

LEGISLATION ASSURANCE REGISTER

[Integrated Audit schedule](#) [Request a Change Select here](#)

| Executive Owner | Operational Lead | Organisational Area | Act, Regulation or Standard | Version | Requirements | Adequate Key Controls in place Y/N | Regulatory/Monitoring Body | 1st Line Assurance | 2nd Line Assurance | 3rd Line Assurance | Compliance | Date of Last Review | Comment |
|---------------------------|------------------------------|---------------------------|----------------------------------------------------------------------------|---------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|-----------------------------------------------------|-------------------------------------------|-----------------------|---------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Board Secretary | Head of Corporate Governance | Socio-Economic | Socio-economic Duty | 2020 | WG have recommended that organisations: oIdentify the strategic decisions that are taken oEnsure those involved understand the statutory requirement oSteps are taken to integrate the duty into existing processes such as impact assessments, plans for engagement and developing business cases. | Y | UK Government | Included in all reporting templates for Management information | Board Briefing | External Audit | Reasonable Assurance | 03/10/2023 | Socioeconomic duty impact included in all Board and Committee reports, in addition a SharePoint page has been developed for information. Socioeconomic duty will be built into DHCW's Board Development Programme. |
| Board Secretary | Head of Corporate Governance | Estates and Environmental | The Health and Safety (Sharp Instruments in Healthcare) Regulations (2013) | 2013 | These Regulations impose duties on employers in the healthcare sector to protect employees from injuries caused by medical sharps, implementing Council Directive 2010/32/EU (OJ No. L 134, 1.6.2010) p.66 of 10 May 2010 implementing the Framework Agreement on prevention from sharp injuries in the hospital and healthcare sector concluded by HOSPEEM and EPSU | Y | UK Government | Q&R Group | Digital Governance and Safety Committee | Internal Audit | Reasonable Assurance | 25/09/2023 | Reviewed suitability on the Register - still applicable as DHCW sites hold sharps safes for medical purposes such as diabetic glucose tests/insulin administration. |
| Board Secretary | Head of Corporate Governance | Welsh Language | The Welsh Language (Wales) Measure 2011 | 2011 | | Y | Welsh Government | Corporate Governance Monthly Meeting, Welsh Language Group | Audit and Assurance Committee | Audit Wales, Internal Audit | Substantial Assurance | 03/10/2023 | DHCW monitor it's compliance with this legislation on a routine basis with reports shared at Management Board, Welsh Language Group, Directorate Meetings and Audit & Assurance Committee |
| Board Secretary | Head of Corporate Governance | Welsh Language | The Welsh Language Standards (No7) Regulations 2018 | 2018 | The consultation for the DHCW Welsh Language Scheme is currently live to close | Y | Welsh Government | Corporate Governance Monthly Meeting, Welsh Language Group | Audit and Assurance Committee | Audit Wales, Internal Audit | Substantial Assurance | 03/10/2023 | SHA Board have approved DHCW Welsh Language Scheme and it's in operation across the organisation with regular reports on implementation and progress presented to Audit & Assurance Committee |
| Board Secretary | Head of Corporate Governance | Socio-Economic | Well-being of Future Generations (Wales) Act 2015 | 2015 | The Well-being of Future Generations Act requires public bodies in Wales to think about the long-term impact of their decisions, to work better with people, communities and each other, and to prevent persistent problems such as poverty, health inequalities and climate change. | Y | UK Government | Included in all reporting templates for Management information | Board Briefing Meeting with Commissioner JET Review | External Audit | Reasonable Assurance | 03/10/2023 | DHCW fall under the WBFGA wef 1 April 2024. There is regular contact between DHCW and the Future Generations Commissioner Office as we prepare to come under the Act |
| Board Secretary | Head of Corporate Governance | Welsh Language | Welsh Language Act, 1993 | 1993 | The Welsh Language Act 1993,[1] is an Act of the Parliament of the United Kingdom, which put the Welsh language on an equal footing with the English language in Wales with regard to the public sector. | Y | Welsh Government | Corporate Governance Monthly Meeting, Welsh Language Group | Audit and Assurance Committee | Audit Wales, Internal Audit | Substantial Assurance | 03/10/2023 | DHCW monitor it's compliance with this legislation on a routine basis with reports shared at Management Board, Welsh Language Group, Directorate Meetings and Audit & Assurance Committee |
| Director of People and OD | Head of People and OD | POD | BS 76000:2015 Human Resource - Valuing People Management System | 2015 | "BS 76000 helps organizations of all sizes recognize the actual and potential value of their people and help develop a new and effective working partnership for sustainable success. Central principles are: - The interests of staff and other stakeholders are integral to the best interests of an organisation; - The organisation is part of wider society and has a responsibility to operate in a fair and socially responsible manner; - Commitment to valuing people should come from the most senior leaders of an organisation ; - The people who work for an organisation have rights over and above those in law or regulation, and these rights and legal protections are respected by the organisation; Each principle is of equal importance." | Y | British Standard - https://www.bsigroup.com/en-AE/industries-and-sectors/Governments/BS-76000-Human-Resource-Valuing-People/ | Centre for Assessment | Centre for Assessment | Internal Audits, IMS Assurance Group | Substantial Assurance | 28/07/2023 | External audit report, policies, SOP's and procedures. |
| Director of People and OD | Head of People and OD | POD | BSI ISO 30415:2021 Human resource management. Diversity and inclusion | 2021 | ISO 30415 is an international standard that focuses on human resource management. ISO 30415 aims to help organizations create a more diversified and inclusive work environment with equal opportunities for individuals from all backgrounds. ISO 30415 provides guidance on diversity and inclusion for organizations, including their governance body, leaders, workforce and recognized representatives, and other stakeholders. ISO 30415 presents fundamental prerequisites for diversity and inclusion, associated accountabilities and responsibilities, recommended actions, suggested measures, and potential outcomes. | Y | https://www.bsigroup.com/en-GB/standards/bs-en-iso-30415-2021-new/ | Centre for Assessment | Centre for Assessment | Internal Audits, IMS Assurance Group | Substantial Assurance | 28/07/2023 | External audit report, policies, SOP's and procedures. |
| Director of People and OD | Head of People and OD | POD | Carers Equal Opportunities Act 2004 | 2004 | The Carers Equal Opportunities Act was introduced in 2004. It was established to ensure that carers are identified and informed of their rights, that their needs for education, training, employment and leisure are taken into consideration and that public bodies recognise and support carers. | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | Civil Partnership Act 2004 | 2004 | The Civil Partnership Act 2004 provides legal recognition of their relationship by forming a civil partnership. They may do so by registering as civil partners of each other provided: • They are of the same sex; • They are not already in a civil partnership or lawfully married; • They are not within the prohibited degrees of relationship; • They are both aged sixteen or over (and, if either of them is under 18 and the registration is to take place in England and Wales or Northern Ireland, the consent of the appropriate people or bodies has been obtained). | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | Employment Act 2002 | 2002 | The main areas covered by the Act are paternity and adoption leave and pay, maternity leave and pay, flexible working, employment tribunal reform and resolving disputes between employers and employees. | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/RS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | Employment Equality (Religion, Belief and Non-Belief) Regulations 2003 | 2003 | The Regulations make it unlawful to discriminate on grounds of religion or belief in employment and vocational training. They prohibit direct discrimination, indirect discrimination, victimisation and harassment | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/RS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |

| | | | | | | | | | | | | | |
|---------------------------|-----------------------|-----|------------------------------------------------------------------------------------------------|------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---------------|------------------|-------------------------|-------------------------------------------|-----------------------|------------|------------------------------------------|
| Director of People and OD | Head of People and OD | POD | Employment Equality (Sexual Orientation) Regulations 2003 | 2003 | These regulations prohibit direct and indirect discrimination, victimisation and harassment on the grounds of sexual orientation. This covers all aspects of employment and vocational training, including recruitment, pay, promotions and dismissal. The regulations prohibit discrimination by employers, trade organisations, bodies conferring professional and trade qualifications, training providers, employment agencies and further and higher education institutions. | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | Employment Relations Act 1999 and 2004 | 2004 | Employee Relations Act 1999 - An Act to amend the law relating to employment, to trade unions and to employment agencies and businesses. Employee Relations Act 2004 - Built upon the Act of 1999 and strengthened trade union rights. | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | Employment Rights Act 1996 | 1996 | The Employment Rights Act of 1996 protects workers against suffering any harm because of any reasonable actions they take on health and safety grounds. This applies regardless of their length of service. | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations 2002 | 2002 | These regulations apply to employees on a fixed term contract and came into effect on the 1st of October, 2002. These Regulations set out a series of rights for fixed-term employees. These include, but are not limited to, making it unlawful for an employer to treat a fixed-term employee less favourably than a permanent employee. It also states that fixed-term employees who have been continuously employed for four years or more on successive fixed-term contracts have a right to be treated as permanent employees. | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | Human Rights Act 1998 | 1998 | The Human Rights Act was passed in 1998 and ensures that all individuals can defend their rights and seek justice in a British court. It states that public organisations are required to treat individuals fairly and with dignity and respect. Public organisations must take measures to protect an individual's rights when, for example, they are threatened or if their life is in danger. It also states that it is unlawful for a public authority to act in a way which is incompatible with a Convention right. | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | Part-Time Workers (Prevention of Less Favourable Treatment) Regulations 2000 | 2000 | The Human rights Act means that an individual is able to take action in a British court should their human rights be breached. These regulations state that part-time workers must not be treated any less favourably than full-time workers. This includes factors such as, but not limited to, pay, annual leave, pensions, sickness, bonuses, training opportunities and promotions. Some of the aforementioned will be on a pro-rata basis. Should an employee consider that their employer has treated them unfairly in comparison to a full-time worker, they are entitled to request in writing from their employer a written statement giving particulars of the reasons for the treatment. The employee is entitled to be provided with a written statement from their employer within twenty-one days of their request. | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | Race Relations Act 1976 amended 2000 | 2000 | This Act brought the police into the scope of race relations legislation. It placed a duty on public authorities to actively promote race equality. The Act was amended 2001 to impose duties on many public authorities to promote racial equality. | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | Racial and Religious Hatred Act 2006 | 2006 | An Act which makes it an offence to incite hatred against persons on racial or religious grounds. | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | Rehabilitation of Offenders Act 1974 | 1974 | The Rehabilitation of Offenders Act 1974 primarily exists to support the rehabilitation into employment of reformed offenders who have stayed on the right side of the law. Under the 1974 Act, following a specified period of time, cautions and convictions may become spent. As a result, the offender is regarded as rehabilitated. All cautions and convictions may eventually become spent, with the exception of prison sentences, or sentences of detention for young offenders, of over four years and all public protection sentences regardless of the length of sentence. | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | Sex Discrimination Act 1975 (amended as part of Gender Duty within the Equality Act 2006) | 1975 | For most purposes the 1974 Act treats a rehabilitated person as if he or she had never committed or been charged with or prosecuted for or convicted of or sentenced for the offence and, as such, they are not required to declare their spent caution(s) or conviction(s), for example, when applying for most jobs or insurance, some educational courses and housing applications. | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | The Cabinet Office Statement of Practice 'Staff Transfers in the Public Sector' (Revised 2007) | 2007 | Once a caution or conviction has become spent under the 1974 Act, a person does not have to reveal it or admit its existence in most circumstances. Unless an exception applies then spent cautions and convictions need not be disclosed when filling in a form, or at a job interview. An employer cannot refuse to employ someone (or dismiss someone) because he or she has a spent caution or conviction unless an exception applies. | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | The Education (Work Experience Act) | 1996 | This act requires public authorities to have due regard to the need to promote equality of opportunity between men and women and to eliminate unlawful sex discrimination and harassment. These regulations provide transferring employees with TUPE-like protection when the TUPE legislation cannot apply as there will not be a change of employer. This is the case when a transferring employee will continue to work within the civil or public sector and/or be employed by the Crown. | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | The Equal Pay Act 1970 | 1970 | An act to enable education authorities to arrange for children under school-leaving age to have work experience, as part of their education. The Equal Pay Act 1970 was passed on 29th May 1970 but did not come into force until 29th December 1975. It is an Act to prevent discrimination between men and women in regard to pay and employment conditions where the men and women are doing – | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | The Health and Safety (Training for Employment) Regulations | 1990 | - Like work - Work rated as equivalent - Work that is of equal value | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | The Maternity and Parental Leave (Amendment) Regulations 2001 | 2001 | The Regulations extend the meaning of the word "work" in the Health and Safety at Work etc Act 1974 to include "relevant training". | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | The Maternity and Parental Leave etc and the Paternity and Adoption Leave (Amendments) 2006 | 2006 | These Regulations amend the provisions relating to parental leave in the Maternity and Parental Leave etc. Regulations 1999. | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | The Maternity and Parental Leave Regulations 1998 | 1998 | These regulations are in relation to employees whose expected week of childbirth began on or after 1 April 2007. | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | The Maternity and Parental Leave Regulations 1998 | 1998 | The Maternity and Parental Leave Regulations sets out parental leave rights for UK employees. The right to parental leave is available to employees who have been continuously employed for a year or more and have, or expect to have, parental responsibility. | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |

| | | | | | | | | | | | | | |
|---------------------------|----------------------------|---------------------------|-----------------------------------------------------------------------------------|------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---------------|--------------------------------------------------------------------------------------------------------------------------------|-------------------------------|-------------------------------------------|-----------------------|------------|------------------------------------------|
| Director of People and OD | Head of People and OD | POD | The Transfer of Undertakings (Protection of Employment) (TUPE) Regulations (2006) | 2006 | Transfer of Undertakings (Protection of Employment) Regulations (TUPE) provide rights to employees when their employment changes when a business, or part of a business, is transferred to a new owner. Employment with the new employer is treated as continuous from the date of the employee's start with the first employer. | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | Trade Union and Labour Relations Act 1992 | 1992 | The Trade Union and Labour Relations Act 1992 defines and governs the roles of trade unions. The Act's main purposes are to: - extend the maximum period that may be prescribed in regulations as the period for which statutory maternity pay, maternity allowance and statutory adoption pay are payable from 26 weeks to 52 weeks; - Introduce a new scheme that will provide certain employees (generally fathers) with a new entitlement to take leave to care for a child and a new entitlement to receive pay while they are on leave, if certain conditions are met; | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | Work and Families Act 2006 | 2006 | - Widens the scope of the existing law on flexible working to enable more people with caring responsibilities to request to work flexibly; - Provide a new power to increase on one occasion the maximum amount of a week's pay which may be taken into account in the calculation of certain payments (for example, redundancy payments); The Act's main purposes are to: - extend the maximum period that may be prescribed in regulations as the period for which statutory maternity pay, maternity allowance and statutory adoption pay are payable from 26 weeks to 52 weeks; - Introduce a new scheme that will provide certain employees (generally fathers) with a new entitlement to take leave to care for a child and a new entitlement to receive pay while they are on leave, if certain conditions are met; | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | Work and Families Act 2006 | 2006 | - Widens the scope of the existing law on flexible working to enable more people with caring responsibilities to request to work flexibly; - Provide a new power to increase on one occasion the maximum amount of a week's pay which may be taken into account in the calculation of certain payments (for example, redundancy payments); - Provide a new power to make provision about annual leave. " | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Director of People and OD | Head of People and OD | POD | Working Time Regulations (as amended) | 1998 | The Working Time Regulations were introduced in 1998 and governs working hours in the UK. The Regulations state that an individual cannot work more than 48 hours a week on average unless they choose to opt out. An employer can ask an individual to opt out, but cannot dismiss the individual or treat them unfairly for refusing to do so. There are exceptions to the opt out agreement and an individual may have to work more than 48 hours a week on average if they work a particular job such as where 24-hour staffing is required, armed forces, emergency services, police, etc. The Regulations also state that an adult worker is entitled to a minimum rest period of 11 hours between each 24-hour period of work and a minimum of 24 hours rest in each seven-day period of work. Workers are also entitled to 28 days paid leave each year which can include public and bank holidays. | Y | UK Government | Management Board | Local Partnership Forum | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 28/07/2023 | Policies, SOP's and procedures in place. |
| Board Secretary | Head of Corporate Services | Estates and Environmental | Climate Change Act 2008 | 2008 | Sets a limit on the number of carbon units that may be used to meet the carbon budget which runs up to 2022. Sets out who the climate change levy, which is charged on supplies of electricity, gas and solid fuel, applies to, what is taxable, who is exempt and procedures for registering, returns and tax credits. All organisations that use fossil fuels will have a surcharge added to their fuel bills. The results of global climate change will affect everyone. The UK is committed to the Kyoto Protocol, which aims to limit emissions of greenhouse gases and halt the warming of the Earth's atmosphere. To achieve this, the UK government has put in place financial incentives for UK businesses to use fossil fuels more efficiently, and reduce emissions of carbon dioxide (CO2). One of these incentives is the CCL. | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group Estates and Compliance Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Board Secretary | Head of Corporate Services | Estates and Environmental | Climate Change Levy (General) Regulations 2001 | 2016 | The CCL is a surcharge on your business energy bill. The exact CCL rate depends on the type of fuel used. The CCL does not apply to fuel oils as they are already subject to excise duty. Small businesses on domestic tariffs do not pay the CCL. The CCL is not a 'tax' because the revenue from the CCL will be offset by a 0.3% reduction in employers' National Insurance Contributions. CCL money is also used in a range of incentives to encourage energy efficiency in business, such as: • enhanced capital allowances for energy efficient equipment; • free advice and consultation from The Carbon Trust and the Scottish Energy Efficiency Office; • interest free loans for good quality Combined Heat and Power plant; and • the UK Emissions Trading Scheme. | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |

| | | | | | | | | | | | | | |
|-----------------|----------------------------|---------------------------|----------------------------------------------------------------------|------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---------------|--------------------------------------------------------------------------------------------------------------------------------|-------------------------------|-------------------------------------------|-----------------------|------------|--|
| | | | | | Under domestic law (the Health and Safety at Work etc Act 1974) employers are responsible for ensuring the safety of their employees and others. This responsibility is reinforced by regulations. • The Confined Spaces Regulations 1997 [1] Apply where the assessment identifies risks of serious injury from work in confined spaces. | | | | | | | | |
| Board Secretary | Head of Corporate Services | Health and Safety | Confined Space Regulations 1997 | 1997 | These regulations contain the following key duties: • avoid entry to confined spaces, e.g. by doing the work from the outside; • if entry to a confined space is unavoidable, follow a safe system of work; and • put in place adequate emergency arrangements before the work starts • The Management of Health and Safety at Work Regulations 1999 [2] Require employers and self-employed people to carry out a suitable and sufficient assessment of the risks for all work activities for the purpose of deciding what measures are necessary for safety. For work in confined spaces this means identifying the hazards present, assessing the risks and determining what precautions to take CDM aims to improve health and safety in the industry by helping to: • sensibly plan the work so the risks involved are managed from start to finish • have the right people for the right job at the right time • cooperate and coordinate your work with others • have the right information about the risks and how they are being managed • communicate this information effectively to those who need to know • consult and engage with workers about the risks and how they are being managed | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Board Secretary | Head of Corporate Services | Health and Safety | Construction (Design and Management) (CDM) Regulations 2015 | 2015 | | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Reasonable Assurance | 25/09/2023 | |
| Board Secretary | Head of Corporate Services | Health and Safety | Control of Asbestos at Work Regulations 2012 | 2012 | Requires employers to manage the risks of asbestos within their buildings through a programme of identification, management, training and control. | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Board Secretary | Head of Corporate Services | Health and Safety | Control of Substances Hazardous to Health (COSHH) Regulations 2002 | 2004 | Require employer to identify all chemicals used and to introduce a programme of control and elimination. All items should be assessed and the control measures relating to the use, handling and storage of those substances should be communicated to all affected parties. Employees (and others) who have a potential to come into contact with substances used should be provided with information to safeguard their health and safety | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Board Secretary | Head of Corporate Services | Estates and Environmental | Controlled Waste (England and Wales) Regulations 2012 | 2012 | Defines household, industrial and commercial waste for waste management licensing purposes. | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group Estates and Compliance Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Board Secretary | Head of Corporate Services | Estates and Environmental | CRC Energy Efficiency Scheme 2017 | 2017 | Establishes for the UK a new energy efficiency scheme designed to reduce carbon emissions through improving energy efficiency in public and private sector organisations that consume large amounts of electricity, gas and other fuels. This legislation places legal implications on employers to ensure the safety of electrical devices in the workplace. The regulations dictate that all portable equipment must be inspected regularly and tested to ensure that it is safe for use. Highlights what needs to be done by dutyholders to achieve electrical safety compliance in the work place and minimise the potential for electric shock and fire. It is relevant to all work activities including those involved in design, construction, operation or maintenance of electrical systems and equipment. | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Estates and Compliance Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Board Secretary | Head of Corporate Services | Health and Safety | Electricity at Work Regulations 1989 | 1989 | The purpose of these regulations is to improve the Energy Efficiency of Buildings, reduce Carbon Emissions and reduce the impact of Climate Change. The Energy Performance certificates are produced when buildings are built sold or rented and are displayed for large public buildings, also requires air con inspections are carried out for systems above 12kw. These Regulations, which come into force on 01 April 2022, amends the Energy Performance of Buildings (England and Wales) Regulations 2012, to allow new fees to be set for entering data onto the register, which is required to be maintained by the Secretary of State under regulation 27 of the 2012 Regulations. | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Board Secretary | Head of Corporate Services | Estates and Environmental | Energy Performance of Buildings (England and Wales) Regulations 2022 | 2022 | Fees for entering data onto the register are reviewed regularly so that their levels are set to cover the cost of operating the register. This instrument amends the domestic and non-domestic lodgement fees as follows: the fee for entering data from which an Energy Performance Certificate which relates to a dwelling may be produced, is reduced from £1.64 to £1.50, the fee for entering data from which an Energy Performance Certificate which relates to a building other than a dwelling; a Display Energy Certificate or an Air Conditioning Inspection Report may be produced, is reduced from £1.88 to £1.70 | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group Estates and Compliance Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Reasonable Assurance | 25/09/2023 | |
| Board Secretary | Head of Corporate Services | Estates and Environmental | Environment (Wales) Act 2016 | 2016 | Aims to put in place legislation that will enable Wales' resources to be managed sustainably. | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group Estates and Compliance Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |

| | | | | | | | | | | | | | | | | | | | | |
|-------------------------------|--------------------------------|---------------------------|----------------------------------------------------------------------------|------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|-------------------------------------------|-----------------------|------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|--|--|--|--|--|
| | | | | | establishes the Environment Agency and sets as the regulating bodies for contaminated land, abandoned mines, national parks, control of pollution, conservation of natural resources, conservation or enhancement of the environment, and fisheries. | | | | | | | | | | | | | | | |
| Board Secretary | Head of Corporate Services | Estates and Environmental | Environment Act 2021 | 2021 | The Environment Act 2021 which has been updated from 1995, received Royal Assent on 09 November 2021 to make provision about targets, plans and policies for improving the natural environment; for statements and reports about environmental protection; for the Office for Environmental Protection; about waste and resource efficiency, about air quality; for the recall of products that fail to meet environmental standards; about water; about nature and biodiversity; for conservation covenants; about the regulation of chemicals; and for connected purposes. The Act will form the cornerstone of environmental law for decades to come and as a result of the Environmental Information Regulations 2004 provides public access to environmental information held by the NHS and other Public Authorities. It does this in two ways: The NHS must make environmental information available proactively; and members of the public are entitled to request environmental information from the NHS | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group Estates and Compliance Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | | | | | | | | |
| Board Secretary | Head of Corporate Services | Estates and Environmental | Environmental Information Regulations 2004 (EIR) | 2004 | It does this in two ways: The NHS must make environmental information available proactively; and members of the public are entitled to request environmental information from the NHS | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | | | | | | | | |
| Board Secretary | Head of Corporate Services | Estates and Environmental | Environmental Permitting Regulations 2016 | 2016 | This guidance aims to provide comprehensive help for those operating, regulating or interested in facilities that are covered by the Environmental Permitting | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group Estates and Compliance Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | | | | | | | | |
| Board Secretary | Head of Corporate Services | Estates and Environmental | Environmental Protection (Duty of Care) Regulations 1991 | 1991 | Describes the duty of care of anyone who "imports, produces, carries, keeps, treats or disposes of any controlled waste, or a broker who has control of such waste" | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group Estates and Compliance Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | | | | | | | | |
| Board Secretary | Head of Corporate Services | Estates and Environmental | Environmental Protection Act 1990 | 1990 | Defines within England, Scotland and Wales the legal framework for duty of care for waste, contaminated land and statutory nuisance. All organisations should operate their businesses with due regard to the effects of the process to land, water and air. The Act requires the consideration of the best use of disposal of waste products to land, water and air using the principles of BPEO (Best Practicable Environmental Option) and BATNEEC (Best Available Techniques Not Entailing Excessive Cost). If waste produced is of a specific type or in specified quantities then its generation will be controlled by either the Environmental Agency or the Local Authority who will monitor to | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group Water Safety Group Estates and Compliance Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | | | | | | | | |
| Board Secretary | Head of Corporate Services | Estates and Environmental | European Waste Catalogue | 2019 | The European Waste Catalogue (EWC) is a standardised way of describing waste. The EWC is a list of waste types which categorises wastes based on a combination of what they are, and the process or activity that produces them. | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group Estates and Compliance Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Reasonable Assurance | 25/09/2023 | | | | | | | | |
| Board Secretary | Head of Corporate Services | Estates and Environmental | Facilities Management Standard FMS 001: Facilities Management and Services | 2022 | This standard is part of a suite of operational standards that set expectations for management within government. It should be read in conjunction with the government functional standard for property, Govs 004. Standards may include both mandatory and advisory elements. The standard includes a maturity tool assessment, which has been conducted to identify areas for improvement. Designed to reduce emissions of fluorinated greenhouse gases (F-gases), used predominantly in the refrigeration and air conditioning sectors and which make a significant contribution to climate change | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group Estates and Compliance Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | | | | | | | | |
| Board Secretary | Head of Corporate Services | Estates and Environmental | Fluorinated Greenhouse Gases Regulations 2021 | 2021 | An amendment to these Regulations, which come into force on 25 May 2021, corrects deficiencies in two European Union Implementing Regulations relating to restrictions on the use of fluorinated greenhouse gases (F-gases) specifically Regulation (EU) 2019/661 and Regulation (EU) No 1191/2014. These corrections are necessary to ensure that the legislation continues to operate effectively following the United Kingdom's exit from the EU and now that the Transition Period has ended | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group Estates and Compliance Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | | | | | | | | |
| Executive Director of Finance | Head of Quality and Regulatory | Quality | Government of Wales Act 2006 - Welsh Public Records | 2006 | Part 6 'Miscellaneous and supplementary' of the Act covers the Status of Welsh public records, Transfer of responsibility and Meaning of "Welsh public records" | TBD | Welsh Government | TBD | TBD | TBD | TBD | ? | 28/09/2023 (PE) - Under review for ownership at the moment. Updates will be provided once this has been agreed. Request to add to Register agreed by Quality & Regulatory Group 3/2/23 see CC-SMS-2. More work to do on this as part of document management strategy work, so more info needed elsewhere will follow | | | | | | | |
| Board Secretary | Head of Corporate Services | Estates and Environmental | Hazardous Waste (England and Wales) Regulations 2005 | 2018 | These Regulations set out the regime for the control and tracking of the movement of hazardous waste for the purpose of implementing the Hazardous Waste Directive (Directive 91/689/EC). The Regulations extend to England and Wales although the only provisions that apply to Wales are modifications to the Environmental Protection Act 1990 contained in Part 11. | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group Estates and Compliance Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | | | | | | | | |
| Board Secretary | Head of Corporate Services | Health and Safety | Health & Safety (First aid) Regulations 1981 | 2013 | Cover the employers responsibility for providing suitable and sufficient first aid equipment along with a trained member of staff to administer first aid. | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | | | | | | | | |
| Board Secretary | Head of Corporate Services | Health and Safety | Health and Safety (Consultation with Employees) Regulations 1996 | 1996 | Employers are required to establish methods of communication with employees through representatives of employee safety to communicate on Health Safety and welfare issues. Require employer to identify all hazards associated with the use of DSE and to introduce a programme of control and elimination. All computer workstations should be assessed and the control measures and relevant information communicated to all affected parties. Employees (and others) who use computer workstations should be provided with information to safeguard their health and safety. | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | | | | | | | | |

| | | | | | | | | | | | | |
|----------------------------------|--------------------------------|---------------------------|---------------------------------------------------------------------------------|------|---|-------------------|--------------------------------------------------------------------------------------------|----------------------------------------------|-------------------------------------------|-----------------------|------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Board Secretary | Head of Corporate Services | Health and Safety | Health and Safety (Safety Signs and Signals) Regulations 1996 | 1996 | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Board Secretary | Head of Corporate Services | Health and Safety | Health and Safety at Work, etc Act 1974 | 1974 | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Board Secretary | Head of Corporate Services | Health and Safety | Health and Safety Information for Employees Regulations 1989 | 1989 | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Executive Director of Finance | Head of Quality and Regulatory | Quality | Health and Social Care (Quality and Engagement Act) (Wales) - Duty of Quality | | Y | Welsh Government | Q&R Group | Management Board Audit & Assurance Committee | HIW | Reasonable Assurance | 26/07/2023 | During implementation period a joint report covering progress on implementation of both duties is provided monthly to Welsh Government and DHCW Management Board |
| Board Secretary | Head of Corporate Services | Estates and Environmental | ISO14001:2015 Environmental Management | 2015 | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Estates and Compliance Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Executive Director of Operations | Head of Service Management | Service Management | ISO20000:2018 IT Service Management | 2018 | Y | British Standards | SMS Practice Leads Group External and Internal ISO Audit | IMS Assurance Group | Q&R Group | Substantial Assurance | 15/09/2023 | Recertification to ISO 20000 achieved in July 2023 with 4 minor non conformities and 12 opportunities for improvement. These are being addressed |
| Board Secretary | Head of Corporate Services | Health and Safety | ISO45001 Occupational Health and Safety Management 2015 | 2015 | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Executive Director of Finance | Head of Quality and Regulatory | Quality | ISO9001:2015 Quality Management | 2015 | Y | UK Government | External & Internal ISO Audit | IMS Assurance Group | Q&R Group | Substantial Assurance | 26/07/2023 | Recertification to ISO 9001 achieved in January 2023 with one minor non-conformity raised. This is being addressed. |
| Board Secretary | Head of Corporate Services | Health and Safety | Legionnaires Disease - The Control of Legionella Bacteria in Water Systems (L8) | 2013 | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Board Secretary | Head of Corporate Services | Health and Safety | Lifting Operations and Lifting Equipment Regulations (LOLER) 1998 | 1998 | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Board Secretary | Head of Corporate Services | Health and Safety | Management of Health and Safety at Work Regulations 1999 | 2006 | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Board Secretary | Head of Corporate Services | Health and Safety | Manual Handling Operations Regulations 1992 | 2002 | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |

| | | | | | | | | | | | | |
|-------------------------------|----------------------------|---------------------------|--------------------------------------------------------------|------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|------------------|--------------------------------------------------------------------------------------------------------------------------|-------------------------------|-------------------------------------------|-----------------------|------------|
| Board Secretary | Head of Corporate Services | Estates and Environmental | NHS Wales Decarbonisation Strategic Delivery Plan 2021-2030 | 2021 | <p>In 2019 Welsh Government declared a Climate Emergency for Wales to highlight the need for more action to meet the climate change challenge. As part of this, Welsh Government have re-enforced the ambition for the Public Sector in Wales to be carbon neutral by 2030.</p> <p>In response to this NHS Wales has developed a Decarbonisation Strategic Delivery Plan, which has clear targets to reduce emissions from NHS Wales. There are targets for the following activity streams; Building Energy (new and old buildings); Procurement; Travel; Land use and Healthcare provision.</p> <p>The Strategic Delivery Plan is a framework that sets out the actions NHS organisations should look to take to reduce their carbon footprint. Whilst there are elements in the Strategic Delivery Plan that it is strongly advised are followed there is a significant degree of flexibility. The Plan also identifies that each NHS organisation must develop their own Decarbonisation Strategic Delivery plan.</p> | Y | Welsh Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 |
| Board Secretary | Head of Corporate Services | Estates and Environmental | Ozone-Depleting Substances Regulations 2015 | 2015 | <p>Amends qualifications needed to recover, recycle or destroy substances. Makes it an offence to, or employ someone to, work with controlled substances or methyl bromide unless qualified.</p> <p>POPs are chemicals which cause harm to human and animal life, and do not break down in the natural environment. Instead, they bioaccumulate up the food chain. Many chemicals have been classified as POPs including a range of pesticides, dioxins and furans. The POPs likely to be found in WEEE are brominated flame retardants such as deca-BDE; these have been added to the plastic to reduce the risk of the items catching fire. The new EU law arises out of concern that if these WEEE-derived plastics are recycled into food containers or toys, members of the public could be put at risk through exposure to POPs, which can be particularly harmful to young children's development.</p> <p>Under the new legislation, waste which contains POPs above specified thresholds must be destroyed or transformed in a way that would destroy the POPs. This implies high temperature incineration or combustion in a cement kiln. A 2019 study by the Industry Council for Electronic Equipment Recycling (ICER) found that levels of brominated flame retardants in many items of WEEE were above the thresholds. As a result of this discovery, the Environment Agency issued guidance in October 2019 stating that any plastics from WEEE which are likely to contain POPs must not be recycled. Additionally, once the item has been discarded and therefore become waste, it cannot be reused even if it is in good working order.</p> <p>The implication for business waste producers is that when display screens or small household items become waste, they must be kept separately from other waste in a dedicated storage area or container. Waste management companies will often supply a hazardous waste storage container as part of their collection service. The Hazardous Waste Regulations 2005 prohibit the mixture of hazardous with non-hazardous waste.</p> <p>As part of your waste Duty of Care, you must ensure that any hazardous waste is taken to a facility that has an appropriate permit. You will need to sign a hazardous waste consignment note when the waste is removed from your premises. Any POPs present in the waste must be listed on the waste description.</p> <p>The items most likely to contain unacceptable levels of POPs are: Require the provision and training of suitable PPE for its employees when identified by a risk assessment. Should be supplied free of charge.</p> <p>These Regulations, which come into force on 06 April 2022, amend the Personal Protective Equipment at Work Regulations (the PPER 1992) to extend employers' and employees' duties in respect of Personal Protective Equipment (PPE) to a wider group of workers, defined to include those who have more casual employment relationships than employees. The instrument will also update references to other legislation contained in the PPER 1992.</p> <p>PPER is defined in the PPER 1992 as 'all equipment (including clothing affording protection against the weather) which is intended to be worn or held by a person at work and which protects the person against one or more risks to that person's health or safety, and any addition or accessory designed to meet that objective.'</p> <p>Currently UK health and safety legislation does not have a definition of worker. Worker is defined in section 230(3) Employment Rights Act 1996. The definition has two limbs, limb (a) and limb (b). Those captured by limb (a) are employees under the Health and Safety at Work Act 1974 (HSWA) and are already in scope of the PPER 1992. Limb (b) captures those who generally have a more casual employment relationship and work under a contract for services; this group are known as limb (b) workers and do not currently come under the scope of the PPER 1992. This instrument creates its own definition of worker.</p> <p>Sets out requirements of employer in relation to the provision and safe use of work equipment, including mobile work equipment, that may be routinely used by employees. Includes requirements for selection, training, maintenance, storage and disposal.</p> | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group Estates and Compliance Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Reasonable Assurance | 25/09/2023 |
| Executive Director of Finance | Head of Corporate Services | Estates and Environmental | Persistent Organic Pollutants 2019 | 2019 | <p>Under the new legislation, waste which contains POPs above specified thresholds must be destroyed or transformed in a way that would destroy the POPs. This implies high temperature incineration or combustion in a cement kiln. A 2019 study by the Industry Council for Electronic Equipment Recycling (ICER) found that levels of brominated flame retardants in many items of WEEE were above the thresholds. As a result of this discovery, the Environment Agency issued guidance in October 2019 stating that any plastics from WEEE which are likely to contain POPs must not be recycled. Additionally, once the item has been discarded and therefore become waste, it cannot be reused even if it is in good working order.</p> <p>The implication for business waste producers is that when display screens or small household items become waste, they must be kept separately from other waste in a dedicated storage area or container. Waste management companies will often supply a hazardous waste storage container as part of their collection service. The Hazardous Waste Regulations 2005 prohibit the mixture of hazardous with non-hazardous waste.</p> <p>As part of your waste Duty of Care, you must ensure that any hazardous waste is taken to a facility that has an appropriate permit. You will need to sign a hazardous waste consignment note when the waste is removed from your premises. Any POPs present in the waste must be listed on the waste description.</p> <p>The items most likely to contain unacceptable levels of POPs are: Require the provision and training of suitable PPE for its employees when identified by a risk assessment. Should be supplied free of charge.</p> <p>These Regulations, which come into force on 06 April 2022, amend the Personal Protective Equipment at Work Regulations (the PPER 1992) to extend employers' and employees' duties in respect of Personal Protective Equipment (PPE) to a wider group of workers, defined to include those who have more casual employment relationships than employees. The instrument will also update references to other legislation contained in the PPER 1992.</p> <p>PPER is defined in the PPER 1992 as 'all equipment (including clothing affording protection against the weather) which is intended to be worn or held by a person at work and which protects the person against one or more risks to that person's health or safety, and any addition or accessory designed to meet that objective.'</p> <p>Currently UK health and safety legislation does not have a definition of worker. Worker is defined in section 230(3) Employment Rights Act 1996. The definition has two limbs, limb (a) and limb (b). Those captured by limb (a) are employees under the Health and Safety at Work Act 1974 (HSWA) and are already in scope of the PPER 1992. Limb (b) captures those who generally have a more casual employment relationship and work under a contract for services; this group are known as limb (b) workers and do not currently come under the scope of the PPER 1992. This instrument creates its own definition of worker.</p> <p>Sets out requirements of employer in relation to the provision and safe use of work equipment, including mobile work equipment, that may be routinely used by employees. Includes requirements for selection, training, maintenance, storage and disposal.</p> | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group Estates and Compliance Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Reasonable Assurance | 25/09/2023 |
| Executive Director of Finance | Head of Corporate Services | Health and Safety | Personal Protective Equipment (PPE) at Work Regulations 1992 | 2002 | <p>PPER is defined in the PPER 1992 as 'all equipment (including clothing affording protection against the weather) which is intended to be worn or held by a person at work and which protects the person against one or more risks to that person's health or safety, and any addition or accessory designed to meet that objective.'</p> <p>Currently UK health and safety legislation does not have a definition of worker. Worker is defined in section 230(3) Employment Rights Act 1996. The definition has two limbs, limb (a) and limb (b). Those captured by limb (a) are employees under the Health and Safety at Work Act 1974 (HSWA) and are already in scope of the PPER 1992. Limb (b) captures those who generally have a more casual employment relationship and work under a contract for services; this group are known as limb (b) workers and do not currently come under the scope of the PPER 1992. This instrument creates its own definition of worker.</p> <p>Sets out requirements of employer in relation to the provision and safe use of work equipment, including mobile work equipment, that may be routinely used by employees. Includes requirements for selection, training, maintenance, storage and disposal.</p> | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 |
| Executive Director of Finance | Head of Corporate Services | Health and Safety | Provision and Use of Work Equipment Regulations (PUWER) 1998 | 1998 | <p>Sets out requirements of employer in relation to the provision and safe use of work equipment, including mobile work equipment, that may be routinely used by employees. Includes requirements for selection, training, maintenance, storage and disposal.</p> | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 |

| | | | | | | | | | | | | |
|-------------------------------|----------------------------|---------------------------|------------------------------------------------------------------------------------------------------------------------------------------|------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---------------|---------------------------------------------------------------|-------------------------------|-------------------------------------------|-----------------------|------------|
| Executive Director of Finance | Head of Corporate Services | Health and Safety | Regulatory Reform (Fire Safety) Order 2005 | 2005 | <p>The Regulatory Reform (Fire Safety) Order 2005 covers general fire safety in England and Wales.</p> <p>In the majority of premises, local fire and rescue authorities are responsible for enforcing this fire safety legislation. HSE has enforcement responsibility on construction sites, for nuclear premises, and on ships under construction or undergoing repair.</p> <ul style="list-style-type: none"> Carry out a fire safety risk assessment Keep sources of ignition and flammable substances apart Avoid accidental fires, e.g. make sure heaters cannot be knocked over Ensure good housekeeping at all times, e.g. avoid build-up of rubbish that could burn Consider how to detect fires and how to warn people quickly if they start, e.g. installing smoke alarms and fire alarms or bells Have the correct fire-fighting equipment for putting a fire out quickly Keep fire exits and escape routes clearly marked and unobstructed at all times Ensure your workers receive appropriate training on procedures they need to follow, including fire drills Review and update your risk assessment regularly | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 |
| Executive Director of Finance | Head of Corporate Services | Health and Safety | Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013 | 2013 | RIDDOR requires employers to report certain prescribed accidents and incidents to the enforcing authority by approved means and within allotted timescales | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 |
| Executive Director of Finance | Head of Corporate Services | Health and Safety | Safety Reps and Safety Committee Regulations 1977 | 1977 | Employers are required to establish methods of communication with employees through appointed TU officials on Health Safety and welfare issues. They must also establish a H&S committee if requested by two or more of these officials. Employers should support the TU appointed officials in the outset of their functions. Prohibit smoking in enclosed public places, work places and work vehicles. Failing to display No Smoking signs is also an offence. The smoking ban applies to anything that can be smoked. This would therefore include cigarettes, pipes (including shisha and hookah pipes), cigars and herbal cigarettes. The premises covered by the ban are essentially anywhere with a roof and which are enclosed by more than 50% walls – so that could include covered walkways in shopping malls etc. as well as shops, pubs and workplaces etc. The ban also covers work vehicles, including taxis. | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 |
| Executive Director of Finance | Head of Corporate Services | Health and Safety | Smoke Free Premises (Wales) Regulations 2007 | 2007 | There is no legal requirement to provide smoking shelters, but if they are provided: <ul style="list-style-type: none"> The space covered by the roof of the shelter must only be enclosed by 50% or less of wall area. Planning consent will be required for any form of permanent smoking shelter, and approval from the Licensing team may also be required for any licensed premises. | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 |
| Executive Director of Finance | Head of Corporate Services | Estates and Environmental | The Cleaner Road Transport Vehicles (EU Exit) regulations 2020 | 2020 | These regulations are designed to ensure that after the EU Exits transition period ends, the public procurement of vehicles in the UK continues to be regulated in a manner that is at least as ambitious as current arrangements. | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Reasonable Assurance | 25/09/2023 |
| Executive Director of Finance | Head of Corporate Services | Estates and Environmental | The Climate Change Agreements, CRC Energy Efficiency Scheme and Energy Savings Opportunity Scheme (Amendment) (EU Exit) Regulations 2020 | 2020 | These regulations, which come into force immediately before the implementation period completion day, make amendments in consequence of the European Union (Withdrawal Agreement) Act 2020. This instrument, made under the power in section 41(1) of the European Union (Withdrawal Agreement) Act 2020 (the WAA), replaces references to 'exit day' with references to 'IP completion day' in the Climate Change Agreements (Amendment of Agreements) (EU Exit) Regulations 2018, the CRC Energy Efficiency Scheme (Amendment) (EU Exit) Regulations 2018 and the Energy Savings Opportunity Scheme (Amendment) (EU Exit) Regulations 2018. The instrument also amends the Energy Savings Opportunity Scheme (Amendment) (EU Exit) Regulations 2018 to retain the provision in the Energy Savings Opportunity Scheme Regulations 2014 for converting the financial threshold to euros with respect to a qualification date that falls on or after 1 April 2022. This Act, which received Royal Assent on 29 April 2021, makes provision about the application of the Regulatory Reform (Fire Safety) Order 2005 in England and Wales where a building contains two or more sets of domestic premises; and to confer power to amend that order in future for the purposes of changing the premises to which it applies. In summary, the act: <ul style="list-style-type: none"> *Amends the FSO to require all Responsible Persons (i.e. The relevant duty holder under the legislation and note there may be more than one) to assess, manage and reduce the fire risks posed by the structure and external walls of the buildings for which they are responsible (including cladding, balconies and windows) and individual doors opening onto common parts of the building; *Applies to all multi-occupied residential buildings and is not dependent on the height of the building; and *Allows the Fire and Rescue Service to enforce against non-compliance in relation to the external walls and the individual doors opening onto the common parts of the premises. *It must be noted that the Act does not address remediation costs in relation to cladding or its removal. | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 |
| Executive Director of Finance | Head of Corporate Services | Estates and Environmental | The Landfill Disposals Tax (Tax Rates) (Wales) (Amendment) Regulations 2021 | 2021 | These Regulations, which come into force on 01 April 2022, prescribe the standard rate, lower rate and unauthorised disposals rate for landfill disposals tax chargeable on taxable disposals (within the meaning of Part 2 of the Landfill Disposals Tax (Wales) Act 2017) made on or after 1 April 2022. The new rates are as follows: <ul style="list-style-type: none"> The standard rate is £98.60 per tonne; The lower rate is £3.15 per tonne; and The unauthorised disposals rate is £147.90 per tonne. Taxable disposals made on or after 1 April 2021 but before 1 April 2022 will remain subject to rates set by the Landfill Disposals Tax (Tax Rates) (Wales) (Amendment) (No. 2) Regulations 2020 as a result of the amendment made by regulation 4 of these Regulations. | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 |

| | | | | | | | | | | | | | |
|----------------------------------|--------------------------------------|---------------------------|-------------------------------------------------------------------------|------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---------------|--------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------|-------------------------------------------------------|-----------------------|------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Executive Director of Finance | Head of Quality and Regulatory | Patient/Citizen safety | UK Medical Device Regulations 2002 SI 618 (as amended) | 2002 | <p>The UK Medical Devices Regulations 2002 SI 618 is the set of rules and guidelines that regulate the sale, supply, and use of medical devices in the UK. The key requirements of these regulations include:</p> <ol style="list-style-type: none"> 1.Registration of manufacturers: Manufacturers of medical devices must register with the competent authority (MHRA) before they can market their products in the UK. 2.Classification of medical devices: Medical devices are classified into different categories based on the level of risk associated with their use. The higher the risk, the more stringent the requirements for regulatory compliance. 3.Conformity assessment: All medical devices must undergo a conformity assessment procedure to ensure that they meet the essential requirements of safety and performance. 4.Post-market surveillance: Manufacturers must monitor the performance of their devices in the market and report any adverse events or incidents to the MHRA. 5.Labeling and instructions for use: Medical devices must be labelled with clear and concise instructions for use, including any warnings or precautions. 6.Quality system: Manufacturers must have a quality management system in place to ensure that their products meet the required standards and that they are consistently manufactured to the same specifications. 7.Clinical investigations: Manufacturers must conduct clinical investigations to demonstrate the safety and efficacy of their devices before they are placed on the market. 8.Vigilance: Manufacturers must have a system in place to collect and evaluate information on the performance of their devices in the market and take appropriate action if necessary. 9.Notified bodies: Notified bodies are independent organizations that are responsible for assessing the conformity of medical devices. Manufacturers must use a notified body to carry out the conformity assessment for higher risk devices. <p>Overall, the UK Medical Devices Regulations 2002 SI 618 are designed to ensure that medical devices are safe and effective and that they meet the required standards of quality and performance.</p> <p>Measures are to be taken to prevent waste generation and to monitor and assess the implementation of those measures. These measures must be included in waste prevention programmes. Requirements for separate collection of waste are amended to provide detail on the circumstances under which separate collection of waste isn't necessary to ensure that waste undergoes preparing for reuse, recycling, or recovery. Amendments will ensure that waste collected separately for preparing for re-use or recycling is not incinerated or landfilled, except for waste resulting from subsequent treatment operations of the separately collected waste for which incineration or landfilling delivers the best environmental outcome in accordance with the waste hierarchy.</p> <p>These regulations implement the revised EU Waste Framework Directive 2008/98 which sets requirements for the collection, transport, recovery and disposal of waste. In summary The Waste (England and Wales) Regulations 2011 require businesses to confirm that they have applied the waste management hierarchy when transferring waste and include a declaration to this effect on their waste transfer note or consignment note.</p> <p>To implement Commission Directive (EU) 2015/1127 amending Annex II to Directive 2008/98/EC which provides the legislative framework for the collection, transport, recovery and disposal of waste, and includes a common definition of waste.</p> <p>It explains the requirements of the Waste Electrical and Electronic Equipment (WEEE) Regulations 2013 on business, how to comply with the law and provides sources of further information.</p> <p>The purpose of the work at height regulations 2005 is to prevent death and injury caused by a fall from height. If you are an employer or you control work at height (for example facilities managers or building owners who may contract others to work at height) the Regulations apply to you. Employers and those in control of any work at height activity must make sure work is properly planned, supervised and carried out by competent people. This includes using the right type of equipment for working at height. Low-risk, relatively straightforward tasks will require less effort when it comes to planning. Employers and those in control must first assess the risks. Employees have general legal duties to take reasonable care of themselves and others who may be affected by their actions, and to co-operate with their employer to enable their health and safety duties and requirements to be complied with.</p> <p>These regulations cover a range of basic safety, health and welfare issues such as ventilation, heating, lighting, workstations, seating and welfare facilities relating to the office. Employers must ensure adequate welfare facilities on sites such as access to toilets and clean water, suitable ventilation, lighting, workstations, etc.</p> <p>The Computer Misuse Act 1990 is an act of the UK parliament passed in 1990. The act is designed to frame legislation and controls over computer crime and internet fraud. The legislation was created to criminalise unauthorised access to computer systems and deter criminals from using a computer in the commissioning of a criminal offence or seek to hinder electronic access to data stored on a computer.</p> <p>The Copyright, Designs and Patents Act (CDPA) defines and regulates copyright law in the UK. CDPA categorises the different types of works that are protected by copyright,</p> <p>The Digital Economy Act regulates the use of digital media in the UK. It deals with issues such as online copyright infringement and the obligations that internet service providers (ISPs) have to tackle online copyright infringement.</p> | Y | UK Government | Medical Devices and Alerts Group | Quality & Regulatory Group Management Board Audit & Assurance Committee | MHRA | Reasonable Assurance | 26/07/2023 | Legislation is currently under review, this will impact Software as a Medical Device. Quality Team are developing processes to ensure DHCW will comply with the new legislation |
| Executive Director of Finance | Head of Corporate Services | Estates and Environmental | Waste (Circular Economy) Regulations 2020 | 2020 | | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Executive Director of Finance | Head of Corporate Services | Estates and Environmental | Waste (England and Wales) Regulations 2011 | 2011 | | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group Estates and Compliance Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Executive Director of Finance | Head of Corporate Services | Estates and Environmental | Waste (Meaning of Recovery) (Miscellaneous Amendments) Regulations 2016 | 2016 | | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group Estates and Compliance Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Executive Director of Finance | Head of Corporate Services | Estates and Environmental | Waste Electrical and Electronic Equipment Regulations 2013 | 2013 | | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings Decarbonisation Working Group Estates and Compliance Group | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Executive Director of Finance | Head of Corporate Services | Health and Safety | Work at Height Regulations 2005 | 2005 | | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Executive Director of Finance | Head of Corporate Services | Health and Safety | Workplace (Health, Safety and Welfare) Regulations 1992 | 1992 | | Y | UK Government | SHE Group, Management Board, FBA Directorate Monthly Meetings | Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 25/09/2023 | |
| Executive Director of Operations | Assistant Director of Cyber Security | Security | Computer Misuse Act | 1990 | | Y | UK Government | Combination of Directorate Meetings, IMS Assurance Group, Q&R Group, Incident Review and Learning Group. | SHA Board, Digital Governance and Safety Committee, Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 12/07/2023 | |
| Executive Director of Operations | Assistant Director of Cyber Security | Security | Copyright, Designs and Patents Act | 1988 | | Y | UK Government | Combination of Directorate Meetings, IMS Assurance Group, Q&R Group, Incident Review and Learning Group | SHA Board, Digital Governance and Safety Committee, Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 12/07/2023 | |
| Executive Director of Operations | Assistant Director of Cyber Security | Security | Digital Economy Act 2010 | 2010 | | Y | UK Government | Combination of Directorate Meetings, IMS Assurance Group, Q&R Group, IT Asset management Group, Welsh Information Assurance | SHA Board, Digital Governance and Safety Committee, Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit, Regulators | Substantial Assurance | 12/07/2023 | |

| | | | | | | | | | | | | | |
|----------------------------------|----------------------------------------------|-----------------------------------|------------------------------------------------------------------------------------------------|------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|--------------------|--------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------|-------------------------------------------------------|-----------------------|------------|--------------------------------------------------------------------------------------------------------|
| Executive Director of Operations | Assistant Director of Cyber Security | Security | ISO27001:2013 Security Management | 2013 | ISO/IEC 27001 is widely known, providing requirements for an information security management system (ISMS), though there are more than a dozen standards in the ISO/IEC 27000 family. Using them enables organizations of any kind to manage the security of assets such as financial information, intellectual property, employee details or information entrusted | Y | UK Government | Combination of Directorate Meetings, IMS Assurance Group, Q&R Group, Incident Review and Learning Group, | SHA Board, Digital Governance and Safety Committee, Audit | Internal Audit, ISO/BS Audit | Reasonable Assurance | 12/07/2023 | Action plans in place and nonconformities or opportunities for improvement are tracked internally. |
| Executive Director of Operations | Assistant Director of Cyber Security | Security | Malicious Communications Act | 1988 | The Malicious Communications Act makes it illegal to "send or deliver letters or other articles for the purposes of causing stress or anxiety". This also applies to electronic communications such as emails and messages via social networking websites. | Y | UK Government | | | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 24/03/2023 | |
| Executive Director of Operations | Assistant Director of Cyber Security | Security | Official Secrets Act | 1989 | Members or staff may at times be required to sign an Official Secrets Act provision where their work relates to security, defence or international relations. Unauthorised disclosures are likely to result in criminal prosecution. | Y | UK Government | Combination of Directorate Meetings, IMS Assurance Group, Q&R Group, Incident Review and Learning Group, | SHA Board, Digital Governance and Safety Committee, Audit | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 12/07/2023 | |
| Executive Director of Operations | Assistant Director of Cyber Security | Security | Privacy and Electronic Communications Regulations | 2003 | Section 8 of the Act makes it a criminal offence for a government contractor to retain information that is not necessary for the purposes of the contract. | Y | UK Government | Combination of Directorate Meetings, IMS Assurance Group, Q&R Group, Incident Review and Learning Group, Welsh Informatics Assurance Group | SHA Board, Digital Governance and Safety Committee, Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit, Regulators | Substantial Assurance | 12/07/2023 | |
| Executive Director of Operations | Assistant Director of Cyber Security | Security | Regulation of Investigatory Powers Act (RIPA) and Lawful Business Practices Regulations (2000) | 2000 | RIPA regulates the powers of public bodies to carry out surveillance and investigation and also deals with the interception of communications. In certain circumstances as contained in the Information Commissioner's code of practice on staff data the organisation may, in a proportionate manner, view personal e-mails as legislation or the Company's disciplinary procedures permit. In such circumstances the Regulation of Investigatory Powers Act (RIPA) SDI's Service Desk Certification (SDC) programme is the only industry standard based accreditation programme designed specifically to certify service desk quality. The Global Best Practice Standard for Service Desk provides a set of clear and measurable benchmarks for IT service operations; some of which may not be found within other frameworks and standards such as ITIL or ISO/IEC 20000. | Y | UK Government | Combination of Directorate Meetings, IMS Assurance Group, Q&R Group, Incident Review and Learning Group, Welsh Informatics | SHA Board, Digital Governance and Safety Committee, Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit | Substantial Assurance | 12/07/2023 | |
| Executive Director of Operations | Head of Service Desk | Client Services | Service Desk Institute Certification | 2020 | To achieve Certification, the maturity level of your service and support operation is audited against the Best Practice Standard. SDI's experienced auditors will assess your compliance with the Standard and verify the level your service is operating at to award a reactive, proactive, customer led or business led status. | Y | Service Desk Inst | Directorate Meetings | | External Audit | Substantial Assurance | 24/03/2023 | |
| Executive Director of Operations | Assistant Director of Cyber Security | Security | The Network and Information Systems Regulations 2018 | 2018 | The EU Security of Networks & Information Systems (NIS) Directive aims to raise levels of cyber security and resilience of key systems across the EU. Its implementation in the UK is led by DCMS, and it was transposed into UK law in May 2018 via the NIS regulations. The NCSC has supported the introduction of the NIS regulations in a number of different ways, including via making available some resources for organisations affected by the regulations. | Y | Cyber Resilience U | Combination of Directorate Meetings, IMS Assurance Group, Q&R Group, Incident Review and Learning Group, Welsh Informatics Assurance Group | SHA Board, Digital Governance and Safety Committee, Audit and Assurance Committee | Audit Wales, Internal Audit, ISO/BS Audit, Regulators | Reasonable Assurance | 12/07/2023 | Action plans in place and nonconformities or opportunities for improvement are tracked internally. |
| Executive Director of Strategy | Assistant Director of Planning | Planning & Service Transformation | Civil Contingencies Act | 2004 | The Act has established a statutory framework for civil protection at local level. Local Responders are categorised into two main groups, Category 1 and Category 2 Responders. It has been confirmed that while NHS Wales Special Health Authorities are not currently covered by the Act DHCW has been formally directed (under the powers of the NHS Wales Act) to continue to undertake risk assessments, maintain and regularly test emergency response and | Yes | Welsh Governme | Business Continuity Planning Group | Audit and Assurance Committee | Management Board | reasonable assurance | 19/09/2023 | Reasonable assurance stated in line with initial assessment pending full review |
| Executive Director of Strategy | Assistant Director of Planning | Planning & Service Transformation | ISO 22301 Business Continuity | 2014 | ISO 22301 details good practice to help organisations plan, respond and recover from disruptions effectively. It complements the NHS Core Guidance and Civil Contingencies Act along with sharing a high level structure with other ISO management systems such as ISO 9001 and ISO 14001 the framework is designed to facilitate the integration of new management topics into an organisation's established management process. Whilst DHCW has not as yet been accredited with ISO 22031, it is formally aligning its activities to the principles. | Yes | NA at moment a | Business Continuity Planning Group | Audit and Assurance | Management Board | Reasonable assurance | 19/09/2023 | Reasonable assurance stated in line with initial assessment pending full review |
| Executive Director of Strategy | Assistant Director of Planning | Planning & Service Transformation | National Health Service (Wales) Act 2006 | 2006 | It has been confirmed that while NHS Wales special Health Authorities are not currently covered by the provisions of the Civil Contingencies Act, that Welsh Government expects Digital Health Care Wales (DHCW) continued engagement and participation in emergency and contingency planning for Wales, as provided by NHS Wales Informatics Service as a function hosted through Velindre NHS Trust. As such DHCW have been formally Directed (under the powers of the NHS Wales Act) to continue to: | Yes | Welsh Governme | Business Continuity Planning Group | Audit and Assurance | Management Board | Reasonable Assurance | 19/09/2023 | |
| Executive Director of Strategy | Assistant Director of Planning | Planning & Service Transformation | NHS Emergency Planning Core Guidance | 2015 | The guidance contains principles for effective health emergency planning. It sets out the requirements on NHS Organisations in developing their ability to respond to a major incident or emergency and to manage recovery whether the effects are local, regional or national. The guidance is built on good practice and shared knowledge and intended as a platform for ALL Welsh NHS Organisations to undertake emergency planning and associated activities within the context of the Civil Contingencies Act detailed above, and the NHS Wales Performance Management Framework delivering Health Care Standards for Wales. | Yes | Welsh Governme | Business Continuity Planning Group | Audit and Assurance Committee | Management Board | Reasonable assurance | 19/09/2023 | Reasonable assurance stated in line with initial assessment pending full review |
| Executive Medical Director | Associate Director of Information Governance | Patient/Citizen safety | The Fundamentals of Care Standards (2003) | 2003 | Fundamentals of Care is a Welsh Assembly Government initiative included in the Plan for Wales as part of "Improving Health and Care Services" | | | | | | | | |
| Executive Medical Director | Associate Director of Information Governance | Information Governance | BS 10008 Evidential Weight and Legal Admissibility of Electronic Information | 2014 | BS 10008 is the British Standard that outlines best practice for the implementation and operation of electronic information management systems, including the storage and transfer of information | Y | DG&S Committee | | DHCW Board | Audit Wales | Substantial Assurance | 25/09/2023 | Audited by British Standards representatives as part of the DHCW overall Standards compliance function |

| | | | | | | | | | | | | | |
|----------------------------|----------------------------------------------|------------------------|-------------------------------------------------------------------------------|------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|----------------------------------|----------------|------------|----------------------------------|-----------------------|------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Executive Medical Director | Associate Director of Information Governance | Information Governance | Computer Misuse Act 1990 | 1990 | The Computer Misuse Act 1990 is an act of the UK Parliament passed in 1990. The Act is designed to frame legislation and controls over computer crime and internet fraud. The legislation was created to criminalise unauthorised access to computer systems and deter criminals from using a computer in the commissioning of a criminal offence or seek to hinder or impair access to data stored on a computer | Y | UK Government | DG&S Committee | DHCW Board | Audit Wales | Substantial Assurance | 25/09/2023 | Linked to compliance with the Data Protection Act 2018 and the UK General Data Protection Regulations (GDPR) |
| Executive Medical Director | Associate Director of Information Governance | Information Governance | Control of Patient Information Regulations 2002 | 2002 | Regulation 4 requires that anything done by a person that is necessary for the purpose of processing confidential patient information in accordance with the Regulations is taken to be lawfully done, despite any obligation of confidence owed by that person in respect of it | Y | UK Government | DG&S Committee | DHCW Board | Audit Wales | Reasonable Assurance | 25/09/2023 | Corporate Action remains as part of the Data Promise actions and a review of what S251 means for in the context of devolved responsibilities of Welsh Ministers to override the Common Law Duty of Confidentiality (as currently resides with the Sec State for Health in England) |
| Executive Medical Director | Associate Director of Information Governance | Information Governance | Data Protection Act 2018 | 2018 | The DPA 2018 sets out the framework for data protection law in the UK. It updates and replaces the Data Protection Act 1998, and came into effect on 25 May 2018. It was amended on 01 January 2021 by regulations under the European Union (Withdrawal) Act 2018, to reflect the UK's status outside the EU | Y | Information Commissioners Office | DG&S Committee | DHCW Board | Audit Wales | Substantial Assurance | 25/09/2023 | On March 2023 the UK Gov presented a new version of the UK Data Protection and Digital Bill No2 - the new bill aims to alleviate the burden of compliance with the UK GDPR and its implementing UK Data Protection Act 2018 - The Bill is currently on its move across the various houses within parliament before receiving royal assent which is likely at some point in 2024 |
| Executive Medical Director | Associate Director of Information Governance | Patient/Citizen safety | Doing Well, Doing Better: Standards for Health Services in Wales (2010) | 2010 | These standards come into force from 1 April 2010 and replace the 'Healthcare Standards for Wales (2005)'. They address the provision in Section 47 of the Health and Social Care (Community Health and Standards) Act 2003 for Welsh Ministers to prepare and publish statements of standards. | | | | | | | | |
| Executive Medical Director | Associate Director of Information Governance | Information Governance | Freedom of Information Act 2000 | 2000 | The Freedom of Information Act 2000 provides public access to information held by the NHS and other Public Authorities. It does this in two ways: The NHS are obliged to publish certain information about their activities; and members of the public are entitled to request information from the NHS | Y | Information Commissioners Office | DG&S Committee | DHCW Board | Audit Wales/NWSSP Internal Audit | Substantial Assurance | 25/09/2023 | Compliance on response performance is reported across multiple DHCW reporting streams |
| Executive Medical Director | Associate Director of Information Governance | Patient/Citizen safety | Health and Social Care (Quality and Engagement Act) (Wales) - Duty of Candour | 2020 | The bill is to ensure that: *NHS bodies and ministers think about the quality of health services when making decisions *NHS bodies are open and honest with patients and service users *Create a citizen voice body to enable people to provide feedback on health and social services *Enable the appointment of vice chairs for NHS trusts | | | | | | | | |
| Executive Medical Director | Associate Director of Information Governance | Patient/Citizen safety | Health and Social Care Act 2012 | 2012 | The provisions in the Act are designed to meet these challenges, by making the NHS more responsive, efficient and accountable. They draw on the evidence and experience of 20 years of NHS reform. Aspects of this Act apply only to England however Wales are still tied to certain provisions within it | Y | UK Government | DG&S Committee | DHCW Board | Audit Wales | Substantial Assurance | 25/09/2023 | Most of this is set within the context that allows DHCW to "require" NHS/J/E to process Welsh Resident Information on their behalf via a Section 255 request |
| Executive Medical Director | Associate Director of Information Governance | Information Governance | Health and Social Care Caldicott principles | | Comply with the Health and Social Care Caldicott principles - both of these support a robust framework to ensure the proper processing of patient identifiable information within the NHS and Social Care | Y | Welsh Governmer | DG&S Committee | DHCW Board | Audit Wales | Reasonable Assurance | 25/09/2023 | However there is no longer any WG Policy on the adoption of Caldicott - Wales is currently out of current law changes made by the National Data Guardian |
| Executive Medical Director | Associate Director of Information Governance | Information Governance | Health Records Act 1990 | 1990 | The access to Health Records Act, which previously provided a right of access to non-computerised health records, has largely been repealed. One part of the Act is still in force and this gives rights of access to someone who may be entitled to bring a claim for negligence resulting from a persons death to see the relevant parts of that persons health records | Y | UK Government | DG&S Committee | DHCW Board | Audit Wales | Substantial Assurance | 25/09/2023 | Also sits with the national forum (Chaired by DHCW) of the Health Records Managers Advisory Group (HRMAG) |
| Executive Medical Director | Associate Director of Information Governance | Information Governance | NHS Act 2006 - Section 251 | 2006 | DHCW also adheres to other legislative requirements set within section 251 of the NHS Act 2006. The 2006 Act sets down provision for the use of patient identifiable information via the Health Research Authority - Several National Databases held by DHCW on behalf of NHS Wales are scrutinised via the section 251 process. NHS Wales Ministerial sponsored Committee's also assure the use of patient information derived from the National Databases. The Welsh Information Governance Board (WIGB) have the responsibility for discharging specific responsibilities of the Health Minister and the Chief Information Officer (CIO) for Wales, in respect of justified and proper use of information contained within the National Databases held by DHCW. | Y | UK Government | DG&S Committee | DHCW Board | Audit Wales | Reasonable Assurance | 25/09/2023 | Corporate Action remains as part of the Data Promise actions and a review of what S251 means for in the context of devolved responsibilities of Welsh Ministers to override the Common Law Duty of Confidentiality (as currently resides with the Sec State for Health in England) |

| | | | | | | | | | | | | | |
|----------------------------|----------------------------------------------|------------------------|----------------------------------------------------|------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|----------------------------------|----------------|------------|-------------|-----------------------|------------|-------------------------------------------------------------------------------------------------------|
| Executive Medical Director | Associate Director of Information Governance | Patient/Citizen safety | Public Services Ombudsman (Wales) Act 2019 | 2019 | The Bill makes specific provision to allow the Ombudsman to investigate private medical treatment, including nursing care, when treatment was received as part of a public/private health pathway. The Bill does not make provision for the Ombudsman to investigate private health services in isolation, however. | | | | | | | | |
| Executive Medical Director | Associate Director of Information Governance | Patient/Citizen safety | The Social Services and Wellbeing Act (2016) | 2016 | Came into force on the 5th April 2016 | | | | | | | | |
| Executive Medical Director | Associate Director of Information Governance | Information Governance | The Wales Act 2017 | 2017 | Implements those elements of the St David's Day agreement which required legislative changes to create a clearer and stronger settlement in Wales. | | | | | | | | |
| Executive Medical Director | Associate Director of Information Governance | Information Governance | UK General Data Protection Regulations 2018 | 2018 | The UK GDPR is the UK General Data Protection Regulation. It is a UK law which came into effect on 01 January 2021. It sets out the key principles, rights and obligations for most processing of personal data in the UK, except for law enforcement and intelligence agencies | Y | Information Commissioners Office | DG&S Committee | DHCW Board | Audit Wales | Substantial Assurance | 25/09/2023 | As above ref to the same Act and Bill |
| Executive Medical Director | Associate Director of Information Governance | Information Governance | Welsh Ministers (Transfer of Functions) Order 2018 | 2018 | The draft order transfers the remaining Minister of the Crown functions in devolved areas to Welsh Ministers. Many of those functions are pre-commencement functions, which Ministers of the Crown exercised before the National Assembly gained full law-making powers following the 2011 referendum. The Order covers functions relating to Healthcare Services | Y | Welsh Governmer | DG&S Committee | DHCW Board | Audit Wales | Substantial Assurance | 25/09/2023 | Insofar as the provisions of part movement of the responsibility for S251 to sit with Welsh Ministers |