

Enforcement Policy Action Plan

This Action Plan sets out the actions to support improvements in the quality, process and impact of Regulatory Services. It is not intended to be an exhaustive list and will be kept under review.

The Action Plan illustrates, using practical examples, that the Council is committed to effective enforcement services both now and in the longer term. The Action Plan also reflects that some changes are not achievable instantly but will take some time to resolve, such as staff training.

The actions are framed by four key themes:

1. *Resource allocation* – having sufficient competent resources to deliver regulatory services is key. The roles are highly specialised and subject to external scrutiny.
2. *Compliance with statutory requirements* – regulatory services operate in a highly prescriptive environment and being able to demonstrate compliance with legislative requirements and national guidance or codes is a fundamental part of service delivery;
3. *Customer service* – ensuring the customer is at the heart of everything we do means that regulatory services have to be open to public scrutiny and be able to justify their actions.
4. *Working together* – regulation is rarely carried out in isolation and services need to ensure a One Council approach whilst making the most of relationships with external regulators.

The Action Plan will be reviewed periodically, and at least annually, to update on progress.

	Theme	Actions	Targets or milestones	Progress
	<p>Resource allocation</p> <p>Enforcement services must satisfy themselves that they have sufficient resources to carry out their work and that they are targeted at prioritised work areas</p>	<p>Ensure service plans identify, risk assess and prioritise regulatory activities, Taking into account future enforcement challenges.</p> <p>Using benchmarking processes, services need to satisfy themselves that there are sufficient numbers of trained and competent staff to cover prioritised regulatory activities.</p>	<p>Service Plans are due for renewal by 31/3/16</p> <p>Review staffing levels and identify under and over capacity by 31/3/16</p> <p>Carry out RDNA analysis of regulatory staff by 30/6/16</p>	<p>Learning and Development Plans are in place</p>
	<p>Compliance with statutory requirements</p> <p>All regulators must ensure that they are fully compliant with statutory requirements and guidance issued by the government or other official bodies</p>	<p>Review all enforcement services to ensure they comply with the principles of the Regulator's Code.</p> <p>Ensure all enforcement services take this policy and relevant statutory codes and guidance into account when making enforcement decisions.</p> <p>Ensure that enforcement services have developed their own enforcement procedures.</p> <p>Ensure enforcement services have developed a scheme of delegation and specified which powers officers can exercise, in line with the constitution.</p>	<p>Each service to carry out self assessment review.</p> <p>Each service to carry out self assessment review.</p> <p>SOPs to be ISO 9000 compliant.</p> <p>Review current schemes of delegation by 31/3/16.</p>	<p>Toolkit developed.</p> <p>Toolkit developed.</p> <p>Several service areas are already ISO 9000 compliant</p>
	<p>Customer Service</p> <p>Enforcement services</p>	<p>Enforcement activities must be open to public scrutiny, with clear and accessible service standards and performance</p>	<p>All services to check their website information and update by 30/6/16.</p>	

	<p>need to ensure that they are meeting customer needs for both dutyholders and members of the public</p>	<p>information available.</p> <p>The need to safeguard children and vulnerable adults must be reflected in enforcement plans and activities</p>	<p>Review plans and ensure safeguarding training has been carried out by 30/6/16</p>	
	<p>Working together</p> <p>Regulators need to share resources and information to ensure effective, consistent enforcement that maximises outcomes</p>	<p>Improve how Council services work with and support each other to ensure a joined up approach</p> <p>Develop information sharing protocols memorandums of understanding to ensure close working relationships with relevant external agencies?</p>	<p>Set up a Regulators Forum to meet 6 monthly.</p> <p>Each service to identify key agencies and review relationships to identify how they could be improved by 31/3/16.</p>	<p>Information Sharing Protocols and MoU already exist in some areas.</p>

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