

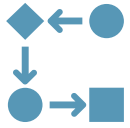
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The Northumberland Approach to Regulation and Enforcement



Purpose of the briefing



The purpose of today's briefing is to present the Northumberland Regulation and Enforcement Model, the new approach that has been developed through a review of regulation and enforcement activities in the Council.



We will take you through:

- ✓ The reasons for change
- ✓ The objectives of the Review
- ✓ What the review explored
- ✓ Who was involved in the review
- ✓ What the review found
- ✓ The Northumberland Model
- ✓ Structural Changes to support the Model
- ✓ Implementation timeline

Introduction – why change?



Organisational Drivers:

- ✓ Inequalities Plan
- ✓ Council Strategic objectives
 - *Empowered and resilient communities*
 - *Working better, more efficiently*
 - *Residents have the building blocks of a good life*
 - *Thriving Places and Culture*
- ✓ Best Objectives
 - *Improving outcomes for our residents*
 - *Enhanced experience for customers and staff*
 - *Driving efficiencies across Best*
- ✓ Council's Ways of Working Principles



Transforming the Council through Best, imperative to change as an organisation, our culture, our approach, how we work and how we deliver services



Review of Regulation and Enforcement commissioned through Best to identify new ways of working

Objectives of the review

- Regulation and Enforcement activities, aimed at keeping our communities safe and well, are carried out in several services across the Council.
- A review into those activities was carried out through the Best Value for Money Workstream, with the objectives of developing proposals for future ways of working that:
 - Ensures a *consistent approach*
 - *Removes silo working* and duplication
 - Has *clear accountability*
 - *Provides assurance* that the Council is meeting its statutory obligations
 - Delivers on the *Council's commitment to Safer Communities*

And to explore:

- Creating potential opportunities to achieve *multiple benefits from single interactions*
- *Data led approaches* that deliver proactive and preventative ways of working

What the review explored



What the Council's statutory obligations are



Regulatory and enforcement functions across the Council:

- *What they are, where they are carried out, by whom and why?*



How services and functions currently operate



How services and functions work with external partners and with each other



Budgets, finance and funding



Performance management data



What data and intelligence is collected and how it is used



Considered if the current operating approach meets the needs of the organisation



Different approaches in other organisations

Who was involved in the review



The review was led by Audrey Kingham as the SRO for Best Value for Money



Supported by a project group of Executive Directors, Directors, Heads of Service and Service Managers



Workshops were held with staff from services across the Council who are involved in Regulatory and Enforcement activities:

- Legal
- Highways and Transport
- Neighbourhood Services
- Northumberland Fire and Rescue
- Planning
- Education
- Adult Services
- Corporate Fraud
- Children Services
- Public Protection
- Housing
- Public Health
- Safe and Resilient Communities



Staff involvement and input informed the development of the Northumberland Model

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The Findings of the Regulation and Enforcement Review








Service Challenges

- There is a significant amount of regulation and enforcement activity being carried out across the Council with **many positive outcomes** and some preventative work. The staff demonstrated a **real commitment to providing good quality services**.
- However, **several challenges** to efficient and effective service delivery were **highlighted by staff** participating in the review.

Key Operational Challenge	Description
 Ownership	<ul style="list-style-type: none"> • <i>Services feel there is a lack of strategic direction, understanding or ownership of regulatory requirements, functions and activities, leaving services to determine priorities for their service rather than a corporate view of priorities.</i> • <i>Services working on the same issue but concentrating on their particular element, eg; Planning enforcement, highways, Community Safety, no ownership or accountability for resolving the issue corporately.</i> • <i>Services have significant knowledge and understanding of regulatory requirements and powers in their own service area but there is a lack of wider knowledge or understanding of the regulatory powers and abilities of services.</i>
 Shared Data and Intelligence	<ul style="list-style-type: none"> • <i>Services holding vast amount of information and intelligence but no sharing of data or intelligence to ensure action required is coordinated.</i> • <i>Multiple services involved in cases or issues for the same or similar reasons without reference to other services involved, disjointed working.</i>
 Finance	<ul style="list-style-type: none"> • <i>Services do not have access to a shared funding pot that would enable direct action against people or businesses committing serial infringements</i>
 Ways of working	<ul style="list-style-type: none"> • <i>It is felt that risk aversion to enforcement action in some service areas is high in the Legal Enforcement Team with limited enforcement action being taken.</i> • <i>Regulatory and enforcement functions, activity and action is disjointed and disaggregated, with limited coordination of activities.</i> • <i>It is felt that services work in silos with collaboration being down to particular Officers, rather than a structured approach</i>
 Capacity	<ul style="list-style-type: none"> • <i>There is a lack of capacity to undertake preventative work, particularly in Community Safety.</i> • <i>Enforcement action is not being taken in Place-Based services due to a lack of capacity.</i> • <i>There is an apparent lack of understanding of which service covers which regulatory area, services are receiving multiple erroneous referrals that takes a significant amount of time to redirect to the correct service.</i>

What the review found – key points

Key findings of the review identified that:

Theme	Key Finding
 Strategic Leadership	<ul style="list-style-type: none"> • There is a need for a more robust governance framework with strategic leadership at its core.
 Organisational Overview	<ul style="list-style-type: none"> • Reporting is at service level, strategic leaders do not have one Council view of compliance with statutory responsibilities or issue resolution, therefore, which limits compliance assurance.
 Operating Model	<ul style="list-style-type: none"> • How we currently work is inconsistent, disparate and disjointed with limited collaborative working. There is a need for a more structured, coordinated operating model to eliminate duplication of effort, enforcement action and cost.
 Customer Service	<ul style="list-style-type: none"> • We are not best service our customers, how we currently work can be confusing and complicated to navigate for residents, internal services and external partners, it can create inequality of service delivery and does not resolve challenging issues.
 Ways of working	<ul style="list-style-type: none"> • We need to change the way we work to make best use of the specialist knowledge, expertise, intelligence and data available within the Council, taking a ‘one Council’ approach.

Outcome of the review

The review presented us with the opportunity to develop a *Northumberland Regulation and Enforcement Model* that *meets the needs of the Council*, delivers better outcomes for our *residents* and strengthens working relationships with our *partners*.

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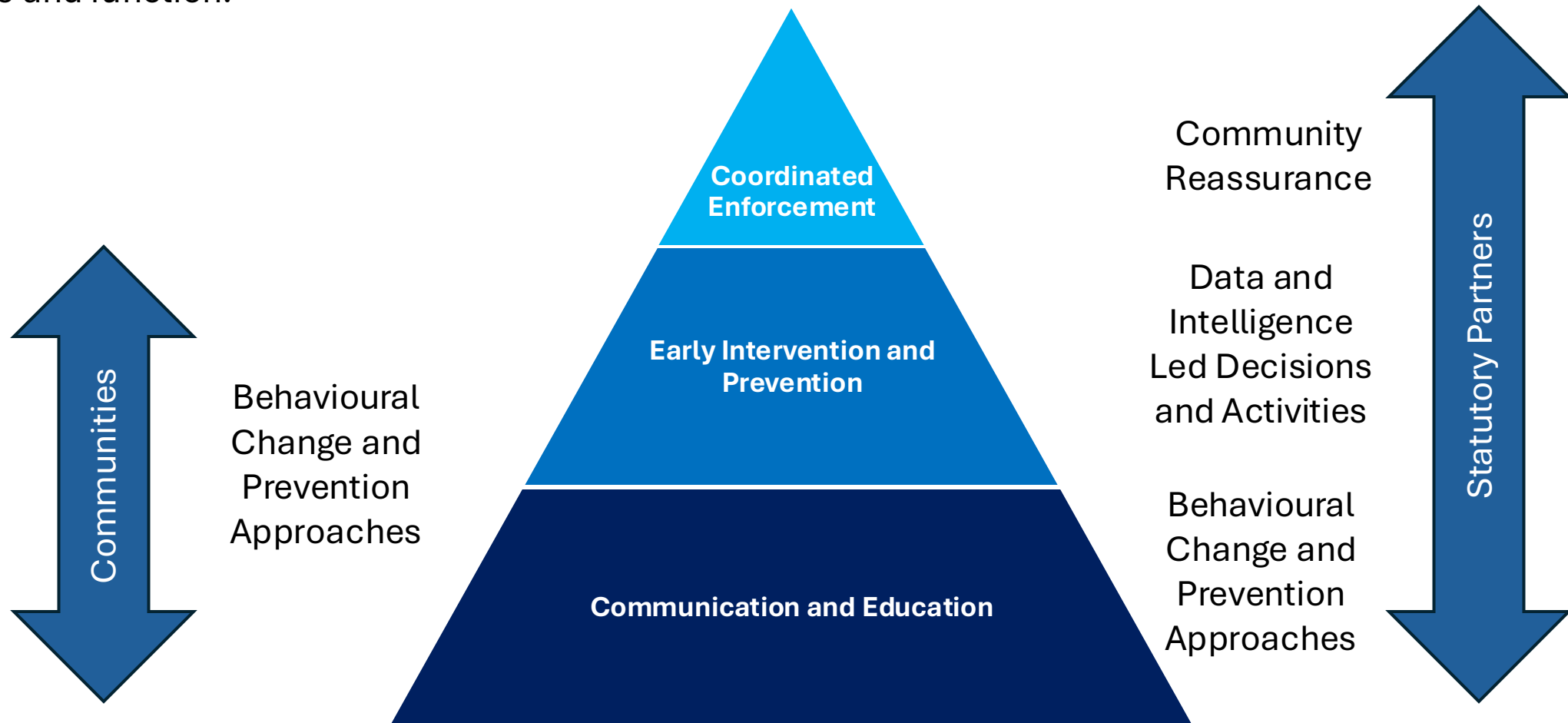


The Northumberland Model



The Northumberland Model

Development of the Northumberland model is predicated on the Council's **ambition to drive effective and efficient collaboration, coordination and communication** between regulation and enforcement functions and activities across the Council, applying the principles of the **Targeted Operating Model** aligning services by purpose and function.



Governance Arrangements

- The model is supported by a **governance framework** to implement, manage and deliver the model, taking a three-tier approach: **Strategic**, for direction and assurance | **Tactical** for management and oversight | **Operational** for delivery.



Regulatory Excellence Framework Summary

- The Tactical Group will use the **Local Authority Regulatory Excellence Framework** as a tool to underpin the implementation of the model.

Overview

Themes	1. Leadership, strategies and collaboration	2. Focus on and engagement with customers	3. Resource, activity and people management	4. Achieving outcomes effectively and sustainably
Main Criteria	1.1 Service vision, direction and planning 1.2 Integration with local and national priorities and strategies 1.3 Collaboration with others	2.1 Engagement of customers and stakeholders 2.2 Understanding local needs and communities 2.3 Responsiveness to customers and stakeholders	3.1 Effective resource and partnership management 3.2 Activities are based on a sound understanding of risk and use of intelligence 3.3 Learning and supportive culture	4.1 Delivering sustainable outcomes 4.2 Performance management 4.3 Review and scrutiny for continuous improvement

Structural changes to support the Model

- The review and development of the model presented the opportunity to create better alignment of functions, streamline activities and remove duplication
- The governance framework, supported by the structural realignment, will provide greater capacity to address and resolve issues
- While there are some changes to roles, there are no redundancies as a result of the structural changes
- A full Communication Plan is in place to ensure information about the new approach to regulation and enforcement in Northumberland is shared widely as well as ensuring staff are kept fully informed of the implementation and timeline for the structural moves

Structural Moves

FUNCTION	CURRENT STRUCTURAL LOCATION	NEW STRUCTURAL LOCATION
Environmental Health Private Housing Standards	Public Protection	Housing Services
Building Control and Land Charges	Public Protection	Housing and Planning
<ul style="list-style-type: none"> • Environmental Enforcement • Animal Welfare • Pest Control 	Public Protection	Neighbourhood Services
<ul style="list-style-type: none"> • Community Safety • Safer Communities 	Public Protection Housing Services	Safe and Resilient Communities
<ul style="list-style-type: none"> • Environmental Protection (incorporating Statutory Nuisance) • Trading Standards and Animal Health • Food Standards and Commercial Health & Safety • Licensing 	Public Protection	Public Health, Stronger Communities and Inequalities

Anticipated benefits



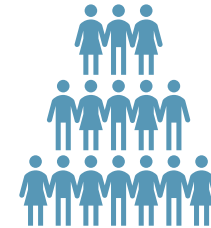
Staff

- **Developing and upskilling our staff** with new and existing capabilities
- **Improve efficiency and release capacity**, helping to maintain service delivery while reducing pressure on staff and partners.
- Greater consistency in policy application and fairness of approach, with clear strategic priorities and a coordinated approach to activity, should **benefit operational delivery, increase efficiency, improve staff morale and wellbeing.**



Council

- Exemplar for moving to the **new ways of working model** and in the practical application of the principles of the Inequalities Plan
- **Improved collation, recording, analysis and sharing of data and intelligence**, not only across the Council, but with our partners.
- Explore more **innovative and impactful enforcement action**



Residents

- Develop ways in which local communities can **influence priority setting**, be actively involved and engaged in making their community a 'Thriving Community'
- Clear lines of accountability and ownership of issues will result in **productive issue resolution, increasing public confidence** in the Council and its partners in dealing with regulatory issues.









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Implementation



Implementation timeline

Activity	January	February	March	April
Establish Implementation Group				
Finalise Implementation Plan				
Finalise Action Plans				
Develop and Implement Governance Structure level groups				
Develop the Regulation and Enforcement Strategy				
Socialise the regulatory excellence framework				
Engagement and communication with key stakeholders and wider council				
Go Live				

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Questions

