Shared Regulatory Services

Business Plan

2016/17

Shared Regulatory Services

BRIDGEND County Borough Council

CARDIFF CAERDYDD

VALE of GLAMORGAN BRO MORGANNWG

Leading the way in safeguarding the health, safety and economic wellbeing of the region

Contents

1. Introduction

Shared Regulatory Services is a new and innovative Service formed between Bridgend, Cardiff and the Vale of Glamorgan Councils to deliver regulatory services across the region. Our vision "leading the way in safeguarding the health, safety and economic wellbeing of the region" demonstrates our clear ambition to be the best at what we do, delivering greater resilience and improved customer service to the important regulatory functions that Councils have a statutory duty to deliver.

Our Service plays a key part in delivering the priorities of the three authorities through the provision of a diverse range of services to individuals, businesses and communities covering areas such as Trading Standards, Licensing, Food Safety, Health and Safety, Communicable Disease Management, Housing Safety and Pollution Control.

We are a very young service in terms of operation, only becoming a reality in May 2015, however the Service has been several years in the planning and now provides hugely exciting opportunities for service delivery, income generation and staff development. There will be clear benefits for business, staff and stakeholders as we aim to reduce burdens on local businesses by reducing the number of visits to businesses, improving advice and support services and harmonising regulatory controls. There are also opportunities to enhance and extend the technical capabilities of staff, provide improved access for all partners to new and/or scarce skills and very importantly an opportunity to extend our income generating services and allow the participant authorities to achieve required budget savings.

Reflecting on our first year of operation, the Service and its staff have experienced a very challenging time as we have implemented a new operating model and assimilated staff to the new structure. Despite this backdrop of uncertainty, staff have risen to the challenge and continued to deliver quality services and some real successes for which they should be proud. This Business Plan highlights those achievements and sets out our plans for the future, identifying our priorities and the challenges ahead.

We know that the coming year will continue to be challenging for everyone. We have only just started our journey and there remains much work to be done to deliver improvements and achieve our goals. Notwithstanding this, we are confident that everyone will respond positively to these challenges and ensure that we not only continue to deliver quality services but we improve them.

Dave Holland
Head of Shared Regulatory Services

Councillor Dan De'Ath
Chair of Shared Regulatory Services Joint Committee

2. Overview of Services

2.1 Background

Shared Regulatory Services (SRS) is a new and innovative collaborative service formed between Bridgend, Cardiff and the Vale of Glamorgan Councils on 1st May 2015. The new 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 creation of SRS working across the three Councils originally stemmed from the need to meet diminishing council budgets while building resilience into the Service. The budget for Regulatory Services across Bridgend, Cardiff and the Vale of Glamorgan Councils has been significantly reduced over the last 4 years and in response to these challenging financial positions, all three authorities recognised an opportunity to work together to deliver services jointly and agreed the principle of a shared service.

The Councils were successful in securing support for the initiative from the Welsh Government's Regional Collaboration Fund with a proposal aimed to deliver efficiency savings, high quality services and provide more resilience to the important services we provide.

With the support of the Collaboration Funding, consultants were appointed to work in partnership with the three authorities to produce a Target Operating Model, supporting business case and implementation plan for a regionalised Regulatory Service and in July 2013, the Cabinets of all three Councils received a report proposing that a single shared service be created comprising the Environmental Health, Trading Standards and Licensing functions of each Council under a single management structure . In Autumn 2014 the new detailed proposal was approved by Cabinet and Council in all three authorities with a proposed implementation date of 1 April 2015.

On 1 May 2015 all staff in scope transferred to the new SRS and became employed by the host authority, the Vale of Glamorgan Council. The last year has seen the implementation of a revised management and staffing structure which has been populated in the main, by existing staff and managers from the three authorities.

SRS operates under a Joint Working Agreement (JWA) whereby the Head of SRS reports on service provision to a Joint Committee of elected members drawn from across the three parent Councils. An officer management board has been tasked with the oversight of the project implementation and future operation of the service. The detailed delegations of policy and functions from partners to the Joint Committee and Head of Service are set out in the Joint Working Agreement which includes:-

- The functions to be carried out by the joint service
- The terms of reference and constitution of the Joint Committee, the management board etc.
- The terms of the proposed joint service such as staffing, the services to be provided by the host and other partners, financing and other functional issues.
- Financial Operating Model

There remains much work to be done to realise the full vision of a Shared Regulatory Service that delivers high quality services and efficiency savings. A number of work streams exist to develop the Service across a number of themes, and staff are involved in these to ensure its successful delivery.

2.2   Key services offered

Shared Regulatory Services provides a diverse and comprehensive range of services that safeguard the health, safety and economic wellbeing of consumers, businesses and residents covering the main areas of environmental health, trading standards and licensing. These broad areas encompass a wide range of services that deal with issues that can have a huge impact upon people when things go wrong or have not been enforced properly.

Food Safety for instance, protects public health by ensuring that the food we eat is without risk to the health and safety of consumers. This is achieved through regular food safety inspections of food business and guest caterers, operating the Food Hygiene Rating Scheme, providing education courses and practical advice, investigating food and hygiene related complaints, carrying out regular food and water sampling and undertaking checks on imported food.

Trading Standards protects consumers and businesses by maintaining and promoting a fair and safe trading environment. This area of work ensures that businesses comply with a host of consumer protection statutes including those relating to:-

- Product safety;
- Food standards;
- Animal feed;
- Age restricted sales;
- Counterfeiting;
- Environmental safety;
- Weights and measures
- False claims about goods and services;
- Malpractice including rogue traders, scams and doorstep crime.

The service investigates complaints, participates in criminal investigations and exercises, conducts inspections of businesses, undertakes a sampling programme, provides consumer advice to vulnerable residents and provides business advice to help businesses improve their trading practices.

Furthermore our Trading Standards Service has the only UKAS accredited Metrology laboratory in Wales providing calibration of weights and measures of length and capacity.

Housing Safety protects public health by working with private landlords and owners to provide warm, safe and healthy homes for tenants. They ensure that Houses in Multiple Occupation are licensed through Mandatory and Additional Licensing Schemes, inspecting HMO's and improving physical and management standards of privately rented accommodation. Complaints from tenants about their rented accommodation are investigated, these can include complaints about damp, mould, heating disrepair, nuisance and student housing issues. Problems with empty homes that have fallen into disrepair are addressed and immigration inspections undertaken.

Pollution also protects public health by controlling noise and air emissions into the environment. The service investigates noise complaints about issues such as amplified music, DIY activities, house and car alarms, barking dogs, and construction sites. It investigates air pollution complaints such as smoke, dust and odour and illegal burning, undertakes environmental monitoring, local Air Quality Management and regulates emissions from industrial processes.

Contaminated Land protects public health by reviewing and implementing the Contaminated Land Strategy which ensures the identification, inspection and remediation of historically contaminated sites. Private water supplies used for both domestic and commercial purposes (such as drinking, cooking, and washing) are regulated and Environmental Information Requests and Planning application consultations are responded to.

Health and Safety protects public health and safety by working with others to ensure risks in the workplace are managed properly. This is achieved by undertaking planned inspections and targeted initiatives, investigating reported accidents, diseases, dangerous occurrences and complaints, providing advice and guidance to employers and employees and securing safety standards at outdoor events.

Communicable Disease protects public health by controlling and preventing cases and outbreaks of infectious disease by investigating confirmed sporadic and outbreak cases of communicable disease, providing and reviewing advice and guidance on infection control, cleaning and disinfection, case and contact exclusions, providing training on food hygiene, nutritional and infection control, enforcing health protection legislation to minimise the spread of communicable disease and contamination from radiation and chemicals that threaten health and leading on local and national communicable disease surveillance programmes.

Animal Health and Warden Services ensures the wellbeing of animals generally and during transport, and administers animal movements to prevent the spread of diseases such as Rabies, Anthrax and Foot and Mouth. Our Wardens respond to complaints about straying animals such as dogs and horses.

Licensing determines applications for the grant, renewal, variation and transfer of many different authorisations which are the responsibility of the Councils. Applications for licences, certificates, registrations and permits are processed and enforcement undertaken in respect of statutory requirements such as alcohol, public entertainment, gambling, street trading, taxi licences, charitable collections and animal related licensing.

Pest Control offers services to the Vale area for the treatment of pests and infestations. This could include, rats, wasps, mice, fleas, cockroaches etc.

Port Health prevents the import of infectious and animal disease into the UK, ensuring ships comply with international agreed public health sanitation standards and improving the safety and quality of the food chain.

The Wales Illegal Money Lending Unit is one of only 3 units operating across the UK. The Unit covers all 22 Local Authority areas in Wales with the key aim of tackling the problem of illegal money lending. The Unit is both proactive and reactive in its work providing education and promotion across Wales to various social groups and highlighting the dangers of illegal lending. The Team also carries out detailed investigations with a view to prosecuting offenders and has the capabilities to act swiftly where necessary to deal with victims of loan sharks.

Moving forward, Shared Regulatory Services will adopt a more commercial approach to the Service by developing paid for services and marketing them to businesses. These commercial activities will enhance and complement the existing statutory services and provide income generation for the service. They will include:-

- Developing bespoke and accredited training solutions to businesses to assist in achieving legal compliance;
- Developing paid for business advice visits and health checks from our highly skilled and experienced officers to help and support businesses comply with legislation;
- Actively seeking Primary Authority partnerships for businesses that trade across council boundaries where they can enter into a legally recognised partnership with the Service, receiving an agreed package of advice and support;
- Marketing the only UKAS Metrology Laboratory in Wales providing calibration of weights and measures of length and capacity;
- Extending training opportunities by assessing the potential for higher accreditation levels to attract additional business;
- Identifying new funding sources;
- Exploring potential income generating services and developing paid for services.

Our new model of delivery sees all these services delivered across three service delivery sectors known as Neighbourhood Services which deals with activities relating to residential premises or having an impact on the local community, Commercial Services which deals with activities relating to business premises (generally where national standards apply) and Enterprise and Specialist Services which comprises a number of specialist areas of work and income generating services. The structure chart at 2.3 provides an outline of the specific services that sit within each sector.
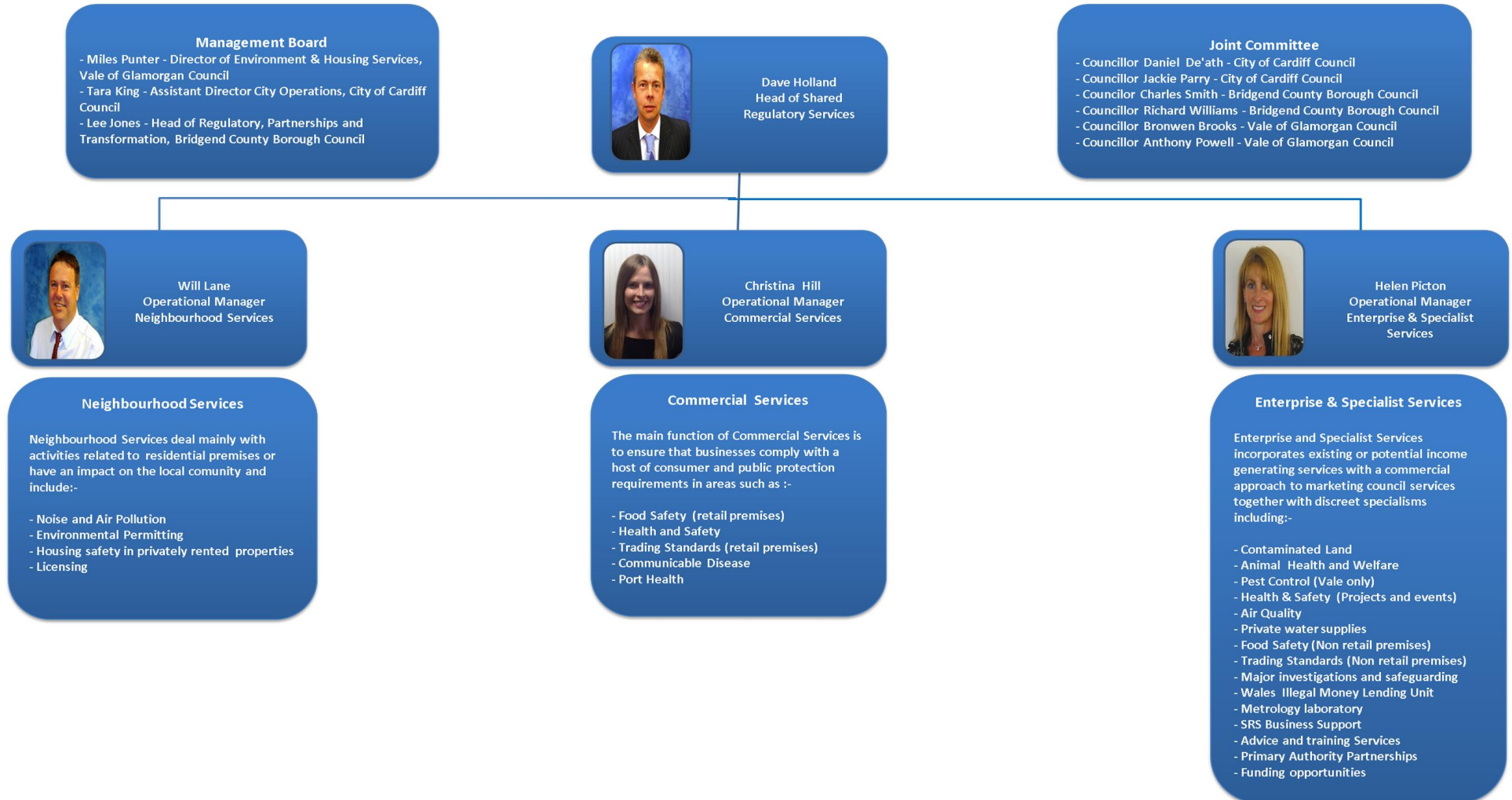
2.3   Structure

Shared Regulatory Services | **Gwasanaethau Rheoliadol a Rennir**

Structure and Governance Arrangements

Management Board
- Miles Punter - Director of Environment & Housing Services, Vale of Glamorgan Council
- Tara King - Assistant Director City Operations, City of Cardiff Council
- Lee Jones - Head of Regulatory, Partnerships and Transformation, Bridgend County Borough Council

Dave Holland
Head of Shared Regulatory Services

Joint Committee
- Councillor Daniel De'ath - City of Cardiff Council
- Councillor Jackie Parry - City of Cardiff Council
- Councilor Charles Smith - Bridgend County Borough Council
- Councillor Richard Williams - Bridgend County Borough Council
- Councillor Bronwen Brooks - Vale of Glamorgan Council
- Councillor Anthony Powell - Vale of Glamorgan Council

Will Lane
Operational Manager
Neighbourhood Services

Christina Hill
Operational Manager
Commercial Services

Helen Picton
Operational Manager
Enterprise & Specialist Services

Neighbourhood Services

Neighbourhood Services deal mainly with activities related to residential premises or have an impact on the local comunity and include:-

- Noise and Air Pollution
- Environmental Permitting
- Housing safety in privately rented properties
- Licensing

Commercial Services

The main function of Commercial Services is to ensure that businesses comply with a host of consumer and public protection requirements in areas such as :-

- Food Safety (retail premises)
- Health and Safety
- Trading Standards (retail premises)
- Communicable Disease
- Port Health

Enterprise & Specialist Services

Enterprise and Specialist Services incorporates existing or potential income generating services with a commercial approach to marketing council services together with discreet specialisms including:-

- Contaminated Land
- Animal Health and Welfare
- Pest Control (Vale only)
- Health & Safety (Projects and events)
- Air Quality
- Private water supplies
- Food Safety (Non retail premises)
- Trading Standards (Non retail premises)
- Major investigations and safeguarding
- Wales Illegal Money Lending Unit
- Metrology laboratory
- SRS Business Support
- Advice and training Services
- Primary Authority Partnerships
- Funding opportunities

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2.4   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.

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.
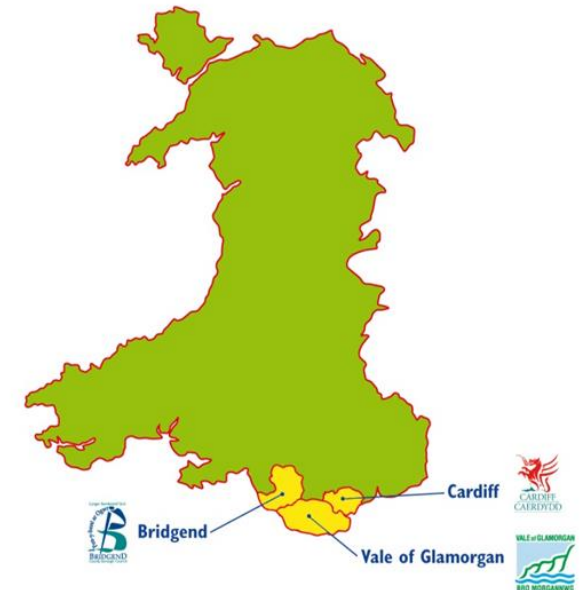
2.5　Access to service

The Service has approximately 170 FTE posts and is currently accessed and delivered through 5 main delivery points across the region. The new service functions are delivered from a mix of customer-facing "satellite" offices located in each Council area and from three main office hubs. These locations have been established in each of the three council areas to provide customer services on a local basis and also provide work spaces for employees of the service to work from. Work is currently underway in assessing accommodation needs and developing and agreeing a detailed accommodation brief that ensures ease of access to the service to meet diverse needs within each local authority area. The review includes arrangements for telephone, on-line and face to face access whilst at the same time exploring opportunities for efficiency savings.

Current service delivery points		
Bridgend	**Cardiff**	**Vale of Glamorgan**
Civic Offices Angel Street Bridgend CF31 4WB Normal office hours: 8.30am to 5.00pm Mon to Thurs / 8.30am to 4.30pm Friday	Level 1, County Hall, Cardiff, CF10 4UW City Hall, Cardiff, CF10 3ND Normal office hours – 8.30 to 5.00pm Mon – Thurs/8.30am to 4.30pm Fri **Public Carriage Office** Sloper Road, Leckwith, Cardiff, CF11 8TB Normal office hours – 8.30 am – 12 pm and 1.30-4pm Mon – Thurs, 8.30am – 12pm and 1.30pm – 3.30pm Fri.	Civic Offices Holton Road Barry CF63 4RU Normal office hours – 8.30 am to 5.00pm Mon – Thurs / 8.30am to 4.30pm Fri.

2.6   Staff resources

During the last year, the new organisational structure has been implemented and populated in the main by existing staff from the three authorities. The new structure breaks with the tradition of regulatory services being arranged around distinct professional boundaries and moves towards more generic working and the development of multi-disciplinary officers. The larger regional team facilitates access to specialist professionals, assists in workforce planning and helps in the recruitment and retention of key staff. Furthermore the new structure allows the deployment of people in different ways enabling the service to offer exciting new income generating services that complement the more traditional services. The Service operates across 3 distinct sectors:-

Commercial Services – ensures that businesses comply with a host of consumer and public protection requirements in areas such as Food Safety, Health and Safety at Work, Trading Standards and Communicable Disease. This function is populated in the main by professionally qualified Commercial Services Officers and Technical Officers. The new structure has seen a change in the balance of Commercial Services and Technical Officers so that more use is made of Technical Officers. This enables professionally qualified officers to focus on the more complex issues and Technical Officers, with appropriate levels of qualification and competence, to fulfil a monitoring and 'triage' role supporting the Service undertaking inspections, compliance checks and providing information and issuing alerts to more qualified officers if they identify major non-compliance issues.

Neighbourhood Services – deals mainly with activities relating to residential premises or those that have an impact on the local community such as Housing in the private rented sector, Noise and Air Nuisance and Licensing. This function consists of professionally qualified Officers known as Neighbourhood Services Officers and Technical Officers who, through the development of multi-disciplinary officers dealing with both Pollution and Housing issues, will be moving towards more generic working providing greater resilience to service provision across the three areas. The Licensing function retains local distinctiveness and governance arrangements within the three authorities, however opportunities have been taken to reduce the number of team managers to two across the three areas with enforcement managed by one Senior Enforcement Officer across the region.

Enterprise and Specialist Services - is the most diverse of the services and incorporates income generating services together with discreet specialisms such as Contaminated Land, Pest Control, Animal Welfare, Air Quality Monitoring, Major Investigations, Wales Illegal Money Lending Unit and the Business Support function. It identifies and applies for funding sources, manages the UKAS Metrology Laboratory, delivers training and assesses the potential for higher accreditation levels to attract additional business, actively seeking Primary Authority partnerships and developing paid for advice services. This function is largely staffed by professionally qualified Commercial Services Officers with expertise in Food Safety, Health and Safety , Trading Standards and the Environment who use their proficiency in these areas to develop income generating services, deliver environmental services, and support the service in major investigations. This overlap between other sectors of the Shared Regulatory Service creates flexibility and resilience across all teams so that resources can be shared should the need arise. The Business Support function provides centralised administrative support to the whole service. The function, managed by a Business Support Manager has a presence in all three areas at local contact points providing the main customer interface for the Service.

3.   Service aims and Strategic Priorities

3.1   Vision and aims

Shared Regulatory Services plays a key role in delivering the aspirations and priorities of Bridgend, Cardiff and the Vale of Glamorgan Councils through the delivery of a wide range of services. We have developed a vision supported by a set of primary aims that sets out our ambition of being a progressive and innovative organisation that delivers high quality, customer focussed services that protect the environmental, social and economic wellbeing of our citizens.

Our vision:-

Leading the way in safeguarding the health, safety and economic wellbeing of the region

We will achieve this vision by:-

- Placing the needs of the customer and communities at the heart of service delivery;
- Embracing opportunities to develop our workforce so they have the right skills to deliver quality services.
- Striving to improve efficiency and service quality.
- Providing a robust service, well placed to meet future service demands and financial challenges.

3.2   Strategic Priorities

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 (see table 1). 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.

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

- 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.

Furthermore, the **Wellbeing of Future Generations Act 2015** sets out seven wellbeing goals to which public bodies, including local authorities, are expected to maximise their contributions.   The goals provide a framework for focussing work on outcomes and delivery for the long term wellbeing of Wales. Shared Regulatory Services' core business activities and strategic priorities support these goals by contributing largely to the goals of 'A prosperous Wales', 'A more equal Wales', 'A resilient Wales', 'A healthier Wales', and 'A globally responsible Wales'.

Shared Regulatory Services Strategic Priorities

Improving health and wellbeing

Safeguarding the vulnerable

Maximising the use of resources

Protecting the environment

Supporting the local economy

Corporate Priorities and key outcomes of partner local authorities – Table 1

Bridgend County Borough Council

Corporate priorities

- Supporting a successful economy;
- Helping people to become more self reliant;
- Smarter use of resources.

Outcomes

- A successful , sustainable and inclusive economy that will be supported by a skilful, ambitious workforce.
- Individuals and families that will be more independent and less reliant on traditional Council services.
- A Council that has lean, robust processes and a skilful workforce. A Supported third/community sector with the opportunity to take on services that meet citizens' needs.

City of Cardiff Council

Corporate priorities

- Better education and skills for all;
- Supporting vulnerable people;
- Creating more and better paid jobs;
- Working together to transform services.

Outcomes

- People in Cardiff are safe and feel safe;
- People achieve their full potential;
- Cardiff has a prosperous economy;
- Cardiff is fair, just and inclusive;
- People in Cardiff are healthy;
- Cardiff is clean and sustainable;
- Cardiff is a great place to live, work and play.

Vale of Glamorgan Council
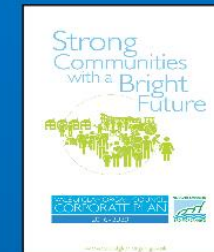
Corporate priorities

- Reducing poverty and social inclusion;
- Providing decent homes and safe communities;
- Promoting regeneration, economic growth and employment;
- Promoting sustainable development and protecting our environment;
- Raising overall standards of achievement;
- Valuing culture and diversity;
- Promoting and encouraging active and healthy lifestyles;
- Safeguarding those that are vulnerable and promoting independent living.

Outcomes

- An inclusive and safe Vale;
- An environmentally responsible and prosperous Vale;
- An aspirational and culturally vibrant Vale;
- An active and healthy Vale.

## 3.3. Delivering our vision, aims and priorities

4.   Achievements

Shared Regulatory Services is still at a very early stage of development with much work be done to realise its full potential. The last year has seen many changes occur that are crucial to its future development and these changes will continue.   Alongside these activities, however, the Service has also continued to deliver the important services for which it was created, and has enjoyed a number of notable achievements, a flavour of which follows below. Further information on achievements will be provided within the Shared Regulatory Services Annual Report.

Improving health and wellbeing

Care Home Owners fined – The owners of a care home where an elderly pensioner suffered fatal injuries after plunging down a lift shaft were fined £75,000 and ordered to pay £25,000 costs for health and safety breaches following an investigation by Officers. The owners allowed staff to use an emergency access key to override the safety mechanism of a faulty lift after being told not to use it by a lift engineer who locked the door to prevent use. The emergency key enabled the door to be opened manually which subsequently caused a resident and her carer to fall 20 feet down the lift shaft.   The elderly resident died at the scene and the carer suffered life threatening injuries.

Illegal Tobacco "Operational Fetch" – Staff working across the region made use of specially trained sniffer dogs to seek out illegal tobacco across a range of retail and similar premises. Operation Fetch was funded by Welsh Government to assist local authorities in Wales undertake this area of work which is crucial in driving down the incidence of counterfeit and non-duty-paid tobacco locally. In the space of just four days, a total of **17,848 illegal cigarettes** were seized across the region, together with **28kg of illegal hand rolling tobacco** (sufficient to make 28,000 roll your own cigarettes).

Carbon Monoxide Poisoning - It is estimated that, in England and Wales, 40 people die, 200 are admitted to hospital and 4000 attend the emergency departments each year as a result of Carbon Monoxide (CO) poisoning. All cases of Carbon Monoxide (CO) poisoning are preventable. Officers took part in a Public Health Wales initiative where they were provided with CO monitors to monitor CO levels during routine visits over a 4 week period. 59 visits were completed during the length of the project and no significant problems were identified. Officers are continuing to distribute the remaining detectors allocated during private sector housing visits to raise awareness of the public health danger
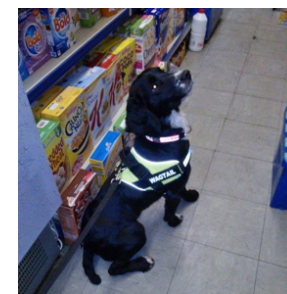
Legal highs - A shopkeeper was fined £3,960 for six offences under the General Product Safety Regulations and ordered to pay £4000 costs and £120 victim surcharge for supplying 'legal highs'. Following an undercover test purchase, the entire stock of new psychoactive substances was seized and submitted for analysis. While confusing labelling described products as being 'research chemicals', 'room deodorisers' and not for human consumption, the staff member gave clear guidance as to the manner in which they were intended to be taken.

Campylobacter outbreak – In May 2015, an outbreak of Campylobacter food poisoning was declared and linked to a local business. The investigation involved significant resource over several months until the outbreak was declared over in August. This outbreak had wider implications and will be subject to a public outbreak control report in due course.

Continued success with managing illegal tattooists - Illegal tattooists also known as 'Scratchers' present a significantly increased risk of their clients developing serious, and potentially life threatening infections such as Hepatitis and HIV, as well as serious skin infections which require medical intervention. They are also damaging the trade and reputation of legitimate tattooists. Two 'Scratchers' were prosecuted this year by Officers for a number of offences, resulting in fines of £1200 and £440 and costs of £580. A Part 2A Order was also successfully executed on a further illegal tattooist operating from his home. All equipment was seized for destruction. (see photos).

Additional HMO Licensing Schemes - The Cathays Additional Licensing Scheme concluded in June 2015, successfully licensing 1664 Houses in Multiple Occupation that otherwise would not have been licensed ensuring improved housing standards for those living in privately rented housing. A consultation exercise with landlords, tenants, residents and stakeholders in Cathays during 2015 has led to the re-declaration of the Scheme for a further 5 years. The scheme returns on 1 January 2016.

Management of House in Multiple Occupation – A landlord pleaded guilty to 15 charges relating to the management of a house in multiple occupation and was fined a total of £17,600 and ordered to pay £530 in costs and victim surcharge. The house, which at the time had 4 un-related tenants, was visited by Officers who found a number of hazards present at the property. This included a defective fire alarm, no structural protection to prevent the spread of fire and smoke, no fire blanket in the kitchen and defective, un-serviced fire extinguishers. The electrical installation was faulty, the emergency shut off valve for the gas supply was in a locked room, flammable material was being stored in the escape route and the landlord was unable to provide gas and electrical certificates. The kitchen was too small for the number of occupiers and the cooker was located immediately adjacent to the kitchen door. The bathroom had a leaking waste pipe to the WC and tiles were missing to the bath/shower area. Front and rear gardens were also left overgrown.

Safeguarding the vulnerable

Fraudulent Will Writer – Following a case brought by Officers, a will writer was imprisoned for six months after pleading guilty to three offences under the Fraud Act and one offence under the Proceeds of Crime Act and ordered to pay £17,000 to reimburse the estate. Despite clear instructions on the distribution of the estate, the will writer did not act in accordance with the wishes of the deceased and failed to pass on monies to many of the beneficiaries. Substantial amounts of money were paid into his own personal accounts as well as the accounts of two of the companies he was involved in.

Doorstep Crime –200 service requests were received between 1st April 15 and the 30th December 2015 resulting in visits to 65 doorstep crime victims including 15 joint visits with Community Safety Police Team and 5 with Social Services to safeguard the victims. The amount that was saved through intervention was £25,340.67. 9 Rapid Responses were attended by officers and a prolific rogue trader was arrested. An investigation is ongoing.

Rogue Traders – A rogue trader who fraudulently informed a resident that his neighbours had complained about his garden hedge and then got himself employed by the resident to build a wall in its place, subsequently overcharging him for work by £9100 was found guilty of two counts of fraud. The trader was sentenced to 18 months imprisonment for each count to run concurrently. A Criminal Behaviour Order was also made.

Another rogue trader who targeted an elderly couple was convicted following a joint investigation with Police. In this case, the trader returned to the property several weeks after undertaking work to the guttering and told the couple there were problems to the roof tiles that needed urgent attention. The couple agreed to have the work done at a cost of £750 however subsequent examination by an expert found that no work had been done to the roof and that it was in good condition. The trader was sentenced to six months imprisonment suspended for two years, ordered to pay the victim £500 in compensation, costs of £3500 and a victim surcharge of £80.

Mass Marketing Scams - Work with the National Trading Standards Scams Team has continued and developed during the period 1st April 15 and the 30th December 2015. Within its Safeguarding role the Service has conducted nearly 200 visits to identify scam victims and provide advice, assistance and other signposting as required. A number of consumers were identified as having been victims to scams historically and were believed to be suffering continued financial detriment at the time of the visit and further safeguarding work is required to protect them in the future. It is estimated that the detriment resulting from scams to the victims was approximately £22,100 though the actual figure is likely to far higher as in some instances the detriment amount was not known or could only be calculated based on detriment over a 12 month period. Intelligence has been fed back to National Trading Standards Scams Team in respect of 55 different businesses accounting for many hundreds of pieces of scam or misleading mail being delivered to unsuspecting consumers.

Scams and Doorstep Crime Training - As part of the continual drive to raise awareness surrounding frauds and mass marketing scams Officers have delivered a total of 15 talks and trainings sessions reaching 350 individuals. Furthermore Officers provided training to banks, PCSO's and South Wales Police to raise awareness and educate staff and officers of scams and doorstep crime encouraging the reporting of these incidents.

Taxi Licensing Campaign – Officers in partnership with the Police and Crime Commissioner produced publicity material to promote the safe use of taxis in Cardiff in the lead up to Christmas. Posters were distributed showing the types of vehicles that could be safely used and those to avoid. Business cards were also distributed at taxi ranks to the public advising them of their rights when hiring a hackney carriage vehicle and the information required if they needed to make a complaint. The team identified a need for the campaign following receipt of an unprecedented number of complaints during the Rugby World Cup where it became evident that members of the public did not know the difference between Hackney Carriage and Private Hire Vehicles and the rules around hiring these different vehicles on the street and to areas outside the City.

Young Consumers of the Year competition – Trading Standards Officers supported and educated schools about consumer rights issues as part of the national school education initiative, Young Consumers of the Year competition. Porthcawl Comprehensive became champions of the UK and were then later featured on the TV show "Rip off Britain". A great success for young persons education in the region.

Loan Shark Jailed - A loan shark from Hengoed was jailed for three years and four months following an investigation by the Wales Illegal Money Lending Unit. The defendant had earlier pleaded guilty, on the second day of his trial, to two counts of illegal money lending, three charges of theft and four charges of fraud. The loan shark took money from eight 'disadvantaged' members of his extended family and their associates over a ten year period. He took control of his victims' post office and bank cards and helped himself to more than £22,000 of their money – giving them only small sums to live on. He would then lend their money back to his desperate victims – charging extortionate interest up to 400,000% APR. The family members preyed on by him were particularly vulnerable. On occasions they were left so hard up that they could not afford to pay for food or gas. In addition to the lengthy pattern of theft and unlicensed lending, he fraudulently took out a series of payday loans in the name of a former girlfriend of his nephew who suffered physical disabilities and learning difficulties. She was left scared and confused after being bombarded with letters from debt collectors after he had taken out the loans in her name. In addition to this court action, the unit has been working closely with the victims, giving them the help and support they deserve to ensure they can start to rebuild their lives.

WIMLU - Teaching materials for schools – The Wales Illegal Money lending Unit has used funds confiscated from loan sharks to develop teaching materials to educate children and young people about the dangers of loan sharks, and also to help them manage their money wisely, so that they can avoid financial problems in the future. The packs have been developed and piloted with a number of schools and have been awarded the pfeg quality mark. Available in both English and Welsh they encourage young people to think about their needs, to consider budgeting, and to develop an understanding of credit. Activities can be incorporated into Maths, numeracy, literacy, drama, or PSE. The issue of loan sharks is addressed in a sensitive and age-appropriate way; an engaging cartoon aimed at younger children tells the story of what happens when Mr Penguin borrows money from Mr Finn…

Supporting the local economy

Rugby World Cup – Multi disciplinary teams of officers worked together to protect fans and visitors to Cardiff during the Rugby World Cup. Inspections were carried out on a number of activities which resulted in the seizure of goods with trade mark issues, the voluntary surrender of food for disposal where there were concerns about food safety and the reporting of illegal street traders.

TestTown –Officers participated in the 'TestTown' initiative held locally through the provision of business stands giving advice and information. 'TestTown; offers innovative young people the chance to test out great business ideas for real in town centres of around the UK. In 2015, ten towns across the UK were supported to hold local activities that assisted start-ups in ways that were appropriate and effective for the regeneration of their towns.

Business Conferences – Officers together with the Bridgend Business Forum hosted a conference to bring local businesses up to speed on legal changes that affect their obligations to consumers under the new Consumer Rights Act 2015. The Act came into force on 1 October, introducing a number of changes for consumers and businesses. The conference also provided an opportunity to highlight the growth of Primary Authority relationships, which enable regulatory services and businesses to work closely together to ensure compliance, increase consumer confidence and encourage business growth.

Primary Authority Partnerships - The Service has successfully entered into three primary authority partnerships with businesses. These legally recognised partnerships enable the service to deliver an agreed package of advice and support to businesses for an agreed fee. During the coming year, the Service will be working to increase the number of partnerships in its Primary Authority portfolio.

Revised Gambling and Licensing policies – Gambling and Licensing Policies were reviewed across the region and published following consultation. Local Councils have a duty to administer and enforce the Licensing Act 2003 which gives local authorities responsibility for licensing the sale and supply of alcohol, regulated entertainment and the provisions of late night refreshment and the Gambling Act 2005 which gives authorities responsibility for licensing gambling activities. Both Acts require local authorities to publish policies for their area to guide them when considering applications and controlling licensed premises and to review them every 3 years.

Food Safety Week – The theme for Food Safety Week 2015 was Campyloacter, and Officers targeted cash and carry's and wholesale businesses that supplied butchers or other food businesses who handled raw chicken. Businesses were provided with leaflets in various languages that they could distribute to appropriate customers.

Protecting the environment

RSPCA Cymru Award – Both Cardiff and Bridgend staff received RSPCA Cymru Animal Welfare Footprint Awards (Gold and Bronze respectively) for their stray dog provision. The Footprint Award is the only award scheme in England and Wales that recognises the commitment and achievement of local authorities, contingency planners and housing providers in improving and delivering animal welfare.

Flatholm Water Supply – Flatholm Island now meets the requirements of the Private Water Supply Regulations following assistance provided by Officers who assisted the island in developing a comprehensive action plan to improve the water supply for the island. Microbiological contamination of the private water supply was discovered several years ago causing restrictions to be imposed on the use of the supply. Following implementation of all improvement actions, the water supply now meets the requirements and all restrictions have been lifted.

Noise Nuisance targeted in student areas – Noise nuisance can be a particular problem in areas with high levels of student accommodation. In partnership with South Wales Police and the Student Liaison Officer, Officers worked to proactively target student accommodation in close proximity to permanent residents who have previously suffered from alleged noise nuisance. This happens at the beginning of academic year in Plasnewydd, Cathays and Gabalfa wards in Cardiff. Advice is given on how to prevent causing noise nuisance and encouraging community respect and avoid conflict.

Officers also participated in Police Operation Saturn (run during Freshers two weeks) by prioritising calls of alleged noise nuisance from premises within Cathays, Gabalfa and Plasnewydd.

Furthermore the team worked with the Student Liaison Officer in sharing information with Universities on the occasions where their students have caused statutory noise nuisance. Universities have then taken appropriate action under their disciplinary procedures.

Night time noise - The Night Time Noise Service is a successful service with the ability to respond to residents disturbed by noise. Noise can have detrimental impact upon peoples' health and the ability for residents to contact the Noise Service at night when the noise is happening has assisted in addressing issues at the earliest opportunity. The Service operates during peak periods of demand which underpins and supports the work of the Service in protecting vulnerable people and ensuring a rapid response to complaints. 124 noise abatement notices were served between April and December 2015. Of these cases 9 were taken to court for non –compliance. One case also resulted in warrants of entry being obtained and noise making equipment being seized.   Much of the evidence and convictions are used by other organisations, for example in eviction proceedings taken by landlords (including the Council) against persistent offenders and ensuring that licensed premises do not cause nuisances local residents.

Joint Working with South Wales Police and Fire Service to tackle Problematic Empty Properties – Intervention by Officers in relation to two problem empty derelict buildings that were causing a string of anti social behaviour problems resulted in owners securing the buildings against unauthorised entry. The properties, one a former Public House and the other a disused Nursing Home were attracting drug taking, drug dealing, arson, vandalism and sexual activity causing multiple callouts to the Police and Fire Services. Furthermore younger children were using the public house as a play area due to its close proximity to residential properties.   The nature of these activities posed a serious threat to their safety, and the Fire crews attending, who were experiencing increasingly dangerous conditions when dealing with malicious fires at the property. The disused Nursing home was adjacent to a new Nursing Home and the anti social behaviour was impacting on the quality of life of the vulnerable residents.

Maximising the use of resources

Software and subscription audit – An audit and subsequent cancellation of software licences, subscriptions and memberships across the Service resulted in thousands of pounds of savings. These savings have been made possible through the creation of one service as opposed to three which has allowed the Service to rationalise the numbers required. For example membership to one professional body has realised a saving of £2785 by simply reducing the number required. Previously the service would have paid £4555 for three separate memberships. The Service continues to seek further opportunities to merge other products.

Agile working – Once assimilated in to the new structure, staff have been issued with the necessary equipment to enable them to work in a completely agile way. IT support for the project has enabled the transition to agile working to occur without delay and minimal disruption of service delivery.

Out of hours resilience – The proposed review and harmonisation of the Out of Hours Service across Shared Regulatory Services is set to achieve a saving of £30,000. The Service provides standby cover for the three authorities to respond to a range of emergencies. This could be via a telephone call or with a visit, and which due to the nature of the call cannot wait for a response until the next working day. Previously the service was estimated to cost approximately £75k.

Food safety management system grants to tackle poorly performing food businesses- Grants of over £9000 were secured to deliver food safety projects aimed at improving poorly performing food businesses across the region. Projects included, a workshop for poorly performing Chinese food businesses in their own dialect, the targeting of businesses with practical on site interventions using a toolkit developed by the Service, delivery of a Safer Food Better Business Seminar to food businesses and 4 drop in sessions for businesses that were new or had a food hygiene rating of 2 and under. All projects were undertaken to improve food hygiene practices and support food safety management systems.

Public Health Projects – Officers have led on a number of important public health projects this year in Wales. This has the added value of assuring that the most cost effective service is offered to the residents and visitors.

Publication of the 'Good Practice Statement for the Surveillance and Investigation of Campylobacter': Officers led on the development and implementation of the guidance which has now been utilised by all Welsh local authorities, Public Health Wales and the Food Standards Agency. Campylobacter is the most common cause of food poisoning in the UK and as a result is accompanied by substantial economic costs. In 2008 it was responsible for an estimated 321,000 cases in England and Wales, resulting in more than 15,000 hospitalizations and 76 deaths. It is estimated that the total impact on the UK economy is around £900m per year

Officers have presented at National and UK conferences on the management and control of significant public health pathogens including M. chelonae infections associated with tattooing and Cryptosporidium infections associated with swimming pools and the introduction of the forthcoming Public Health Bill which includes the proposal for stricter control on tattooists and skin piercers.

Paid for advice visits – Following the introduction of 'Paid for advice visits' 11 businesses have used the Consultancy Service to improve standards in their food business. The service is aimed at new businesses, those that struggle with a low food hygiene rating score or require a tailored service. For a set fee, businesses receive a two hour visit at a time to suit the business and receive a written report summarising the visit and recommendations.

5.   Challenges

Delivering a new service across three local authority areas presents a hugely exciting but challenging opportunity for Shared Regulatory Services. Understanding the challenges ahead is therefore crucial to our continued success.   We do not underestimate the issues we face, and therefore seek to take a proactive approach to understanding the challenges by identifying the risks we face and managing them effectively.   The Service has to balance the development of a new and innovative operating model along with the expectation of delivering "business as usual"; there are many factors crucial to our success.   The following information therefore demonstrates the key challenges for the Service across both strands during the coming year. They represent the actions required to mitigate the risks within our Risk Register which can be found at Appendix 3 and contain the relevant Risk Register number for correlation purposes.

Developing the Service - Operating Model

- **ICT –** Central to the success of Shared Regulatory Services is its ability to embrace opportunities for innovative technical and mobile working solutions to enhance service delivery. Significant progress has already been made across the Service with mobile devices such as laptops being rolled out to allow for more agile working and providing facilities to work at various office locations across the region and from home.   There remains however, much work to be done in aligning ICT across the geographical bases and disciplines. The Service is currently considering options for the implementation of a 'primary IT system' that can be used across all authorities that will extend agile working so that officers can input data on site, however this will take some time to implement. In the interim period, the Service will continue to use existing systems. (DS1 and DS5)

Service Delivery

- **Maintaining performance levels against targets -** Whilst the creation of Shared Regulatory Services across three authorities presents greater protection to the important services we provide, many changes are required to develop SRS and realise its full potential. These changes will be made alongside the delivery of "business as usual" services placing additional demands on resources.   Furthermore, SRS is operating with less resources than before. Opportunities will be taken to streamline and improve our processes and re-prioritise our services, however the changes required will be challenging and may affect the Service's capability to deliver services and maintain performance levels against targets, particularly in the short term.   It is proposed to develop a Performance Management Framework for the new Service that provides a suite of performance measures that effectively measure activity and outcomes of the Service to ensure performance is managed effectively and in a meaningful way. (SD1)

Developing the Service - Operating Model

- **Review and Standardisation of Policies and Procedures** - The joining together of 3 local authorities operating different working practices, policies, procedures and using different systems and forms requires standardisation across the Service in order to provide consistency and efficiency across the organisation. Such standardisation provides an opportunity to apply best practice, the application of 'lean' techniques and the review of enforcement strategies to not only standardise, but share good practice and improve. The service currently operates a huge number of different activities and it will be necessary to prioritise those services at the highest demand or cost. (DS2)

- **Review and standardisation of financial processes** – The process of resource allocation for the new Service is complex. The Service is funded by three local authorities and we must therefore seek to merge three sets of accounts that reflect the provision of services. Crucial to this is reflecting the provision of 'core' services, that are consistently applied across all three areas and 'authority specific' services which are those that are specific to one or two authorities so that finances are understood. (DS3)

Service Delivery

- **Delivering new approaches to service delivery** – Key to delivering the new Service with reduced resources is changing the way we work, delivering our services using a risk based approach to all activities and examining new ways of prioritising our services so that we ensure they are delivered to those that need them the most. This may result in a reduction in service provision, or the charging for some services and difficult decisions will have to be made in developing new service standards. (SD2)

- **Remaining relevant to the three Councils** – The creation of SRS delivering services across three local authority areas resulted in the transfer of the administration of services and staff to the Vale of Glamorgan Council who act as the host authority for the Service. The new Service, although jointly funded by the participant authorities, also has a single consistent identify and branding which is not associated with any one Council. It will be increasingly important moving forward that the Service does not become divorced from its constituent Councils or become marginalised and that every effort is made to avoid this. The Shared Regulatory Service and the important services we provide will therefore need to be actively promoted across the three Councils to remain relevant to all authorities to ensure their continuing support for the venture. (SD3)

Developing the Service - Operating Model

- **Income generation** - Income streams already exist within the Service however there will be a need to extend these opportunities to meet the target set for 2016/17. Income generation provides a means to offset some of the likely budget reductions that the service will face over the next three years and will be generated through a number of activities. These include the development of bespoke and accredited training solutions to businesses, the offering of paid for advice visits, actively seeking to increase our Primary Authority portfolio and identifying new funding sources. A team within the Service is focussed on identifying and maximising income and future funding streams and work is currently underway in developing these activities. (DS4)

- **Developing the organisational culture for SRS** – The creation of an innovative new Service has seen staff joining together from three organisations, each with different experience, culture and values. At the same time there has been considerable change in working methods and the way we deliver services with the additional challenge of delivering these services against a backdrop of diminishing public sector funding and greater demands. Developing the right culture and values within the organisation is therefore hugely important in unifying staff and ensuring we respond positively to change whilst delivering excellence in our service provision. (DS6).

Service Delivery

- **Marketing Shared Regulatory Services** – As an innovative new Service with our own branding and covering 3 local authority areas it is essential that customers and businesses understand who we are and what we can offer. This will require a robust communication and marketing campaign across all three authorities targeted at the right people and supported by engagement with stakeholders and partners to raise awareness of the Service. (SD4)

- **Welsh measures** – The Welsh Language (Wales) Measure 2011 places duties on local authorities to comply with a number of Welsh language standards, the main principles being that the Welsh Language should be treated no less favourably than the English language and persons in Wales should be able to live their lives through the medium of Welsh if they choose to do so. These measures place additional duties and responsibilities on the Service which will require an increase in translation and the availability of facilities that enable people to speak and read Welsh. Failure to do so could result in fines of up to £5,000 for breach of standards. (SD5)

Developing the Service - Operating Model

- **Review of Flexible Working Arrangements** – SRS will deliver Services in a manner that supports staff wellbeing. We will implement flexible working arrangements that support staff in working flexibly during times of increased demand in an efficient and cost effective way. (DS7)

- **Developing protocols with Services outside the Service** – There are a number of support services provided outside the Shared Regulatory Service that cover areas such as Freedom of Information, invoicing, complaints etc that need to be properly resourced to ensure they are effectively delivered. The Service will develop protocols for both the sharing of data and the provision of support services to ensure service provision is not affected. (DS8 and DS10).

- **Learning and Development** – The implementation of the new Structure has resulted in new roles that require the broadening of staff skills and the taking on of new and innovative responsibilities to deliver the service. Furthermore, the transfer of staff to the host authority requires training on new Vale of Glamorgan management systems and processes. This will require a commitment to, and the resourcing of training to develop people within the organisation to ensure competency within their roles and address both the immediate needs and long term goals of the service. This is being addressed via the development of a Workforce Development Plan that identifies the collective development needs and resources for the Service. (DS9)

Service Delivery

- **New legislation** – The implementation of new legislation and any requirements imposed by such legislation can place additional burdens on the Service requiring new processes to be developed, awareness raising to be undertaken with stakeholders, staff training and additional inspections etc. Generally new requirements can be planned for and effectively resourced, however, it is not always easy to predict the impact that new legislation may have on resources. In these circumstances the Service will monitor workloads and adapt the Service accordingly in order to accommodate any additional requirements that make additional demands on the Service. (SD6).

6.   Budget

6.1   Financial allocation

Shared Regulatory Services is jointly funded by Bridgend, Cardiff and Vale of Glamorgan Councils. The methods of apportionment for operating the core service and the cost contribution percentages are shown below. There are also arrangements in place to deliver "authority specific" services to individual partner Councils.

Financial Apportionment of Shared Regulatory Services

■ Bridgend ■ Cardiff ■ Vale of Glamorgan

- Bridgend: 22.56%
- Cardiff: 57.04%
- Vale of Glamorgan: 20.40%
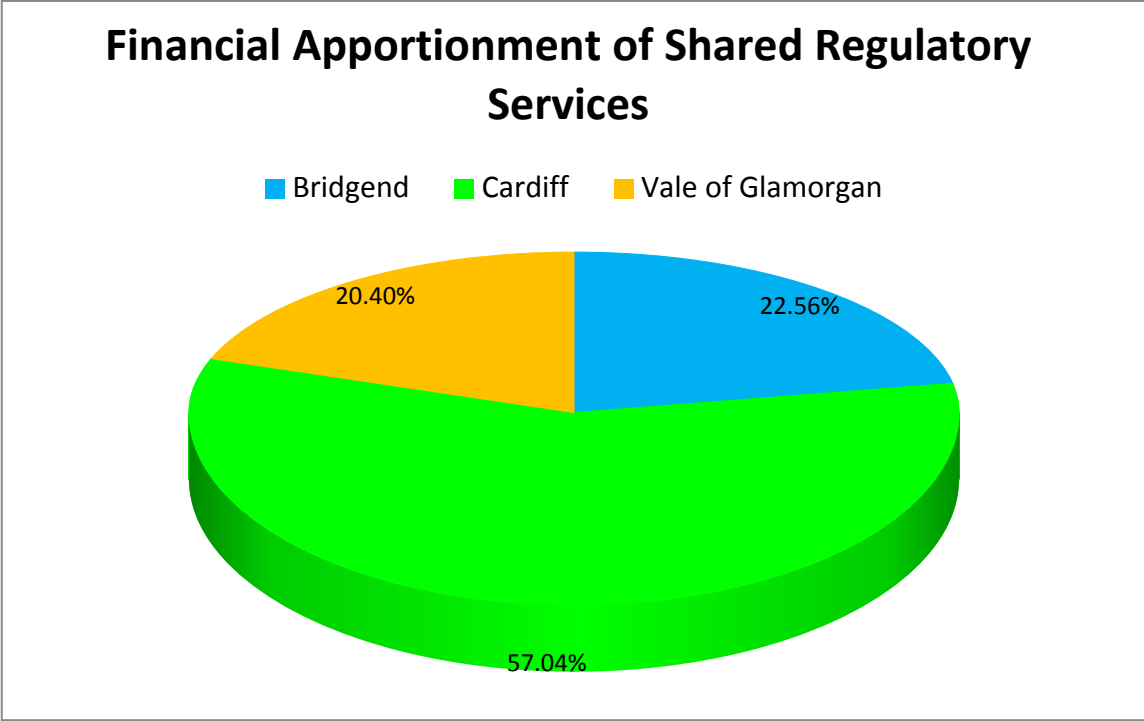
6.2 Resource Implications (Financial and Employment)

The following table summarises the 2016/17 gross expenditure budget as outlined above. Figures exclude implementation costs.

Proposed Gross expenditure	
Authority	**Proposed £000**
Bridgend	1,748
Cardiff	5,231
Vale of Glamorgan	1,805
Total Gross Expenditure 2016/17	**8,783**

In addition, an analysis of anticipated income is also provided in order to ensure that increased Authority-Specific budgets can be offset by income. The following table summarises the 2016/17 net position (excluding implementation costs) once estimated income for each Authority has been included.

Proposed Net Expenditure	
Authority	**Proposed £000**
Bridgend	1,374
Cardiff	3,023
Vale of Glamorgan	1,410
Total Net Expenditure 2016/17	**5,807**

The budgets detailed above summarise the overall gross/net budget contribution agreed by each of the partner authorities. Each contribution consists of two elements – core and authority specific services. Core services are undertaken holistically by the partner authorities as they share responsibility for the activity, such as trading standards. Core service costs are then pooled and recharged to the partner authorities based on the relative population split within the 3 authorities. In 2016-17, the splits are Bridgend 22.47%, Cardiff 57.23% and The Vale of Glamorgan which is 20.30%.

Authority specific budgets such as General Licensing are unique to each partner authority and it is the sole responsibility of each authority to fund its own provision. These are wholly recharged back at cost plus a management and admin fee to the relevant authority. The approved authority specific services are as follows:-

Bridgend   General Licensing
                  Kennelling & Vets Costs

Cardiff   General Licensing
                  Additional Licensing at Cathays & Plasnewydd
                  Night time Noise
                  WIMLU
                  Port Health

Vale   General Licensing
                  Kennelling & Vets
                  Pest Control

Both Core and Authority Specific services are recharged to partner Authorities inclusive of a management charge, which incorporates management, admin and hosting costs. These include the provision of a multifunctional admin team, professional support in the form of finance, IT and HR, together with the senior management within the Shared Regulatory Service.

6.3   Maximising resources

Our goals of supporting the local economy and maximising resources now challenge us to operate in a more commercial and entrepreneurial way. For our business customers, we aim to deliver high quality technical services. We have set sustainable growth targets for our commercial support service and created an environment that enables us to focus upon supporting local enterprises enabling them to operate successfully in an increasingly competitive business environment.

Our agile working practices allow our specialist officers to use technology to deliver improved productivity, efficiency savings and better customer service. Furthermore these practices provide opportunities to reduce the accommodation footprint of the Service across the region, reducing accommodation costs. As we generate additional income, we will enhance service delivery and ensure resilience in the SRS moving forward.

The removal of the traditional professional silos means that Officers are part of joined up multi skilled teams and have better understanding of our internal processes and the needs of our customers. The reshaped SRS will continue to eliminate unnecessary bureaucracy and simplify processes; we will harmonise practices wherever possible and achieve efficiencies by doing things once (and not three times as happened in the legacy organisations).

Understanding the costs involved in providing services will also be crucial moving forward as we review SRS fees and charges across the three authorities to ensure we know what it costs to provide services and ensuring that we recover those costs through our fees and charges.

We will listen to our customers and stakeholders through the development of improved methods of engagement in order to identify their needs and expectations and develop our services so they are easier for customers to access and are move effective and cheaper. We believe that better engagement will help us make better decisions and consequently deliver better outcomes.

We recognise the need to measure and manage our performance across the Service and will be developing a Performance Management Dashboard Framework for the new Service. The dashboard will provide a suite of measures that effectively measure activity, performance and outcomes of the Service to ensure performance is managed effectively and in a meaningful way and that we are having a positive impact on those customers that interact with us.

7.   Workforce Development

The creation and development of the new Shared Regulatory Service across three distinct areas, together with the implementation of a new structure and new ways of working presents many challenges for the new Service and its workforce. We are at the beginning of an exciting and challenging new journey that requires considerable changes in culture, working methods and staff development, all of which will impact on our workforce who are crucial to the success of this new Service. Our approach to managing this is through a Workforce Development Plan that provides a framework for developing the workforce to ensure the right mix of experience, knowledge and skills required to fulfil our goals.

Our workforce is our most valuable asset and we must ensure that staff feel fully equipped to operate in the new environment of Shared Regulatory Services. Delivering the new service demands an even more capable, responsive, skilled, well-trained and empowered workforce and our Plan will aim to show staff how are they will be supported and encouraged to develop new skills and work in different ways .

Changes inevitably cause anxiety and disruption, as people experience new or different work expectations and priorities and reassignment or loss of colleagues. Providing support throughout the change process, producing workforce development programmes, and investing in training are therefore fundamental to establishing the trust and culture we aim to build within the new organisation.

Our Workforce Development Plan will provide a framework that addresses wide ranging issues and brings together the following areas:-

- Developing organisational culture
- Leadership and management development
- Skills development
- Recruitment, retention and progression
- Communication and employee engagement
- Employee performance management

A major element of the Plan will be the undertaking of a skills audit across the Service to identify gaps in skills and competencies and development needs in order to prepare and resource a Learning and Development Plan for the whole service.

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

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

It is intended that the Service will adopt measures including the use the BRDO toolkit (RDNA) to support our officers in identifying their training and development needs. The tool has an extensive suite of modules covering local authority regulatory work. Early discussions with BRDO suggest that they are willing to work with the service to develop the model to enhance its capacity. In addition, 'in house' technical training days will be held to support cross discipline training and increase awareness of related enforcement activities. This will be a cost effective way of increasing the skills base of our workforce. We will also adopt a learning and development model to establish, maintain and develop officers to the required levels of competency using the 70:20:10 approach which centres around the theory that the majority, around 70% of learning, comes through experience; 20% comes from social learning with colleagues and just 10% through formal learning.

Programmes of mentoring and practical training to develop multi-skilled officers has already taken place during the last year where Housing Officers attended a course to achieve a Certificate of Competence in Environmental Noise Measurement and Pollution Officers attended a course to achieve a Certificate of Competence in the Assessment of Domestic Properties. This particular initiative addressed the need for multi skilled officers in those specialist areas increasing flexibility and resilience. Consideration will be given to extending this across the Service if training needs are identified and resources allow.

Appendix 1 – Action Plan

SRS Strategic Priority	Improving health and wellbeing
	Objectives and milestones
	Deliver food safety interventions in accordance with the Food Law Code of Practice
	Qtr 1 - Adopt Food and Feed Law Enforcement Plan 2016/17
	Qtr 2 - In partnership with Communicable Disease, explore and trial more proactive approaches to the detection and management of food businesses associated with foodborne illness by setting up a database to collate and review the standards of food businesses identified as potentially causing of food poisoning. This database will store information on the business characteristics and on the standards before and at the time of the incident and record standards after the investigation. This information will then be used to inform future initiatives, requests for funding and support prioritisation of workload.
	Qtr 3 - Review of the food hygiene rating scheme in SRS from 2010-2015. The primary purpose of this study will be to assess if rating scores have improved since the mandatory scheme to display scores was introduced in 2013.
	Qtr 4 - Complete the food and feed inspection programmes.
	Protect the public from the import of infectious disease and ensure the health and wellbeing of crew and passengers aboard ships and planes entering the seaports and airport.
	Qtr 1 - Adopt the Port Health Plan 2016/17.
	Qtr 2 - Improve performance by benchmarking services against recognised Best Practice Standards and implement appropriate improvements.

	Qtr 3	-	Undertake a joint initiative with the UK Border Force to check containerised imported food.
	Qtr 4	-	Improve stakeholder awareness of port health requirements.

Deliver health and safety interventions in accordance with the requirements of Section 18 of the Health and Safety at Work Etc. Act.

Qtr 1	-	Secure approval from Public Protection Committee for the 2016/17 Section Health and Safety Service Plan
	-	Deliver the safe estates engagement project in designated industrial estates in Bridgend
	-	Develop and prepare the Managing Health and Safety in Residential Care Homes Project
	-	Commence the inspection programme for High Risk A rated business activities
Qtr 2	-	Undertake Phase 1 project visits for the Managing Health and Safety in Residential Care Homes Project
	-	Complete operation 'Goal Post' a non face to face intervention to remind volunteer groups and sports clubs about the safety risks on playing fields in Bridgend and Vale.
Qtr 3	-	Extend the Gas Safety Project to catering businesses to the Bridgend area and other identified high risk businesses in Cardiff and the Vale
	-	Explore the feasibility of novel approaches to secure the effective delivery of health and safety interventions throughout SRS
Qtr 4	-	Continue to support businesses in attaining and renewing Healthy Options Award
	-	Complete the inspection programme for High Risk A rated business activities
	-	Complete the 2nd year of the 'Management of Asbestos Notifications and Duty of Care
	-	Extend the Sunbed Safety Project to Bridgend and the Vale.

Prevent the incidence of communicative disease and minimise onward transmission

Qtr 1	-	Secure approval of the Communicable Disease Business Plan from Public Protection Committee 2016/17
	-	In partnership with Food Safety set up a database for the collation and review of standards within businesses associated with food poisoning illness with the view to informing future interventions and funding streams
	-	Undertake timely investigations of sporadic and outbreak cases of communicable disease and apply appropriate control and preventive measures.
Qtr 2	-	Continue to develop and extend infection control training in Early Years Settings
	-	Deliver health promotion messages to at risk populations associated with handling and breeding of pet rats.

Qtr 3	-	In partnership with the Industry Team organise and deliver a Safe Tattooing and Body Piercing Business Forum to ensure consistent compliance with infection control legislation and to prepare businesses for the special procedures requirements of the forthcoming Public Health Bill.
Qtr 4	-	Introduce and apply best practices across SRS for the management, control and prevention measures

Protect the public from the detrimental health effects of noise and air pollution

Qtr 1	-	Review existing procedures across SRS for responding to the Development Control process and adopt lean and efficient processes.
Qtr 2	-	Develop model Planning conditions for noise and air pollution responses to Development Control across SRS.
Qtr 3	-	Consult with SRS Development Control teams and relevant stakeholder on changes to model conditions.
Qtr 4	-	Implement changes to model Planning Conditions and evaluate effectiveness of changes to Development Control response process.

Improve the quality of private rented sector housing accommodation.

Qtr 1	-	Review existing procedures across SRS for the inspection of properties in the private rented sector and identify areas of inconsistency and best practice in approach across the 3 authorities.
	-	Ensure effective implementation of HMO Licensing Schemes in Plasnewydd and Cathays through prioritised inspection schedules.
Qtr 2	-	Review scope of existing services provided within the SRS Neighbourhood teams, including response to waste/fly tipping and Pest Control enquiries and develop a standard response protocol within each local authority.
	-	Agree data sharing and enforcement protocols with Rent Smart Wales and carry out all necessary staff recruitment and training for the proper resourcing of those new enforcement duties.
Qtr 3	-	Following implementation of Rent Smart Wales review and evaluate demand across SRS Neighbourhood teams in relation to regulation of the private rental sector to ensure staff resources are deployed in accordance with need.
Qtr 4	-	Report of Joint Committee on regulation of private rental sector across SRS and the range of public health interventions undertaken by Neighbourhood teams.

Ensure the health and welfare of animals

Qtr 1	-	Attend and inspect a minimum of 50% at Critical Control points
Qtr 2	-	Review disease control procedures and make recommendations for implementation across the shared service.
	-	Promote the use of new electronic recording of sheep and goat movement by farmers in conjunction with Welsh Government.

Qtr 3	-	Engage with low risk animal health premises to assess compliance with animal health and welfare legislation.
Qtr 4	-	Complete inspection programme for high risk premises.
Work with partners to encourage the reporting of illegal tobacco		
Qtr 1	-	Seek funding to support specialist joint exercises for the identification of illegal tobacco supplies in retail and other premises.
Qtr 2	-	Seek funding for an awareness raising campaign in conjunction with partner agencies, around the harms of illegal tobacco enabling residents and businesses to report incidents of illegal tobacco supply
Qtr 3	-	Contingent on funding being secured undertake exercises identified above.
Qtr 4		

SRS Strategic Priority

Safeguarding the vulnerable

Objectives and milestones

Protect children from harm		
Qtr 1	-	Undertake age restricted test purchases on a range of products, including alcohol and tobacco.
Qtr 2	-	Undertake age restricted test purchases on a range of products, including alcohol and tobacco.
	-	Develop a responsible retailer training package for delivery to local businesses with a view to avoiding underage sales in the future.
Qtr 3	-	Undertake age restricted test purchases on a range of products, including alcohol and tobacco.
	-	Market responsible retailer training to local businesses.
Qtr 4	-	Undertake age restricted test purchases attempted for a range of products, including alcohol and tobacco.
	-	Market responsible retailer training to local businesses.
Improve taxi vehicle and driver standards		
Qtr 1	-	Appoint a Licensing Policy Officer to lead on the review of taxi licensing policies across SRS.
Qtr 2	-	Undertake research and review of existing Licensing Policies and Practice across the SRS including fee calculation and use of the Licensing toolkit.
Qtr 3	-	Develop proposals for harmonising processes and ensuring best practice and efficient use of resources.
Qtr 4	-	Provide a timeline including member and trade consultation to allow implementation of changes in Policies and

		Practices in 2017.
	Protect vulnerable people from the activities of rogue traders	
	Qtr 1	- Undertake Community engagement events in areas of identified vulnerability to promote awareness of the activities of rogue traders.
	Qtr 2	- Support the extension of the rapid response system across the region by creating a MOU between SRS and South Wales Police for dealing with incidents of doorstep crime.
	Qtr 3	- Provide training sessions on MOU delivered to council and SWP call handlers and frontline staff.
	Qtr 4	- As above.
	Improve the management standards of properties in the private rental sector	
	Qtr 1	- Support Rent Smart Wales by collating databases of landlords and agents from Cardiff, Vale of Glamorgan and Bridgend from existing databases of housing enforcement records across SRS to assist with implementation of scheme.
	Qtr 2	- Review and allocate resources in Neighbourhood Management teams to reflect additional enforcement demand as a result of Rent Smart Wales introduction.
	Qtr 3	- Continue to promote Rent Smart Wales through stakeholder liaison groups such as Cardiff Students Union, Landlord Forum, tenant groups and local authority partnerships.
	Qtr 4	- Together with Rent Smart Wales review take up of scheme within the SRS and prioritise enforcement work and resource allocation required for 2017/18.
	Equip older and vulnerable residents across the region to protect them from scams	
	Qtr 1	- Create a MOU between SRS, Wellbeing Directorates and South Wales Police for providing support in scams prevention. - Conduct a programme of prioritised support visits to older and vulnerable residents.
	Qtr 2	- Create a MOU between SRS, Wellbeing Directorates and South Wales Police for providing support in scams prevention. - Conduct a programme of prioritised support visits to older and vulnerable residents. - Seek funding to assist successful intervention in this area of work, e.g. in the provision of call blockers.
	Qtr 3	- Conduct a programme of prioritised support visits to older and vulnerable residents.
	Qtr 4	- Conduct a programme of prioritised support visits to older and vulnerable residents.

SRS Strategic Priority	**Protecting the environment**	
	Objectives and milestones	
	Protect the environment from harmful emissions to land, air and water	
	Qtr 1	- Continue to deliver a comprehensive programme of monitoring and reporting on air quality issues across the SRS region.
	Qtr 2	- Update the Contaminated Land Strategies for the three Council areas and bring together into a single document.
	Qtr 3	- Establish a programme of radon monitoring of local authority premises in affected areas and promote the monitoring service to commercial premises across the region.
	Qtr 4	- Put in place a 5 year programme of risk assessment and monitoring of private water supplies across the region, and promote our water quality monitoring services to internal departments of the three participant councils and into the private sector.
	Ensure the prompt investigation and remediation of statutory nuisances	
	Qtr 1	- Review existing procedures across SRS for service requests in connection with statutory nuisances and identify areas of inconsistency and best practice in approach across the 3 authorities. - Review the provision of reactive out of hours response in respect of noise nuisance across the SRS and harmonise service responses where appropriate.
	Qtr 2	- Adopt lean and efficient processes for investigation of statutory nuisances.
	Qtr 3	- Undertake structured customer survey to assess customer satisfaction rates across SRS for investigation and remediation of statutory nuisances and review results to inform evaluation of the service and assist targeting of resources.
	Qtr 4	
	Control the numbers of stray dogs and horses in the region through the provision of animal warden services	
	Qtr 1	- Promote the compulsory microchipping of dogs which comes into effect in April 2016 and ensure officers are equipped to enforce legislation to ensure dog owners are compliant.
	Qtr 2	- Streamline and harmonise policies and procedures for dealing with straying dogs and horses across the SRS area.
	Qtr 3	- Review the existing stray dog and horse service provision and identify efficiency savings.

		-	Work to achieve recognition service-wide under the RSPCA Community Animal Footprints Awards for stray dog provision.
	Qtr 4	-	Participate in a series of events, with partners, to promote responsible ownership.

SRS Strategic Priority

Supporting the local economy

Objectives and milestones

Support business through the delivery of advice and education services

Qtr 1	-	Launch a range of bilingual guidance resources on the SRS website.
Qtr 2	-	Conduct an audit of business training needs and create a programme of face to face and web based training events.
Qtr 3	-	Market the training opportunities available through Shared Regulatory Services utilising a range of channels.
Qtr 4	-	Maximise the use of social media as an engagement tool with individual businesses and business groups.

Help business to thrive and grow through promotion of the Primary Authority principles

Qtr 1	-	Conduct a needs assessment of businesses eligible to enter into Primary Authority arrangements.
Qtr 2	-	Engage with eligible businesses with a view to entering into Primary Authority Partnerships where appropriate.
Qtr 3	-	Prepare a strategy for SRS moving forward to cater for the changes to be introduced with the UK Government's extension of the Primary Authority principle.
Qtr 4	-	Review existing Primary Authority arrangements and service capacity.

Support the economic development of the region

Qtr 1	-	Develop close partnership working arrangements with the economic development departments of the three respective councils.
Qtr 2	-	Provide support on a range of topics through local business forums.
Qtr 3	-	Take firm action against rogue traders and as a result protect the livelihoods of reputable businesses.
Qtr 4		

		Disrupt the informal market and recover illicit products
	Qtr 1	- Develop strategic assessment and control strategy in line with the Intelligence Operating Model, initially for Trading Standards matters.
	Qtr 2	
	Qtr 3	- Operate a market surveillance regime to target high risk practices and premises in order to disrupt the activities on rogue traders and those who deliberately flout
		- Identify and engage with all relevant partner agencies across the SRS region to ensure the effective handling and flow of intelligence.
	Qtr 4	- Evaluate the effectiveness of the intelligence operating model and make recommendations for wider implementation across the shared service.

Maximising the use of resources

SRS Strategic Priority

Objectives and milestones		
Review and standardise policies and procedures across SRS		
Qtr 1	- Collate existing policies and procedures from across 3 authorities and prioritise those that require review and standardisation.	
Qtr 2	- Undertake process redesign and apply lean thinking techniques and best practice to relevant policies and procedures.	
Qtr 3	- Implement revised policies.	
Qtr 4		
Produce a Workforce Development Plan for the Service that incorporates the identification and resourcing of staff learning and development needs		
Qtr 1	- Complete Personal Development Reviews across SRS.	
	- Collate training needs identified through PDRs and develop and resource a Learning and Development Plan for the whole service.	
Qtr 2	- Incorporate training needs into draft Workforce Development Plan for SRS and finalise.	
Qtr 3	- Implement the actions identified within the Workforce Plan.	

	Qtr 4	
	Develop a performance management framework for the Service	
	Qtr 1	- In consultation with teams, develop a suite of performance measures and indicators that effectively measure activity and outcomes of the Service.
	Qtr 2	- Develop a performance 'dashboard' framework to present performance results.
	Qtr 3	- Source the procurement of performance monitoring software that will facilitate the effective recording and monitoring of performance.
	Qtr 4	- Embed new arrangements.
	Identify customer needs and expectations	
	Qtr 1	- Collate information on current customer feedback mechanisms used across SRS.
	Qtr 2	- Examine current processes and develop improved methods of engaging with customers and stakeholders.
	Qtr 3	- Implement new improved processes for customer consultation.
	Qtr 4	- Report on feedback and implement improvements where necessary.
	Effectively promote SRS to public and stakeholders	
	Qtr 1	- Implement one telephone number for SRS. - Develop a Communications and Marketing Strategy for SRS.
	Qtr 2	- Produce Annual report as required by the Joint Working Agreement. - Agree collective Scrutiny arrangements with each partner Council.
	Qtr 3	- Deliver report to Joint Committee on 2017/18 Budget proposals.
	Qtr 4	- Begin consultation on the SRS Business Plan for 2017/18.
	Minimise office accommodation footprint	
	Qtr 1	- Develop detailed accommodation brief NB. Any moves to satellite accommodation is contingent on partner authorities providing requisite space. - Continue to roll out devices that support agile working.
	Qtr 2	- Bridgend move.
	Qtr 3	- Cardiff move.
	Qtr 4	- Vale of Glamorgan move.

	Introduce income generation opportunities that complement existing services	
	Qtr 1	- Develop and market a range of advice and education services to business.
	Qtr 2	- Promote Primary Authority Partnerships with business with a view to extending the numbers of partnerships in place across the region.
	Qtr 3	
	Qtr 4	
	Procure and implement a new single "primary IT" database	
	Qtr 1	- Procure new single database - Carry out an evaluation of data and identify what needs to be archived/migrated.
	Qtr 2	- Develop Governance structure for the Archiving and Migration project. - Commence work on creating SQL mirror to ensure archived data is secure (Archiving and Migration). - Develop a strategy for data archiving. - Align data to a single, unified code dictionary.
	Qtr 3	- Implement SQL mirror to ensure archived data is secure (Archiving and Migration). - Finalise Governance structure for archiving and migration - Finalise strategy for data archiving - Commence migration of data into database and carry out testing. - Rollout appropriate hardware together with appropriate training for staff for agile working.
	Qtr 4	- Complete migration of data into database and continue testing. - Finalise rollout of appropriate hardware to staff for agile working. - Roll out training of new system to all staff - Decommission Civica. .
	Enhance ICT based mobile working practices	
	Qtr 1	- Continue to align ICT across the geographical bases and disciplines. - Continue to roll out mobile devices to facilitate agile working. - Trial ICT Telecoms Systems that enables staff to pick up phone calls on laptops. - Trial Presence software to enable staff to communicate remotely.
	Qtr 2	- Deliver website phase 2 - Following trial, roll out ICT Telecoms System to enable staff to pick up phone calls from laptops.
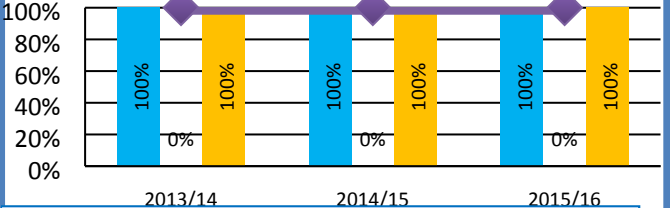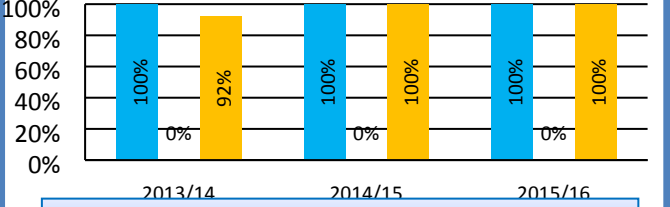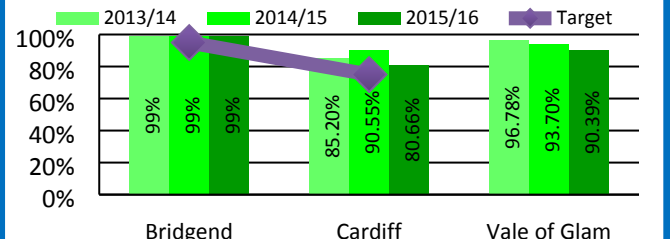
		-	Following trial roll out Presence software to enable staff to communicate remotely.
	Qtr 3	-	Develop a common ICT infrastructure across the Partner sites to allow staff to connect regardless of location. This will extend the capability of staff as the new database is implemented.
		-	Implement and update Lalpac database in Cardiff Licensing.
		-	Rollout appropriate hardware connected to new "Primary IT system" together with appropriate training for staff for agile working.
	Qtr 4	-	Implement and update Lalpac database in Vale and Bridgend.
		-	Finalise rollout of appropriate hardware to staff for agile working.
		-	Finalise roll out of staff training on new IT system.
	Review fees and charges across the Service		
	Qtr 1	-	Close financial accounts for 2015/16.
	Qtr 2	-	Review operating processes and costings particularly associated with the delivery of licensing systems.
	Qtr 3	-	Reconcile costs and income particularly associated with the licensing systems.
	Qtr 4	-	To set fees and report to appropriate Committees.

Appendix 2 – Performance Results

Food Hygiene	Description of measure	Comments on performance

PPN/001(ii) % of high risk inspections Food Hygiene

Chart (2013/14, 2014/15, 2015/16):
- 2013/14: Bridgend 100%, Cardiff 86%, Vale of Glam 100%
- 2014/15: Bridgend 100%, Cardiff 83%, Vale of Glam 100%
- 2015/16: Bridgend 89.94%, Cardiff 82.50%, Vale of Glam 88.89%

The inspection of high-risk businesses for compliance with legislation is an important proactive enforcement tool, helping to protect the public's health and welfare. *High Risk Businesses are those businesses which are deemed to pose a greater risk to the public because of the products manufactured or handled and the hygiene practices a business has in place.* This indicator measures the rate at which these enforcement activities are performed by reference to the total number of businesses that were liable to inspection at the commencement of the year. In some instances, a simple percentage indicator can understate the actual quantum of the work required. It is important that local authorities also develop and use alternative enforcement strategies to audit businesses and business activities that cannot be adequately assessed by inspection.

In the period 2015/16, the service completed all Category A and B premises visits to schedule. Resources, limited during this period, were prioritised to ensure these premises were visited as required. The shortfall against target consists of premises in Category C.
The term high risk premises includes those businesses rated as:-
- *category A (those premises requiring a visit every six months)*
- *category B (those premises requiring an annual visit)*
- *category C (those premises requiring a visit every 18 months)*
Meeting this performance indicator has proved problematic, particularly for Cardiff Council in recent years. The figures illustrate that the new operating model, when fully resourced, is capable of delivering the required performance while delivering the savings sought by the Councils.

PPN/008(ii) % of new Food Hygiene businesses identified and visited

Chart (2013/14, 2014/15, 2015/16):
- 2013/14: Bridgend 88%, Cardiff 92%, Vale of Glam 94%
- 2014/15: Bridgend 90%, Cardiff 90%, Vale of Glam 94%
- 2015/16: Bridgend 85.51%, Cardiff 98.40%, Vale of Glam 94.38%

As many as one in three UK businesses fail in the first three years. Establishing contact with new businesses in their first year of trading is an important part of the SRS strategy to promote and support the local economy. Early engagement with a business helps us to protect the public health and allows the SRS to work with food businesses and provide them with the opportunity to understand often complex legal requirements.

Performance against this indicator shows a general improvement on that recorded against this performance indicator for 2013/14 and 2014/15. It is important to note that the targets set by each Council, under the previous arrangements are inconsistent. For example, Bridgend set a 80% target, the Vale of Glamorgan a 95% target and Cardiff, a 100% target. In 2016/17, these targets will be harmonised to 100%.

PPN/009 % of food premises that are broadly compliant with food hygiene standards

Chart (2013/14, 2014/15, 2015/16):
- 2013/14: Bridgend 88%, Cardiff 87%, Vale of Glam 85%
- 2014/15: Bridgend 93%, Cardiff 92%, Vale of Glam 91%
- 2015/16: Bridgend 95.11%, Cardiff 93.00%, Vale of Glam 90.69%

This measure provides an indication of how well a food business complies with food hygiene legislation. The score will reflect how well a business understands it legal responsibilities along with the structure and cleanliness of the premises. The SRS seeks to improve the score in each local authority through a programme of inspections and advice. However, ultimately, the score is a reflection of business performance and not that of the SRS.

Premises are deemed to be *broadly compliant* if specified risk scores are achieved for cleanliness, structural issues, and confidence in the management of the business. The number of premises that are broadly compliant with food hygiene requirements, i.e. scoring 3* or above, in the SRS region are gradually increasing and is now in line with the UK average of 93%. It is anticipated that the business support regimes introduced into the SRS structure will play a part in maintain that increase in hygiene standards.

Trading Standards	Description of measure	Comments on performance

PPN-001(i) % of high risk inspections Trading Standards

	2013/14	2014/15	2015/16
	98% / 99% / 100%	100% / 100% / 100%	100% / 97.17% / 100%

Inspecting high-risk businesses for compliance with legislation is an important proactive enforcement tool, helping to protect the public confidence. *High Risk Businesses are those businesses which are deemed to pose a high risk to consumers and/or other businesses.*

This indicator measures the rate at which these enforcement activities are performed by reference to the total number of businesses that were liable to inspection at the commencement of the year. In some instances, a simple percentage indicator can understate the actual quantum of the work required.

Performance against this indicator has been consistent, with the target of 100% being achieved in both Bridgend and the Vale of Glamorgan. Performance in Cardiff was recorded at 97.17%, where 6 premises were not visited in the timeframe. These are due to be visited before the end of Quarter 1 thus eliminating any backlog.

PPN/008(i) % of new Trading Standards businesses identified and visited

	2013/14	2014/15	2015/16
	74% / 49% / 54%	80% / 90% / 75%	81.42% / 68.87% / 77.03%

As many as one in three UK businesses fail in the first three years. Establishing contact with new businesses in their first year of trading is an important part of the SRS strategy to promote and support the local economy. Early engagement with a business helps us to protect the public confidence in the market place and allows the SRS to work with business and provide them with the opportunity to understand often complex legal requirements.

Performance against this indicator shows a general improvement on that recorded against this performance indicator for 2013/14 and 2014/15. It is important to note that the targets set by each Council, under the previous arrangements are inconsistent. For example, Bridgend set a 80% target, the Vale of Glamorgan a 75% target and Cardiff, a 65% target. In 2016/17, these targets will be harmonised to 75%.

PPN/007 (i) % of significant breaches that were rectified for Trading Standards

	2013/14	2014/15	2015/16
	100% / 94%	100% / 87%	100% / 62.39%

NB Results not collected in Vale

This indicator gives an indication of how successful the SRS has been in identifying major problems (Significant Breaches) which need to be resolved to ensure that the public and bona fide traders are not prejudiced by any given trading practices. The indicator is intended to act as a driver to ensure there is a positive outcome for every serious problem that is identified. The indicator should give a clear picture of whether services are delivering results.

124 in depth investigations have been initiated into a variety of issues during the year. These investigations, arising from complaints, matters discovered during routine interactions with business and/or intelligence received from numerous sources, have at their core the reasonable suspicion that a significant breach of the criminal or civil law, relating to a trading activity within Trading Standards remit has or is taking place. Of those investigations 80 have been resolved or have been the subject of legal action with 44 others still pending at the end of the reporting period. There is a difference in the reporting mechanisms across the three Councils and that will be harmonised in 2016/17.

Animal Health and Pollution	Description of measure	Comments on performance

PPN/001 (iii) % of high risk inspections for Animal Health

2013/14: 100%, 0%, 100%
2014/15: 100%, 0%, 100%
2015/16: 100%, 0%, 100%

NB There are no animal health businesses in Cardiff

Inspecting high-risk businesses for compliance with legislation is an important proactive enforcement tool, helping to protect the public health and the safety of the food chain. In this category, High Risk Businesses are those businesses which are deemed to pose a high risk to the food chain through disease or contamination.

This indicator measures the rate at which these enforcement activities are performed by reference to the total number of businesses that were liable to inspection at the commencement of the year. In some instances, a simple percentage indicator can understate the actual quantum of the work required.

Performance against this indicator remains consistent with that that recorded against this performance indicator for 2013/14 and 2014/15. It is important to note that Cardiff does not have high-risk animal health premises.

PPN/008(iii) of new Animal Health businesses identified and visited

2013/14: 100%, 0%, 92%
2014/15: 100%, 0%, 100%
2015/16: 100%, 0%, 100%

NB There are no animal health businesses in Cardiff

As many as one in three UK businesses fail in the first three years. Establishing contact with new businesses in their first year of trading is an important part of the SRS strategy to promote and support the local economy. Early engagement with a business helps us to protect the public's health and welfare but also allows the SRS to work with business and provide them with the opportunity to understand often complex legal requirements

Performance against this indicator shows a general improvement on that recorded against this performance indicator for 2013/14 and 2014/15. It is important to note that the targets set by each Council, under the previous arrangements are inconsistent. For example, Bridgend set a 80% target, the Vale of Glamorgan a 100% target and Cardiff, has no premises in this category. In 2016/17, given the low numbers, these targets will be harmonised to 100%.

% of noise complaints responded to within 2 (Cardiff) and 5 days (Bridgend & Vale of Glam)

2013/14, 2014/15, 2015/16, Target

Bridgend: 99%, 99%, 99%
Cardiff: 85.20%, 90.55%, 80.66%
Vale of Glam: 96.78%, 93.70%, 90.39%

The indicator provides a measure of the efficiency of the council in dealing with complaints. Movement in the indicator will be affected by changes in the efficiency of staff in dealing with complaints, the number of staff available for this work, and the number and complexity of complaints and requests for advice.

The indicator relates solely to the time taken to complete a complaint or enquiry irrespective of the outcome.

Performance against this indicator has fluctuated against that recorded for 2013/14 and 2014/15. The last year has seen an improvement across the region. It is important to note that the targets set by each Council, under the previous arrangements are inconsistent. For example, Bridgend set a 95% target to respond to a complaint within 5 days, the Vale of Glamorgan set no target and Cardiff a 75% target to respond to a complaint within 2 days. In 2016/17, these targets will be harmonised.

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Appendix 3 – Risk Register

Risk Register Risks								
Risk Description and Consequence	**L**	**C**	**Inherent Risk**	**Current controls**	**L**	**C**	**Residual Risk**	**Owner**
Developing the Service/Operating Model								
DS1. The lack of availability and/or failure to implement ICT systems and hardware to support joint service delivery could hinder the ability to collaborate or work as a single service unit and affect the Service's ability to work smarter and more efficiently.	A	1	Red	ICT work stream established and review of the database is currently underway with a view to implementing systems that support collaborative and agile working.	B	3	Amber	Management Board
DS2. Failure to ensure consistency in delivery across the 3 areas would result in the service delivering different working practices, policies and procedures leading to inconsistencies across the 3 areas and inefficiency.	A	2	Red	Workstreams created to review policies and procedures with a view to improvement and harmonisation.	C	2	Amber	Head of Service
DS3. The complexities of resource allocation may result in a lack of understanding and misalignment of resources.	A	1	Red	Dedicated accountant appointed for the Service. Governance arrangements in place to address lack of understanding. Review and standardisation of financial processes ongoing.	C	2	Amber	Head of Service
DS4. Inability to realise target income could affect the Service's ability to offset some of the likely budget reductions resulting in loss of services.	A	2	Red	Within the structure the focus of one team is on identifying and maximising income and future funding streams and work is underway.	C	3	Amber/ Green	SRS Management Team
DS5. The inability to implement mobile working solutions that enhance the efficiency of staff may result in a lack of capacity to achieve targets.	B	1	Red	ICT work stream established and agile working is a key priority for the group. Laptops and mobile devices being rolled out to staff.	C	3	Amber/ Green	SRS Management Team
DS6. Inability of staff and managers to adapt to a new working environment and culture of agile working	B	2	Red	Work is underway in developing the organisational culture through an	C	3	Amber/ Green	SRS Management Team

	could impact negatively on staff subsequently affecting the service's ability to provide high quality services.			Red	employee charter setting out service expectations for staff and managers.				
DS7.	Failure to develop flexible working arrangements that enable staff to meet the increased demands of the new Service could affect staff's ability to perform their duties in a manner that supports their wellbeing and the efficiency of Service.	B	2	Red	Review of flexible working conditions is currently underway.	C	3	Amber/ Green	SRS Management Team
DS8.	Failure to implement proper controls and management of data protection may result in breaches of the legislation and difficulties in sharing/transferring data between the 3 authorities.	B	2	Red	Protocol for sharing data has been developed.	C	3	Amber/ Green	SRS Management Team
DS9.	Failure to identify and resource staff learning and development needs to address changes in roles and immediate needs and long term goals of the service could result capability issues amongst staff which would affect the Service's ability to deliver services.	A	2	Red	Develop and implement a workforce development plan and learning and development plan for the service.	D	3	Green	SRS Management Team
DS10	Failure to properly resource support provided from outside SRS such as FOI, invoicing, complaints etc. will impact on resources within SRS and subsequent service provision.	A	2	Red	A set of protocols are currently being developed.	D	3	Green	SRS Management Team

Service Delivery

SD1.	The challenges arising from the risks in the section above will affect the Service's capabilities to deliver "business as usual" and affect performance levels.	B	1	Red	Good communication in place and change management principles adopted. Workstreams in place to develop various areas of change.	B	1	Red	Head of Service
SD2.	Insufficient resource and capacity to deliver planned services will result in loss of service provision.	A	1	Red	The Service is examining new ways of prioritising services and using risk based approaches to activities in line with reduced resources..	C	3	Amber/ Green	Head of Service
SD3.	The positioning of Shared Regulatory Services under a host authority, together with unique branding may	B	2	Red	The Service will remain relevant to all 3 authorities through links into	C	3	Amber/ Green	Head of Service

	result in the Service becoming divorced from its constituent Councils or marginalised			Red	Corporate Plans of 3 authorities. Links maintained with members and senior officers. Successes of the new service promoted.			Amber/ Green	
SD4.	The uniqueness of the Service and its branding may cause confusion to the public and stakeholders resulting in loss of access to services for some.	B	2	Red	Communications and Marketing Workstream in place. Work underway in developing Communications and Marketing Strategy.	C	3	Amber/ Green	Head of Service
SD5.	Insufficient capacity within the Service could lead to an inability to meet the requirements of the Welsh Measures Standard.	B	2	Red	Workstream in place exploring requirements of the Welsh Measures across three authorities with a view to implementation.	C	3	Amber/ Green	Head of Service
SD6.	Implementation of new legislation such as Environmental Permitting Regulations may create additional demands on service delivery.	B	3	Amber	Workloads reviewed and monitored and resources applied accordingly.	D	3	Green	Head of Service