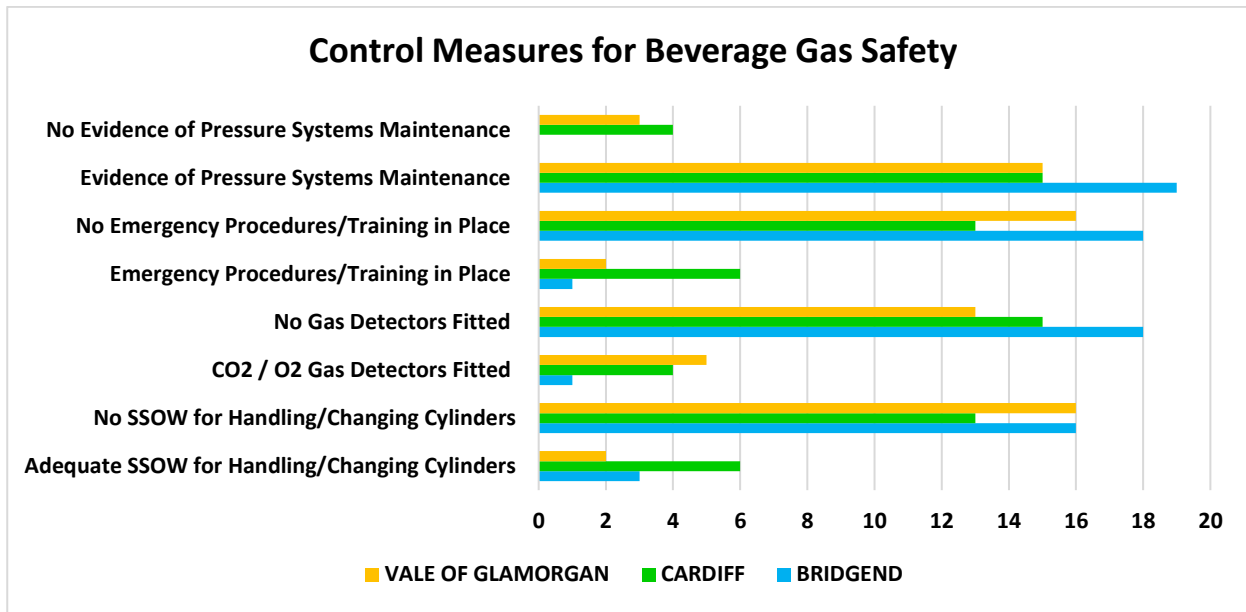


Graph 1: Management of Confined Spaces

Beverage Gases – Safe Systems of Work and Control Measures

Compressed gases, such as carbon dioxide and nitrogen, are frequently used in beverage dispense systems to produce a ‘fizz’ in beverages (*carbonation*) or to push a product out of a container (*i.e. a keg*). If these gases become released in an uncontrolled manner within a confined space (*e.g. bursting disc failure on a cylinder; cylinder valve leak or failure to attach a keg coupler correctly*) the level of oxygen in the atmosphere will become depleted which can significantly increase the risk of asphyxiation to persons accessing, or working in, a cellar environment.

The key findings relating to the safe use of beverage gases in the project premises are illustrated in Graph 2.



Graph 2: Control Measures for Beverage Gas Safety

Of the 56 businesses visited only 11 (20%) businesses had adequate safe systems of work (SSoW) in place for the handling and changing of beverage gas cylinders. The remaining 45 (80%) businesses were deemed to have inadequate SSoW; in most instances only in-house, basic, verbal instructions, and a brief demonstration, had been provided to most staff during initial cellar training. Although in-house training for the majority of hospitality roles is sufficient, it can in some instances (dependant on the knowledge of the trainer) be lacking in providing employees with the correct industry practices and does not always ensure that staff are fully made aware of the hazards and risks associated with beverage gases.

Of the 56 businesses visited, 46 (82%) did not have any type of gas detection system in place for staff to identify potential beverage gas leaks in the cellar before entering the room. The remaining 10 (18%) businesses did have carbon dioxide monitors fitted but staff were sometimes unaware of the need to check the repeater alarm, or how to interpret it, before entering the cellar. In one premises, an ineffective system was seen in situ of a carbon dioxide repeater alarm outside the cellar entrance that was not connected and also there was no sensor was found in the cellar.

An essential control measure for the safe use of beverage gases is the preparation of emergency procedures for both minor and major leaks, and for staff to be effectively trained in those procedures. This would include what actions to take in the event of any medical emergencies and procedures to be followed to rescue casualties safely from a cellar. Of the 56 visits, 47 (84%)

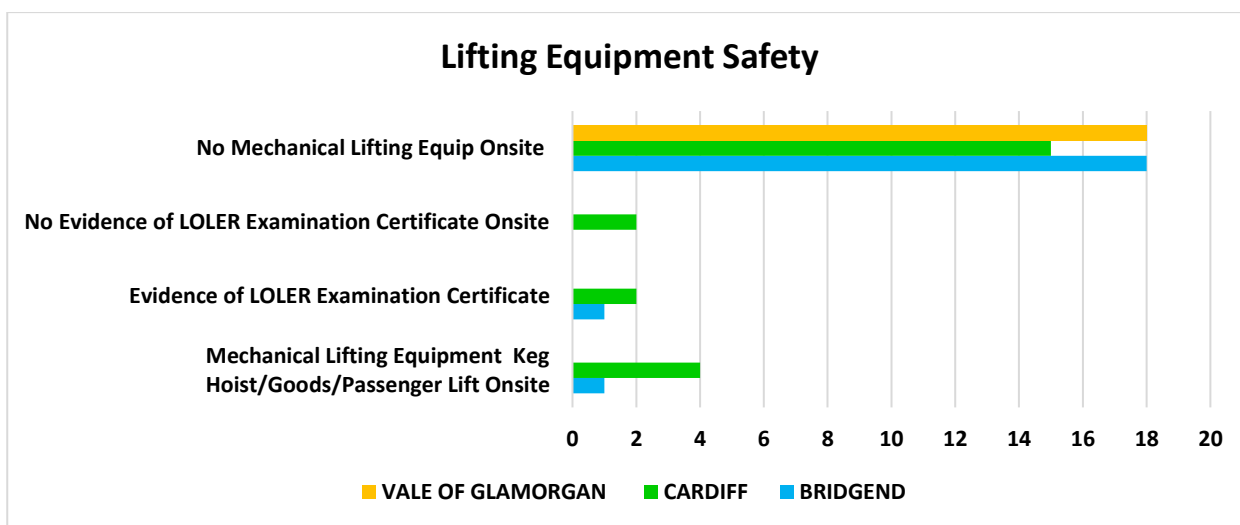
businesses had no documented emergency procedures in place for situations, including minor and major gas leaks and for the safe rescue of persons from a confined space area.

Pressure systems are a fundamental component of the cellar equipment and will comprise of pressure valves and blending units set for each draught drink on the system and also sometimes incorporate small compressor units. This pressure equipment is generally fitted and maintained by the brewery companies rather than businesses having to periodically arrange inspections and therefore it was seen that 49 (88%) of businesses had pressure cards or evidence that their cellar pressure systems were being periodically maintained in accordance with legislation and manufacturer’s instructions.

Lifting Equipment Safety (Lifting Equipment and Lifting Operations Regulations)

The key findings for the use and thorough examination of lifting equipment in the cellars visited are illustrated in Graph 3. Of the 56 businesses visited 51 (91%) did not have any mechanical lifting equipment in use and therefore thorough examination certification (LOLER certificates) were not required as these premises relied on manual handling methods to move stock into, and out of, cellar areas.

Mechanical lifting equipment (e.g. keg hoists, goods lifts, passenger lifts, dumb waiters etc.) were used in only 5 (9%) businesses and LOLER thorough examinations were required for equipment seen onsite. Of the 5 premises, 3 businesses were able to evidence that LOLER thorough examinations had been completed when the Officer was onsite and the remaining 2 premises were required to evidence that thorough examination had been completed by way of the following inspection letter.



Graph 3: Lifting Equipment Safety – Equipment Use and Thorough Examination (LOLER)

Falls from Heights

A number of businesses had cellar access doors and other doors leading to “staff only” areas that were located in public areas which were routinely left unlocked during trading hours; thus providing unrestricted access by non-employees and an increased risk of customers falling. The practice of leaving doors open, significantly increases the risk of a non-employees accessing a staff only area, including cellar rooms and also falls down any steps located directly behind an unsecured door.

Only 8 (14%) premises visited had cellar hatches accessible in public areas; mainly these were outside the premises on public pavements and carpark areas and on the whole were kept secured and managed well during delivery periods.

Older buildings were more likely to have steeper staircases, with restricted headroom, as a means of access into a subterranean cellar. Of the 56 premises visited, 22 (39%) had subterranean cellars and issues identified that would contribute to falls from height and falls in cellars which included damaged to step treads, poor lighting to cellars, damaged floors and open drainage channels creating uneven floor levels and trip hazards; cellar rooms found to be overstocked, cluttered and used to store miscellaneous equipment.

Implementation of safe systems of work (SSoW) were advised to businesses to ensure that risks to both staff and non-employees were adequately addressed with regards to reducing falls from height and falls in general. Suggested controls included cellar doors and staff only area doors to be kept locked when trading and access restricted, use of supervision and/or physical barriers around cellar hatches when in use for deliveries; minimising the use of cellars at times when the business is open; ensuring prompt action is taken to address areas of disrepair and improvements made to declutter cellar rooms.

HSE Referrals - Compressed Gas Suppliers based in Bridgend & Swansea

Phase 3 provided an excellent example of effective inter-agency working to provide the HSE with a credible evidence base of poor performers and to enable them to take appropriate enforcement.

During Phase 1 and 2 visits, SRS officers identified a significant number of gas cylinders from one Bridgend based gas supplier with missing coloured test date rings or the test date ring was out-of-date; thereby suggesting that gas cylinders had been refilled without being subject to thorough examination (*which would include checks for internal corrosion and thinning of the metal body of the cylinder*). At the time these concerns were referred to the Health and Safety Executive (HSE), as the relevant enforcing authority, who subsequently issued the duty holder with a number of Improvement Notices. Phase 3 visits have again highlighted repeated non-compliances by the same Bridgend based cylinder supplier. Of the 14 businesses using this company, 9 duty holders (64%) had out-of-date test rings on beverage gas cylinders. SRS has continued to instruct businesses to take these cylinders out of use and the non-compliances have been referred to HSE.

Phase 3 visit also identified repeated non-compliant behaviour by a Swansea based beverage gas cylinder supplier, which again, was communicated to HSE for appropriate enforcement action to be taken.

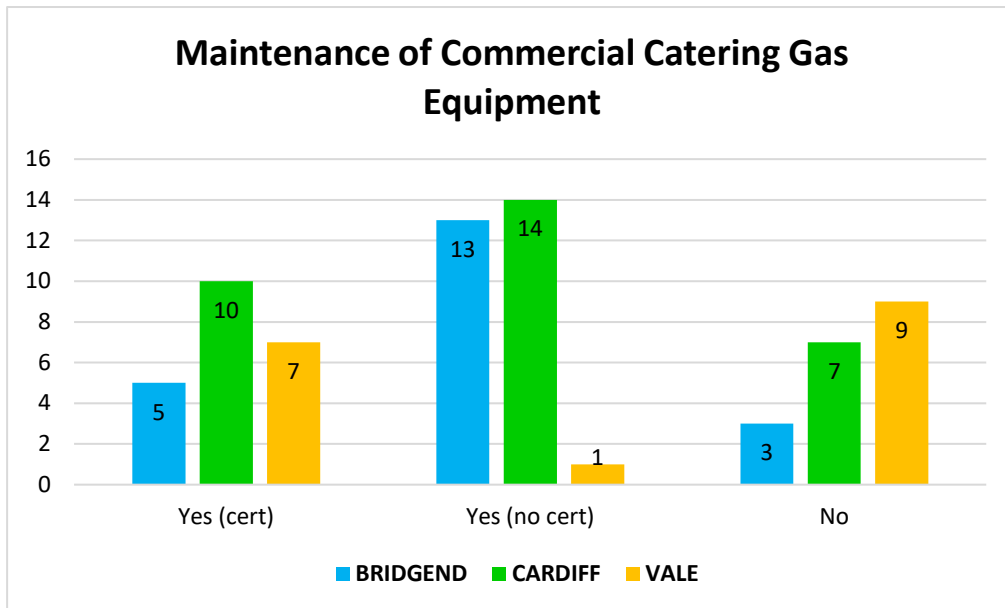
Whilst “beverage gases in the hospitality industry” has been removed from the list of national priorities in the latest HSE LAC 67/2 (Rev 9) document, regional and local evidence indicates that beverage gas safety remains a weak area of compliance across the independent sector; particularly tenanted pubs, nightclubs, sports and social clubs and workingmen’s clubs.

Gas Safety in Commercial Catering Businesses – improving health and well being

Phase 5 of this proactive intervention took place during 2019/2020 which focused on takeaways, cafes and restaurants across the SRS region. A total of 91 businesses were initially selected across Bridgend (28), Cardiff (41) and the Vale of Glamorgan (22) to be included in the project; however, the final number of inspections actually undertaken totalled 69 after Officers found a number of premises had ceased trading; did not use natural gas or LPG or was out-of-scope of the project (*i.e. mobile food trader*).

Bridgend (21)	Cardiff (31)	Vale of Glamorgan (17)
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Actual number of gas safety in catering inspections undertaken during 2019/2020



Phase 5 of this intervention found 50 of the 69 duty holders (72.5%) being able to evidence that their commercial catering gas installations and equipment were being adequately maintained; either by the production of appropriate gas safety certificates (32%), or through appliances being in a visibly good state of repair and cleanliness (40.5%).

Whilst only 2 (3%) of the 69 businesses failed to have adequate ventilation to safely operate their commercial gas appliances, this required Officers to take escalated enforcement action to eliminate the risk of serious personal injury to both employees and non-employees from possible exposure to carbon monoxide fumes. A fish and chip shop in the Vale, which had no extraction canopy above a commercial gas range oven, was directed to leave the appliance undisturbed whilst the duty holder obtained an appropriate gas safety certificate. The duty holder subsequently elected to change the gas range oven to an electric alternative. An almost identical scenario in Cardiff resulted in the service of a Prohibition Notice to take the appliance out of immediate use until such time that it was certified as safe by a commercial Gas Safe engineer.

A further 13 businesses (Bridgend 4; Cardiff 2; Vale 7) had commercial gas appliances in use that were not fully positioned beneath an extraction canopy, thereby compromising the dispersal of products of combustion. This finding was also suggestive that the gas equipment had not been installed by a gas engineer competent to work on commercial appliances.

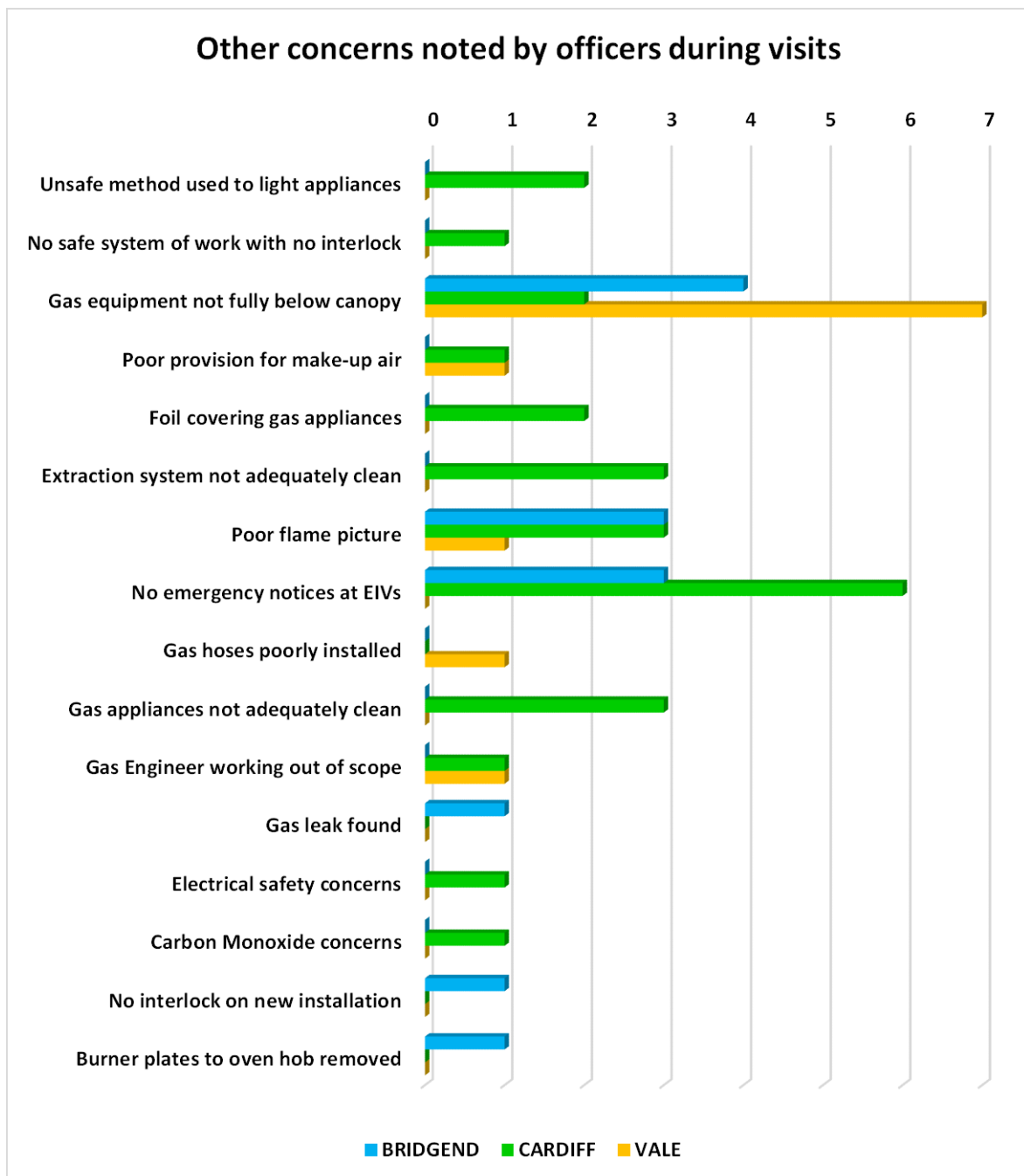
A Prohibition Notice was also served on the duty holder of a Cardiff-based restaurant/takeaway after an Officer identified that the gas boiler flue was discharging products of combustion inside the premises after the owner had installed a make-shift extension to the rear of the food business.

A total of 2 gas engineers were reported to Gas Safe Register after Officers identified that they had worked 'out-of-scope'.

Officers identified a gas leak in 1 premises in the Bridgend area which required Wales and West to attend site to immediately make the installation safe.

This intervention also enabled Officers to identify other matters of evident concern that required immediate enforcement action to remove the risk of serious personal injury to both employees and non-employees.

- An electric deep fat fryer in a Cardiff-based restaurant was found to have a badly damaged electrical cable, with exposed live conductors that were in close proximity to the metal casing of the appliance. A Prohibition Notice was served to immediately take the appliance out of use.
- The use of a charcoal grill was prohibited after Officers became aware that the extract ventilation system was defective, causing products of combustion to percolate into the residential accommodation above the restaurant. The use of the charcoal grill directly correlated with elevated levels of carbon monoxide fumes in several flats above the business.



Pilot Assessment of Health and Safety in Nail Salons across SRS – Improving health and wellbeing & safeguarding the vulnerable

The aim of the pilot was to identify if evidence existed to indicate that nail salons across SRS were failing to effectively manage health and safety risks to both employees and non-employees; particularly in light of SRS receiving an increase in the number of complaints about post-treatment infections and poor management of hazardous substances commonly associated with this industry.

Contraindications, such as nail fungal infections, often occur as a consequence of inadequate disinfection and unhygienic practices; often taking time to develop and requiring sustained medical intervention.

A number of the products used in the artificial nail industry also contain substances which are intrinsically hazardous to health. These substances may be toxic through skin contact, ingestion, or inhalation; often by all three routes. One of the main chemicals of concern is Methyl Methacrylate (MMA); a substance that can be absorbed into the body by inhalation, through the skin and by ingestion. Exposure to MMA may cause skin sensitisation and repeated, or prolonged, inhalation has been associated with occupational asthma. The substance has been linked to effects on the central and the peripheral nervous systems, and has been prescribed both short-term and long-term workplace exposure limits (WELs) that should not be exceeded. MMA is highly flammable and can cause explosive mixtures.

Substances assigned a WEL are subject to the Control of Substances Hazardous to Health Regulations (COSHH) which require employers to prevent, or control, exposure to hazardous substances to the lowest level reasonably practicable. The filing and shaping of both natural and artificial nails additionally generates dust which may be both inhalable and respirable; falling under the requirements of COSHH.

Twenty (20) businesses were randomly selected across all 3 local authority areas and Officers were required to focus on the following key themes:

• Hazardous Substances	• Personal Protective Equipment	• Procedures	• Welfare Arrangements
• Ventilation	• Health Surveillance	• Equipment Used	• Staff Training

Results

A total of 19 visits were completed between February 2019 and June 2019; 1 business was found to be no longer trading at the time of the Officer visit.

Key areas where improvements were required included:

- **Pre-treatment questionnaires/identification of contraindications**

There was a general lack of detail in the pre-treatment questionnaires completed by clients in 15 of the 19 (79%) businesses, with contraindications specifically focusing on skin conditions (*such as Eczema, Dermatitis, Psoriasis, and skin blemishes*) not being included. These salons also failed to record if conditions such as Impetigo, Scabies and fungal nail disorders were present; contraindications that should preclude a treatment from taking place. In some instances client consultation forms were not being retained by salon duty holders.

- **Risk Assessment**

A lack of understanding about risk assessment was seen in 12 of the 19 (63%) premises. Whilst most businesses employed fewer than 5 employees, which negated the need to document the significant findings of the risk assessment process, duty holders appeared to be unaware that they were still required to risk assess their work activities and reduce risks as far as is reasonably practicable.

Chemical hazard data sheets could not be produced in 12 of the 19 salons, resulting in these duty holders being unable to fully ensure that employee, and non-employee, exposure to hazardous substances was either prevented, or minimised to the lowest level reasonably practicable. Whilst Officers found evidence of some control measures being implemented (*i.e. use of products containing Ethyl Methacrylate instead of Methyl Methacrylate*), duty holders were invariably unable to offer any coherent rationale as to why such changes had been made.

- **Ventilation**

A lack of thorough examination of Local Exhaust Ventilation (LEV), as required by Regulation 9 of the Control of Substances Hazardous to Health Regulations 2002 (COSHH), was observed in 13 of the 19 (68%) salons. LEV is a necessary control measure where employee, and non-employee, exposures to chemical fume and fine dusts could exceed a workplace exposure limit (WEL); as prescribed in the HSE document EH40. The lack of LEV system examination was often due to a lack of duty holder awareness about who should maintain such equipment. Consequently reliance was usually placed on daily basic maintenance by staff.

- **Health Surveillance**

In 12 of the 19 (63%) premises no formal arrangement was in place for carrying out health surveillance. Health surveillance is a system of on-going employee health checks, required by the COSHH Regulations, where staff are exposed to solvents; fumes; dusts; biological agents and other hazardous substances with prescribed workplace exposure limits.

In its simplest form, health surveillance should involve employees checking themselves for signs or symptoms of ill health following a training session on what to look for and who to report symptoms to this can be an inexpensive assessment.

- **Aftercare Advice**

The format and quality of after-care advice provided by the salons varied considerably and was deemed to be inadequate in 8 of the 19 (42%) businesses. Some salons only provided clients with verbal advice.

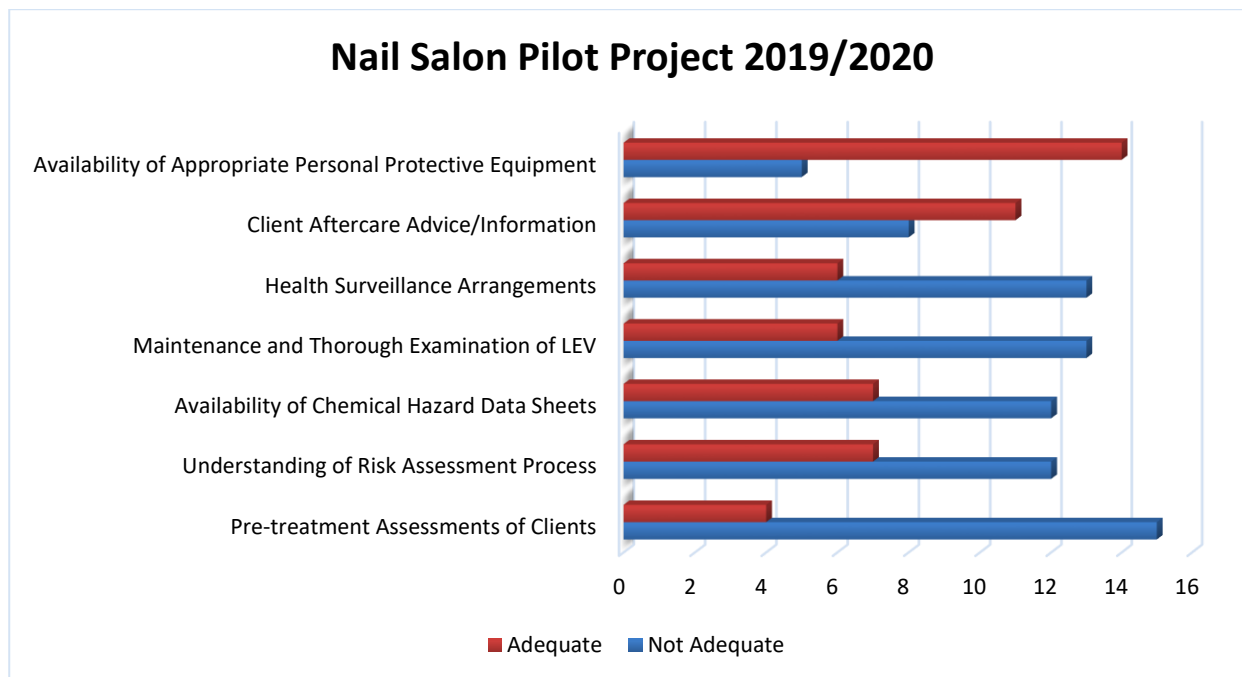
- **Personal Protective Equipment**

Although practitioners in all 19 premises used disposable gloves as a form of personal protective equipment (PPE), only latex gloves were available in 5 of the 19 (26%) salons. A supply of alternative gloves (*e.g. nitrile or vinyl*) were not available. Latex is a known allergen and whilst customers were often asked about general allergies in their pre-treatment consultation, specific reference to Latex was often not made.

The areas of greatest non-compliance identified during the intervention visits were:

- Maintenance and thorough examination of local exhaust ventilation (LEV) at least every 14 months or in accordance with the manufacturer's instructions,

- Carrying out of detailed client consultations before each treatment to identify any potential contraindications, and
- The lack of health surveillance of employees to facilitate the early detection of health conditions associated with work activities (*e.g. occupational asthma; dermatitis*) and to monitor the effectiveness of existing control measures.



To raise awareness on these specific issues, and hence improve legislative compliance, an educative approach will be adopted by SRS as a ‘next step’. Officers are aiming to produce a bilingual leaflet that can be communicated via the SRS website and social media links, and potentially distributed to new businesses when Officers undertake other visits.

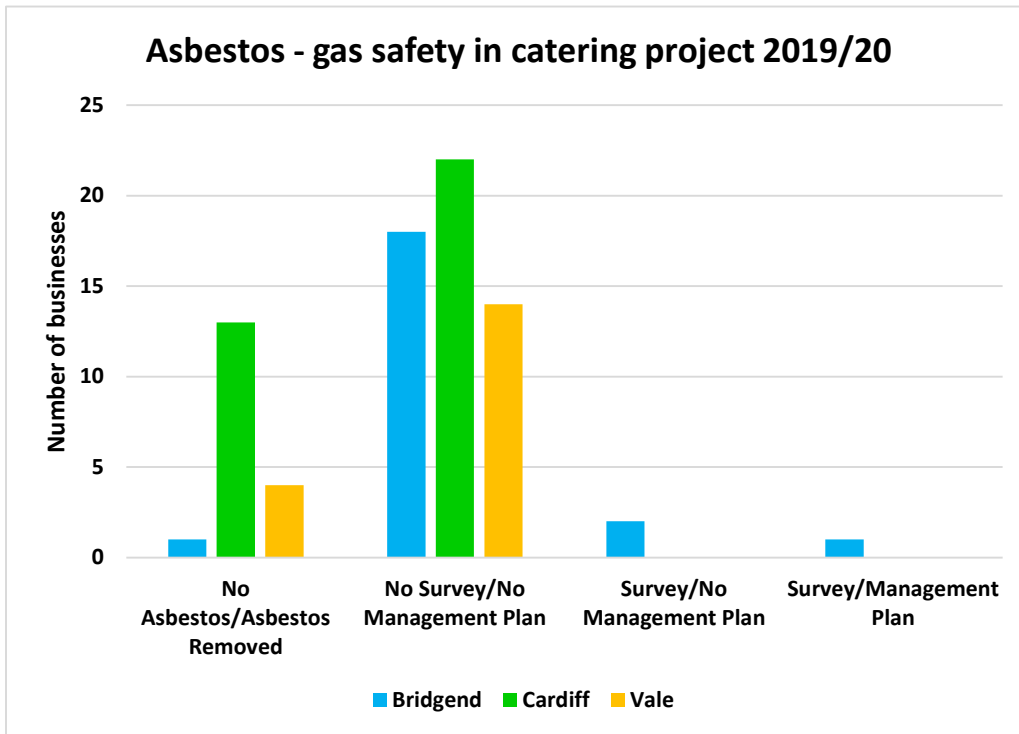
Asbestos Duty to Manage: Improving health and well being

During 2019/2020, SRS committed to conducting additional ‘duty to manage asbestos’ interventions as a ‘bolt-on’ theme in the gas safety in commercial catering visits and phase 3 of the beverage gas/cellar safety interventions (*where applicable*).

The results were in-keeping with the outcomes reflected in earlier ‘duty to manage asbestos’ interventions, with duty holders showing a poor level of knowledge about the presence of asbestos containing materials within their premises.

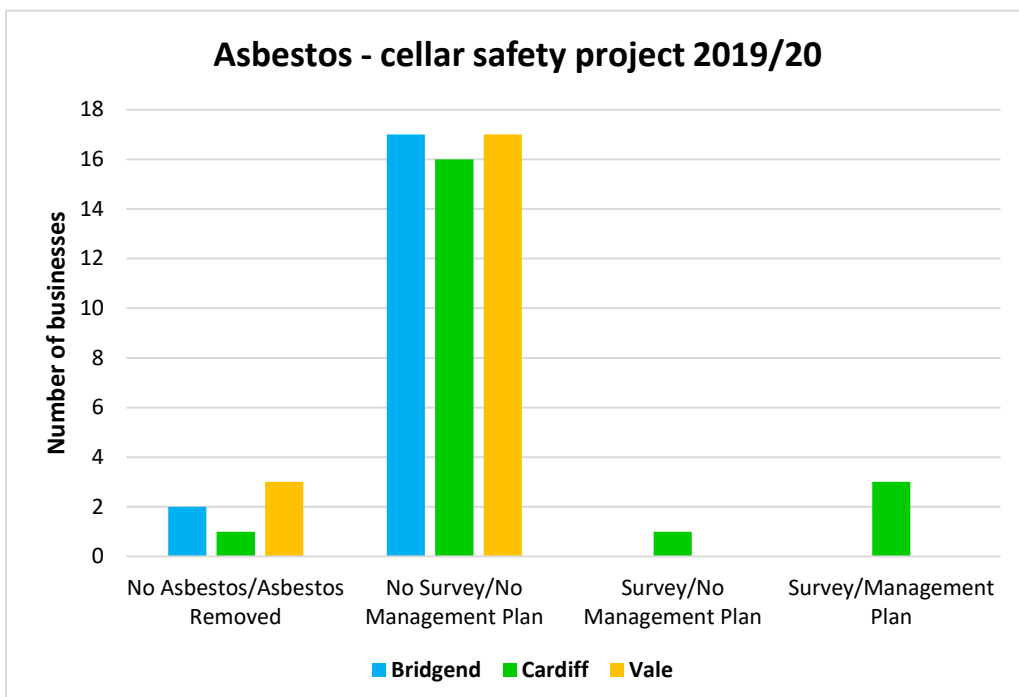
A total of 75 premises selected for the ‘gas safety in catering’ intervention were deemed to be of an appropriate age and likely to contain asbestos materials. Of those 75 premises visited across Bridgend, Cardiff and the Vale of Glamorgan, only 1 (1.3%) business was found to have an asbestos survey and an asbestos management plan.

A total of 54 duty holders (72%) were unaware if any asbestos containing materials were in the buildings they occupied: 18 (24%) in Bridgend; 22 (29%) in Cardiff and 14 (19%) in the Vale of Glamorgan.



A total of 60 premises selected for the ‘beverage gas safety’ intervention were deemed to be of an appropriate age and likely to contain asbestos materials. Of those 60 premises visited across Bridgend, Cardiff and the Vale of Glamorgan, only 3 (5%) business was found to have an asbestos survey and an asbestos management plan.

A total of 50 duty holders (83%) were unaware if any asbestos containing materials were in the buildings they occupied: 17 (28%) in Bridgend; 16 (27%) in Cardiff and 17 (28%) in the Vale of Glamorgan.



Moving Forward

The duty to manage asbestos in buildings pre-dating the year 2000 continues to be a very poor area of compliance. During 2020/2021 this will continue to be a bolt-on topic area in project interventions where appropriate.

Management of Hand Arm Vibration and Noise at Work in Golf Clubs, Main Car Dealerships and Small Scale Tyre & Exhaust Premises – supporting the local economy & improving health and well being

See full report in Appendix 2.

Major Outdoor Events – supporting the local economy

Officers from the Enterprise and Specialist Services Team attended a total of **25 Event Safety Group/Events Liaison Panel meetings** across Bridgend (5), Cardiff (11) and Vale of Glamorgan (9) areas during 2018/2019. A total of **9 site visits** were made during which Officers worked with event organisers to resolve matters of evident concern that could impact on public safety. A further **127** events received **desktop reviews** to assess event management plans, site plan layouts and risk assessments {Bridgend 34; Cardiff 51; Vale 42}. Event Organisers were subsequently provided with constructive feedback to bolster the robustness of their event management arrangements.

Achievements for 2019/2020

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

Prosecution of National Company Operating Cardiff-based Bar – Improving health and wellbeing and safeguarding the vulnerable

In December 2019 a national company behind a popular themed dancing bar in Cardiff was successfully prosecuted for three health and safety offences relating two separate incidents involving two staff dancing on the bar.

In October 2017 the Communicable Disease, Health and Safety Team received a referral from South Wales Police concerning an incident where an employee had sustained deep lacerations to her right shoulder and breast area after misplacing her footing whilst dancing on the bar and landing on a customer's wine glass. A review of the accident book also highlighted that another employee had sustained a fracture to her back after slipping, and falling, on the bar while dancing. Subsequent investigation confirmed that the latter employee had been off work for 12 weeks following her fall at work; however, the company had failed to report the injury in accordance with the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR).

The ensuing investigation identified that:

- Awareness of health and safety management arrangements was vague;
- Health and safety procedures and safe working practices lacked detail;
- The delegation of health and safety roles and responsibilities throughout the company was not documented;
- Management was not aware of what injuries had to be notified to the enforcing authority under RIDDOR;
- Risk assessments were not 'suitable and sufficient', particularly with regard to people dancing on the bar;
- It was common practice for bar staff to be permitted to drink alcohol whilst on duty;
- It was usual for the dancers to throw pitches of water over each other during certain dance routines and employees would often spray colleagues with the soda syphons at the main bar during service, having little regard to the risk of slips and falls.

District Judge Khan made it clear to the court that by trying to make the bar a replication of the movie, health and safety considerations had got lost. The unique selling point of the business was 'dancing on the bar' and 'having fun and drinking alcohol' rather than the real risk to staff.

The company was fined £66,000, ordered to pay costs of £3,315 and a victim surcharge of £170.

Prosecution for Smoke-Free Offences under The Health Act 2006 and Smoke-Free Premises etc. (Wales) Regulations 2007 – Improving health and wellbeing and safeguarding the vulnerable

SRS has successfully prosecuted 5 duty holders (and individual directors) for smoke-free offences during 2019/2020. Full details of these cases have been included in the Communicable Disease business plan.

Proactive Intervention - Firework Safety

The Commercial Services Trading Standards Team is responsible for the enforcement of the law on storage of explosives in retail premises, sales of fireworks, the safety of fireworks and age-restrictions on sales. There are various regulations and guidance on the subject, all designed to minimise the risk of uncontrolled fire or explosion and thereby staff and customers and the general public as safe as possible. 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 2019/2020 Commercial Services Trading Standards officers carried out **80** inspections of premises across **Bridgend (20)**, **Cardiff (45)** and the **Vale of Glamorgan (15)** 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.

Primary Authority Work

SRS currently has 28 primary authority partnership arrangements, and approximately 15 hours was spent providing health and safety advice and support during 2019/2020.

Health and Safety Training

During 2019/2020, one health and safety training course took place.

5.3 Areas for Improvement

The following improvements are to be continued during 2020/2021:

- 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 2020/2021

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, 3		Prepare guidance for businesses that have been mothballed or less frequently used to advise of the risks associated with Legionella and measures to be taken to minimise the risk of COVID-19 infection.
1, 2, 4		Support Welsh Government, Public Health Wales, Local Health Boards, Care Inspectorate for Wales and Social Services prevent and control the spread of novel Coronavirus infection (COVID-19) in closed care settings (<i>e.g. residential care homes; nursing homes etc.</i>)
1, 2, 3		Support local businesses aiming to re-open after the COVID-19 emergency period to promote compliance with health and safety legislation.
1, 2, 4	Q2	Support Welsh Government, Public Health Wales, Local Health Boards, Care Inspectorate for Wales and Social Services prevent and control the spread of novel Coronavirus infection (COVID-19) in closed care settings (<i>e.g. residential care homes; nursing homes etc.</i>)
1, 2, 3		Support local businesses aiming to re-open after the COVID-19 emergency period to promote compliance with health and safety legislation.
1, 2	Q3	Proactive intervention to examine how the risk of Legionella is being managed in cooling towers across the Cardiff area, and hot tubs on display across Cardiff, Bridgend and Vale of Glamorgan areas.
1		Commence visits to commercial catering businesses to assess how the risk of exposure to Carbon Monoxide from indoor BBQs, charcoal grills and solid fuel tandoor ovens is being controlled.
1, 2	Q4	Proactive intervention to examine how the risk of Legionella is being managed in cooling towers across the Cardiff area, and hot tubs on display across Cardiff, Bridgend and Vale of Glamorgan areas.
1, 2, 4		Continue with visited to indoor trampoline parks across SRS to assess compliances against the PAS 5000 standard, and assess health and safety management arrangements in indoor ninja warrior premises; indoor soft play establishments and use of inflatable play equipment.
1		Continue visits to commercial catering businesses to assess how the risk of exposure to Carbon Monoxide from indoor BBQs, charcoal grills and solid fuel tandoor ovens is being controlled.

Appendix 2



The Management of Hand Arm Vibration (HAVS) and Noise in Golf Clubs, Main Car Dealerships and Small Tyre and Exhaust Fitting Premises 2019-2020

Assessment of health and safety compliance for HAVS and noise at golf clubs, main car dealerships and tyre and exhaust fitting premises in Bridgend, Cardiff & Vale of Glamorgan throughout 2019-2020



Introduction

Evidence Base for the Intervention

In 2018 Shared Regulatory Services (SRS) and Torfaen Council received four occupational disease notifications via the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (*RIDDOR*) notification system from the motor trade for confirmed diagnoses of Hand Arm Vibration (HAVS) and Carpel Tunnel Syndrome (CTS). Investigation of these cases, together with a pilot study undertaken by Torfaen/Blaenau Gwent Council, identified a lack of awareness and understanding about HAVS and noise at work, and confusion about how to assess employee exposure and effectively evaluate the risk of injury.

These RIDDOR notifications coincided with a number of successful prosecutions by the Health and Safety Executive (HSE) after a number of large organisations exposed employees to the risk of HAVS. These companies included: Balfour Beatty Utility Solutions Ltd; Nordam Europe Ltd; Faiveley Transport Tamworth Ltd; Tai Calon Community Housing Ltd; Design and Supply Ltd; Calico Homes Ltd and Calderys UK Ltd.

The topic areas of HAVS and noise at work exposure were additionally identified as weak areas of compliance in golf course project visits undertaken between 2016 and 2018 by Shared Regulatory Services (SRS).

The collation of local intelligence and accident investigation information influenced the focus of the project to ensure a targeted approach was adopted.

The key topic areas for inclusion in the Initiative were:

- **HAVS Risk Assessment**
- **Noise Risk Assessment**
- **Health Surveillance**
- **General health and safety management**

A regional project plan and inspection form was devised and Officer training was arranged to enhance Officer competence and promote consistency in approach.

A total of 59 premises were included within the project. These premises were located within the Shared Regulatory Services (SRS) area and can be broken down as;

24 Golf Clubs - [Bridgend (5); Cardiff (7); Vale of Glamorgan (12)]

24 Main Car Dealerships - [Bridgend (6); Cardiff (17); Vale of Glamorgan (1)]

11 Tyre & Exhaust Premises - [Bridgend (5); Cardiff (3); Vale of Glamorgan (3)]

The project intervention was carried out in two phases;

- **Phase 1** required all golf clubs to provide copies of their revised HAVS and noise at work risk assessments following their attendance at the Vale Employers Engagement Project (VEEP) business forum that took place on 7th November 2018. 'VEEP' was the culmination of a 3 year health and safety intervention throughout SRS that comprised of: targeted inspections; revisits; verification visits and the business forum.
- **Phase 2** involved Officers visiting motor trade main dealerships and tyre & exhaust businesses to assess how they managed the risk of employee exposure to both HAVS and noise at work.

Officers were also required to include the following high risk topic areas during intervention visits if matters of evident concern presented themselves.

- **Duty to Manage Asbestos** - To identify what arrangements were in place to manage asbestos, and the risk of exposure to asbestos fibres, where it was present on site.
- **Compressed Air Pressure Systems** - To identify if employers had a written scheme of examination, and evidence of thorough examination, for pressure system installations where required.
- **Lifting Equipment** - To identify if employers had a written scheme of examination, and evidence of thorough examination, for any lifting equipment being used in connection with the business.
- **Control of Substances Hazardous to Health** - To assess how employers controlled employee exposure to hazardous substances being used in the workplace.
- **Workplace Transport** - To identify how employers were managing the risk of injury to both employees and non-employees associated with the use, and movement, of vehicles around their work place.

Aims of the Intervention

- To identify if duty holders were aware of their legal responsibilities under The Control of Vibration at Work Regulations 2005 and The Control of Noise at Work Regulations 2005.
- To identify if duty holders were assessing likely employee exposures to HAVS and noise, and carrying out suitable and sufficient risk assessments.
- To identify how duty holders were either eliminating or reducing HAVS and noise exposures 'As Low As is Reasonably Practicable' (ALARP).
- To identify if duty holders were carrying out suitable health surveillance where appropriate.
- To identify if duty holders were providing employees with adequate information, instruction and training on HAVS and noise.
- To identify if a business forum would be a worthwhile intervention to support main dealerships/tyre & exhaust businesses across SRS achieve a higher level of compliance with health and safety legislative requirements.
- To determine if a suitable evidence base existed to widen the scope of this intervention in the future.

Managing the health, safety and wellbeing of workers improves organisational performance and reduces the cost of ill health and absence. Health and safety interventions which aim to support local business achieve a higher degree of compliance with health and safety legislation are in line with the SRS corporate priorities of 'Improving health and wellbeing' and 'Supporting the local community', together with the overall service aim of 'To work with others to protect people's health and safety by ensuring risk in the changing workplace are managed properly.

Such interventions are additionally in line with the 6 strategic themes included in the HSE strategy 'Helping Great Britain Work Well';



- **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 health and wellbeing of all staff;*
- **Managing risk well** – *Simplifying risk management and helping business 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.*

Method

All golf clubs received an initial project letter requesting copies of their revised HAVS and noise risk assessments subsequent to their attendance at the VEEP business forum; evidence of employee training on HAVS and noise exposure and health surveillance records, where relevant.

The main car dealerships and tyre & exhaust premises also received initial project correspondence which confirmed background information about the project initiative, its aims and the timeframe during which an unannounced visit would take place.

To enhance Officer competency and promote consistency in approach, a 2 day training course was provided by the HSE Specialist Inspector for Noise and Vibration. This was complimented by in-house cascade training for all officers involved within the intervention prior to project commencement. Officers also had access to HSE Topic Inspection Packs, relevant legislation and Approved Codes of Practice.

To ensure that all Officers captured a comparable amount of information during project visits, a regional task and finish group, which included representation from SRS, prepared the following project-specific documentation:

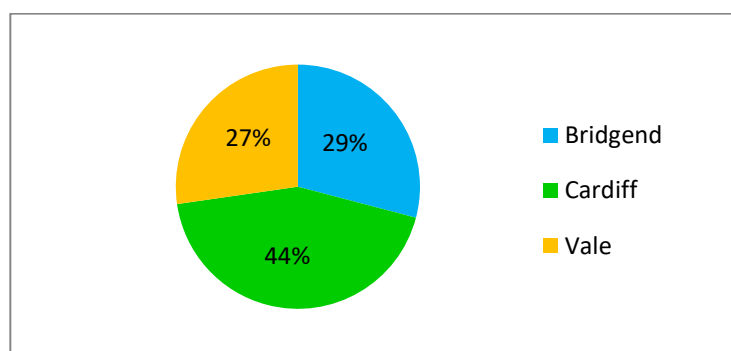
- A standardised Inspection proforma to be completed by Officers during visits;
- A project plan to confirm the aim, scope and methodology of the project.

Results

The initial sample size for the project included 59 businesses; however, only 56 premises were actually inspected since one of the golf clubs in the Vale of Glamorgan was found to have ceased trading and two of the main car dealership businesses were found to be HSE enforced.

Between 1st October 2019 and 30th January 2020, Officers from SRS visited a total of 56 premises across the three service areas:

- **23 Golf Clubs** - [Bridgend (5); Cardiff (7); Vale of Glamorgan (11)]
- **22 Main Car Dealerships** - [Bridgend (6); Cardiff (15); Vale of Glamorgan (1)]
- **11 Tyre & Exhaust Premises** - [Bridgend (5); Cardiff (3); Vale of Glamorgan (3)]



Officer inspection times ranged between 1 and 3.5 hours depending on the type, and size, of business undertaking being visited and the number of topic areas being considered during the intervention.

The project proforma, as devised by the regional task and finish group, was comprehensive in content and designed to incorporate a wide range of topic areas that would satisfy the inspection needs of all Local Authorities across South East Wales. It was anticipated that Officers would select key themes from the form that were pertinent to their Authority, rather than complete the form in its entirety during an inspection.

Whilst Officers from SRS were instructed to look at a selected number of high risk topic areas where matters of evidence concern presented themselves, most Officers elected to investigate these topic areas during visits as a matter of course. Consequently most Officers reported that the proformas were very time consuming to complete on site.

In response to the initial letters sent to the golf clubs, suitable and sufficient risk assessments were not received from all duty holders; with a number of clubs reporting that green keeping staff had limited time to carry out administrative work during summer months. Where information was not forthcoming, Officers undertook site visits to meet with duty holders and key personnel, which also provided an opportunity to observe tools and machinery being used in-situ.

Main car dealers also found it problematic to provide Officers with information requested in the initial project letters, often citing:

- Written schemes of examination and certificates of thorough examination were often held centrally at Head Office rather than at a local level;
- Health and Safety Officers for larger organisations were often based in other parts of the UK and were not readily available at the site during unannounced visits. This meant that appointments had to be made in advance so Officers could obtain accurate information;
- Some appointments were impacted due to personal circumstances of the company Health and Safety Officer; and
- The change in vehicle registration plates on 1st September meant that a number of pre-arranged appointments had to be delayed for business reasons.

All business duty holders received a formal written warning detailing all contraventions observed at the time of the visit and confirming what actions duty holders were required to make to improve compliance with relevant legislation. Recommendations were additionally included, where necessary, and were clearly defined from the legal contraventions. All duty holders were requested to further submit revised risk assessments, and provide examination certificates and documentation, by a pre-determined date to demonstrate their commitment to improving standards.

All duty holders provided the information requested by the prescribed deadline.

No Improvement Notices or Prohibition Notices were served following the completion of all project visits.

Key Issues observed during the project

All Officers were asked to complete a project monitoring document so that key outcomes could be identified and evaluated. The key findings are detailed below.

Hand Arm Vibration Syndrome

Were maintenance arrangements for power tools in place?

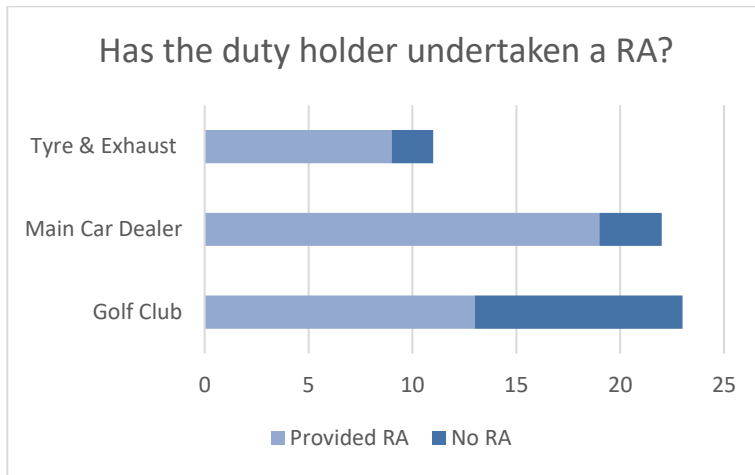
50 (89%) of the 56 premises visited had arrangements in place to undertake tool maintenance - some of this included onsite site maintenance, where other work was outsourced.

Of this total: 22 were golf clubs, 20 were main car dealers, and 8 were tyre and exhaust premises.

Had the Duty Holder undertaken a risk assessment (RA) for HAVS?

41 (73%) of the 56 premises visited had produced a written risk assessment for Hand Arm Vibration and the monitoring of control measures.

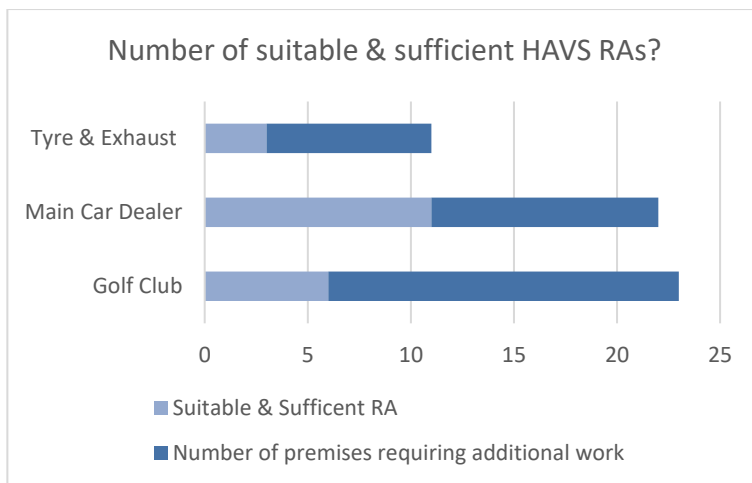
Of this total: 13 were golf clubs, 19 were main car dealers, and 9 were tyre and exhaust premises.



Were risk assessments suitable and sufficient?

Of the 41 premises which had a documented risk assessment, only 21 premises (51%) were considered to have 'suitable and sufficient' risk assessments at the time of visiting. Out of these 21 premises, only 7 were golf clubs, which meant that despite attendance at VEEP only a quarter of attendees achieved its desired aim.

Of this total: 7 were golf clubs, 11 were main car dealers, and 3 were tyre and exhaust premises.



Had the Vibration Exposures been estimated?

28 (50%) out of 56 of the premises visited had attempted to estimate vibration exposures.

Of this total: 12 were golf clubs, 10 were main car dealers, and 6 were tyre and exhaust premises.

Had the Exposure Action Values (EAV) of 2.5m/s or Limit Values (LV) of 5m/s been exceeded?

Of the 28 premises which had attempted to estimate exposures, 2 (7%) premises confirmed that their EAV or LVs had been exceeded.

Of this total: 1 was a golf club and 1 was a main car dealer.

Where the Exposure Action Values had been exceeded, had the duty holder implemented any controls?

You would expect to see that out of the 2 premises where the EAV has been exceeded, that Health Surveillance would be implemented. Health surveillance had only been introduced in 1 business.

What controls had been implemented?

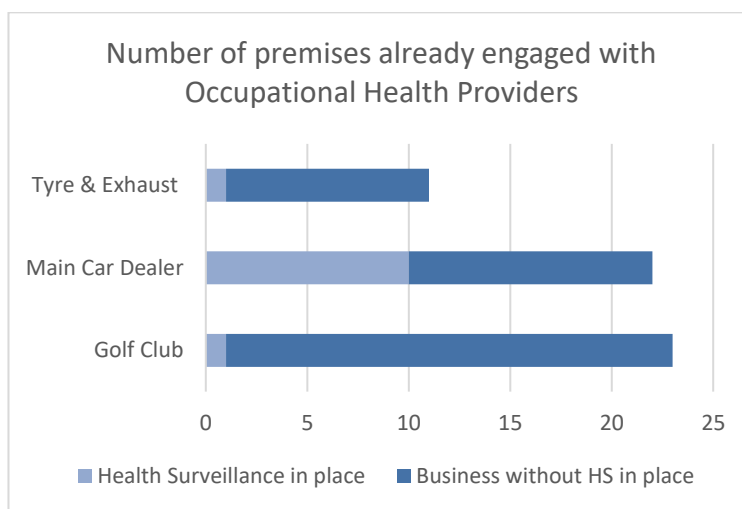
All premises involved in this project advised that they used job rotation as a way to minimise employee exposure to HAVS, and required regular maintenance and/or renewal of equipment to ensure that vibration was minimised as far as possible.

Were there any HAVS related conditions already existing? (Medical records, RIDDOR)?

Of all 56 premises visited, 3 (5%) businesses advised that HAVS related conditions had been diagnosed in current staff members; however in 1 instance it was due to out-of-work hobbies and not their work activities.

What Health Surveillance was in place if exposure action values were likely to be exceeded?

13 out of 56 (23%) businesses visited already engaged with Occupational Health Practitioners who looked at issues such as HAVS, despite only 3 businesses advising that such a measure was needed. Of this total: 1 was a golf club, 10 were main car dealers, and 1 was a tyre and exhaust premises.

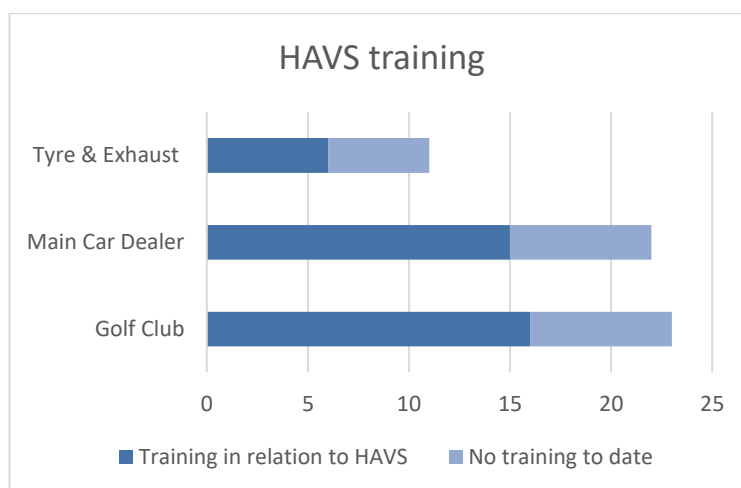


Had employees received training in relation to HAVS?

36 out of 56 business visited had undertaken some form of training in relation to HAVS; most of this was included in employee induction handbooks or on-line 'toolbox' presentations.

However, some businesses had also undertaken refresher training which was cascaded throughout employees.

Of this total: 16 were golf clubs, 15 were main car dealers, and 6 were tyre and exhaust premises.



Noise

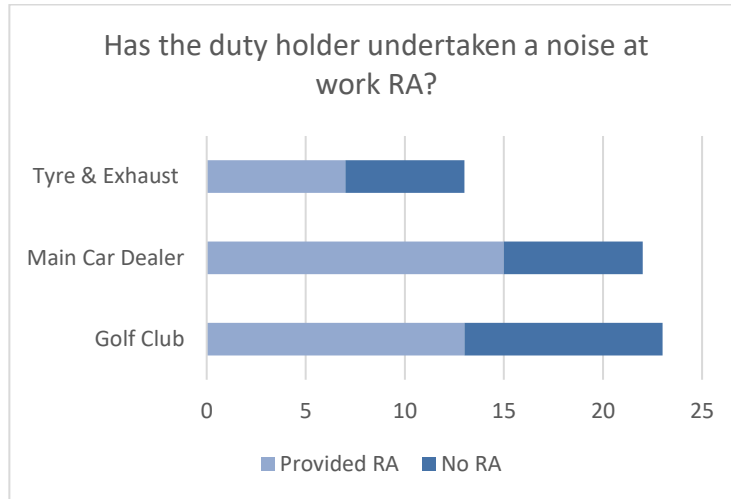
Was any noisy equipment being used on site?

All 56 (100%) of the businesses advised that they used noisy equipment.

Had the Duty Holder undertaken a risk assessment (RA) for noise at work?

35 (63%) out of 56 businesses visited have undertaken a Risk Assessment for noise.

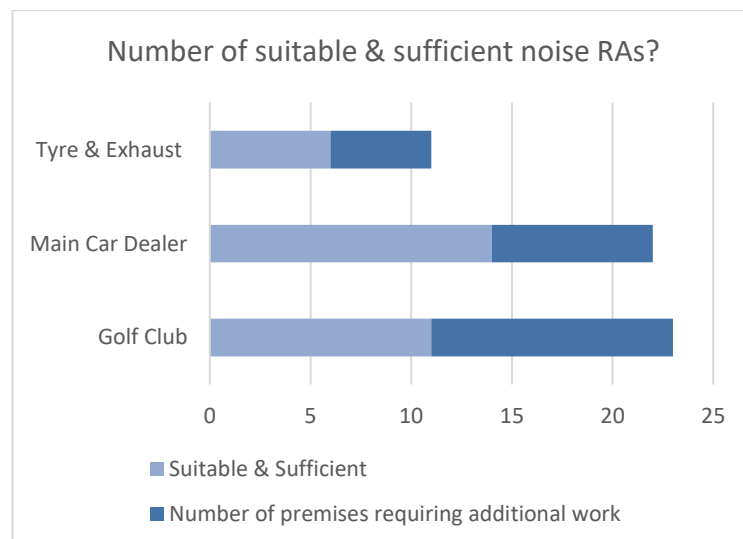
Of this total: 13 were golf clubs, 15 were main car dealers, and 7 were tyre and exhaust premises.



Was the Risk Assessment suitable and sufficient?

Of the 35 businesses who had carried out a risk assessment for noise, 31 (89%) were considered to be suitable and sufficient.

Of this total: 11 were golf clubs, 14 were main car dealers, and 6 were tyre and exhaust premises.



Had the Noise Exposures been estimated?

Of the 35 businesses who had undertaken a risk assessment for noise, 31 (89%) had estimated employee exposure levels. This meant 25 businesses (45%) from the project cohort of 56 had not estimated employee exposures to noise at work despite all confirming they used noisy equipment.

Of those 25 businesses that had not assessed exposure to noise: 11 were golf clubs, 11 were main car dealers, and 4 were tyre and exhaust premises.

What control measures were in place to deal with Noise Exposure?

53 (95%) out of 56 businesses visited confirmed that they all issued ear defenders which were suitably stored and used correctly. The 3 businesses which did not use any control measures were all small, independent tyre and exhaust fitting premises.

Had any employees been diagnosed with noise related conditions and were they pre-existing on employment? (Medical records)?

4 out of 56 (7%) of the businesses advised that staff have hearing related conditions; 2 of these were not work related (golf club employees) and 2 were in a main car dealership.

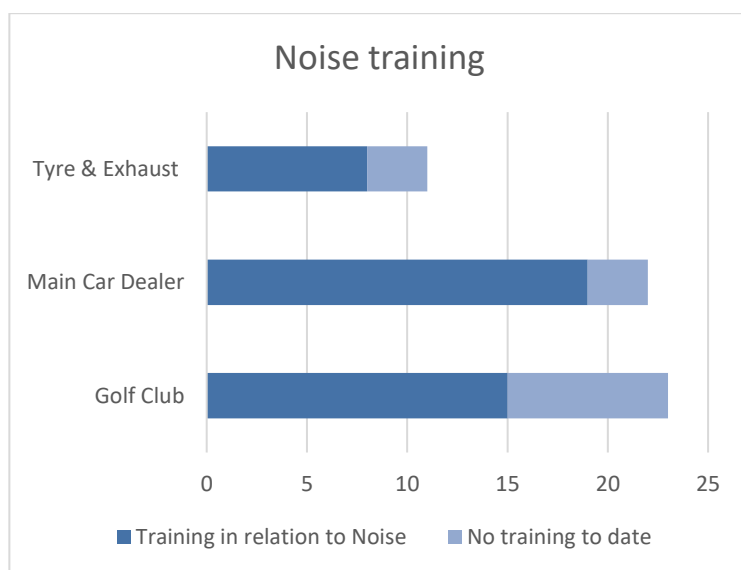
What Health Surveillance was in place if exposure action values were likely to be exceeded?

13 out of 56 (23%) businesses visited carried out health surveillance regardless of any pre-existing conditions.

3 of the 4 businesses who have staff with hearing conditions had engaged with Occupational Health Providers.

Had employees had training in relation to noise at work?

40 (71%) out of 56 businesses have undertaken training in relation to noise, despite the fact that 100% of businesses admitted to using noisy equipment.



Additional Issues

Other key health and safety observations made by Officers whilst carrying out project visits included:

Air Receivers/Compressed Air

41 businesses provided a written scheme of examination and certified evidence of thorough examination in accordance with the written scheme during visits.

Lifting Equipment

42 premises provided evidence of thorough examination of lifting equipment, as required by the Lifting Operations and Lifting Equipment Regulations (LOLER).

Control of Substances Hazardous to Health (COSHH)

37 duty holders could provide relevant safety data sheets and risk assessments.

Work Place Traffic Management

43 businesses were effectively segregating vehicular and pedestrian traffic.

Since not all Officers consistently looked at these topic areas during intervention visits, it cannot be surmised that these high priority topic areas were subject to a low level of compliance.

Duty to Manage Asbestos

This was a compulsory bolt-on topic area for the project intervention and will be reported back separately in 'duty to manage asbestos' report.

Conclusion

The project intervention was well received by duty holders across both the golf and car industry sectors. Engagement with club managers, green keeping staff and dealership Managers was largely positive and resulted in some level of change with working practices or procedures.

Golf Clubs

Half of the sample size of golf clubs had made notable progress with their HAVS risk assessment, and whilst only 7 were deemed to be 'suitable and sufficient', an additional 12 had attempted to estimate vibration exposures. It was commonplace to find duty holders using Manufacturer's data to calculate vibration exposures instead of HSE vibration magnitude data, primarily because HSE data did not directly relate to all types of equipment or machinery found at golf clubs. This proved a stumbling block for some golf clubs accurately risk assessing employee exposures; however, through Officer engagement and tutelage, golf club staff grasped the concept of correctly applying the values and calculating trigger times which resulted in a figure that would more accurately inform the risk assessment process (i.e. whether additional measures were necessary, if Health Surveillance was necessary).

Officers' visits determined that most golf clubs would exceed the Action Value for noise exposure at work, which would necessitate health surveillance arrangements. In all instances Officers ensured that engagement with occupational health providers was being pursued. All golf clubs had provided hearing protection for staff, namely appropriately rated ear defenders, and use of this personal protective equipment (PPE) reduced noise levels to below action values. Green Keeper readily acknowledged the use of noisy equipment, but because no alternative machinery was generally available, PPE and job rotation were invariably the main corrective actions employed.

The type, and extent, of work carried out on golf courses varied throughout the year which meant that no two days were identical with regards to the use of noisy and vibrating tools. Seasonal differences in the type of work and equipment used was also noted. Consequently golf clubs had to determine a 'typical' day in order to estimate daily exposure values. Furthermore, where action values for vibration and noise exposure were being exceeded, clubs were proposing to rotate jobs or to reduce the employee's exposure time whilst using the tool/equipment.

On consideration of these findings, it is concluded that the 'VEEP' forum had been worthwhile intervention as it had enabled 50% of golf clubs across SRS to gain a greater understanding and working knowledge of both HAVS and noise at work.

Main Car Dealers and Tyre & Exhaust Premises

Receipt of RIDDOR notifications for HAVS and CPT provided a justification for SRS to examine in closer detail how main car dealerships were managing the risk of employee exposures to HAVS.

A total of 19/22 main car dealers had undertaken a HAVS risk assessment; 11 of which were considered to be 'suitable and sufficient'. 10 duty holders had estimated vibration exposures.

A total of 9 tyre and exhaust premises duty holders had carried out HAVS assessments; 3 of which were 'suitable and sufficient'. Due to the size of these undertakings, written documentation was not always available where less than 5 staff were employed. A total of 6 tyre and exhaust businesses had estimated vibration exposures by either using manufacturer's data or vibration data loggers (providing real time magnitude values).

Similar figures were obtained in relation to noise at work risk assessments.

HAVS and noise exposure values were found to be below action values due to the general use of low vibrating battery tools and very low exposure time periods. Subsequently, no further action was required. This was found across the board. During discussions on the workshop floor, employees revealed that engineers within the industry tended to provide their own tools, which were invariably 'top of the range', battery operated and very well maintained resulting in lower vibration magnitudes. A very competitive 'peer pressure' culture existed within this sector which also helped to raise and maintain health and safety compliance levels.

Both main car dealerships and tyre & exhaust premises identified noisy activities and appropriate hearing protection was provided where necessary.

It was noted that businesses chose to engage with occupational health providers to ensure pre-existing conditions in any member of staff did not deteriorate as a result of exposure to vibration and noise at work. However, the vast majority of employees who engaged with Officers highlighted extra-curricular activities during evenings and weekends which also exposed them to vibration and noise. Examples of this included: DJ at a night club, tree surgeon and panel beaters. It is therefore a recommendation of this report that employers actively identify out-of-work activities that could impact on employees' ability to carry out their work.

Since the project intervention visits took place 2 additional RIDDOR notifications have been received from the main car dealership sector. At this juncture it is unclear whether the injuries were work related or not, or if the project intervention itself focused employers on taking more positive steps towards occupational health referrals.

In conclusion, this phased health and safety project intervention successfully achieved its aims. Phase 1 golf club visits enabled Officers to ensure duty holders were suitably assessing their HAVS and noise exposures, and implementing appropriate control measures as necessary, following earlier SRS project interventions.

Phase 2 of the intervention was informative. It allowed Officers to assess the management of HAVS and noise within the sector and identify that limit values were generally not being reached. As a result, it is not deemed appropriate to expand this project intervention to other Local Authority enforced premises where vehicle servicing and small repair work involving low exposure times and vibration exposures are commonplace.

Positive outcomes of this intervention have included:

- Better dialogue and engagement with Small and Medium Sized Enterprises (SMEs)
- Collaborative working with neighbouring Local Authorities, particularly where national companies operate across several regions. This enables enforcers to adopt a more standardised and collaborative approach to working.
- Influencing Primary Authority direction which subsequently improves national health and safety standards. As result of engaging with the primary authority for 'Kwik-Fit' in Bridgend, the management of HAVS and noise is to be altered throughout the United Kingdom.
- Officers were reported to be approachable and supportive which bodes well for future engagement with SMEs. This will ultimately improve dialogue between both parties and will make duty holder feel more comfortable contacting Local Authority Officers to request assistance and reaffirm what they are doing is correct.

Moving Forward

The project highlighted that golf club personnel are now more conversant with HAVS and noise at work regulations and more competent, and confident, to discuss these matters in a more challenging way with their own health and safety consultants. Consequently it is not proposed to include golf clubs in any further interventions of this type.

Visits to smaller, independent tyre and exhaust premises highlighted the need for more focus on general health and safety issues - such as the maintenance and thorough examination of lifting equipment and pressure systems. Consideration should be given to producing advisory and educational leaflets specific to this industry as a future intervention.

The evidence base does not support a need to expand this project, in its current format, across the tyre and exhaust and main car dealership sectors throughout SRS.

The outcomes of the SRS project will be included in the All-Wales report for the HAVS/Noise intervention being co-ordinated by the Health and Safety Expert Panel. This information is subsequently cascaded to Welsh Heads and DPPW.

This project has achieved improvements and this will stimulate behavioural change throughout the three sectors which have been visited. The SMEs included in this intervention have shown that they want to engage with the Local Authority and are committed to improving their health and safety standards. They welcome opportunities to develop their health and safety management arrangements and appreciate the support provided by Shared Regulatory Services.

Appendix 3 – Corporate priorities and outcomes of partner authorities

Bridgend County Borough Council

Priorities

Aims



- Supporting a successful sustainable economy
- Helping people and communities to be more healthy and resilient
- Smarter use of resources

- Improve learner outcomes
- Support growth and prosperity
- Develop and enhance community support and services
- Build resilient communities
- Support better health and well-being
- Transform the Council's estate
- Support areas of corporate change
- Support environmental sustainability

City of Cardiff Council

Priorities

Outcomes

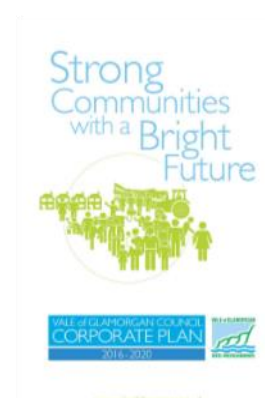


- Working for Cardiff
- Working for Wales
- Working for the future
- Working for public services

- 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 a resilient way
- Modernising and integrating our public services

Vale of Glamorgan Council

Priorities



- To work with and for our communities
- To support learning, employment and sustainable economic growth
- To support people at home and in their community
- To respect, enhance and enjoy our environment

Appendix 6 - Summary of cases concluding between April and the end of August 2020

The following prosecution cases arising from investigations conducted across the Shared Service, have been concluded recently.

Case	Court date	Offence(s)	Outcome
1	28.5.20	This doorstep crime case involved the two elderly residents affected losing well over £20,000. The defendant did little or no work on the properties other than demolition and made a bad situation even worse for the residents as a result of his fraudulent and deceitful practices which led his customers to believe they had contracted with a bona fide business	The defendant received a 2 year sentence, suspended for 2 year, with 300 hours unpaid work and 10 days Rehabilitation Activity Requirement. It is hoped that the linked Proceeds of Crime case which is still ongoing will enable some compensation to be paid to the victims. <i>Note – further offences have since been committed by the defendant, and again the detriment to the residents involved is significant. Joint Committee will be updated as and when this second case (which is already in the court system), concludes.</i>
2	12.6.20	Another doorstep crime case in which the defendant callously targeted four elderly residents, convincing them that they needed roofing and other work carried out at their properties. In addition to conning four residents out of more than £30,000, the defendant was suspected of stealing approximately £13,000 in cash from the home of one of them, something he denied at first but subsequently admitted to.	The defendant was sentenced to a total of 40 months in custody for respect of the fraud and theft charges. There is a linked Proceeds of Crime case which is being pursued in the hope that it will realise some compensation for those affected by these dreadful crimes.
3	3.7.20	The defendant in this case was breeding bulldogs illegally as a result of not obtaining the necessary licence. A warrant was executed at his property involving SRS officers as well as the Police and RSPCA and the scale of the business was soon established. The defendant was charged with a range	He was sentenced to 32 weeks custody suspended for 18 months with 20 days rehabilitation activities and a 16 week tagged curfew. Forfeiture and destruction for a number of dog passports was granted and costs of £350 awarded.

		of offences under a number of different pieces of legislation, including the Animal Welfare Act and the Fraud Act.	
4	9.7.20	In this illegal money lending case, the defendant loaned significant sums of money to an individual who unfortunately fell on hard times losing both his job and his home. Nevertheless, even while the victim was in a vulnerable situation and living at a hostel, the defendant pursued him for payment. Adopting the typical loan shark tactics of not giving paperwork, causing confusion over the amount owed, and threats of revenge for non-payment, the defendant was left with nowhere to turn and the matter was investigated by the Wales Illegal Money Lending Unit.	The defendant pleaded guilty to charges under the Consumer Credit Act and was fined £200. In addition, a contribution towards costs of £450 was ordered.
5	10.7.20	This food hygiene case arose after SRS Officers visited a café and takeaway with seating for twenty customers. During the visit, it became apparent that there was a cockroach infestation and the kitchen was found to be unclean. The defendants in the case were husband and wife, one being the legal food business operator (FBO) and the other the natural food business operator. The cockroach infestation was on some longstanding and the FBOs were clearly aware of it as traps had been laid during the previous week. Despite knowing of the infestation they chose to continue preparing and serving food and did not bring in a specialist Pest Control contractor.	The legal FBO was fined £1000 and ordered to pay costs of £300 together with a victim surcharge of £100, while the natural FBO was fined £500 and ordered to pay costs of £150 together with a victim surcharge of £50.
6	27.7.20	The two individual defendants in this case and their	Both individuals were fined £100 for each of the five offences

		company were before the Court for sentencing after the matter was adjourned due to the Covid 19 pandemic. The court was told that the business was no longer operating since lock down and would not be reopening.	making a total of £500, ordered to pay £500 costs and a victim surcharge of £50. In addition, the company was fined £1000 for the first offence £500 for the second offence and £500 for the third offence. There were no separate penalties for offences four and five.
7	6.8.20	Following a complaint that out of date food was on sale at a convenience store, an SRS officer visited and found several items on display after the 'use by' date relating to them. The matter was investigated and two defendants were charged with offences under the General Food Regulations	Each defendant was fined £59.00 for each of the seven charges making a total of £413 each. Both were ordered to pay costs in the amount of £150 and a victim surcharge of £41.99.
8	7.8.20	<p>The defendant, a rogue builder, had previously pleaded guilty to two charges under the Fraud Act 2006. The investigation followed numerous complaints from residents who had contracted with the defendant, parting with significant sums of money for building work to their properties. Each had been lured in by the defendant's web of lies and the promise of excellent craftsmanship.</p> <p>What the victims ended up with was goods such as kitchens paid for but not received and work done to a very poor, even dangerous standard, or not done at all. So grave was the offending in this case that the combined detriment to the residents affected was around half a million pounds coupled with months of worry and misery.</p> <p>The Judge noted that the defendant had used his two businesses fraudulently as vehicles to obtain money.</p>	The defendant was given an immediate custodial sentence at Cardiff Crown Court of 2 years and 3 months. A Proceeds of Crime Act timetable was accepted by the Judge, and this aspect of the case will be concluded in due course.

		<p>He had made false representations throughout his dealings with the victims and that they had all been misled by him. In particular the defendant's business had been a badge of dishonesty right from the very start with the worst aspects of his behaviour being the taking of monies and then moving on leaving the victims in a mess and significantly out of pocket.</p> <p>In sentencing, the Judge took into account the defendant's family circumstances and the fact that he had changed his plea to guilty.</p>	
9	11.8.20	<p>The defendant, a taxi driver, had originally pleaded not guilty to an offence under the Equality Act 2010 arising from his refusal to carry out a booking made by the taxi operator. The couple wishing to travel were blind and were accompanied by two assistance dogs, and the defendant claimed that his refusal to take the fare was a result of his being allergic to dogs.</p> <p>On the morning of the trial, the plea was changed to guilty and the defendant acknowledged that he should have applied for an exemption certificate on the grounds of his allergy and regrets that he had not.</p>	<p>The defendant was fined £190 and ordered to pay costs of £200 together with a victim surcharge of £30. The District Judge told him that he had taken his explanation into account in sentencing, but that refusing to take the couple had an impact and left them feeling discriminated against. The defendant was fined £190, ordered to pay costs of £200 and a victim surcharge of £30.</p>
10	14.8.20	<p>The defendant in this case was charged with offences under the Environmental Protection Act in respect of loud music and shouting. They failed to appear in court and so the case was proved in their absence, with the result that they were found guilty of two offences.</p>	<p>The defendant was fined £440 for the first allegation with no separate penalty on the other. They were ordered to pay costs of £180 and a victim surcharge of £44.</p>

11	14.8.20	The defendant, a property landlord pleaded guilty to failing to comply with two improvement notices served under the Housing Act 2004. The notices had been served following SRS involvement after a tenant was found to be exposed to a number of hazards. Despite attempting to persuade the landlord to complete the necessary work, he failed to do so and the case was commenced when the formal improvement notice was not complied with.	The defendant was fined £292, and ordered to pay costs of £180 together with a victim surcharge of £32.
12	20.8.20	The two defendants in this case pleaded guilty to two offences under the Environmental Protection Act 1990, after they breached two noise abatement notices for loud amplified music and shouting.	Each was given a conditional discharge for 12 months and ordered to pay costs of £180.
13	20.8.20	The defendant in this case had been selling tobacco that was counterfeit or that was not intended for the UK market. He would arrange to meet customers in supermarket car parks to hand over the illegal tobacco and a substantial amount of tobacco was procured by officers following a number of test purchases and the execution of a warrant. The defendant pleaded guilty to seven offences under the Trade Marks Act 1994 and one offence under the Tobacco and Related Products Regulations 2016.	The defendant was sentenced to a 12 month community order, ordered to carry out 50 hours of unpaid work and undertake a 10 day rehabilitation requirement. Costs were ordered for £175 and a Forfeiture Order was granted.
14	27.8.20	Following food hygiene failures at a takeaway premises, the defendant company and its two	The company was fined £2600, and ordered to pay costs of £1843 and victim surcharge of £200. In addition, each

		<p>directors each pleaded guilty to 5 offences under the Food Hygiene (Wales) Regulations 2006. Among the problems found at the premises was a failure to adequately control pests.</p> <p>In mitigation, the court was told that a Pest Control contractor had been brought in, and that upon re-inspection, the premises was given a Food Hygiene rating Scheme score of 4.</p>	<p>director was fined £600, ordered to pay costs of £250 and a victim surcharge of £40.</p>
15	27.8.20	<p>The defendant was charged with carry on a licensing activity without authorisation on three separate occasions where he sold hot food after the hours his takeaway was permitted to trade. He did not attend court and was found guilty in his absence.</p>	<p>The defendant was fined £660 in respect of each of the three charges, making a total fine of £1980. He was ordered to pay £150 prosecution costs together with a £181 Victim Surcharge.</p>