

**BIRMINGHAM CITY COUNCIL**

**CABINET MEMBER AND CHIEF OFFICER**

**WEDNESDAY, 22 JUNE 2022 AT 00:00 HOURS**  
**IN CABINET MEMBERS OFFICE, COUNCIL HOUSE, VICTORIA**  
**SQUARE, BIRMINGHAM, B1 1BB**

**A G E N D A**

**3 - 54**

**1 REGULATION AND ENFORCEMENT, ENFORCEMENT POLICY REVIEW**

Report of the Strategic Director, City Operations



**Birmingham City Council**  
**Report to Cabinet Member - The Leader**  
 22 June 2022



**Subject:** Regulation and Enforcement, Enforcement Policy Review

**Report of:** Rob James, Strategic Director , City Operations

**Relevant Cabinet Member:** Councillor Ian Ward - Leader

**Relevant O &S Chair(s):** Sir Albert Bore – Co-ordinating Overview and Scrutiny Committee

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Are specific wards affected?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No – All wards affected
If yes, name(s) of ward(s):		
Is this a key decision?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
If relevant, add Forward Plan Reference:		
Is the decision eligible for call-in?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Does the report contain confidential or exempt information?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
If relevant, state which appendix is exempt, and provide exempt information paragraph number or reason if confidential :		

## 1 Executive Summary

- 1.1 On 6 April 2014 the Regulators Code came into force which had implications for all Local Authority Enforcement Policies. On 17 June 2015 a revised Regulation and Enforcement enforcement policy was agreed following consultation and an equality impact assessment. Further reviews, of the policy, were conducted in 2017 and 2019.

- 1.2 The Council is required to keep our Enforcement Policy under regular review. The attached report has been updated and revised to include the Private Rented Sector service area that now sits within Regulation and Enforcement, and further additions to enforcement tools as well as clarifications in light of case law or policy development. An addendum has been added to the Policy to ensure there is transparency, consistency and clarity in relation to enforcement connected with activities during the Commonwealth Games.
- 1.3 This enforcement policy supersedes the “Enforcement Policy for the Regulation of Housing Standards in the Private Rented Sector and for the Licensing of Houses in Multiple Occupation” which was agreed by Cabinet on 22 January 2019 and the Regulation and Enforcement Division’s Enforcement Policy that was agreed by the Leader as a Cabinet member report on 10 June 2020. Whilst the proposal in this report affects all Wards, given previous decisions, it is not felt the changes affect all Wards significantly.

## **2 Recommendations**

- 2.1 That the Enforcement Policy which is attached at Appendix A be approved.

## **3 Background**

- 3.1 The Regulation and Enforcement Division’s Enforcement Policy is a document that provides officers with guidance in respect of enforcement decisions. It is as important for officers as it is for those against whom enforcement action might be taken as it helps to provide clarity and encourages consistency in the decision making process. As a Local Authority regulator, the Council is obligated to publish a policy by the Regulator’s Code. It requires the Council to have regard to certain principles when constructing its policy, which are repeated for convenience below.
- 3.2 The Regulators’ Code seeks to improve the way regulation is delivered at the front line. It sets out a framework for transparent and accountable regulatory delivery and establishes principles for how local authorities should interact with those they are regulating. The Code is underpinned by the statutory principles of good regulation, which provide that regulatory activities should be carried out in a way which is transparent, accountable, proportionate and consistent and should be targeted only at cases in which action is needed.

## **4 Options considered and Recommended Proposal**

- 4.1 Adoption and publication of the Regulation and Enforcement’s enforcement policy is a legal requirement.

## **5 Consultation**

- 5.1 This policy review seeks to ensure that all service areas which fall within the responsibility to the Licensing and Public Protection Committee are consistent in their approach to enforcement and are compliant with legislation and appropriate guidance when making enforcement decisions. Changes that are proposed to the policy are uncontentious in nature (the addition of a service area, clarification of existing approaches and addition of pre-existing enforcement tools utilised by the service areas). It remains consistent with the current policy which since its adoption has not been subject to formal complaints or concerns about its the interpretation or application. Given these facts formal consultation is not considered as necessary.
- 5.2 The Commonwealth Games addendum to the Policy has been shared with the Joint Authorities Regulatory Services group and it has been agreed that all local authorities hosting the Commonwealth Games should consider its adoption.

## **6 Risk Management**

- 6.1 Failure to publish an enforcement policy in conjunction with requirements under the Regulators Code could result in a legal challenge.
- 6.2 The policy provides a transparent and proportionate approach to enforcement. It will reduce the risk of any action relating to allegations of inappropriate or inconsistent enforcement action by the council. The policy also reiterates action will be taken where appropriate and provides a framework for this action.
- 6.3 The policy and criteria sets a framework for fair, consistent and transparent decision making when considering enforcement action and disposal.
- 6.4 The policy and criteria will demonstrate the Council's compliance with statutory guidance.
- 6.5 The policy will be reviewed on an ongoing basis by the Regulation and Enforcement division, to ensure the policy represents best practice.

## **7 Compliance Issues:**

- 7.1 The issues addressed in this report underpin the City Council Vision, Birmingham is an entrepreneurial city to learn, work and invest in, Birmingham is an aspirational city to grow up in, Birmingham is a great city to live, Birmingham is a fulfilling city to age well in.
- 7.1.1 Further Regulation and Enforcement will be a key service in ensuring Birmingham residents gain the maximum benefit from hosting the Commonwealth Games by supporting legitimate business and tackling rogue traders looking to take advantage of opportunities that arise within the ghost market.
- 7.1.2 They also support the Regulation and Enforcement Mission Statement: Locally accountable and responsive fair regulation for all – achieving a safe, clean, green and fair trading city for residents, business and visitors.

## **7.2 Legal Implications**

- 7.2.1 Under the Legislative and Regulatory Reform Act 2006, regulators (such as the Council's Regulation and Enforcement Division) are required to comply with any codes of practice produced by central government. The Regulators Code, published by the Department for Business Energy and Industrial Strategy (formerly BIS) in April 2014, states that regulators should ensure that their approach to regulation is transparent. By publishing the policy the City Council is meeting its obligations.

## **7.3 Financial Implications**

- 7.3.1 The revised policy will be administered by the Regulation and Enforcement Division within existing resources and budgets. There are no financial implications arising from this report.

## **7.4 Procurement Implications (if required)**

None identified.

## **7.5 Human Resources Implications (if required)**

N/A.

## **7.6 Public Sector Equality Duty**

- 7.6.1 The proposed revised policy applies to all businesses residents and staff and will not have a significant impact on any with different protected characteristics.
- 7.6.2 An initial Equality Assessment has been carried out to consider any implications from this review. It is found at appendix 4 of this report. No negative impacts on people with protected characteristics have been identified.
- 7.6.3 One of the benefits of an enforcement policy is to ensure consistency and fairness of enforcement throughout all communities and the commercial sector in Birmingham. The purpose of this Policy is to ensure that decisions are made transparently and to eliminate unfair or inequitable decisions. By its nature it should not have an adverse impact on anyone with protected characteristics.

## **8. Appendices**

Appendix A - Enforcement Policy  
Appendix 1- Enforcement Policy Risk Matrix  
Appendix 2 – Civil Penalty Charging Policy  
Appendix 3 - Birmingham Commonwealth Games 2022 Venue Authorities  
Enforcement Policy  
Appendix 4 - Equality Assessment

**BIRMINGHAM CITY COUNCIL**  
**REGULATION AND ENFORCEMENT**  
**ENFORCEMENT POLICY**

**1. INTRODUCTION**

- 1.1 The Regulatory Enforcement and Sanctions Act 2008 established The Local Better Regulation Office (LBRO). Over time this has evolved into Office for Product Safety and Standards (OPS&S) and works with local authorities and others to take forward its responsibilities, including Primary Authority and Better Business for All. It is part of the Department for Business, Energy and Industrial Strategy (BEIS). The Act also imposed upon Regulation and Enforcement a duty to:
- (a) have regard to any guidance given to a Local Authority by OPS&S,
  - (b) a duty to comply with guidance where we are directed to do so by OPS&S, and
  - (c) a duty to have regard to any list of enforcement priorities published by OPS&S. We are committed to doing so.
- 1.2 The Regulators Code (RC) provides a set of principles for Regulators to consider.
- (a) Regulators should carry out their activities in a way that supports those they regulate to comply and grow.
  - (b) Regulators should provide simple and straightforward ways to engage with those they regulate and hear their views.
  - (c) Regulators should base their regulatory activities on risk.
  - (d) Regulators should share information about compliance and risk.
  - (e) Regulators should ensure clear information, guidance and advice is available to help those they regulate meet their responsibilities to comply.
  - (f) Regulators should ensure that their approach to their regulatory activities is transparent.
- 1.3 Section 6 of the Regulators' Code sets out an expectation that local authorities will ensure that their approach to their regulatory activities is transparent. This means we will publish our policy on how we intend to deliver regulation and what those affected can expect. We believe that our enforcement policy is clear, concise, transparent and fit for purpose. Included in our enforcement policy is the way we will deal with issues and what those regulated can expect.
- 1.4 The RC indicates that it is for each local authority to determine an approach to service standards that will work best for those it regulates and itself.
- 1.5 This policy commits Birmingham City Council's Regulation and Enforcement Division to good enforcement practice with effective procedures and clear policies. Regulation and Enforcement Division includes the Licensing Service, Environmental Health, Private Rented Sector, Trading Standards, the hosted England Illegal Money Lending Team,

the Regional Investigation Team and incorporates the enforcement actions of the Waste Enforcement Unit.

- 1.6 There is one matter that varies the application of this Enforcement Policy relating to all the service areas referred to in section 1.5. This is:
- An addendum shown at appendix 3 is the Birmingham Commonwealth Games 2022 Venue Authorities Enforcement Policy that will be used in relations to offences connected to the Birmingham Commonwealth Games 2022.
- 1.7 Regulation and Enforcement's Enforcement Policy has been prepared with regard to the current principal legislation and statutory guidance including:
- The Regulatory Enforcement and Sanctions Act 2008 (The RES Act).
  - Co-ordination of Regulatory Enforcement (Enforcement Action) Order 2009 SI665/2009 (The CRE Enforcement Order).
  - Co-ordination of Regulatory Enforcement (Procedure for References to RD) Order 2009 SI670/2009 (The CRE BRDO Order).
  - Legislative and Regulatory Reform Act 2006 (LRRRA).
  - Legislative and Regulatory Reform (Regulatory Functions) Order 2007 Regulators' Code (RC).
- 1.8 This Policy has also been prepared having regard to:
- The Enforcement Concordat: Good Practice Guide for England and Wales and the Principles of Good Enforcement: Standards; Openness; Helpfulness; Complaints; Proportionality and Consistency; the Human Rights Act 1988 and the Code for Crown Prosecutors.
  - The LRRRA Part 2 requires us also to have regard to the Principles of Good Regulation. We recognise that our regulatory activities should be carried out in a way which is:
    - (a) proportionate;
    - (b) accountable;
    - (c) consistent;
    - (d) transparent; and
    - (e) targeted (to situations which need action) when we exercise a regulatory function which for local authorities includes: environmental health, trading standards (including the Regional Investigations Team and the England Illegal Money Lending Team), private rented sector, licensing and waste enforcement. We have had regard to the RC in the preparation of this policy.

## 2. WHAT THIS POLICY IS FOR

- 2.1 Regulation and Enforcement's primary function is to achieve regulatory compliance in order to protect the public, legitimate business, the environment and groups such as consumers, workers and tenants. However, we reserve the right to take enforcement action in some cases after compliance has been achieved if it is in the public interest to do so.
- 2.2 We recognise that prevention is better than cure, but where it becomes necessary to take formal enforcement action against a business, or member of the public, we will do so. There are a wide range of tools available to us as an enforcement agency. The actions we may take include:
- (a) No action.
  - (b) Informal Action and Advice.
  - (c) Fixed Penalty Notices.
  - (d) Penalty Charge Notices.
  - (e) Formal Notice
  - (f) Formal Order.
  - (g) Forfeiture Proceedings.
  - (h) Seizure of goods/equipment.
  - (i) Injunctive Actions and other Civil Sanctions.
  - (j) Refusal/Suspension/Revocation of a licence.
  - (k) Simple Caution.
  - (l) Civil Penalty
  - (m) Prosecution.
  - (n) Proceeds of Crime Applications.
- 2.3 When considering enforcement action, Regulation and Enforcement will, where appropriate and where reasonably practicable, discuss the circumstances with those suspected of a breach and take these into account when deciding on the best approach. However, it must also be noted that legal processes dictated by statute will be applied in many instances where contraventions of legislation have been detected. Further this paragraph does not apply where immediate action is required to prevent or respond to a potential breach/contravention or where to do so is likely to defeat the purpose of the proposed enforcement action.
- 2.4 If you are a business operating in more than one local authority and you have chosen to have a registered Primary Authority Partnership under the RES Act we will, where required, comply with the agreement provisions for enforcement and notify your Primary Authority of the enforcement action we propose to take. We may under that Act also refer the matter to RD if appropriate.
- 2.5 This policy is intended to provide guidance for enforcement officers, businesses, consumers and the public.

### 3. SCOPE OF THE POLICY

- 3.1 This Policy, where appropriate, applies to the legislation delegated to Regulation and Enforcement and enforced by authorised officers with delegated enforcement powers. These delegated powers are listed and reproduced within the Council's constitution. These can be found at:
- [https://www.birmingham.gov.uk/info/50068/how\\_the\\_council\\_works/283/the\\_city\\_councils\\_constitution](https://www.birmingham.gov.uk/info/50068/how_the_council_works/283/the_city_councils_constitution)
- 3.2 'Enforcement' includes any criminal or civil action taken by enforcement officers aimed at ensuring that individuals or businesses comply with the law.
- 3.3 For the purposes of the RES Act the term 'enforcement action' has been given a general statutory definition, which is:
- (a) Action to source compliance with a restriction, requirement or condition in relation to a breach or supposed breach
  - (b) Action taken in connection with imposing a sanction for an act or omission; and
  - (c) Action taken in connection with a statutory remedy for an act or omission.
- 3.4 A list of specific 'enforcement actions' is provided in Section 2 of this Policy. These actions also apply to businesses or organisations registered with a Primary Authority. In these cases if we are proposing to take action against you and that action is one of those listed then, unless one of the permitted exceptions applies, we will be required to contact your Primary Authority and give notice of the enforcement action we propose to take against you.
- 3.5 By this document Regulation and Enforcement intends to enable enforcement officers to interpret and apply relevant legal requirements and enforcement policies fairly and consistently between like-regulated entities in similar situations. Regulation and enforcement also aims to ensure that its own enforcement officers interpret and apply their legal requirements and enforcement policies consistently and fairly.
- 3.6 In certain circumstances we will seek to raise awareness and increase compliance levels by publicising unlawful trade practices or criminal activity. Where appropriate the results of specific court cases may also be published. Court results are placed on our website on the Traders Prosecuted page, which can be found at: <https://www.birmingham.gov.uk/traders>

### 4. HOW TO OBTAIN A COPY OF THE POLICY OR MAKE COMMENTS

- 4.1 This Policy is available on the Birmingham City Council website at:
- <http://www.birmingham.gov.uk/regulatoryenforcementpolicy>

If you would like a paper copy of the Policy and/or you would like to comment on the Policy, please contact us through one of the following means:

- (a) E-mailing [EH@birmingham.gov.uk](mailto:EH@birmingham.gov.uk)
- (b) Emailing [tradingstandards@birmingham.gov.uk](mailto:tradingstandards@birmingham.gov.uk)
- (c) Emailing [licensing@birmingham.gov.uk](mailto:licensing@birmingham.gov.uk)
- (d) Emailing [PRS@birmingham.gov.uk](mailto:PRS@birmingham.gov.uk)
- (e) Writing to the Assistant Director Regulation and Enforcement, Units 1-3 Ashted Lock Way, Birmingham. B7 4AZ
- (f) Telephoning 0121 303 6121.

4.2 On request, this Policy will be made available on tape, in Braille or large type.

## 5. OUR APPROACH

- 5.1 Our principles are informed by a number of codes of practice and statute as well as the Regulators' Code (the Code), Enforcement Concordat and the Guidance of OPS&S as to how to apply these documents.
- 5.2 We recognise that prevention is better than cure and our role, therefore, involves actively working with businesses to advise on and assist with compliance. However, where it becomes necessary to take formal enforcement action against a business, or individual, we will do so.
- 5.3 Where we consider that formal enforcement action is necessary, each case will be considered on its own merits.
- 5.4 However, there are general principles that apply to the way each case must be approached. These are set out in this Policy.
- 5.5 The approach of Regulation and Enforcement to the sanctions and penalties available to it will aim to:
  - (a) Change the behaviour of the offender;
  - (b) Change attitudes in society to offences which may not be serious in themselves, but which are widespread;
  - (c) Eliminate any financial gain or benefit from non-compliance;
  - (d) Be responsive and consider what is appropriate for the offender and regulatory issue which can include punishment and the public stigma that should be associated with a criminal conviction;
  - (e) Be proportionate to the nature of the offence and the harm caused;
  - (f) Restore the harm caused by regulatory non-compliance, where appropriate; and

- (g) Deter future non-compliance;
- (h) Comply with statutory requirements.

- 5.6 All enforcement decisions will be fair, independent and objective. They will not be influenced by issues such as ethnicity or national origin, gender, religious beliefs, political views or the sexual orientation of the suspect, victim, witness or offender. Such decisions will not be affected by improper or undue pressure from any source.
- 5.7 Where possible, we will take into account the views of any victim, injured party or relevant person to establish the nature and extent of any harm or loss and its significance in making the decision to take formal action. This may include actual or potential harm or loss or the impact on the well-being of individuals or potential or actual harm to communities or the environment.
- 5.8 Where possible, we will endeavour to ensure that those regulated can seek advice from the service about potential non-compliance without automatically triggering enforcement action. Each matter will be considered on its own merits and will determine the action by the service.
- 5.9 Birmingham City Council is a public authority for the purposes of the Human Rights Act 1998. We will, therefore, apply the principles of the European Convention for the Protection of Human Rights and Fundamental Freedoms.
- 5.10 All enforcement activities, including investigations and formal actions, will always be conducted in compliance with the statutory powers of the officer and all other relevant legislation, including but not limited to the Police and Criminal Evidence Act 1984, the Criminal Procedure and Investigations Act 1996, the Human Rights Act 1998, the Regulation of Investigatory Powers Act 2000 and the Criminal Justice and Police Act 2001, and in accordance with any formal procedures and codes of practice made under this legislation in so far as they relate to enforcement powers and responsibilities.
- 5.11 This Policy helps to promote efficient and effective approaches to regulatory inspection and enforcement, which improve regulatory outcomes without imposing unnecessary burdens. This is in accordance with the Code. In certain instances, we may conclude that a provision in the Code is either not relevant or is outweighed by another provision. We will ensure that any decision to depart from the Code will be properly reasoned, based on material evidence and documented.

## **6. NOTIFYING ALLEGED OFFENDERS**

- 6.1 If we receive information (for example from a complainant) that may lead to formal enforcement action against a business or individual we will notify that business or individual as soon as is practicable of any intended enforcement action, unless this could impede an investigation or pose a safety risk to those concerned or the general public.
- 6.2 During the progression of enforcement investigations/actions, business proprietors or individuals and witnesses will be kept informed of progress. Confidentiality will be

maintained and personal information about individuals will only be released to a Court when required and/or in accordance with the Data Protection Act 2018.

## **7. ENFORCEMENT ACTION**

### **7.1 An Overview of the enforcement actions available**

7.1.1 There are a large number of potential enforcement options. The level of the action taken varies from no action through to proceedings in Court. Examples of the main types of action that may be considered are shown below:

- (a) No action.
- (b) Informal Action and Advice.
- (c) Fixed Penalty Notices.
- (d) Penalty Charge Notices.
- (e) Formal Notice
- (f) Formal Order.
- (g) Forfeiture Proceedings.
- (h) Seizure of goods/equipment.
- (i) Injunctive Actions and other Civil Sanctions.
- (j) Refusal/Suspension/Revocation of a licence (including with immediate effect).
- (k) Simple Caution.
- (l) Civil Penalty
- (m) Prosecution.
- (n) Proceeds of Crime Applications.

7.1.2 The order in which the enforcement actions are listed above is not necessarily in absolute order of escalating seriousness relative to each other. Regulation and Enforcement reserves the right to escalate its level of enforcement action, having regard to the criteria in paragraph 7.2 of this policy.

### **7.2 Deciding what level of action is appropriate**

7.2.1 In assessing what enforcement action is necessary and proportionate, consideration will be given to, amongst other things:

- (a) The seriousness of the compliance failure.
- (b) The past and current performance of any business and/or individual concerned.
- (c) Any obstruction on the part of the offender.
- (d) The risks being controlled.
- (e) Statutory guidance.
- (f) Codes of Practice.
- (g) Any legal advice.

- (h) Policies and priorities of Government, Birmingham City Council and Birmingham City Council's Licensing and Public Protection Committee.
- (i) A person's age in relation to young people (termed 'juveniles') aged under 18.
- (j) The existence of a Primary Authority agreement.
- (k) Any duty of a local authority or statutory provisions

7.2.2 Certain enforcement action, such as the decision to Caution or pursue a civil penalty or to prosecute, is further and specifically informed by those matters set out below at paragraphs 7.14, 7.15 and 7.16.

7.2.3 The Risk Matrix in appendix 1 to this policy will be used as a framework to support transparency and consistency of approach and decision making. For workplace health and safety, the Enforcement Management Model (EMM) is used to ensure that enforcement decisions are consistent.

7.2.4 Action is more likely to be taken if the following are of relevance

- a. Situations where it is evident that a vulnerable individual or vulnerable group has been exploited
- b. Obstruction of authorised officers of the service in the lawful execution of their duties.
- c. Offences involving deceptions, fraud or negligence.
- d. Wilful disregard for the law.
- e. Risk to public health /safety
- f. Public nuisance
- g. Categories of offences which create significant financial burden to the taxpayer or impact at a community-wide level or that undermine public/business confidence in the City.

### **7.3 An explanation of the enforcement action options**

#### **7.3.1 No Action**

7.3.2 In certain circumstances, we may consider that no action is appropriate in the circumstances, such as where the offender is elderly and frail or is suffering from mental health issues or serious ill health, and formal action would seriously damage their wellbeing. In such cases we will advise the offender of the reasons for taking no action.

### **7.4 Informal Action and Advice**

7.4.1 For minor breaches of the law we may give verbal or written advice. We will clearly identify any contraventions of the law and give advice on how to put them right, including a deadline by which this must be done. The time allowed will be reasonable and take into account the seriousness of the contravention and the implications of the non-compliance.

7.4.2 Sometimes we will advise offenders about 'good practice' but we will clearly distinguish between what they must do to comply with the law and what is advice only.

7.4.3 Failure to comply could result in an escalation of enforcement action.

## 7.5 **Fixed Penalty Notices**

7.5.1 Certain offences are subject to fixed penalty notices where prescribed by legislation. Where legislation permits an offence to be dealt with by way of a Fixed Penalty Notice (FPN), we may choose to administer a FPN on a first occasion, without issuing a warning. Failure to pay the FPN may lead to a prosecution.

## 7.6 **Penalty Charge Notices**

7.6.1 Penalty Charge Notices (PCN) are prescribed by certain legislation as a method of enforcement by which the offender pays an amount of money to the enforcer in recognition of the breach. Failure to pay the PCN will result in the offender being pursued in the County Court for non-payment of the debt. A PCN does not create a criminal record and we may choose to issue a PCN without first issuing a warning.

## 7.7 **Failure to discharge a FPN and/ or a PCN**

7.7.1 A failure to pay a FPN or PCN is a material consideration for the purposes of deciding whether a prosecution will be taken or civil debt recovery commenced.

7.7.2 In order to maintain the integrity of this legislative regime and adherence to relevant statutory Codes of Practice, Regulation and Enforcement will consider an escalation of enforcement action. This will include consideration of a prosecution for the original offence under the primary legislation or consideration of civil action to recover the debt.

## 7.8 **Formal Notice**

7.8.1 Certain legislation allows notices to be served requiring offenders/relevant persons to take specific actions or cease certain activities. Notices may require activities to cease immediately where the circumstances relating to health, safety, environmental damage or nuisance demand. In other circumstances, the time allowed will be reasonable, take into account the seriousness of the contravention, the implications of the non-compliance and the appeal period for that notice.

7.8.2 All notices issued will include details of any applicable appeals procedures.

7.8.3 Certain types of notice allow works to be carried out in default. This means that if a notice is not complied with [a breach of the notice] we may carry out any necessary works to satisfy the requirements of the notice ourselves. Where the law allows, we may then commence recovery action, through the courts, if necessary, against the person/business served with the notice, for any costs we incur in carrying out the work. Notwithstanding the default power, non-compliance with notices may lead to a prosecution.

## 7.9 Formal Order (Housing)

- 7.9.1 The Housing Acts 1985 and 2004 and regulations made beneath them allows orders to be served in respect of private rented sector properties and in some cases, owner occupied premises (Housing Act 1985, Section 17).
- 7.9.2 Orders are made on the relevant person/s and may require them to either take specific actions, cease specific actions or give the local authority management control of the property.
- 7.9.3 All orders issued will include details of any applicable appeal rights and procedures.
- 7.9.4 Certain types of order allow the local authority or it's appointed agent to collect rents and/or recover the costs of management of the property (including repair, maintenance and other incurred costs).

## 7.10 Forfeiture Proceedings

- 7.10.1 This procedure may be used in conjunction with seizure and/or prosecution where there is a need to dispose of goods in order to prevent them re-entering the market place or being used to cause a further problem. In appropriate circumstances, we will make an application for forfeiture to the Magistrates Courts.

## 7.11 Seizure

- 7.11.1 Certain legislation enables authorised enforcement officers to seize goods, equipment or documents, for example, unsafe food, sound equipment that is being used to cause a statutory noise nuisance, unsafe products or any goods that may be required as evidence for possible future court proceedings. When we seize goods we will give the person from whom the goods are taken an appropriate receipt and details of any applicable appeals and/or property return procedures.

## 7.12 Injunctive Actions and Other Civil Sanctions

- 7.12.1 In certain circumstances, for example, where offenders are repeatedly found guilty of similar offences or where it is considered that injunctive action is the most appropriate course of enforcement, then such actions may be used to deal with offenders, dangerous circumstances, or consumer/environmental/public health detriment.
- 7.12.2 Action under the Enterprise Act 2002- proceedings may be brought where an individual or organisation has acted in breach of community or domestic legislation with the effect of harming the collective interests of consumers. In most circumstances action will be considered where there have been persistent breaches or where there is significant consumer detriment. Action can range from:
  - (a) Informal undertakings.
  - (b) Formal undertakings.
  - (c) Interim Orders.
  - (d) Court Orders.

(e) Contempt Proceedings.

7.12.3 In certain circumstances Community Protection Notices (CPN's) or Criminal Behaviour Orders (CBO's) can be issued and obtained in respect of anti-social behaviour.

Where the non-compliance under investigation amounts to anti-social behaviour such as persistent targeting of an individual or a group of individuals in a particular area, or activity that is deemed detrimental to quality of life, a CPN or CBO may be sought or issued to stop the activity.

### 7.13 **Suspension and Revocation of a Licence**

7.13.1 **Hackney Carriage and Private Hire Drivers** – the grounds for refusing to renew a licence, or for suspending or revoking a licence, are based on whether the driver has:

- (i) Been convicted of an offence involving dishonesty, indecency, drugs or violence;
- (ii) Been convicted of an offence under the Local Government (Miscellaneous Provisions) Act 1976;
- (iii) Failed to comply with a requirement of the Local Government (Miscellaneous Provisions) Act 1976; or
- (iv) Any other reasonable cause.

7.13.2 A Hackney Carriage or Private Hire Drivers' licence may also be suspended or revoked with immediate effect if such a decision is deemed necessary in the interests of public safety. No conviction is required for this action to be taken. Matters will be considered on the Civil Standard of proof – on the balance of probability.

7.13.3 **Premises Licences (Licensing Act 2003)** – where a review of a Premises Licence is sought under Section 51 of the Act the options available to the Licensing and Public Protection Committee are:

- (i) Modification of the conditions of the Licence.
- (ii) Exclusion of licensable activity from the scope of the Licence.
- (iii) Removal of the Designated Premises Supervisor.
- (iv) Suspension of the Licence for a period not exceeding three months.
- (v) Revocation of the Licence.
- (vi) Issue of a Warning Letter.
- (vii) No action.

**7.13.4 Premises Licences (Gambling Act 2005)** – where a review of a Premises Licence is sought under Section 202 of the Act, the options available to the Licensing and Public Protection Committee are:

- (i) Revocation of the Licence.
- (ii) Suspension of the Licence for a specified period not exceeding three months.
- (iii) Exclusion of a condition attached to the Licence, under Section 168, or removal or amendment of an exclusion.
- (iv) Additions, removal or amendment of a condition under Section 169.

**7.13.5 General Licensing** – where there is a breach of condition of Licence or Permit, upon hearing evidence, the Licensing Committee has the power to suspend, revoke or refuse to renew the Licence/Permit subject to the provisions of the legislation.

**7.13.6 Correctional Training Courses** – where a driver of a hackney carriage or a private hire vehicle has committed an offence that would be considered suitable for disposal by way of administering a Simple Caution or a FPN, we may in appropriate circumstances offer the driver the opportunity of attending a correctional training course at the driver's expense as an alternative to receiving the Simple Caution or FPN. The acceptance of a training course will not be cited as a formal sanction by the Council in the event of future legal proceedings against the individual, but the circumstances of the offence would remain relevant in terms of the individual's fitness to hold a licence.

#### **7.13.7 Licence in respect of private rented sector property**

A licence may be varied where it is considered that there has been a change of circumstances since the licence was granted. A licence will be revoked following a change in ownership, death of the licence holder or by agreement with the licence holder if the property is no longer licensable.

A licence may be revoked if the licence holder or manager is no longer deemed to be a fit and proper person or there have been other serious breaches, or repeated breaches of licence conditions

#### **7.14 Simple Caution**

**7.14.1** In appropriate circumstances, where a prosecution would otherwise be justified, a Simple Caution may be administered. Simple Cautions will be used in accordance with current Guidelines, including the Director's Guidance on Charging issued by the Director of Public Prosecutions under section 37A of the Police and Criminal Evidence Act 1984.

**7.14.2** A Simple Caution is an admission of guilt, but is not a form of sentence, nor is it a criminal conviction.

**7.14.3** For a Simple Caution to be issued a number of criteria must be satisfied:

- (a) Sufficient evidence must be available to prove the case.
- (b) The offender must admit the offence.
- (c) It must be in the public interest to use a Simple Caution.
- (d) The offender must be 18 years or over.

7.14.4 We will also take into account whether the offender has received a simple caution within the last 2 years when determining whether a simple caution is appropriate for any subsequent offending.

7.14.5 If during the time the Simple Caution is in force the offender pleads guilty to, or is found guilty of, committing another offence anywhere in England and Wales, the Caution may be cited in court, and this may influence the severity of the sentence that the court imposes.

7.14.6 The refusal of an offender to be cautioned does not preclude the matter being passed for prosecution. In fact, any such failure will be a material consideration when deciding whether the offender should then be prosecuted for that offence.

7.14.7 We take the view that offences of selling age restricted products to minors and other vulnerable persons have such a serious and adverse impact on the safety and wellbeing of the community that our presumption will always be to deal with them by way of formal action, meaning simple caution or prosecution and/or licence reviews. Where a sale of alcohol is made by someone who is not a personal licence holder, consideration will be given to administering a simple caution for a first offence.

Where a sale of alcohol is made by someone who is a personal licence holder, consideration will be given to dealing with the case by way of prosecution for a first offence. In every case we will consider the individual circumstances before making our decision.

## 7.15 Civil Penalty

7.15.1 The Housing and Planning Act 2016 section 126 and Schedule 9 amended the Housing Act 2004 and introduced the ability for Local Housing Authorities to allow financial penalties (civil penalties) of up to £30,000 per offence to be imposed as an alternative to prosecution for the following offences under the Housing Act 2004

- section 30 (failure to comply with an improvement notice);
- section 72 (offences in relation to licensing of Houses in Multiple Occupation);
- section 95 (offences in relation to licensing of houses under Part 3 of the Act);
- section 139 (failure to comply with an overcrowding notice); or
- section 234 (failure to comply with management regulations in respect of a House in Multiple Occupation)

Only one financial penalty may be imposed on a person in respect of the same offence, however, a civil penalty can be issued for each separate breach of the HMO Management Regulations.

In deciding to issue a civil penalty, the Council must satisfy itself that there

would be a realistic prospect of a conviction, and that an offence has been committed beyond reasonable doubt. The Council will consult the evidential and public interest tests in the Crown Prosecution Service Code for Crown Prosecutors in making this decision.

<https://www.cps.gov.uk/publication/code-crown-prosecutors>

The amount of the civil penalty will be determined according to the Council's Civil Penalty Charging Policy (appendix 2). This charging policy was agreed by Cabinet on 22 January 2019 as an amendment of the "Enforcement Policy for the Regulation of Housing Standards in the Private Rented Sector and for the Licensing of Houses in Multiple Occupation".

- 7.15.2 The provisions of the Tenants Fees Act 2019 are applicable to landlords and property agents concerning displaying fees, prohibited fees, being members of a redress scheme and belonging to designated Client. The Act permits the imposition of financial penalties as an alternative to prosecution and requires the enforcing authority to have in place a policy to determine the level of such a penalty.

On the 7 September 2021 Cabinet agreed that Birmingham City Council would adopt the Bristol City Council's enforcement policy on deciding financial penalty amounts as instigated by the National Trading Standards Estate and Letting Agency Team. This policy can be found at

<https://www.bristol.gov.uk/documents/3368713/3492947/Tenant+Fees+Act+Penalty+Notice+Policy.pdf/789145a2-0b15-5542-2851-63d3bc47d57b>

- 7.17 The Smoke and Carbon Monoxide Alarm (England) Regulations 2015 ("the Regulations") impose duties upon private sector landlords (as defined in the Regulations) in relation to the installation and maintenance in proper working order of smoke and carbon monoxide alarms in premises which are occupied under a tenancy.

The Regulations also impose duties on the local housing authority to take action where it is satisfied that a landlord has failed to comply with one or more of those duties.

The Regulations permit the imposition of financial penalties if the landlord has not taken remedial action after the service of a notice and requires the enforcing authority to have in place a statement of principles to determine the level of such a penalty.

In June 2022 the Licensing and Public Protection Committee approved the Statement of Principles for determining financial penalties under the Smoke and Carbon Monoxide Alarm (England) Regulations 2015. This statement can be found at:

<http://birmingham.gov.uk/regulatoryenforcementpolicy>

## 7.16 Prosecution

- 7.16.1 In circumstances where none of the other forms of enforcement action are considered appropriate or a defendant failed to comply with a notice issued or failed to pay a fixed penalty notice issued to them, a prosecution will be considered and may ensue.
- 7.16.2 When deciding whether to prosecute, Regulation and Enforcement applies the Code for Crown Prosecutors as issued by the Crown Prosecution Service and Director of Public Prosecutions.
- 7.16.3 The Code for Crown Prosecutors is a public document that sets out the general principles to follow when decisions are made in respect of prosecuting cases. For a copy of the Code for Crown Prosecutors visit:
- 7.16.4 The Code for Crown Prosecutors has two stages: (i) the evidential stage; followed by (ii) the public interest stage. Regulation and Enforcement will only consider whether a prosecution is in the public interest after considering whether there is sufficient evidence to prosecute and being satisfied that there is a realistic prospect of conviction. However, there will be cases where it is clear, prior to reviewing all the evidence, that the public interest does not require a prosecution. In these instances, we may decide that the case should not proceed further.
- 7.16.5 The results of prosecution cases are a matter of public court record. Summaries of court case outcomes will be published on our website for a limited period of time. (visit <http://www.birmingham.gov.uk/traders-prosecuted>)

## 7.17 Proceeds of Crime Act Applications

- 7.17.1 Regulation and Enforcement either through its own Officers or in co-operation with the Police may make application under the Proceeds of Crime Act 2002 to restrain and/or confiscate the assets of an offender. The purpose of any such proceedings is to recover the financial benefit that the offender has obtained from his criminal conduct. Proceedings are conducted according to the civil standard of proof.

## 8. DECISIONS ON ENFORCEMENT ACTION

- 8.1 Decisions about the most appropriate enforcement action to be taken are based upon those matters set out in Section 7 above.
- 8.2 Where appropriate, decisions about what enforcement action to take may involve consultation between:
- (a) Investigating Officer(s).
  - (b) Senior managers from Regulation and Enforcement.
  - (c) Birmingham City Council Solicitors.
- 8.3 The decision to prosecute a case will be taken by those with authority to do so in accordance with the Birmingham City Council Scheme of Delegations.

## 8.4 Enforcement Policy – Appeals and Complaints

### 8.4.1 Appeals through the Council's Corporate Complaints Procedure. The Council has a Corporate comments, compliments and complaints Procedure.

([https://www.birmingham.gov.uk/info/50172/comments\\_compliments\\_and\\_complaints](https://www.birmingham.gov.uk/info/50172/comments_compliments_and_complaints)).

The Council encourages any person who has a problem with a service they receive, due to a failure in the service, to report it. However, where a report is received from a person who is the subject of a law enforcement investigation or current/pending statutory action then the Corporate Policy will not normally be used. The reasons for this and examples of relevant circumstances include:

- Ongoing law enforcement investigation or legal process has commenced. In most situations law enforcement investigations fall under the requirements of the Police and Criminal Evidence Act 1984 (PACE). This imposes requirements on the circumstances in which the council can engage with a person who is suspected of committing an offence or who is the subject of current/pending law enforcement action. The Corporate Procedure cannot be used to attempt to override or circumvent PACE, for example to challenge elements of an investigation; the necessity for enforcement action; or an enforcement decision. If this is attempted, then the council's Corporate Procedure will normally be staid. The suspension would apply until law enforcement / legal proceedings stages are completed. The outcome of an investigation, including legal proceedings may render the basis of a complaint/report nullified, but a person's rights are not affected as the criminal justice system has processes to ensure fairness and equity, including appeals procedures. [The Council cannot provide advice on these and the aggrieved person would be required to explore these independently].
- A complaint that has already been settled in another way. This includes a determination by a Court or Tribunal service or other statutory regulator/arbitration/ombudsman service.

### 8.4.2 Who will investigate if a complaint or challenge is made?

- If a complaint is made through a criminal justice system route, such as an appeal or contested trial this will be dealt with by the relevant statutory process at court.
- If a complaint is made through the Council's Corporate Procedure, in the first instance the relevant Investigating Officer from Regulation and Enforcement, potentially with their line manager will consider and make a determination. (The exception to this is where a complaint is made about a specific Investigating Officer. If this applies the Investigating Officers line manager or other manager within Regulation and Enforcement will make a determination. (This process will be applied for complaints about alleged officer misconduct or where a request is made for an officer to be removed from an investigation). Following investigation, the complainant/requestor will be advised on any proposed course of action. Complaints/challenges will not ordinarily lead to cessation of a criminal investigation or legal proceedings. If a complaint is made about the manager who is overseeing an investigation this will be considered by a manager within

Regulation and Enforcement of equivalent or more senior grade who has not had direct involvement in the relevant investigation or enforcement decision.

## **8.5 Enforcement of Waste Crime**

- 8.5.1 The mission statement for the Regulation and Enforcement Division is "Fair Regulation for All – achieving a safe, healthy, clean, green and fair trading city for residents, businesses and visitors". This reflects the Council's priority of "Birmingham is a great city to live in".
- 8.5.2 Amongst many steps to achieve a cleaner city a team exists to specifically tackle aspects of waste crime. In order to ensure the activities of this team have are as effective as possible, the legislation around illegally dumped waste must be strictly enforced. Not all waste crime offending will directly trigger the usual threshold guide for legal proceedings to be commenced, as set out in the Matrix (appendix 1). However, given the community-wide impact of the problem (outlined at Paragraph 7.2.4) waste offences may be prosecuted, in appropriate circumstances where the threshold is not met, in order to secure deterrent or punitive action which is, considered to be, in the public interest. Any matters which are dealt with in this manner will still have the usual legal protections afforded and will still be subject to the code for crown prosecutors.

## **9. PRIMARY AUTHORITY PARTNERSHIP SCHEME AND ITS ENFORCEMENT PROVISIONS**

- 9.1 When we have come to the decision to take enforcement action against you and:
1. You are a business operating in more than one Local Authority and you have chosen to have a registered Primary Authority Partnership under the RES Act; and
  2. The enforcement action we propose to take is covered by the definition of enforcement action for the purposes of Part 2 of the RES Act.

We will, where required to do so by that Act, comply with the agreement provisions for enforcement and notify your Primary Authority of the action we propose to take.

- 9.2 Your Primary Authority has the right to object to our proposed action in which circumstances either they or we may refer the matter to BRDO.

## **10. LIAISON WITH OTHER REGULATORY BODIES AND ENFORCEMENT AGENCIES**

- 10.1 In addition to the duties imposed upon us by the RES Act in respect of co-operating and working with Primary Authorities and RD, we will, where appropriate, co-operate and co-ordinate with any relevant regulatory body and/or enforcement agency to maximise the effectiveness of any enforcement.
- 10.2 Where an enforcement matter affects a wide geographical area beyond the City boundaries or involves enforcement by one or more other local authorities or organisations, where appropriate all relevant authorities and organisations will be

informed of the matter as soon as possible and all enforcement activity co-ordinated with them.

10.3 Regulation and enforcement will share intelligence relating to wider regulatory matters with other regulatory bodies and enforcement agencies, including:

- (a) Government Agencies.
- (b) Police Forces.
- (c) Fire Authorities.
- (d) Statutory Undertakers.
- (e) Other Local Authorities.
- (f) Other internal Council Departments

## **11. CONSIDERING THE VIEWS OF THOSE AFFECTED BY OFFENCES**

11.1 Regulation and Enforcement undertakes enforcement on behalf of the public at large and not just in the interests of any particular individual or group. However, when considering the public interest test, the consequences for those affected by the offence, and any views expressed by those affected will, where appropriate, be taken into account when making enforcement decisions.

## **12. PROTECTION OF HUMAN RIGHTS**

12.1 This Policy and all associated enforcement decisions take account of the provisions of the Human Rights Act 1998. In particular, due regard is had to the right to a fair trial and the right to respect for private and family life, home and correspondence.

## **13. REVIEW OF THE ENFORCEMENT POLICY**

13.1 This Policy will be reviewed annually. A copy of this Policy is available at:

<http://birmingham.gov.uk/regulatoryenforcementpolicy>

## **Appendices**

**Appendix 1 – Enforcement Policy Risk Matrix**

**Appendix 2 – Civil Penalties Charging Policy**

**Appendix 3 - Birmingham Commonwealth Games 2022 Venue Authorities Enforcement Policy**

**Appendix 4 – Equality Assessment**

**END OF DOCUMENT**

**RISK MATRIX FOR REGULATION AND ENFORCEMENT - ENFORCEMENT POLICY**

<b><u>REGULATION AND ENFORCEMENT ACTIVITY</u></b>	<b><u>ACTIVITY</u></b>	<b><u>SCORE</u></b>
Does the activity involve breaches of criminal legislation?	YES – continue to matrix.	
	NO – then this matrix is not an appropriate method for decision making in relation to the matter.	

<b>People are safe and their wellbeing and safety are assured</b>	No safety or health and wellbeing implications.	0
	Limited possibility of risk to safety and wellbeing.	1
	A high probability that illness or injury will occur or has occurred. Any injuries or illness should be restricted in nature (i.e. not require hospital treatment).	2
	Death, illness, injury (requiring hospital treatment for more than three days sickness absence from work) or has occurred or is likely to occur.	3
<b>Direct or indirect economic implications to legitimate businesses</b>	No implications for legitimate businesses.	0
	Limited consequences to a very small number of legitimate businesses.	1
	A large part of the legitimate business sector will be affected, for example all of those in a particular geographic area or businesses supplying a particular market.	2
	All of the legitimate business sector will be affected.	3
<b>Direct or indirect economic implications to consumers or the wider public</b>	No economic loss to consumers or the wider public.	0
	The economic loss was very small (or was likely to be very small) or to a small group of individuals and the amount of economic loss was very small (or was likely to be very small).	1
	The economic loss was restricted (or was likely to be restricted) to a group of individuals and the amount of economic loss was limited (or was likely to be limited).	2

	Higher level of economic loss to an individual or the economic loss or the probability of such or the amount of economic loss could have potentially affected a higher number of consumers or the wider public.	3
<b>Reputation (risk to the local authorities' reputation) in taking no action</b>	No reputational risk.	0
	Low reputational risk.	1
	Medium reputational risk.	2
	High reputational risk.	3
<b>Likelihood that the infringing activity could have been easily ascertained (for example: the size of the business may be a factor when making this assessment or using a reasonable test; the persons should have known it was wrong or information could be readily discovered online.</b>	Very difficult to ascertain.	0
	Difficult to ascertain.	1
	Could be ascertained with a limited amount of activity on behalf of the business.	2
	Easy to ascertain even with limited knowledge of the subject area.	3
<b>Has the defendant taken reasonable precautions and due diligence in the circumstances to prevent the activity from occurring?</b>	Not applicable.	0
	High level of precautions, training and systems in place and followed the systems.	1
	Some precautions and systems in place and followed but not comprehensive.	2
	No training and systems in place or followed.	3
<b>What is the history of the defendant in relation to regulatory compliance?</b>  (The local or national position of a defendant can be taken if appropriate. Considerations of 'culpability' and 'harm'	Not applicable.	0

<b>may be necessary where there has been or would not likely be any local authority history of compliance assessment)</b>		
	The defendant has a good history of proactive work with the Local Authority to achieve compliance in its sector. Previous engagement has found no issues. (Considerations where culpability and/or harm are 'low').	1
	Previous engagement has found issues, however, these have been rectified within a reasonable time frame. (Considerations where culpability and/or harm are 'medium').	2
	The defendant has a poor history of Local Authority engagement and/or previous instructions have been disregarded and/or a high level of non-compliance has been found on previous engagement. (Considerations where culpability and/or harm are 'high').	3
<b>Aggravating features (i.e. length of time activity has been happening for; was the activity purposely covert etc.; was the victim vulnerable; was an attempt made to obstruct an investigation)</b>	Not applicable.	0
	Low level of aggravating features.	1
	Some level of aggravating features, however, limited by time or amount of aggravation.	2
	Higher level of aggravation.	3

<b><u>KEY</u></b>	<b><u>ASSESSMENT</u></b>	<b><u>SCORE RATING</u></b>
3 – high risk	If an activity results in three or more level HIGH RISK scores then formal action should be considered.	Score 12 and above.
2 – medium risk	Consider informal / lower tier action.	Score 2 to 11.
1 – low risk	No action.	Score 1.

The Risk Matrix will be used as a framework to support transparency and consistency of approach and decision making. (For workplace health and safety the Enforcement Management Model (EMM) is used to ensure that enforcement decisions are consistent).

Where the score falls between 2 and 11 and the investigating officer believes the matter should be referred for formal proceedings the case must be reviewed by the operations manager and/or Heads of Service and a record of the decision will be retained.

Where the score is 12 and above and the investigating officer believes the matter should not be referred for formal proceedings the case must be reviewed by the operations manager and/or Heads of Service and a record of the decision will be retained.

Institution of criminal proceedings will only be formally recommended to the relevant Council Director where the Council's Legal Services or Head of Service within Regulation and Enforcement have authorised progression.

## Appendix 2

### Civil Penalty Charging Policy

#### Civil Penalties under the Housing Act 2004 (as amended by the Housing and Planning Act 2016)

The Housing and Planning Act 2016 section 126 and Schedule 9 amended the Housing Act 2004 and introduced the ability for Local Housing Authorities to allow financial penalties (civil penalties) of up to £30,000 per offence to be imposed as an alternative to prosecution for the following offences under the Housing Act 2004:

- failure to comply with an Improvement Notice (Section 30);
- offences in relation to Licensing of Houses in Multiple Occupation (Section 72);
- offences in relation to Licensing of houses under Housing Act 2004 Part 3, (Section 95);
- offences of contravention of an Overcrowding Notice, (Section 139(7));
- failure to comply with management regulations in respect of HMOs. (Section 234).

The Council will seek to impose Civil Penalties in accordance with this Enforcement Policy for the Regulation of Housing Standards and the Licensing of Houses in Multiple Occupation.

The decision to issue a civil penalty comprises two stages:

- to determine whether a civil penalty is an appropriate sanction in accordance with this Enforcement Policy, and, if appropriate
- to determine the level of the proposed civil penalty.

If the decision is to impose a civil penalty, a notice of intent must be served stating the amount of the proposed penalty, the reasons for its imposition and information about the right to make representations.

After the expiry of the period for representations the matter must be reviewed and a decision taken whether to impose a civil penalty and if so the amount of the penalty.

Statutory guidance issued by the Ministry of Housing Communities and Local Government in April 2017 sets out the following factors which must be taken into account when deciding on the appropriate level of penalty:

- a) **Severity of the offence.** The more serious the offence, the higher the penalty should be.
- b) **Culpability and track record of the offender.** A higher penalty will be appropriate where the offender has a history of failing to comply with their obligations and/or their actions were deliberate and/or they knew, or ought to have known, that they were in breach of their legal responsibilities. Landlords are running a business and should be expected to be aware of their legal obligations.
- c) **The harm caused to the tenant.** This is an important factor when determining the level of penalty. The greater the harm or the potential for harm (this may be as perceived by the tenant), the higher the amount should be when imposing a civil penalty.

- d) **Punishment of the offender.** A civil penalty should not be regarded as an easy or lesser option compared to prosecution. While the penalty should be proportionate and reflect both the severity of the offence and whether there is a pattern of previous offending, it is important that it is set at a high enough level to help ensure that it has a real economic impact on the offender and demonstrates the consequences of not complying with their responsibilities.
- e) **Deter the offender from repeating the offence.** The ultimate goal is to prevent any further offending and help ensure that the landlord fully complies with all of their legal responsibilities in future. The level of the penalty should therefore be set at a high enough level such that it is likely to deter the offender from repeating the offence.
- f) **Deter others from committing similar offences.** While the fact that someone has received a civil penalty will not be in the public domain, it is possible that other landlords in the local area will become aware through informal channels when someone has received a civil penalty. An important part of deterrence is the realisation that:
- (a) the local housing authority is proactive in levying civil penalties where the need to do so exists, and
  - (b) that the level of civil penalty will be set at a high enough level to both punish the offender and deter repeat offending.
- g) **Remove any financial benefit the offender may have obtained as a result of committing the offence.** The guiding principle here should be to ensure that the offender does not benefit as a result of committing an offence, i.e. it should not be cheaper to offend than to ensure a property is well maintained and properly managed.

The Council will determine the level of civil penalty from a review of the case and having regard to the statutory guidance will apply the following five step approach:

### **Step 1 – Determining the offence category**

To determine the financial starting point, consider the culpability and harm factors in the lists below. Where an offence does not fall squarely into a category, individual factors may require a degree of weighting to make an overall assessment.

#### **Culpability**

##### **Very High**

Deliberate failure to comply with legal obligations

##### **High**

Knew or ought to have known that they were in breach of their legal responsibilities, wilful blindness to the risk of offending. Non-compliance over a long period or ignoring concerns raised by regulators, tenants or others.

##### **Medium**

Offence committed through an act or omission which a person exercising reasonable care would not commit

## Low

Offence committed with little fault, for example, because:

- Significant efforts were made to address the risk although they were inadequate on this occasion
- Failings were minor and occurred as an isolated incident.

## Harm

### High

The property conditions pose a high risk of serious adverse effects to the occupants and/or visitors.

Vulnerable individuals were put at risk.

### Medium

The property conditions pose medium risk of serious adverse effects to the occupants and/or visitors.

### Low

The property conditions pose a low risk of serious adverse effect to the occupants and/or visitors.

## Step 2 – Starting point

Having determined the culpability and harm levels, the appropriate offence matrix should be referred to in order to calculate the starting point for the civil penalty.

		HARM		
		LOW	MEDIUM	HIGH
CU LPA BILI TY	LOW	£500	£1000	£2000
	MEDIUM	£1000	£2000	£4,000
	HIGH	£2,000	£4,000	£10,000
	VERY HIGH	£4,000	£10,000	£20,000

## Step 3 – Consider factors to increase or reduce fine

The Council should then consider further adjustment from the starting point to take into account aggravating and mitigating features. Set out below is a non-exhaustive list of factual elements providing the context of the offence and factors relating to the offender. Identify whether any combination of these or other relevant factors should result in an upward or downward adjustment from the starting point.

### **Factors increasing seriousness:**

Aggravating factors include:

- History of failing to comply with obligations
- Motivated by financial gain
- Deliberate concealment of illegal nature of activity
- Established evidence of wider/community impact
- Obstruction of justice
- Landlord or agent of multiple properties which may include licensed HMOs

### **Factors reducing seriousness or reflecting personal mitigation:**

- Steps taken to remedy the problem
- High level of co-operation with the investigation, beyond that which will always be expected
- A history of good communication and compliance regarding work as a landlord

- Co-operation and acceptance of responsibility
- Mental disorder or learning disability, where linked to the commission of the offence
- Serious medical conditions requiring urgent, intensive or long-term treatment
- Age and/or lack of maturity where it affects the responsibility of the offender

#### **Step 4 – Case and penalty review**

The level of the penalty should reflect the extent to which the offender fell below the required standard. The penalty should meet, in a fair and proportionate way, the objectives of punishment, deterrence and the removal of gain derived through the commission of the offence; **it should not be cheaper to offend than to take the appropriate precautions.**

The Council may increase or reduce the proposed penalty reached at the end of step three

#### **Step 5 - Review offender's financial means – prior to any Final Notice**

The level of civil penalty must be proportionate to the seriousness of the offence and the financial circumstances of the offender.

The council may conclude that the offender is able to pay any penalty imposed unless the offender has supplied financial information to the contrary. It is for the offender to disclose to the council such data relevant to his/her financial position on the representations form attached to the "Notice of Intention".

#### **Banning Orders**

The Council will in all instances consider applying for a Banning Order where a landlord or property agent has been convicted of one or more Banning Order offences as defined by regulations made under the Housing and Planning Act 2016. This will exclude him/her from letting or engaging in letting agency or property management work. When considering applying for a Banning Order, the Council will have regard of Government Guidance and evidence (if any) of housing offence(s) committed by the landlord in other Local Authority areas.

#### **Rogue Landlord Database**

The Council will make an entry on the Rogue Landlord database where a landlord or property agent has received a banning order.

The Council will have discretion to make an entry on the database where a person has:

- been convicted of a banning order offence that was committed at a time when the person was a residential landlord or property agent; and/or
- received two or more financial penalties in respect of a banning order offence within a period of 12 months committed at a time

when the person was a residential landlord or a property agent .  
In making this decision the Council will have regard to Government Guidance.

Prior to making an entry on the database, the Council will issue the person with a decision notice, specifying the period for which the entry will be maintained.



## **ADDENDUM TO ENFORCEMENT POLICY**

### **BIRMINGHAM COMMONWEALTH GAMES 2022**

#### **VENUE AUTHORITIES ENFORCEMENT POLICY**

#### **1. INTRODUCTION**

- 1.1 The Commonwealth Games 2022 (the Games) is being held in Birmingham and other local authority areas across the West Midlands and the London Borough of Newham and competition will begin on 29 July 2022 and end on 8 August 2022 with the opening ceremony and test events prior to these dates. This document proposes to ensure a consistent and proportionate approach to enforcement of the restrictions imposed by the Birmingham Commonwealth Games Act 2020 (the Games Act) and other regulatory legislation already established.
- 1.2 The Games Act puts in place new protections which prohibit unauthorised associations with the Games and which prevent ambush marketing by third parties who are not officially associated with and/or who are not sponsors/partners of the Games. It also prevents any unauthorised advertising and trading in and around Games locations, the details of which are set out in regulations by Government, as well as ticket touting. These measures are essential to help ensure:
  - 1.2.1 the exclusive rights of Games sponsors are protected;
  - 1.2.2 there is a consistent look and feel across all Games locations; and
  - 1.2.3 spectators can move easily and safely in and around Games locations.
- 1.3 As Venue Authority regulatory services will be the primary enforcers in respect of the measures imposed concerning unauthorised advertising and trading and ticket touting, it is necessary for the sake of transparency for the Venue Authorities to produce a clear policy in relation to the approach for the Games. This document provides a framework of available sanctions that can be applied by the local authorities should contraventions of the restrictions be identified. Venue authorities will work with the Organising Committee (OC), enforcement agencies and other key stakeholders in order to implement this enforcement policy.
- 1.4 The Venue Authorities involved in the management and regulation of the Games will seek to apply a common sense and proportionate approach to enforcement and utilise the sanctions available as described in this document. This document will be an addendum to the individual local authority's own policies and not a standalone document. This document needs to be read in conjunction with that principle policy document.
- 1.5 It is considered this enforcement policy is clear, concise, transparent and fit for purpose. Included in the enforcement policy is the way issues will be dealt with and what those regulated can expect.
- 1.6 The Regulator's Code indicates that it is for each local authority to determine an approach to service standards that will work best for those it regulates and itself, however the Games

has created the needs for a consistent approach to enforcement by all local authorities involved in securing a legal and fair and equitable trading environment where all venues are located.

- 1.7 This policy commits the Venue Authorities that will be joining resources and combining practices undertaking an active enforcement role during the lead up to and during the Games, to deliver good enforcement practice with effective procedures and clear policies.
- 1.8 This policy will include the Licensing Services, Environmental Health Services and Trading Standards Services of those Councils supporting the Games.

## **2. WHAT THIS POLICY IS FOR**

- 2.1 The primary function of the combined resources of Venue Authorities involved with the Games is to achieve regulatory compliance in order to protect the public, legitimate business, the environment and groups such as consumers and workers. However, the right is reserved to take enforcement action in some cases after compliance has been achieved or if it is considered appropriate under the circumstances and is in the public interest to do so.
- 2.2 The main aims of the advertising and trading restrictions are to prevent risks to public safety, to ensure there is a consistent celebratory look and feel across the Games locations and to combat 'ambush marketing' activity.
- 2.3 It is recognised that prevention is better than cure and in line with national policy in existence after the Covid 19 pandemic legitimate business (who are looking to maximise the impact of the Games without seeking to undermine the ethos and policy of the Games) will be assisted and supported. However, where it becomes necessary to take formal enforcement action against a business, or member of the public, Venue Authorities will do so. There are a wide range of tools available to an enforcement agency. The actions that may be taken include:
  - (a) No action.
  - (b) Informal Action and Advice.
  - (c) Formal Notice.
  - (d) Forfeiture Proceedings.
  - (e) Seizure of goods/equipment.
  - (f) Termination of an authorisation granted by the OC
  - (g) Injunctive Actions and other Civil Sanctions.
  - (h) Refusal/Suspension/Revocation of a licence.
  - (i) Simple Caution.
  - (j) Prosecution.
  - (k) Proceeds of Crime Applications.
- 2.4 In relation to the Games Act the following specific action is open to Venue Authorities, namely to seize and detain goods or documents where necessary to:
  - end the commission of the offence;
  - prevent the commission of the offence;
  - enable the goods or documents to be used as evidence in proceedings for the offence

- 2.5 When considering enforcement action, the Venue Authorities will, where appropriate and where reasonably practicable, discuss the circumstances with those suspected of a breach and take these into account when deciding on the best approach. However, it must also be noted that legal processes dictated by statute will be applied in many instances where contraventions of legislation have been detected. Further, this paragraph does not apply where immediate action is required to prevent or respond to a potential breach/contravention or where to do so is likely to defeat the purpose of the proposed enforcement action.
- 2.6 If a business is operating in more than one Local Authority area and has chosen to have a registered Primary Authority Partnership the Venue Authorities will, where required, comply with the agreement provisions for enforcement and notify the Primary Authority of the enforcement action that is proposed to take. The Venue Authority may under that Act also refer the matter to OPSS if appropriate.
- 2.7 This policy is intended to provide guidance for enforcement officers, businesses, consumers and the public.

### **3. SCOPE OF THE POLICY**

- 3.1 This Policy, where appropriate, applies to the legislation delegated to the Venue Authorities and primarily will be about protecting the brand of the Games and enforced by authorised officers with delegated enforcement powers.
- 3.2 'Enforcement' includes any criminal or civil action taken by enforcement officers aimed at ensuring that individuals or businesses comply with the law.
- 3.3 For the purposes of the Regulatory Enforcement Sanctions Act 2008 the term 'enforcement action' has been given a general statutory definition, which is:
- (a) Action to source compliance with a restriction, requirement or condition in relation to a breach or supposed breach
  - (b) Action taken in connection with imposing a sanction for an act or omission; and,
  - (c) Action taken in connection with a statutory remedy for an act or omission.
- 3.4 A list of specific 'enforcement actions' is provided in Section 2 of this Policy. This means that if a business or organisation is registered with a Primary Authority and action is being proposed and that action is one of those listed then, (unless one of the permitted exceptions applies), the Venue Authority will be required to contact the Primary Authority and give notice of the enforcement action being proposed.
- 3.5 By this document the Venue Authorities involved in the Games have agreed to abide by the spirit of this enforcement policy and will assist enforcement officers to interpret and apply relevant legal requirements and enforcement policies fairly and consistently between like-regulated entities in similar situations.
- 3.6 In certain circumstances the Venue Authorities will seek to raise awareness and increase compliance levels by publicising unlawful trade practices or criminal activity through social media and other forms of awareness raising portals.

#### **4. VENUE AUTHORITIES' APPROACH**

- 4.1 The principles followed are informed by a number of codes of practice and statute as well as the Regulators' Code (the Code), Enforcement Concordat and the Guidance of OPSS as to how to apply these documents.
- 4.2 Venue Authorities' officers are trained and competent in the regulatory area engaged and are aware of their responsibilities and obligations to those subject to enforcement.
- 4.3 Where it is considered formal enforcement action is necessary, each case will be considered on its own merits. However, there are general principles that apply to the way each case must be approached. These are set out in this Policy.
- 4.4 The approach of the Venue Authorities involved in the Games will aim to:
- (a) Change the behaviour of the offender, ensuring compliance with relevant legislation;
  - (b) Change attitudes in society to offences which may not be considered to be serious in themselves, but which are widespread;
  - (c) Eliminate any financial gain or benefit from non-compliance;
  - (d) Be responsive and consider what is appropriate for the offender and regulatory issue, which can include punishment and the public stigma that should be associated with a criminal conviction;
  - (e) Be proportionate to the nature of the offence and the harm caused;
  - (f) Restore the harm caused by regulatory non-compliance, where appropriate; and
  - (g) Deter future non-compliance;
  - (h) Achieve compliance with Statutory requirements.
- 4.5 All enforcement decisions will seek to be fair, independent and objective. They will not be influenced by issues such as ethnicity or national origin, gender, religious beliefs, political views or the sexual orientation of the suspect, victim, witness or offender. Such decisions will not be affected by improper or undue pressure from any source.
- 4.6 Where possible, Venue Authorities will take into account the views of any victim, injured party or relevant person to establish the nature and extent of any harm or loss and its significance in making the decision to take formal action. This may include actual or potential harm or loss or the impact on the well-being of individuals or potential or actual harm to communities or the environment.
- 4.7 Where possible, Venue Authorities will endeavour to ensure that those regulated can seek advice from the service about potential non-compliance without automatically triggering enforcement action. Each matter will be considered on its own merits and will determine the action.
- 4.8 All enforcement activities, including investigations and formal actions, will always be conducted in compliance with the statutory powers of the officer and all other relevant legislation, including but not limited to the Police and Criminal Evidence Act 1984, the Criminal Procedure and Investigations Act 1996, the Human Rights Act 1998, the Regulation of Investigatory Powers Act 2000 and the Criminal Justice and Police Act 2001, and in accordance with any formal procedures and codes of practice made under this legislation in so far as they relate to enforcement powers and responsibilities.

- 4.9 This Policy helps to promote efficient and effective approaches to regulatory inspection and enforcement, which improve regulatory outcomes without imposing unnecessary burdens. This is in accordance with the Code. In certain instances, it may be concluded that a provision in the Code is either not relevant or is outweighed by another provision. Venue Authorities will ensure that any decision to depart from the Code will be properly reasoned, based on material evidence and documented.

## **5. ENFORCEMENT ACTION**

### **5.1 An Overview of the enforcement actions available**

- 5.1.1 As stated in section 2, there are a large number of potential enforcement options.
- 5.1.2 The order in which the enforcement actions are listed in Section 2 is not necessarily in absolute order of escalating seriousness relative to each other. The Venue Authorities reserve the right to escalate the level of enforcement action, having regard to the criteria in paragraph 2.2 of this policy.

### **5.2 Deciding what level of action is appropriate**

- 5.2.1 In assessing what enforcement action is necessary and proportionate, consideration will be given to, amongst other things:
- (a) Whether the activity has been authorised by the OC
  - (b) The seriousness of the compliance failure.
  - (c) The past and current performance of any business and/or individual concerned.
  - (d) Any obstruction on the part of the offender.
  - (e) The risks being controlled.
  - (f) Statutory guidance.
  - (g) Codes of Practice.
  - (h) Any legal advice.
  - (i) Policies and priorities of Government, the Venue Authorities and the OC.
  - (j) A person's age in relation to young people (termed 'juveniles') aged under 18.
  - (k) The existence of a Primary Authority agreement.
  - (l) Any duty of a local authority or Statutory provisions.
- 5.2.2 Certain enforcement action, such as the decision to seek a Simple Caution and/or the decision to prosecute, is further and specifically informed by those matters set out in the accompanying policy.
- 5.2.3 Action is more likely to be taken if the following are of relevance
- (a) Situations where it is evident that a vulnerable individual or vulnerable group has been exploited
  - (b) Obstruction of authorised officers of the service in the lawful execution of their duties.
  - (c) Offences involving actual or intended deceptions, fraud or negligence.

- (d) Wilful disregard for the law.
- (e) Risk to public health /safety
- (f) Public nuisance
- (g) Actions in direct contradiction to the provisions and guidance provided for alongside the Games such as advertising and/or trading in restricted zones, or copyright infringement, or ticket touting.

## 6 DECISIONS ON ENFORCEMENT ACTION

- 6.1 Decisions about the most appropriate enforcement action as listed in paragraph 2.2 above are based upon those matters set out in Section 5.2 above.
- 6.2 Where appropriate, decisions about what enforcement action to take may involve consultation between:
  - (a) Investigating Officer(s).
  - (b) Senior managers
  - (c) Relevant Venue Authority Solicitors
  - (d) The lead officers for the Joint Authorities Regulatory Service (JARS)
  - (e) The OC /Brand protection representatives
  - (f) The relevant Police Force.
- 6.3 The decision to prosecute a case will be taken by those with authority to do so in accordance with the Venue Authority's Scheme of Delegations.
- 6.4 **Enforcement Policy – Appeals, Complaints and Compensation.**

- 6.4.1 **Appeals through the Venue Authority's Corporate Complaints Procedure.** Each Venue Authority has a corporate comments, compliments and complaints Procedure.

The Venue Authorities encourage any person who has a problem with a service they receive, due to a failure in the service, to report it. However, where a report is received from a person who is the subject of a law enforcement investigation or current/pending statutory action then the Corporate Procedure is not normally used and the investigation into the complaint will be suspended. The reasons for this and examples of relevant circumstances include:

- Ongoing law enforcement investigation or legal process has commenced. In most situations law enforcement investigations fall under the requirements of the Police and Criminal Evidence Act 1984 (PACE). This imposes requirements on the circumstances in which the local authority can engage with a person who is suspected of committing an offence or who is the subject of current/pending law enforcement action. The Corporate Procedure cannot be used to attempt to override or circumvent PACE, for example to challenge elements of an investigation; the necessity for enforcement action; or an enforcement decision. The suspension would apply until law enforcement/ legal proceedings stages are completed. The outcome of an investigation, including legal proceedings may render the basis of a complaint/report nullified, but a person's rights are

not affected as the criminal justice system has processes to ensure fairness and equity, including appeals procedures.

- A complaint that has already been settled in another way.... This includes a determination by a Court or Tribunal service or other statutory regulator/ arbitration/ ombudsman service.

6.4.2 The Games Act provides for a person to claim from the relevant local authority compensation in the event of unlawful enforcement or if unreasonable force has been used in enforcement. In the event that such a compensation claim is found to be justified the relevant Venue Authority will share the details of the case with other Venue Authorities to minimise the risk of further similar issues recurring. Where formal enforcement action has been undertaken, those affected should be provided with information as appropriate about how to submit a claim for compensation.

## **7. PRIMARY AUTHORITY PARTNERSHIP SCHEME AND ITS ENFORCEMENT PROVISIONS**

7.1 When a Venue Authority has come to the decision to take enforcement action against an organisation and:

1. The organisation is a business operating in more than one local authority area and has chosen to have a registered Primary Authority Partnership under the RES Act; and
2. The enforcement action being proposed is covered by the definition of enforcement action for the purposes of Part 2 of the RES Act.

The Venue Authority will, where required to do so by that Act, comply with the agreement provisions for enforcement and notify the Primary Authority of the action being proposed.

7.2 The Primary Authority has the right to object to the proposed action in which circumstances either they or the Venue Authority may refer the matter to BRDO.

## **8. LIAISON WITH OTHER REGULATORY BODIES AND ENFORCEMENT AGENCIES**

8.1 In addition to the duties imposed upon Venue Authorities by the RES Act in respect of co-operating and working with Primary Authorities and RD, they will, where appropriate, co-operate and co-ordinate with any relevant regulatory body and/or enforcement agency to maximise the effectiveness of any enforcement.

8.2 Where an enforcement matter affects a wide geographical area beyond the Venue Authority's boundaries or involves enforcement by one or more other local authorities or organisations, where appropriate all relevant authorities and organisations will be informed of the matter as soon as possible and all enforcement activity co-ordinated with them.

8.3 Venue Authorities will share intelligence relating to wider regulatory matters with other regulatory bodies and enforcement agencies, including:

- (a) Government Departments and Agencies.
- (b) The OC
- (c) Police Forces.
- (d) Fire Authorities.
- (e) Statutory Undertakers.
- (f) Other Local Authorities.

(g) Other internal local authority Departments

**9. CONSIDERING THE VIEWS OF THOSE AFFECTED BY OFFENCES**

- 9.1 Venue Authorities undertake enforcement on behalf of the public at large and not just in the interests of any particular individual or group. However, when considering the public interest test, the consequences for those affected by the offence, and any views expressed by those affected will, where appropriate, be taken into account when making enforcement decisions.

**10. PROTECTION OF HUMAN RIGHTS**

- 10.1 This Policy and all associated enforcement decisions take account of the provisions of the Human Rights Act 1998. In particular, due regard is had to the right to a fair trial and the right to respect for private and family life, home and correspondence.

**END OF DOCUMENT**

**RISK MATRIX FOR REGULATION AND ENFORCEMENT'S ENFORCEMENT POLICY**

<b><u>REGULATION AND ENFORCEMENT ACTIVITY</u></b>	<b><u>ACTIVITY</u></b>	<b><u>SCORE</u></b>
Does the activity involve breaches of criminal legislation?	YES – continue to matrix.	
	NO – then this matrix is not an appropriate method for decision making in relation to the matter.	
<b>People are safe and their wellbeing and safety are assured</b>	No safety or health and wellbeing implications.	0
	Limited possibility of risk to safety and wellbeing.	1
	A high probability that illness or injury will occur or has occurred. Any injuries or illness should be restricted in nature (i.e. not require hospital treatment).	2
	Death, illness, injury (requiring hospital treatment for more than three days sickness absence from work) or has occurred or is likely to occur.	3
<b>Direct or indirect economic implications to legitimate businesses</b>	No implications for legitimate businesses.	0
	Limited consequences to a very small number of legitimate businesses.	1
	A large part of the legitimate business sector will be affected, for example all of those in a particular geographic area or businesses supplying a particular market.	2
	All of the legitimate business sector will be affected.	3
<b>Direct or indirect economic implications to consumers or the wider public</b>	No economic loss to consumers or the wider public.	0
	The economic loss was very small (or was likely to be very small) or to a small group of individuals and the amount of economic loss was very small (or was likely to be very small).	1
	The economic loss was restricted (or was likely to be restricted) to a group of individuals and the amount of economic loss was limited (or was likely to be limited).	2
	Higher level of economic loss to an individual or the economic loss or the probability of such or the amount of economic loss could have potentially affected a higher	3

	number of consumers or the wider public.	
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<b>Reputation (risk to the local authorities reputation) in taking no action</b>	No reputational risk.	0
	Low reputational risk.	1
	Medium reputational risk.	2
	High reputational risk.	3
<b>Likelihood that the infringing activity could have been easily ascertained (for example: the size of the business may be a factor when making this assessment or using a reasonable test; the persons should have known it was wrong or information could be readily discovered online.</b>	Very difficult to ascertain.	0
	Difficult to ascertain.	1
	Could be ascertained with a limited amount of activity on behalf of the business.	2
	Easy to ascertain even with limited knowledge of the subject area.	3
<b>Has the defendant taken reasonable precautions and due diligence in the circumstances to prevent the activity from occurring?</b>	Not applicable.	0
	High level of precautions, training and systems in place and followed the systems.	1
	Some precautions and systems in place and followed but not comprehensive.	2
	No training and systems in place or followed.	3
<b>What is the history of the defendant in relation to regulatory compliance?</b>  (The local or national position of a defendant can be taken if appropriate. Considerations of 'culpability' and 'harm' may be necessary where there has been or would not likely be any local authority history of compliance assessment)	Not applicable.	0
	The defendant has a good history of proactive work with the Local Authority to achieve compliance in its sector. Previous engagement has found no issues. (Considerations where culpability and/or harm are 'low').	1

	Previous engagement has found issues, however, these have been rectified within a reasonable time frame. (Considerations where culpability and/or harm are 'medium').	2
	The defendant has a poor history of Local Authority engagement and/or previous instructions have been disregarded and/or a high level of non-compliance has been found on previous engagement. (Considerations where culpability and/or harm are 'high').	3
<b>Aggravating features (i.e. length of time activity has been happening for; was the activity purposely covert etc.; was the victim vulnerable; was an attempt made to obstruct an investigation)</b>	Not applicable.	0
	Low level of aggravating features.	1
	Some level of aggravating features, however, limited by time or amount of aggravation.	2
	Higher level of aggravation.	3

<u>KEY</u>	<u>ASSESSMENT</u>	<u>SCORE RATING</u>
3 – high risk	If an activity results in three or more level HIGH RISK scores then formal action should be considered.	Score 12 and above.
2 – medium risk	Consider informal / lower tier action.	Score 2 to 11.
1 – low risk	No action.	Score 1.

The Risk Matrix will be used as a framework to support transparency and consistency of approach and decision making. (For workplace health and safety the Enforcement Management Model (EMM) is used to ensure that enforcement decisions are consistent).

Where the score falls between 2 and 11 and the investigating officer believes the matter should be referred for formal proceedings the case must be reviewed by the appropriate Service Manager and a record of the decision will be retained.

Where the score is 12 and above and the enforcement officer believes the matter should not be referred for formal proceedings the case must be reviewed by the Service manager and/or Heads of Service and a record of the decision will be retained.

Institution of criminal proceedings will only be formally recommended to the relevant Venue Authority decision-maker where the Venue Authority's Legal Services and/or relevant Head of Service have authorised progression.



Title of proposed EIA	Regulation and Enforcement, Enforcement Policy review
Reference No	EQUA881
EA is in support of	Amended Policy
Review Frequency	Annually
Date of first review	30/04/2022
Directorate	City Operations
Division	Regulation and Enforcement
Service Area	
Responsible Officer(s)	 Sajeela Naseer
Quality Control Officer(s)	 Leroy Pearce
Accountable Officer(s)	 Paul Lankester
Purpose of proposal	To review the Regulation and Enforcement policy
Data sources	relevant research
Please include any other sources of data	
ASSESS THE IMPACT AGAINST THE PROTECTED CHARACTERISTICS	
Protected characteristic: Age	Wider Community
Age details:	The policy is used to identify the priorities of the Regulation and Enforcement service and to identify how the service will apply a proportionate approach to its enforcement activities. The policy applies to all ages and ensures fairness in its approach.
Protected characteristic: Disability	Wider Community
Disability details:	The policy is used to identify the priorities of the Regulation and Enforcement service and to identify how the service will apply a proportionate approach to its enforcement activities. The policy ensures fairness in its approach

Protected characteristic: Sex

Wider Community

Gender details:

The policy is used to identify the priorities of the Regulation and Enforcement service and to identify how the service will apply a proportionate approach to its enforcement activities. The policy ensures fairness in its approach

Protected characteristics: Gender Reassignment

Wider Community

Gender reassignment details:

The policy is used to identify the priorities of the Regulation and Enforcement service and to identify how the service will apply a proportionate approach to its enforcement activities. The policy ensures fairness in its approach

Protected characteristics: Marriage and Civil Partnership

Wider Community

Marriage and civil partnership details:

The policy is used to identify the priorities of the Regulation and Enforcement service and to identify how the service will apply a proportionate approach to its enforcement activities. The policy ensures fairness in its approach

Protected characteristics: Pregnancy and Maternity

Wider Community

Pregnancy and maternity details:

The policy is used to identify the priorities of the Regulation and Enforcement service and to identify how the service will apply a proportionate approach to its

enforcement activities. The policy ensures fairness in its approach

Protected characteristics: Race

Wider Community

Race details:

The policy is used to identify the priorities of the Regulation and Enforcement service and to identify how the service will apply a proportionate approach to its enforcement activities. The policy ensures fairness in its approach

Protected characteristics: Religion or Beliefs

Wider Community

Religion or beliefs details:

The policy is used to identify the priorities of the Regulation and Enforcement service and to identify how the service will apply a proportionate approach to its enforcement activities. The policy ensures fairness in its approach

Protected characteristics: Sexual Orientation

Wider Community

Sexual orientation details:

The policy is used to identify the priorities of the Regulation and Enforcement service and to identify how the service will apply a proportionate approach to its enforcement activities. The policy ensures fairness in its approach

Socio-economic impacts

Please indicate any actions arising from completing this screening exercise.

None

Please indicate whether a full impact assessment is recommended

NO

What data has been collected to facilitate the assessment of this policy/proposal?

The enforcement policy is a legal requirement that is influenced by legislation and codes of practice.

Consultation analysis

N/A

Adverse impact on any people with protected characteristics.

None

Could the policy/proposal be modified to reduce or eliminate any adverse impact? N/A

How will the effect(s) of this policy/proposal on equality be monitored?

The policy provides an insight in to how the Service will undertake its statutory duties and powers. It provides a proportionate approach to enforcement and provides for consistency and fairness in its approach. All formal enforcement is subject to rigorous scrutiny/monitoring at 4 points: the line manager, the Head of Service, Legal Services, and finally the Director. This points of scrutiny ensure action is taken in line with the enforcement policy.

What data is required in the future?

N/A

Are there any adverse impacts on any particular group(s)

No

If yes, please explain your reasons for going ahead.

Initial equality impact assessment of your proposal



The review of the policy is to ensure the document is updated with any changes applied to the legislation and is timely and complies with legal requirements

Consulted People or Groups

Informed People or Groups

Summary and evidence of findings from your EIA

The review of the policy is to ensure the document is updated with any changes applied to the legislation and is timely and complies with legal requirements.

	No adverse impact has been identified in relation to people with a protected characteristic or in a particular socio economic group.
QUALITY CONTORL SECTION	
Submit to the Quality Control Officer for reviewing?	No
Quality Control Officer comments	I am happy to pass this EIA to the Accountable Officer for final approval.
Decision by Quality Control Officer	Proceed for final approval
Submit draft to Accountable Officer?	No
Decision by Accountable Officer	Approve
Date approved / rejected by the Accountable Officer	05/05/2022
Reasons for approval or rejection	The policy has been reviewed and there are no additional issues to raise.
Please print and save a PDF copy for your records	Yes
Content Type: Item Version: 27.0 Created at 30/03/2022 05:04 PM by  Sajeela Naseer Last modified at 05/05/2022 12:05 PM by Workflow on behalf of  Rehana Kosar	<div>Close</div>

