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HELA

Data Collection – analysis of LAE1 2013/14 data from Local Authorities

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Cleared by Elaine Harbour on 3 July 2013

Issue

- 1) This paper provides HELA with a report on local authority (LA) inspection/visit data for the period 1 April 2013 to 31 March 2014.

Timing

- 2) For discussion at the meeting on 31 July 2014.

Recommendation

- 3) That HELA considers their role in helping LAs to deliver a consistent, proportionate and targeted approach to regulatory interventions in line with the LA National Code.

Background

- 4) HSE published the National LA Enforcement Code (referred to as 'the Code') in May 2013. Alongside, but separately from the Code, HSE also published a list of activities/sectors suitable for targeting for proactive inspection. Supplementary guidance to assist LAs understanding and implementation of the Code was published in June 2013.
- 5) To assess in-year progress in relation to LAs implementation of the Code HELA commissioned a mid-year data collection exercise (1 April to September 2013) which HELA considered at its January 2014 meeting (HELA paper 16/02).
- 6) The statistically modelled mid-year returns suggested that the average number of inspections of higher risk premises would remain constant but that inspections of lower risk premises were predicted to half on average for each LAs.
- 7) However, whilst targeting appeared to be improving with the introduction of the Code, the mid-year data reinforced previously raised concerns relating to the size of the net reduction and the number of LAs who are not undertaking any inspections.

Discussion

- 8) End of year LAE1 data for 2013/14 was collected for the period 1 April – 31 March 2014. 332 LAs (87%) provided a data return. The data was statistically modelled in line with standard practice to provide an estimate for the full national picture (i.e. activity for 382 LAs).
- 9) Summary and comparison data alongside a detailed analysis of the 2013/14 end of year visit data is provided at Annex 1. The LAE1 form is at Annex 2.
- 10) The data reflects the major trends, conclusions and influences identified from the half-year data exercise as outlined in paragraph 6 and 7 above. Headline activity for 2013/14 shows that:
 - a) LAs undertook 6,300 proactive inspections. This represents a 56% drop against the 2012/13 figures (14,400K inspections) and a 95% drop against the baseline year of 2009/10 (118k inspections);
 - b) Inspection of higher risk premises has remained fairly constant but inspections of lower risk premises has more than halved since the introduction of the Code;
 - c) The total picture represents an overall reduction in visit activity with a significant shift in proactive inspection activity from 60% of all visits in 2009/10 to 7% in 2013/14;
 - d) Whilst the overall trends are downwards, the figures show an increasing trend in the number of reported “other” visits (see table 1) which now comprise nearly 50% of all visits. (see paragraph 11);
 - e) The total number of LA inspectors and the full time equivalent numbers fell by 6%, in line with the year before (see table 2).
 - f) 62 LAs (19%) undertake no inspections (see table 4);
 - g) Fewer than 10% of LAs account for over 77% of the lower risk inspections (B2/C) reported. 12 LAs account for over half of the B2/C inspections (see table 5)
- 11) A text box for comments was included within the LAE1 returns. Analysis of these comments provided further qualitative information describing the reasons for:
 - a) B2/C visits, often being - LAs doing joint food and H&S visits, a number of projects relating to gas safety, visits to previously unrated sites.
 - b) “Other visits” confirming they are advisory –including Estates Excellence, training events, SHADs; advisory visits on a range of issues (e.g. retail violence, slips/trips, legionella, major events; tattooing, sunbeds, solid fuel, use of formaldehyde, swimming/spa pools). They also include advice given when visiting for another

regulatory purpose e.g. food hygiene inspections (often gas safety),
licensing/registration visits or joint initiatives with other regulators.

- 12) Other comments received from LAs indicated that some had not yet implemented the Code due to having already agreed service plans in place prior to its publication. In such cases, a commitment was given to implement the Code in service plans agreed for work from April 2014 onwards.
- 13) In accordance with the LA National Code, HSE intends to publish the detailed LAE1 data on the HSE website to allow comparison and benchmarking between LAs.

Action

14) HELA members are asked to:

- a) note the data;
- b) comment on any underlying qualitative intelligence/factors;
- c) consider whether the change in balance between “inspection” and “other” visits reflects a policy change within LAs or relates more to how LAs record their visits;
and
- d) discuss how to respond to the issues raised, with particular regard to:
 - i) non-responders
 - ii) the minority of LAs undertaking the majority of B2/C visits
 - iii) those LAs not undertaking any inspections.

Contact

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HELA Paper H15/01: Data Collection – analysis of LAE1 2012/13 data from local authorities
Annex 1.

Local authority visit data by type of visit

Table 1. Total inspections/visits undertaken by LAs in Great Britain

Type of visit	Number of visits				
	2009/10 (baseline)	2010/11	2011/12	2012/13	2013/14
Proactive inspection	118,000	106,000	70,700	14,400	6,300
Revisits to check	19,000	19,000	15,900	12,500	10,300
Visits to investigate accidents	17,000	15,000	13,800	11,400	9,300
Visits following requests/complaints	24,000	26,200	22,800	25,100	20,200
Other	18,000	28,000	27,800	42,800	40,800
All	196,000	194,200	151,000	106,200	86,900

All numbers rounded to nearest 100.

Figures presented are modelled estimates of all-LA activity based on LAE1 data returns.

The 2013/14 estimates are based on LAE1 returns submitted by 332 LAs (i.e. 87% response rates)

Table 2. Number of inspectors with H&S powers

Indicative staff resources	Number of inspectors				
	2009/10	2010/11	2011/12	2012/13	2013/14
Number of inspectors holding appointments under S19 of HSW Act	3170	2710	2480	2470	2390
Full time equivalent number holding appointments under S19 of HSW Act.	1050	1010	900	850	800

The 2013/14 estimates are based on responses from 317 local authorities. Each LA supplies the number of full time and part time inspectors and whether these staff are spending all or only part of their time on health and safety matters. Statistical modelling based on more detailed information from previous years is used to convert these figures into an FTE estimate.

Local authority proactive inspection data

Table 3. Proactive inspection by category of premises

	Average number of visits per LA	National estimate
Cat A visits	5.55	2,100
Cat B1 visits	3.24	1,230
Cat B2/C visits	7.79	2,960
All proactive visits	16.58	6,300

Local authority proactive inspection data cont.

Table 4. Actual proactive inspection data

	No. and % of LAs or LA groups	# Cat A visits by these LAs	# Cat B1 visits by these LAs	# Cat B2/C visits by these LAs	Total # proactive visits by these LAs
LAs doing no proactive inspections	62 (19%)	0	0	0	0
LAs doing Cat A only	92 (28%)	940	0	0	940
LAs doing Cat A/B1 only	27 (8%)	235	223	0	458
LAs doing some B2/C visits (< 15)	103 (32%)	389	312	438	1139
LAs doing many B2/C visits (15+)	41 (13%)	278	542	2145	2965
ALL	325	1842	1077	2583	5502

Note: Table 3 shows actual numbers of visits reported by those LAs who submitted a return. These have not been converted into a national estimate for all 380 local authorities.

Note also that for the purposes of this analysis, multiple submissions (where two or more local authorities have submitted a joint return) are counted as a single 'LA group'. In total there were returns made by 325 LAs or LA groups.

Figure 1. Proportion of LAs by types of proactive work undertaken

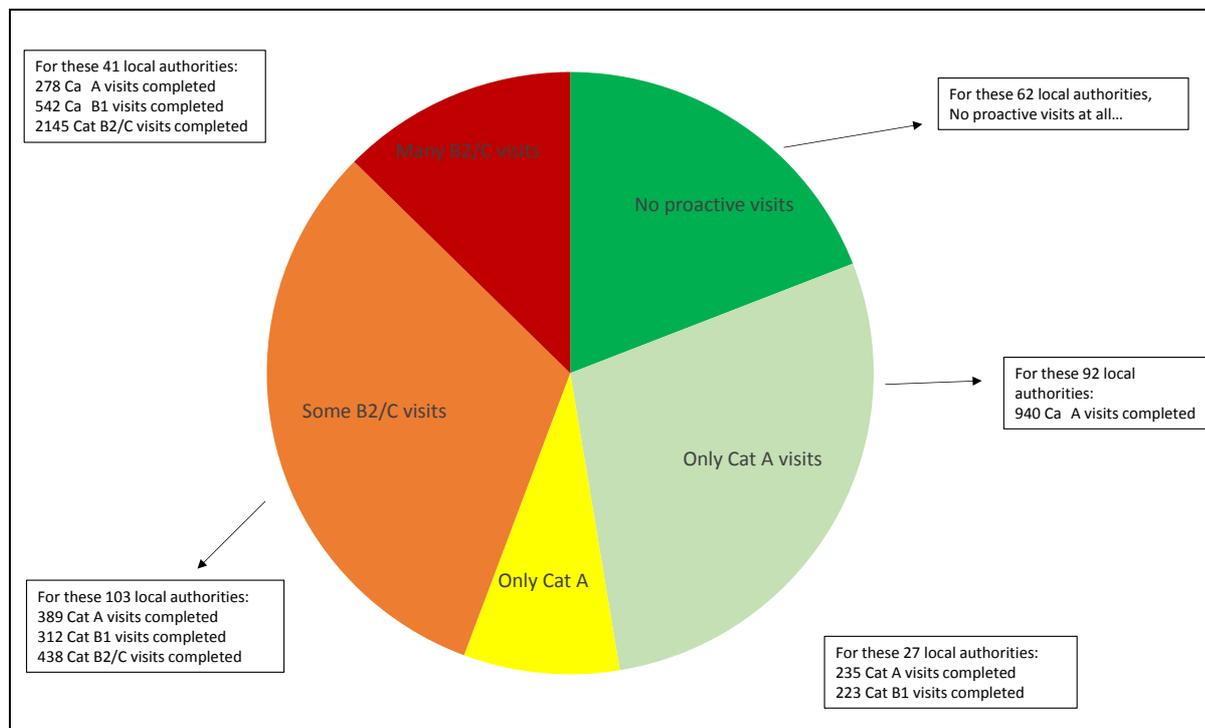
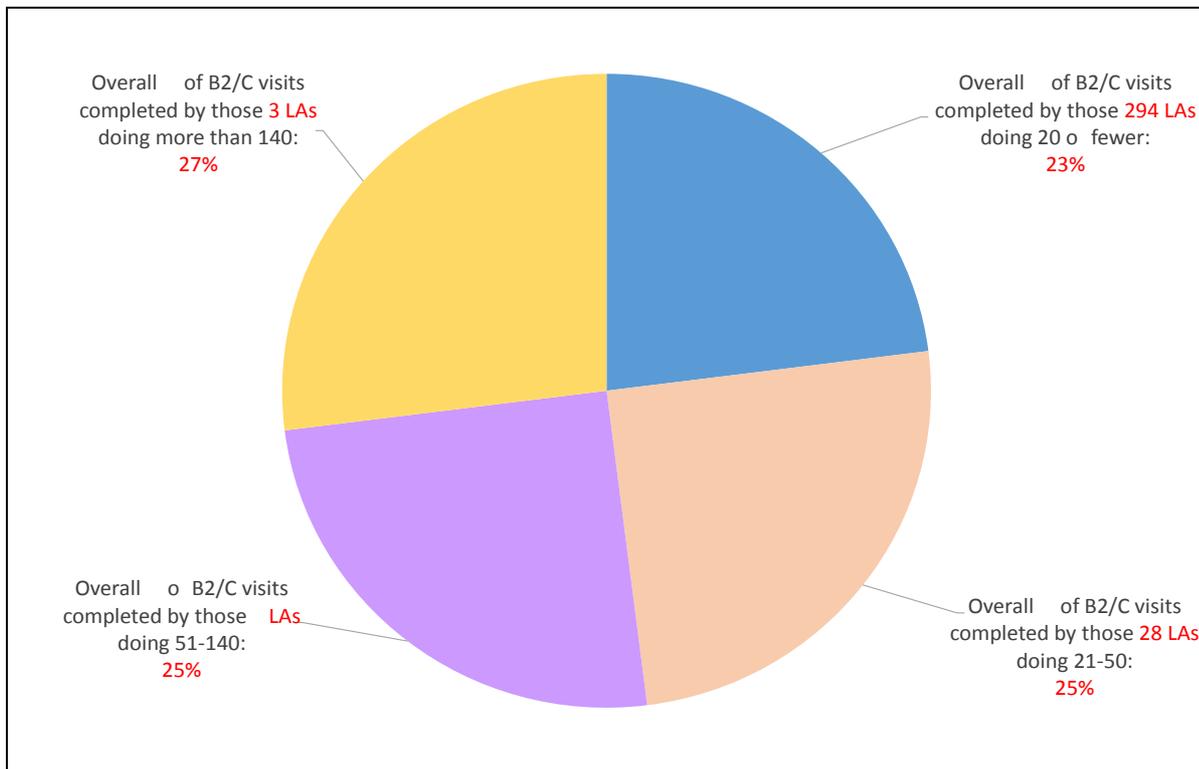


Chart data is from Table 4 above

Table 5. Individual LA or LA group contributions to B2/C visits total

	Number of LAs or LA groups doing this many B2/C visits...	% of total B2/C visits
No B2/C visits	181	0%
1-5 B2/C visits	72	7%
6-10 B2/C visits	28	8%
11-20 B2/C visits	13	8%
21-50 B2/C visits	19	25%
51-139 B2/C visits	9	25%
140 plus B2/C visits	3	27%
TOTAL	325	

Figure 2. Percentage of cat B2/C visits undertaken by local authorities





Local Authority Health and Safety Annual Return 2014

This return relates to the period 1 April 2013 to 31 March 2014

Please complete and return by **30 May 2014**

The LAE1 is designed to capture activity and information relating to occupational health and safety regulation. The information is shared with the Chartered Institute of Public Finance and Accountancy.

Information relating to petroleum and explosive licensing visits are outwith the scope of the LAE1

Local Authority name <i>(For multi-authority submissions list all participating authorities)</i>	
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HSE use only	LA Code Number	LA type
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This form may be emailed to:
lastatistics@hse.gsi.gov.uk

If not sending this form electronically post to:

Health & Safety Executive
Corporate Science, Engineering and Analysis Directorate (CSEAD)
1.2 Redgrave Court, Merton Road,
BOOTLE, Merseyside L20 7HS

**If you need help completing this form contact:
LAU on 0151 951 3235 or Email: lastatistics@hse.gsi.gov.uk**

Contact details of the person responsible for the completion of this form and to whom any query should be addressed

Name

Job Title

Telephone number

Email

Date

Table 1 Staff resources devoted to health and safety enforcement work – at 31 March 2014

Number of full time inspectors working full time on health and safety	
Number of full time inspectors working part of their time on health and safety	
Number of part time inspectors working some or all of their time on health and safety	
Number of other full time staff working full time on health and safety	
Number of other staff working part time on health and safety	

Inspectors - include all Environmental Health Officers and Technical Officers, plus any contractors or agency staff, appointed under s19 of the Health and Safety at Work etc. Act and who are authorised to exercise at least some of the powers under: sections 20, 21, 22 and 25 of HSWA, any health and safety regulation or any other relevant statutory provision.

**Table 2: Summary of local authority health and safety activity
1 April 2013 – 31 March 2014**

*Only include information where health and safety was targeted as a priority for intervention
For guidance on targeting interventions see:*

- [National LA Enforcement Code](#)
- [List of higher risk activities in specific sectors suitable for proactive inspection](#)
- [Supplementary Guidance](#)
- [LAC 67/2 \(rev4\) \(Annex G\)](#)

Intervention		Number of visits/ Inspections/ contact	Guidance
Proactive inspections	Risk category A		Record proactive inspection activity only where the premises were targeted for HSWA intervention.
	Risk category B1		Record activity against the rating category prior to the inspection.
	Risk category B2 and C		Do not record issues encountered that were incidental to other regulatory work e.g. matters of evident concern noticed and dealt with during a visit for another purpose.
Non-inspection interventions	Other visits/face to face contacts		Any visit/face to face contact to educate, advise or engage dutyholders, employees or other bodies such as trade associations e.g. awareness days and advisory support visits.
	Other contact/interventions		Any other targeted contact (not face to face) to educate, advise or engage dutyholders, employees or other bodies such as trade associations e.g. to raise h&s awareness through provision of information packs. Do not include non-targeted general newsletters, service magazines or the number of website hits.
Reactive visits	LPG visits		Only visits undertaken as part of the LPG campaign.
	Visit to investigate health & safety related incidents		Record the number of actual visits made under the relevant category. HSE has developed a risk-based approach to complaint handling and incident selection criteria (LAC 22/13) which LAs should adopt to help target interventions and make best use of resources.
	Visits to investigate health & safety complaints		
	Visits following requests for h&s service from businesses		
Revisits following earlier intervention			Visits following an earlier intervention to confirm action previously required has been completed e.g. to check compliance with notices.

Table 3 Number of enforcement actions 1 April 2013 – 31 March 2014

(Please note that notices issued at HSE enforced premises under the flexible warrant scheme should not be included in this table)

(a) Improvement notices	(b) Deferred prohibition notices	(c) Immediate prohibition notices	(d) Simple cautions/cases reported to the Procurator Fiscal

(d) Number of simple cautions (non-statutory procedure) to secure compliance of health and safety in England and Wales OR number of cases reported to, but not taken by, the Procurator Fiscal in Scotland.

Validation

I confirm the data contained on this form is an accurate record of health and safety regulatory activity.

Name:

Position*:

On behalf of: Council

*Head of Service or above

Thank you for completing this form

Table 4 Comments (voluntary – not part of the LAE1 return)

If you wish to provide brief comments to give further background/explanation of your reported data please include this here.

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