



Resources Overview Committee

Tuesday, 18 June 2019 at 6.30 pm

**Committee Rooms - King George V House, King George V Road,
Amersham, HP6 5AW**

A G E N D A

Item

1 Evacuation Procedure

2 Apologies for Absence

3 Minutes (*Pages 5 - 12*)

To approve the minutes of the Resources Overview Committee held on 5 March 2019 and 15 May 2019.

4 Declarations of Interest

5 28 Day Notice (*Pages 13 - 14*)

Appendix: CDC Cabinet 28 Day Notice (Pages 15 - 20)

6 End of Year Performance Report 2018/19 (*Pages 21 - 24*)

Appendix A: Priority PIs (Pages 25 - 26)

Appendix B: Corporate PIs (Pages 27 - 30)

Appendix C: Date only PIs (Pages 31 - 32)

Appendix D: Annual Report 2018/19 (Pages 33 - 34)

7 Capital and R&R Outturn Report 2018/19 (Pages 35 - 36)

Appendix A - Capital Budget Monitoring 2018/19 (Pages 37 - 42)

Appendix B - Repairs and Renewals Monitoring 2018/19 (Pages 43 - 48)

8 Treasury Management - Annual Report 2018/19 (Pages 49 - 52)

9 Statutory Guidance on Overview and Scrutiny Functions (Pages 53 - 56)

Appendix - Statutory Guidance on Overview and Scrutiny document May 2019 (Pages 57 - 88)

10 Exclusion of the Public (if required)

To resolve that under Section 100(A)(4) of the Local Government Act 1972 the public be excluded from the meeting for the following item(s) of business on the grounds that it involves the likely disclosure of exempt information as defined in Part I of Schedule 12A of the Act.

Note: All reports will be updated orally at the meeting if appropriate and may be supplemented by additional reports at the Chairman's discretion.

Membership: Resources Overview Committee

Councillors: N Rose (Chairman)
V Martin (Vice-Chairman)
A Bacon
C Ford
A Garth
J Gladwin
M Harrold
R J Jones
J MacBean
D Phillips
M Smith
N Southworth
D Varley
J Waters
C Wertheim

Date of next meeting – Wednesday, 25 September 2019

Audio/Visual Recording of Meetings

This meeting might be filmed, photographed, audio-recorded or reported by a party other than the Council for subsequent broadcast or publication. If you intend to film, photograph or audio record the proceedings, or if you have any questions please contact Democratic Services. Members of the press please contact the Communications Team.

If you would like this document in large print or an alternative format, please contact 01895 837236; email democraticservices@chilternandsouthbucks.gov.uk

CHILTERN DISTRICT COUNCIL**MINUTES** of the Meeting of the
RESOURCES OVERVIEW COMMITTEEheld on **5 MARCH 2019**

PRESENT: Councillor N Rose - Chairman
" C Jones - Vice Chairman

Councillors: A Bacon
C Ford
J Gladwin
M Harrold
R J Jones
V Martin
N Southworth
J Waters
C Wertheim

APOLOGIES FOR ABSENCE were received from Councillors A Garth, D Phillips and D Varley

1 MINUTES

The minutes of the Resources Overview Committee held on 31 January 2019 were approved and signed by the Chairman as a correct record.

2 DECLARATIONS OF INTEREST

There were no declarations of interest.

3 28 DAY NOTICE

The Committee reviewed the attached 28 day notices of executive decisions and requested that where decisions had been made by Cabinet at its February meeting these items be removed. A query was raised in relation to the HS2 report and whether this had been seen by / would be presented to the HS2 Members Working Group. Clarification would be sought and fed back.

It was explained that the review of remaining recycling centres item had been removed from the 28 day notice for March's Cabinet meeting as officers were still undertaking work. A report would be presented to a future Services Overview Committee ahead of going to Cabinet. Further, the date of the Chiltern Lifestyle Centre Scrutiny Sub-Committee meeting had changed and would be reflected in the next 28 day notice.

The Committee was advised that the 28 day notice for the Joint Committee had been updated since the agenda had been published and the ICT Strategy Progress report and Customer Experience Strategy progress report would be presented to the next cycle of meetings (dates to be confirmed). This was at the request of the Joint Overview and Scrutiny Committee to allow Members to focus on the Joint Local Plan submission at its March meeting.

A Member questioned whether the Joint Overview and Scrutiny Committee should be reviewing joint finances ahead of the transition to unitary. It was explained that the scrutiny function would be the responsibility of the Shadow Authority who would appoint an Overview and Scrutiny Committee to scrutinise the decision making of the Shadow Executive.

RESOLVED

To note the 28 Day Notices.

Note 1: Councillors R Jones and M Harrold entered the meeting at 6.36 pm and 6.41 pm respectively.

4 REFRESHED JOINT BUSINESS PLAN 2019/20

The Committee considered a report which sought Council approval of the refreshed Joint Business Plan 2019 – 20. The Joint Business Plan was refreshed each year to reflect the changing needs of the locality and the communities that live and work within Chiltern, as well as the service planning process.

An updated 'purposes' page (page 29 of reports pack, page 7 of the business plan) was handed out at the meeting and would be included in the final report presented to Cabinet. The Committee was advised that final figures from quarter 4 2018/19 would be incorporated in to the final document when they were available.

RECOMMENDED TO CABINET

To recommend the refreshed Joint Business Plan to full Council for approval.

5 SERVICE PLANS 2019/20

The Committee considered a report which attached the Service Plans for each of the service areas within the Council. Service Plans were an important part of the Council's performance management framework and provided a summary of achievements from the current year and an overview of what each service aimed to deliver in 2019-20.

The service plans had been significantly reduced in size, had changed format and aimed to include only key information so that both staff and the public can easily reference the document.

During discussion the Committee raised the following points and comments for Cabinet to consider:

- The significant improvement to the presentation and layout of the service plans, compared to previous years was noted.
- Targets had not changed for a large proportion of performance indicators (PIs) from 2018/19 to 2019/20. Where targets were being met, the Committee encouraged these being set higher to further challenge teams to improve and avoid targets being set as projections rather than aspirational targets.
- The business continuity plan should be reviewed to reflect the migration to cloud IT systems. The cloud servers had built in resilience, with providers having back-up systems meaning that whilst not risk free, there was increased security over individual onsite servers. Each of the District Councils in Buckinghamshire was moving toward cloud migration with AVDC having made the most progress, followed by Chiltern and South Bucks.
- Further, with the new authority commencing from April 2020 the Committee agreed that all potential new contracts should be carefully considered to ensure value for money was achieved and to avoid spending on areas which would likely be changed in the new authority.
- Page 71 of the reports pack detailed an action for the Environment service area in relation to working with the EA to realign the River Misbourne to its original route. Members raised concern that this had risks attached and there was no guarantee that the original riverbed would have remained meaning that the river could ultimately disappear.
- A Member queried whether the parking arrangements at KGVH were being reviewed following previous plans to increase the parking. As the multi-storey car park extension had now been completed which had been the main reason to consider extra spaces, and with the impending move to unitary it was unlikely this would be revisited at this time.
- The procurement of a new three way waste contract was ongoing and it was noted that there was likely to be a substantial increase to costs as contractors were not keen to take risks on recycled products. The Committee asked that clarification be provided on whether the option had been explored to combine operations with AVDC who ran their own waste scheme.
- The Committee commented that the recycling targets set appeared unambitious both to Members and residents, although it was explained that recycling levels nationally had dropped and the Council was achieving above national benchmarks. New campaigns were planned to

increase recycling rates, with a particular focus on paper recycling. It would be reported back to Members what the reasons were behind the national downward trend. The Committee suggested including national benchmarks where appropriate to better inform residents about the Council's performance.

- It would be reported to Members why there was a 10% differential between PIs CdPED10 and SbPED10 (minor planning applications decision performance).
- The Committee recommended removing the PIs or ensuring targets were added for those on page 88 of the reports pack as residents could view this and question the lack of any target.
- A Member recommended the wording be reduced around some of the infographics to ensure they were consistent and stood out to residents reading the document. It was further suggested that following this the infographics would be good tools for individual departments to display.
- Where there were inconsistencies in targets or large differentials between Chiltern and South Bucks, the Committee suggested the inclusion of an asterisk with a brief explanation to assist those reading the service plans to understand why.
- The Committee appreciated that it would take significant work but suggested that for next year it be explored whether the online version could include an interactive highlight document which allowed users to click into sections to read full details.

Note 2: Councillor C Ford entered the meeting at 7.04 pm.

RECOMMENDED TO CABINET

To consider the Committees comments above and note the Service Plans.

6 PERFORMANCE INDICATOR REVIEW 2019/20

The Committee received a report which provided an update on the outcomes of the Performance Indicator (PI) review for 2019/20 and sought approval for the proposed changes to reporting. Reviewing PIs allowed each service to adjust targets, add in more relevant indicators and removed those indicators which did not provide valuable information.

The Committee was advised that targets had been increased where appropriate and Enforcement PIs had been moved from Priority to Corporate so that they were more visible to Members. Once quarter 4 figures for 2018/19 were available, actual figures would be included as necessary.

The Customer Services PIs were placeholders only at this stage for when the Customer Experience Programme had been implemented. At present, the service area was measuring its own PIs.

RECOMMENDED TO CABINET**To approve the changes to the Performance Indicators for each service.****7 PERFORMANCE REPORT QUARTER 3 2018/19**

The Committee considered a report which outlined the performance of Council services against pre-agreed performance indicators and service objectives for Quarter 3 of 2018-19.

The Committee was pleased to note that the percentage of food hygiene inspections of category A – D food businesses achieved against the inspections due by quarter was above the target of 91% at 93% and this had been due to vacant positions having been recruited to.

The Committee raised concern that a balance would need to be struck to ensure that when Serco focus on addressing the number of missed assisted collections, there was not a detrimental effect to other services.

Whilst the availability of ICT systems to staff from 8am to 6pm was just under target, the main issues had been when there was a change of infrastructure, such as the vWorkspace rollout. ICT had generally been stable, with positive response times from the helpdesk when queries had been raised.

The Committee asked that PI CdCL2 be made clearer to reflect that the number of visits per annum was just for those participants participating in activities through the GLL community engagement plan and the 5,000 target was number of visits rather than number of people.

It was clarified that PI CdPED43 related to planning appeals allowed and therefore 4.8% was significantly better than the target of 9.99%. The Committee requested that the target of 9.99% be prefixed by the words 'up to' for clarity.

Members were further advised that the cumulative CO2 reduction from local authorities followed a DEFRA set method of calculation and would be published in the annual greenhouse gas emissions report.

RESOLVED**That the report be noted.****The meeting ended at 8.03 pm**

CHILTERN DISTRICT COUNCIL

MINUTES of the Meeting of the RESOURCES OVERVIEW COMMITTEE held on 15 MAY 2019

PRESENT: Councillor N Rose - Chairman
" V Martin - Vice Chairman

Councillors: C Ford
A Garth
J Gladwin
M Harrold
R J Jones
J MacBean
D Phillips
M Smith
D Varley
J Waters
C Wertheim

APOLOGIES FOR ABSENCE were received from Councillors A Bacon and N Southworth

8 ELECTION OF CHAIRMAN

It was moved by Councillor V Martin, seconded by Councillor J MacBean, and

RESOLVED:

That Councillor N Rose be elected Chairman of the Resources Overview Committee for the year 2019/20.

9 ELECTION OF VICE-CHAIRMAN

It was moved by Councillor D Phillips, seconded by Councillor J Gladwin, and

RESOLVED:

That Councillor V Martin be elected Vice-Chairman of the Resources Overview Committee for the year 2019/20.

The meeting ended at 9.05 pm

SUBJECT:	<i>28 Day Notice</i>
REPORT OF:	<i>Cabinet Portfolio Holder for Support Services (Deputy Leader)</i>
RESPONSIBLE OFFICER	<i>Head of Legal & Democratic Services</i>
REPORT AUTHOR	<i>Heather Evans</i>
WARD/S AFFECTED	<i>All</i>

1. Report

The Access to Information Regulations 2012 place a requirement on Councils to publish a notice 28 days before every executive or joint executive meeting detailing all Key Decisions and Private Reports to be considered. The [28 Day Notice](#) is published on the Council's website.

RECOMMENDATIONS

The Cabinet is asked to note the 28 Day Notices for the meetings of the Cabinet (10 June 2019).

Background Papers:	None
---------------------------	------



CHILTERN

District Council

28 DAY NOTICE

LOCAL AUTHORITIES (EXECUTIVE ARRANGEMENTS) (MEETINGS AND ACCESS TO INFORMATION (ENGLAND) REGULATIONS 2012)

This is a Notice of an intention to make a Key Decision on behalf of the Local authority (Regulation 9) and an intention to meet in private to consider those items marked as 'Private Reports' (Regulation 5).

A further Notice (the 'Agenda') will be published no less than 5 working-days before the date of the Cabinet meeting and will be available at www.chiltern.gov.uk/democracy

Key Decision (Y/N) ¹	Report Title & Summary ²	Date Decision to be taken	Decision to be taken by	Consultation ³	Private Report ⁴	Lead Officer ⁵
Leader (Councillor Isobel Darby)						
N	Annual Report 2018/19 Annual Report 2018/19	9 July 2019	Cabinet	Resources Overview Committee 18 Jun 2019 Services Overview Committee 13 Jun 2019	Open	Aniqah Sultan Aniqah.Sultan@ Chilternand southbucks.gov.uk
N	End of Year Performance Report 2018/19 End of Year Performance Report 2018/19	9 July 2019	Cabinet	Resources Overview Committee 18 Jun 2019 Services Overview Committee 13 Jun 2019	Open	Aniqah Sultan Aniqah.Sultan@ Chilternand southbucks.gov.uk

N	Treasury Management - Annual Report 2018/19 To report on the Treasury Management performance of the Council for 2018/19	9 July 2019	Cabinet	Resources Overview Committee 18 Jun 2019	Open	Jim Burness jim.burness@chilternand southbucks.gov.uk
Support Services (Councillor Mike Stannard)						
Y	Capital and R&R Outturn Report 2018/19 To report the 2018/19 outturn for Capital and R&R and request the carry forward of unspent Capital and R&R budgets.	9 July 2019	Cabinet	Resources Overview Committee 18 Jun 2019	Open	Jane Clarke jane.clarke@chiltern andsouthbucks.gov.uk
Customer Services (Councillor Jonathan Rush)						
No items for consideration						
Planning and Economic Development (Councillor Peter Martin)						
Y	Chalfont St Giles Neighbourhood Plan Consideration of Referendum Result To report the outcome of the referendum, and if required, recommend to Council that the neighbourhood plan be adopted.	9 July 2019 23 July 2019	Cabinet Council		Open	Mark Jaggard, David Waker mark.jaggard@chilternand southbucks.gov.uk, david.waker@chiltern andsouthbucks.gov.uk
Environment (Councillor Caroline Jones)						
Y	Review of Remaining Recycling Centres To provide a review of the remaining recycling centres in the district and agree the next steps.	9 July 2019	Cabinet	Services Overview Committee 13 Jun 2019	Open	Chris Marchant chris.marchant@chilternand southbucks.gov.uk
Healthy Communities (Councillor Liz Walsh)						
Y	Agreement to sign the Motor Neurone Disease (MND) Charter Agreement to sign the motor neurone disease (MND)	9 July 2019 23 July 2019	Cabinet Council	Services Overview Committee 13 Jun 2019	Open	Martin Holt martin.holt@chiltern andsouthbucks.gov.uk

Y	Affordable Housing Contributions Update This report provides Cabinet with an update on the receipt and expenditure of Section 106 Affordable Housing Contributions in accordance with Section 6 of the Affordable Housing Supplementary Planning Document	9 July 2019	Cabinet	Services Overview Committee 13 Jun 2019	Open	Michael Veryard michael.veryard@chilternand southbucks.gov.uk
Y	Appropriation of Open Public Space for a planning purpose To consider the responses to the statutory consultation in relation to the Appropriation of Public Open Space for a planning purpose.	20 August 2019	Cabinet	Chiltern Lifestyle Centre Scrutiny Sub-Committee 31 Jul 2019	Open	Martin Holt martin.holt@chiltern andsouthbucks.gov.uk
Y	Chiltern Lifestyle Centre Business Plan To consider the final business case of the Chiltern Lifestyle Centre project.	20 August 2019	Cabinet	Chiltern Lifestyle Centre Scrutiny Sub-Committee 31 Jul 2019	Part exempt	Martin Holt martin.holt@chiltern andsouthbucks.gov.uk
Y	Appointment of Leisure Operator To consider a report on the appointment of the Leisure Operator for the Chiltern Lifestyle Centre, Chesham Leisure Centre and Chalfont Leisure Centre.	20 August 2019	Cabinet	Chiltern Lifestyle Centre Scrutiny Sub-Committee 7 Aug 2019	Fully exempt	Martin Holt martin.holt@chiltern andsouthbucks.gov.uk
Y	Community Grants To agree funding grant awards for the Council's 2019/2020 Community Grant Aid Scheme.	15 October 2019	Cabinet	Healthy Communities Policy Advisory Group 16 Sep 2019 Services Overview Committee 19 Sep 2019	Open	Joanne Fowler joanne.fowler@chilternand southbucks.gov.uk
Y	Update on the Armed Forces Covenant To consider a report providing an update on the Armed Forces Covenant.	15 October 2019	Cabinet	Services Overview Committee 19 Sep 2019	Open	Martin Holt martin.holt@chilternand southbucks.gov.uk

Y	Food and Health and Safety Service Plan To consider and approve the Joint food Safety and Health and Safety Service Plans for 2019/20	15 October 2019	Cabinet	Healthy Communities Policy Advisory Group 16 Sep 2019	Open	Ian Snudden ian.snudden@chilternandsouthbucks.gov.uk
Unitary Transition (Councillor Fred Wilson)						
No items for consideration						

- 1 The Council's Constitution defines a 'Key' Decision as any decision taken in relation to a function that is the responsibility of the Cabinet and which is likely to:-
- result in expenditure (or the making of savings) over £50,000 and / or
 - have a significant impact on the community in two (or more) district wards.

and

- relates to the development and approval of the Budget; or
- relates to the development, approval and review of the Policy Framework, or
- is otherwise outside the Budget and Policy Framework.

As a matter of good practice, this Notice also includes other items – in addition to Key Decisions – that are to be considered by the Cabinet. This additional information is provided to inform local residents of all matters being considered.

- 2 Each item considered will have a report; appendices will be included (as appropriate). Regulation 9(1g) allows that other documents relevant to the item may be submitted to the decision-maker. Subject to prohibition or restriction on their disclosure, this information will be published on the Council website usually 5 working-days before the date of the meeting. Paper copies may be requested (charges will apply) using the contact details below.
- 3 In order to support the work of the Cabinet and to enhance decision-making, reports are often presented to other meetings for comment before going to the Cabinet. As such, this Notice also includes information on which meeting (if any) will also consider the report, and on what date.
- 4 The public can be excluded for an item of business on the grounds that it involves the likely disclosure of exempt information as defined in Part I of Schedule 12A of the Local Government Act 1972. The relevant paragraph numbers and descriptions are as follows:

Paragraph 1	Information relating to any individual
Paragraph 2	Information which is likely to reveal the identity of an individual
Paragraph 3	Information relating to the financial or business affairs of any particular person (including the authority holding that information)
Paragraph 4	Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matter arising between the authority or a Minister of the Crown and employees of, or office holders under, the authority
Paragraph 5	Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings
Paragraph 6	Information which reveals that the authority proposes: (a) to give under any enactment a notice under or by virtue of which requirements are imposed on a person; or to make an order or direction under any enactment
Paragraph 7	Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime

Part II of Schedule 12A of the Local Government Act 1972 requires that information falling into paragraphs 1-7 above is exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information. Nothing in the Regulations authorises or requires a local authority to disclose to the public or make available for public inspection any document or part of a document if, in the opinion of the proper officer, that document or part of a document contains or may contain confidential information.

Should you wish to make any representations in relation to any of the items being considered in private, you can do so – in writing – using the contact details below. Any representations received, together with any response from the Council, will be published on the Notice (the 'Agenda') issued no less than 5 working-days before the meeting. This will be available on the Council website

- 5 The lead officer is usually the report author, and their contact details are provided in this column. The officer's email address is a standard format: first name.surname@chilternandsouthbucks.gov.uk e.g. Bob Smith = bob.smith@chilternandsouthbucks.gov.uk

Democratic Services, Chiltern District Council, King George V House, King George V Road, Amersham, HP6 5AW; democraticservices@chilternandsouthbucks.gov.uk; 01494 732143

Item 6

CDC Cabinet 9 July 2019

Via Services Overview Committee 13 June 2019

Resources Overview Committee 18 June 2019

REPORT SUBJECT:	<i>Chiltern District Council Performance Report End of Year 2018-19</i>
REPORT OF:	<i>Leader of the Council – Councillor Isobel Darby</i>
RESPONSIBLE OFFICER	<i>Chief Executive – Bob Smith</i>
REPORT AUTHOR	<i>Ani Sultan (01494 586 800)</i>
WARD(S) AFFECTED	<i>Report applies to whole district</i>

1. Purpose of Report

This report outlines the annual performance of Council services against pre-agreed performance indicators and service objectives for the end of year, 2018-19.

RECOMMENDATION

Cabinet is asked to note the performance reports.

2. Executive Summary

Overview of **End of Year 2018-19** performance indicators (PIs) against targets across the Council:

Portfolio	No of PIs	PI on target □	PI slightly below target □	PI off target □	Not reported this quarter/ not used	Awaiting data
Leader	3	3	0	0	0	0
Healthy Communities	11	8	1	1	0	1
Planning & Economic development	16	14	0	1	1	0
Environment	5	3	0	1	0	1
Support services	6	4	2	0	0	0
Customer services	6	3	0	1	2	0
Total PIs	47	35	3	4	3	2

3. Reasons for Recommendations

3.1 This report details factual performance against pre-agreed targets.

3.2 Management Team, Cabinet, Resources Overview & Services Overview Committees receive regular updates detailing progress towards service plan objectives, performance targets and strategic risks, in line with our Performance and Improvement Framework.

3.3 Three detailed performance tables accompany this report:

- **Appendix A – Priority PIs End of Year 2018-19**
- **Appendix B – Corporate PIs End of Year 2018-19**
- **Appendix C – Data Only PIs End of Year 2018-19**
- **Appendix D – Annual Report 2018-19**

4. Key points to note:

- 4.1 There is one Environment PI marked as awaiting data - Cumulative CO2 reduction from local authority operations from base year of 2008/09 (annual) – as this takes some months for the data to come through. There is also one Healthy Communities PI – CdCL2 Total participation in physical activities delivered through the GLL community engagement plan (by period) – of which we are still awaiting data from GLL.
- 4.2 Of the Priority PIs, two were off target – CdPED9, Major planning applications decision performance – within 8 weeks or other agreed period (details in 4.2.3), and CdRB1 (details in 4.2.4).
- 4.2.1 **Leaders:** All PIs within the Leader's portfolio are on target.
- 4.2.2 **Healthy Communities:** CdHS4 - Number of private sector dwellings vacant for more than 6 months and returned to occupation following local authority intervention is under the target of 28 at 0. This is due to there being no active intervention work undertaken by Housing Team during 2018/19 due to other workload demands and limited identification of suitable empty homes. Therefore, no empty homes are recorded as being returned to use as direct result of Council intervention. Complaints and enforcement work for empty homes causing nuisance or health concerns are dealt with on case by case basis. Annual Capacity Grid review and cleansing of Council Tax database is identifying long term empty homes that have been returned to use but not reported to the Council. This ensures that the Council provides an accurate empty homes total to inform the New Homes Bonus calculation.
- 4.2.3 **Planning and Economic Development:** The priority PIs are on target for this portfolio, with performance above the target set, except CdPED9. For this PI, the figure reached is 81.5%, under the target of 90%. An historical case that had been through a number of case officers due to a huge turnaround in staff - received in December 2017 - has skewed the figures.
- 4.2.4 **Environment:** CdWR4 – number of missed assisted containers – is over target of 170 at 267 for quarter 4 or 290 as an average for the year. The Waste Delivery Manager has stated that "These remain stubbornly high despite recent improvements. We continue to work with Serco to bring these down."
- 4.2.5 **Customer Services:** CdRB1 – Speed of processing new HB/CTB claims – is over target of 18, at 20.9 for quarter 4 due to the knock-on effects of Universal Credit meaning that it is unlikely that any new claim is dealt with immediately.
- 4.2.6 **Support Services:** JtBS1 availability of ICT systems to staff from 8am to 6pm is slightly under target of 99.5% at 96.5% for quarter 4, as is JtBS2, percentage of calls to ICT helpdesk resolved within agreed timescales (by period) - under the target of 95% at 92.3%. Both are due to problems with staff recruitment and retention within Business Support's Infrastructure Team, the section has been running at a reduced capacity throughout the year. Members of the team have also been spending time supporting projects relating to the ICT Strategy and therefore diverted from dealing with support calls. These two factors have contributed to missing both yearly targets.

5. Consultation

Not applicable.

6. Options

Not applicable.

Item 6

CDC Cabinet 9 July 2019

Via Services Overview Committee 13 June 2019

Resources Overview Committee 18 June 2019

7. Corporate Implications

7.1 Financial - Performance Management assists in identifying value for money.

7.2 Legal – None specific to this report.

7.3 Crime and Disorder, Environmental Issues, ICT, Partnership, Procurement, Social Inclusion, Sustainability – reports on aspects of performance in these areas.

8. Links to Council Policy Objectives

Performance management helps to ensure that performance targets set through the service planning process are met, and that any dips in performance are identified and resolved in a timely manner.

This report links to all three of the Council's objectives, listed below:

Objective 1 - Efficient and effective customer focused services

Objective 2 - Safe, healthy and cohesive communities

Objective 3 - Conserve the environment and promote sustainability

9. Next Step

Once approved, this report and appendices will be published on the website.

Background Papers:	N/A
---------------------------	-----

Appendix A - Priority PIs 2018-19 - CDC

#

Code	Title	Target 2017/18	Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	2018/19	Traffic Light	Target 2018/19	Comments
Leader's																		
JtHR1	Working days lost due to sickness absence	10	5.8	6.3	6.3	6.2	6.5	6.7	7.0	7.0	7.1	7.5	7.5	7.5	7.5	☑	10	196.50 working days lost for March + 2,066.50 days lost (April - February) = 2,263 days lost. 2,263 / 301.33 (average FTE figure) = 7.51 average working days lost to sickness absence (cumulative). These figures relate to absence days from 39 employees 87.50 working days lost for March + 775.50 days lost (April - February) = 863 days lost.
JtHR12	Working days lost due to short term sickness absence (upto 20 working days)	5	2.8	2.7	2.4	2.1	2.2	2.2	2.3	2.3	2.5	2.8	2.8	2.9	2.9	☑	5	863 / 301.33 (average FTE figure) = 2.86 average working days lost to short term sickness absence (cumulative). The figures related to absence from 32 employees 109 working days lost for March + 1,291 days lost (April - February) = 1,400 days lost.
JtHR13	Working days lost due to long term sickness absence (more than 20 working days)	5	3.0	3.6	3.9	4.1	4.3	4.5	4.7	4.7	4.7	4.7	4.7	4.7	4.7	☑	5	1,400 / 301.33 (average FTE figure) = 4.65 average working days lost to long term sickness absence (cumulative). This absence relates to 7 employees
Healthy Communities																		
CdHS1	Number of applicants with/expecting children who have been in B & B accommodation for longer than 6 weeks (snapshot figure at end of month)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	☑	0	No households with/expecting children in B&B for longer than 6 weeks as at the end of 2018/2019
CdHS7	Number of households living in temporary accommodation (snapshot at the end of the month)	38	23	20	20	19	20	23	25	25	27	26	27	27	27	☑	38	Total comprises (i) 16 in Tom Scott House, (ii) 7 in B&B/Nightly booked (iii) 2 in PLSL and (iv) 2 in other Registered Provider
Planning and Economic Development																		
CdPED9	Major planning applications decision performance - within 13 weeks or other agreed period (cumulative monthly)	90%	100.0%	80.0%	66.7%	77.8%	70.0%	72.7%	75.0%	73.3%	85.0%	79.2%	81.5%	81.5%	81.5%	☒	90%	22 of 27 determined within target - cumulative figure
CdPED10	Minor planning applications decision performance - within 8 weeks or other agreed period (cumulative monthly)	75%	96.2%	98.2%	95.9%	96.7%	95.9%	95.1%	94.5%	92.9%	93.5%	93.2%	93.5%	94.0%	94.0%	☑	75%	280 of 298 determined within target - cumulative figure
CdPED11	Other planning applications decision performance - within 8 weeks or other agreed period (cumulative monthly)	85%	100.0%	98.6%	96.6%	97.0%	97.1%	97.2%	97.1%	97.0%	96.8%	96.1%	96.2%	96.3%	96.3%	☑	85%	1037 of 1077 determined within target - cumulative figure
Environment																		
CdWR2	Percentage of household waste sent for reuse, recycling and composting (cumulative)	53%			56.8%			56.1%			53.8%			53.5%	54.8%	☑	53%	Above target.
Customer Services																		
CdRB1	Speed of processing - new HB/CTB claims (cumulative)	18	21.0	17.3	19.4	20.0	19.5	19.7	19.8	20.6	21.2	21.4	21.4	20.9	21.4	☒	18	Short of staff and Universal Credit has taken the easy claims leaving the more complex on legacy benefits
CdRB2	Speed of processing - changes of circumstances for HB/CTB claims (cumulative)	5	4.9	3.3	4.0	4.2	4.4	4.4	4.7	4.7	4.8	4.8	4.6	3.8	3.8	☑	5	On target.
CdRB3	% of Council Tax collected (cumulative)	99%	5.5	15.4	25.0	34.7	44.3	53.9	63.5	73.1	82.6	92.4	98.7	99.4	99.4	☑	99.1%	On target.
CdRB4	Percentage of Non-domestic Rates Collected (cumulative)	98%	11.6	21.4	29.7	39.3	46.8	55.1	64.8	72.9	81.1	90.3	96.7	98.6	98.6	☑	98.5%	On target.

Appendix B - Corporate PIs 2018-19 - CDC

Code	Title	Target 2017/18	Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	2018/19	Traffic Light	Target 2018/19	Comments
Leader's portfolio																		
Healthy Communities																		
CdCL1a (C)	Customer satisfaction rating at Chalfont Leisure Centre	NEW PI													89.9%	✔	75%	Target achieved. Please contact Leisure team for a thorough breakdown.
CdCL1b (C)	Customer satisfaction rating at Chesham Leisure Centre	NEW PI													65.3%	⚠	68%	Please contact Leisure team for a thorough breakdown.
CdCL1c (C)	Customer satisfaction rating at the Chiltern Pools Leisure Centre	NEW PI													71.0%	✔	50%	Target achieved. Please contact Leisure team for a thorough breakdown.
CdCL2 (C)	Total participation in physical activities delivered through the GLL community engagement plan (by period)	15,000			1,387			1,360			1,292					NA	5000 per annum	Awaiting data from GLL.
CdHS2 (C)	Number of affordable homes delivered by (i) new build (ii) vacancies generated by local authority scheme (iii) acquisition of existing properties for social housing (cumulative)	33			25			25			25			26	Average 26	✔	33 (8.25/qtr)	Total comprises (i) 7 x rented homes at Springett Place Amersham (Paradigm), 6 x rented/12 x shared ownership properties at Appelfields, Little Chalfont (Paradigm) and 1 rented home Amersham (Rosewood) (ii) 0 and (iii) 0
CdHS3 (C)	Average Length of stay in B & B temporary accommodation for all households (snapshot in weeks at end of quarter)	12			14			1			3			16	Average 8	✔	12	2 x B&B placements ended during the Quarter Jan-Mar 2019 with an average stay of 16 weeks Overall average stay in B&B for placements that ended in 2018/19 was 8 weeks
CdHS4 (C)	Number of private sector dwellings vacant for more than 6 months and returned to occupation following local authority intervention	28												0	0	⚠	28	No active intervention work undertaken by Housing Team during 2018/19 due to other workload demands and limited identification of suitable empty homes. Therefore, no empty homes are recorded as being returned to use as direct result of Council intervention. Complaints and enforcement work for empty homes causing nuisance or health concerns is dealt with on case by case basis. Annual Capacity Grid review and cleansing of Council Tax database is identifying long term empty homes that have been returned to use but not reported to the Council. This ensures that the Council provides an accurate empty homes total to inform the New Homes Bonus calculation.
CdEH1 (C)	Percentage of food hygiene inspections of category A – D food businesses achieved against the inspections due by quarter	93%			81.7%			79.4%			93%			100%	100%	✔	91%	Target achieved.
JtLI2 (C)	Percentages of licences received and issued/renewed within statutory or policy deadlines (cumulative).	97%			98.6%			97.7%			99.2%			99.3%	99.3%	✔	97.0%	Target achieved.
Planning and Economic Development																		
JtBC1 (C)	Applications checked within 10 working days (cumulative)	92%	100%	98.4%	98.2%	97.3%	97.9%	86.0%	92.1%	96.1%	98.4%	96.6%	97.8%	99.1%	99.1%	✔	92%	Target achieved.
JtBC2 (C)	Customer satisfaction with the building control service. (cumulative)	92%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	✔	92%	Target achieved.
CdPED1 (C)	Percentage of planning applicants who are satisfied or very satisfied with the planning service (cumulative, quarterly)	80%			NA			NA			NA			NA	NA	NA	82%	The service is currently reviewing how to undertake these surveys.
CdPED2 (C)	Planning appeals allowed (cumulative)	35%			33.3%			26.3%			26.9%			32.2%	32.2%	✔	35%	19 allowed of 59 appeals decided (cumulative total) Note: How this indicator is calculated has been revised. This includes, all appeal types. Appeals against -Refusal of planning permission, -Imposition of conditions -Non-determination -Enforcement notices All applications that have development types that are reported to the Government on the PS2 return and PS1, questions 6 and 7 and all appeals against enforcement
CdPED43	2019 Majors quality of planning decisions special measures 2 year & 9 month assessment period ending Dec 2018 (cumulative monthly)	9.99%	2.4%	2.4%	2.4%	2.4%	4.8%	4.8%	4.8%	4.8%	4.8%					✔	9.99%	Closed
CdPED44	2019 Non-Majors quality of planning decisions - special measures 2 year & 9 month assessment period ending Dec 2018 (cumulative monthly)	9.99%	1.3%	1.4%	1.4%	1.5%	1.5%	1.6%	1.6%	1.6%	1.6%					✔	9.99%	Closed

Code	Title	Target 2017/18	Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	2018/19	Traffic Light	Target 2018/19	Comments		
CdPED45	2020 Majors speed of planning decisions – special measures 2 year assessment period ending Sep 19 (cumulative, monthly)	60%	100%	93.8%	88.2%	90.0%	85.7%	86.4%	87.0%	84.6%	90.3%	85.7%	86.8%	86.8%	NA	✔	60%	33 of 38 Applications determined: Major Decision period: Oct 2017 - Sep 2019 SPEED Target: 60% or more		
CdPED46	2020 Non-Majors speed of planning decisions – special measures 2 year assessment ending September 2019 (cumulative, monthly)	70%	96.2%	96.4%	95.9%	96.2%	96.2%	96.2%	96.1%	95.9%	95.9%	95.5%	95.6%	95.7%	NA	✔	70%	1969 of 2057 Applications determined: Non-Major Decision period: Oct 2017 - Sep 2019 SPEED Target: 70% or more		
CdPED47	2020 Majors quality of planning decisions – special measures 2 year and 9 month assessment period ending December 2019 (cumulative, monthly)	9.99%	3.7%	3.3%	3.2%	2.9%	5.7%	8.3%	8.1%	7.5%	6.7%	6.7%	6.7%	6.7%	NA	✔	9.99%	3 of 45 Application allowed/part allowed on appeal: Major Decision period: Apr 2017 – Mar 2019 Appeal period: Apr 2017 – Dec 2019 QUALITY Target: less than 10%		
CdPED48	2020 Non-Majors quality of planning decisions – special measures 2 year and 9 month assessment period ending December 2019 (cumulative, monthly)	9.99%	0.8%	0.8%	0.8%	0.9%	0.9%	1.0%	1.08%	1.1%	1.1%	1.2%	1.2%	1.2%	NA	✔	9.99%	30 of 2572 Application allowed/part allowed on appeal: Non-Major Decision period: Apr 2017 – Mar 2019 Appeal period: Apr 2017 – Dec 2019 QUALITY Target: less than 10%		
CdPED49	2021 Majors speed of planning decisions - special measures 2 year assessment period ending Sep 2020 (cumulative monthly)	60%								100%	100%	100%	84.6%	87.5%	87.5%	NA	✔	60%	14 of 16 speed Applications determined: Major Decision period: Oct 2018 - Sep 2020 SPEED Target: 60% or more	
CdPED50	2021 Non-Majors speed of planning decisions - special measures 2 year assessment period ending Sep 2020 (cumulative monthly)	70%								95.4%	94.0%	94.8%	93.7%	94.1%	94.8%	NA	✔	70%	Target achieved.	
CdPED51	2021 Majors quality of planning decisions - special measures 2 year & 9 month assessment period ending Dec 2020 (cumulative monthly)	9.99%	2.4%	2.4%	2.4%	2.4%	4.8%	4.8%	4.8%	4.8%	4.8%	4.2%	3.7%	3.7%	NA	✔	9.99%	1 of 27 Application allowed/part allowed on appeal: Major Decision period: Apr 2018 – Mar 2020 Appeal period: Apr 2018 – Dec 2020		
Environment																				
CdSE1 (C)	Cumulative CO2 reduction from local authority operations from base year of 2008/09 (annual)	12%													NA	NA	NA	12%	This data takes a few months to come through every year.	
CdWR1 (C)	Household collections, number of collections missed per month (calculated on weekly basis)	1733	1751	1492	1762	1863	2060	1586	1786	1363	1467	1567	1080	1280	Average 1588	✔	1650	Target achieved.		
CdWR3 (C)	Waste customer satisfaction survey	86%			84.3%			NA			88.0%			NA	Average 86.2%	✔	86%	Target achieved.		
CdWR4 (C)	No of missed assisted containers (monthly)	NEW PI	324	251	370	265	349	262	313	262	207	328	279	267	Average 290	✘	170	These remain stubbornly high despite recent improvements. We continue to work with Serco to bring these down.		
Support services																				
JtBS1 (C)	Availability of ICT systems to staff from 8am to 6pm (by period)	99.5%			99.8%						97.3%			94.5%		96.5%	98.1%	□	99.5%	Due to problems with staff recruitment and retention within Business Support's Infrastructure Team, the section has been running at a reduced capacity throughout the year. Members of the team have also been spending time supporting projects relating to the ICT Strategy and therefore diverted from dealing with support calls. These two factors have contributed to missing both yearly targets.
JtBS2 (C)	Percentage of calls to ICT helpdesk resolved within agreed timescales (by period)	95%			93.5%						88.2%			91.5%		92.3%	91.1%	□	95%	Due to problems with staff recruitment and retention within Business Support's Infrastructure Team, the section has been running at a reduced capacity throughout the year. Members of the team have also been spending time supporting projects relating to the ICT Strategy and therefore diverted from dealing with support calls. These two factors have contributed to missing both yearly targets.
CdBS3 (C)	Percentage of responses to FOI requests sent within 20 working days (by month)	90%	100%	98.8%	100%	98.9%	100%	94.4%	98.4%	97.7%	100%	99%	99%	100%	Average 99%	✔	90%	Target achieved.		
JtLD1 (C)	Client satisfaction with the shared service. Percentage satisfied or very satisfied.	98%									100%				100%	100%	✔	98%	Target achieved.	

Code	Title	Target 2017/18	Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	2018/19	Traffic Light	Target 2018/19	Comments	
CdLD1 (C)	The percentage response to the annual canvass	94%													100%	100%	☑	98%	Target achieved.
CdLD2 (C)	Percentage of standard searches carried out within three working days (by period quarterly)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	☑	100%	Target achieved.	
Customer services																			
CdCS1 (C)	New measure for complaints - t.b.a.	TBA	NA	NA	TBA	Placeholder for PI for when Customer Experience Strategy is implemented													
CdCS2 (C)	New measure for compliments - t.b.a.	TBA	NA	NA	TBA	Placeholder for PI for when Customer Experience Strategy is implemented													

Appendix C - Data Only PIs - CDC

Code	Title	Target 2017/18 (YTD)	Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	2018/19	Comments
Leader's portfolio																
CdCP1 (C)	Number of unique visitors to the main website (by period)	Data Only	101390	102580	101376	102097	101780	100008	109024	110076	105373	152377	126555	128206	111736	
JtHR2 (C)	Voluntary leavers as a % of workforce (extrapolated for the year)	16%			21.9%			17.6%			15.7%			15.6%	Average 17.7% / quarter	10 leavers in quarter three plus 29 for quarters 1 & 2 = 39 leavers for Qs 1, 2 & 3. 39 / 3 x 4 = 52 projected for the year 52 / 332.00 average headcount * 100 = 15.66%. This information is taken from
Healthy Communities																
CdCL3a (C)	Total attendance at Chalfont Leisure Centre	NEW PI			93,311			82,092			72027			75812	Average 80811 / quarter	
CdCL3b (C)	Total attendance at Chesham Leisure Centre	NEW PI			67,637			69,136			69056			86660	Average 73122 / quarter	
CdCL3c (C)	Total attendance at Chiltern Pools Leisure Centre	NEW PI			92,568			89,516			86113			100968	Average 92291 / quarter	
CdCmsf1 (C)	Percentage reduction in burglaries from dwellings year on year for Chiltern (quarterly)	Data Only			-46.8%			-22.9			-48.7			-11.1	Average -20.8	Burglary dwellings increased in Chiltern District over the past year by 11%. This was from 261 to 290 burglaries.
CdCmsf2 (C)	Percentage reduction in violent offences against a person, rolling year on year	data only			-62.1%			-43.1%			-32.2%			-31.3%	Average -42.2%	Violence against a person offences increased by 31.3% over the past year in Chiltern District. This rose from 973 to 1,278 offences.
Planning and Economic Development																
JtENF1(C)	Number of new enforcement cases received (monthly)	NEW PI	23	30	25	25	40	32	49	35	29	37	32	79	436 Average 36 / month	
JtENF2 (C)	Number of closed cases (monthly)	NEW PI	5	215	45	22	60	20	37	12	15	26	25	43	525 Average 44 / month	
JtENF3 (C)	Number of PCNs (or S330s) issued (monthly)	NEW PI	0	0	0	0	0	0	0	0	0	0	0	0	0	Dependent on number of breaches.
JtENF4 (C)	Number of notices served (monthly)	NEW PI	0	0	0	0	0	0	2	1	0	0	0	4	Total: 7	Dependent on number of types of cases, compliance and amicable negotiation.



Provide best value for money services by listening to our customers to ensure the provision of excellent services across all areas of the Councils



Approximately **10%** increase in number of social media followers and increased engagement with residents.



Processes have been streamlined, making planning services more efficient and consistent.



Won Revenues Team of the Year (District Authority) 2018.

Institute of Revenues Rating & Valuation (IRRV) Awards

Shortlisted as finalist in IRRV Excellence in Partnership award 2018.

Received approval from Joint Committee for the Customer Experience Programme.



Began implementation of phase one of the Customer Experience Programme.

BIERTON
CREMATORIUM

Opened the Berton Crematorium on the 23 April 2019.



Opened the Amersham Multi-Storey Car Park extension in November 2018.



The 2018/19 budget achieved over **£300,000** of savings and budget reductions.



Work towards safer, healthier and more cohesive communities by improving community safety and promoting and supporting local communities



Launched Op Gauntlet (in partnership with Thames Valley Police, Trading Standards and NatWest) to raise awareness of phone scams and held regular awareness events.

over **70** local businesses



attended the Annual Business Meeting.

Supported over



60+ community groups



Community Lottery established and currently supporting.

50 local organisations

Successful delivery of the community engagement (outreach) plan that has attracted

over **5,000**



visits in hard to reach and socially disadvantaged localities.

Carried out regular taxi licensing compliance operations to ensure vehicles remain safe. Provided safeguarding and child sexual exploitation prevention training to all licensed taxi drivers.



Public consultation with residents and stakeholders on the Chiltern Lifestyle Centre development.

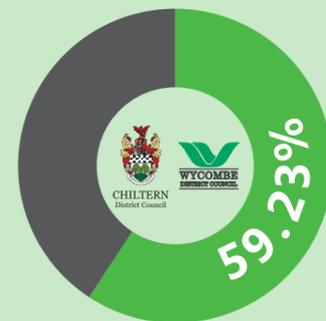


almost **1 million** visits to Chiltern Leisure Centres.



Strive to conserve the environment, whilst also promoting sustainable economic growth

Recycling rates achieved in Chiltern and Wycombe districts.



40.51%

Number of residents who subscribed to chargeable garden waste collections by October 2018.

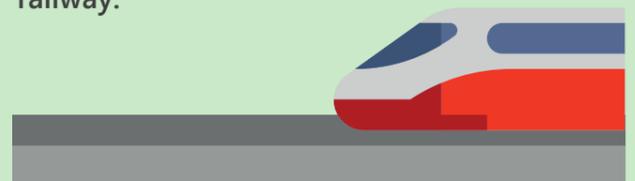


50% increase in food waste collected between January 2017 and January 2018.



Completed **100%** of environmental permitted industry inspections.

Worked with HS2 joint venture companies to manage and minimise impacts from construction and future operation of a new railway.



Prepared the Local Plan for consultation.



Appointed an Economic Development Team.

Consult on the **Chalfont St Giles Neighbourhood Plan**

Referendum will be held on 13 June 2019.



SUBJECT:	<i>CDC Capital and Repairs & Renewals Outturn Report 2018/19</i>
REPORT OF:	<i>Support Services Portfolio Holder – Cllr Mike Stannard</i>
RESPONSIBLE OFFICER	<i>Head of Finance – Rodney Fincham</i>
REPORT AUTHOR	<i>Capital Accountant – Jane Clarke – 01494 732 223- jclarke@chiltern.gov.uk</i>
WARD/S AFFECTED	<i>All</i>

1. Purpose of Report

To:

- Report the 2018/19 capital and repairs & renewals outturn position.
- Request the carry forward of unspent capital and repairs & renewals budgets.

RECOMMENDATIONS

Cabinet is asked to:

- **Note the 2018/19 capital and repairs & renewals outturn position.**
- **Agree which capital and repairs & renewals budgets should be carried forward to 2019/20.**

2. Capital Expenditure

Appendix A provides the following information for each 2018/19 capital scheme.

- Latest Budget
- Actual Expenditure
- Variance
- Requested Carry Forward
- Comments from Head of Service/Scheme Manager.

3. Repairs & Renewals Expenditure

Appendix B provides the following information for each 2018/19 repairs and renewals scheme.

- Latest Budget
- Actual Expenditure
- Variance
- Requested Carry Forward
- Comments from Head of Service/Scheme Manager.

4. Options

Other options would be to not allow any carry forwards to schemes. However, this would mean projects could not be progressed.

5. Corporate Implications

If all proposed carry forward budgets are agreed, the additional budgeted capital expenditure in 2019/20 will be £1,513k, and the additional budgeted repairs & renewals expenditure in 2019/20 will be £196k.

6. Links to Council Policy Objectives

Effective budgeting helps ensure that, as far as possible, the Council can deliver cost-effective, customer-focused services.

7. Next Step

Agreed carried forward budgets will be added to the 2019/20 original budgets.

Background Papers:	None
---------------------------	------

APPENDIX A CDC Capital Budget Monitoring 2018/19	Latest Budget	Actual	Variance	Requested Carry Forward	Comments
	£	£	£	£	
Environment					
Refuse Vehicles	200,000	0	-200,000	200,000	Carry forward, to enable service delivery.
Sycamore Road - Additional parking spaces & resurfacing	1,680	1,680	0	0	Project complete no carry forward.
AMSCP	5,594,187	5,558,637	-35,551	35,551	Carry forward, for completion of waterproofing to AMSCP.
Car Park Enhancements	21,007	21,007	0	0	Project complete no carry forward.
Mill Meadow Bridge	303,321	-1,031	-304,352	0	Project complete no carry forward.
Healthy Communities					
Town & Village Revitalisation	14,000	0	-14,000	14,000	Carry forward to support legacy projects.
Leisure Centres	241,099	139,958	-101,141	101,141	Carry forward as ongoing capital works to existing centres.
Leisure Centre - Redevelopment of Chiltern Pools	1,000,000	750,156	-249,844	249,844	Project ongoing, carry forward.
Disabled Facility Grants	1,005,778	531,367	-474,411	474,411	Carry forward, to enable service delivery.
Homeless Mitigation Works	150,000	0	-150,000	150,000	Carry forward, to enable service delivery.
St Johns Ambulance Building - Acquisition	525,000	539,400	14,400	0	Overspent , no carry forward.
Renovation Grants	103,672	33,493	-70,179	70,179	Carry forward, to enable service delivery.
Customer Services					
Customer Experience Strategy Programm	247,956	200,254	-47,702	47,702	Project ongoing, carry forward.
Support Services					
Virtual environment upgrades	7,690	838	-6,852	6,852	Carry forward, project ongoing.
IP telephony - core infrastructure	19,586	0	-19,586	19,586	Carry forward, project ongoing.
Shared F&P Service - Uniform & FM System	7,400	0	-7,400	7,400	Carry forward, project ongoing.
KGvH - Undercroft Car Park Security Enhancements	7,444	6,055	-1,389	0	Project complete no carry forward.
KGvH - Increase Parking	88,406	0	-88,406	0	Project cancelled no carry forward.
KGvH - Replace condensing boilers	150,000	178,175	28,175	0	Overspent , no carry forward.
KGvH - Fire Risk Assessment schedule of works - fire protection compartment, intumescent installation	150,000	30,872	-119,128	119,128	Project ongoing, carry forward.
KGvH - New CCTV system to monitor offices perimeter	10,000	8,164	-1,836	1,836	Project ongoing, carry forward.
KGvH - Access control system replacement	65,000	49,556	-15,444	15,444	Project ongoing, carry forward.
	9,913,226	8,048,581	-1,864,646	1,513,074	

APPENDIX B	Latest Budget	Actual as at	Variance
CDC Repairs and Renewals Monitoring 2018/19		31.03.19	
	£	£	£
Environment			
Public Conveniences : Repair buildings & equipment	3,441	0	-3,441
Cleansing services: Replacement dog waste bins	5,000	412	-4,588
Depot: Annual Allocation	122,162	101,287	-20,875
Depot: Access road improvements	1,294	0	-1,294
Depot: Security fencing to South boundary	6,000	1,875	-4,125
Car park surface repairs: Annual allocation	9,395	9,348	-47
AMSCP: Repair pedestrian barriers	6,822	6,822	0
AMSCP: Redecoration	8,000	8,972	972
Mill Meadow, Chalfont St Peter, Bridge Repairs	0	-9,076	-9,076
Offices: Maintenance works	247,250	137,422	-109,828
Ashley Green old school community centre: Building repairs	9,813	6,064	-3,749
Barn Hall Annex & Barn Hall Community Centre	4,375	2,863	-1,512
Healthy Communities			
Leisure Centres Fund	30,421	17,631	-12,790
Leisure Centre - Needs Assessment	50,000	49,192	-808
Support Services			
IT: Replacement equipment / alterations	80,315	43,178	-37,137
	584,288	375,989.26	-208,299

Breakdown of Offices: Maintenance Works	Latest Budget	Actual	Variance
		31.03.19	
Offices: Paving replacement	13,000	3,300	-9,700
KGVH - Audio System for Council Chamber	47,500	48,290	790
KGVH - Refurbishment of General Office (planning desks)	22,200	22,119	-81
KGVH - Overhaul wet heating system with flush through and new valves	5,000	5,511	511
KGVH - External lighting	5,000	0	-5,000
KGVH - Pest proofing of chamber, atrium and pond area	36,000	43,620	7,620
KGVH - Emergency lighting overhaul	4,000	2,590	-1,410
KGVH - Fixed wiring repairs / replacement of circuits	18,800	8,833	-9,967
KGVH - replacement of electric distribution boards	9,000	0	-9,000
KGVH - Upgrade lighting to LED	50,000	3,158	-46,842
KGVH - Renew suspended ceilings	18,750	0	-18,750
KGVH - HWS Cylinder Replacement	18,000	0	-18,000
	247,250	137,422	-109,828

Requested Carry Forward	Comments
£	
3,441	Carry forward, ongoing works.
4,588	Carry forward ongoing works.
20,875	Carry forward ongoing works.
1,294	Carry forward ongoing works.
4,125	Carry forward ongoing works.
0	Project complete, no carry forward.
0	Project complete, no carry forward.
0	Overspent, no carry forward.
0	No Carry forward required.
109,669	See breakdown below.
0	Project complete, no carry forward.
1,512	Carry forward ongoing works.
12,790	Carry forward ongoing works.
808	Carry forward to undertake survey work.
37,137	Carry forward for ongoing works.
196,239	

Requested Carry Forward	Comments
9,700	Project ongoing, carry forward.
0	Overspent, no carry forward.
0	Project complete, no carry forward.
0	Overspent, no carry forward.
5,000	Project ongoing, carry forward.
0	Overspent, no carry forward.
1,410	Project ongoing, carry forward.
9,967	Project ongoing, carry forward.
0	Project cancelled, no carry forward.
46,842	Project ongoing, carry forward.
18,750	Project ongoing, carry forward.
18,000	Project ongoing, carry forward.
109,669	

SUBJECT:	<i>Treasury Management – Annual Report 2018/19</i>
REPORT OF:	<i>Jim Burness, Director of Resources</i>
RESPONSIBLE OFFICER	<i>Helen O’Keeffe, Capital & Treasury Manager</i>
REPORT AUTHOR	<i>Helen O’Keeffe, helen.okeeffe@chilternandsouthbucks.gov.uk 01494 732781</i>
WARD/S AFFECTED	<i>All</i>

1. Purpose of Report

- 1.1 To report on the Treasury Management performance of the Council for 2018/19 as required by the Code of Practice on Treasury Management.

RECOMMENDATION

Members are requested to note the Treasury Management performance for 2018/19 as required by the Code of Practice on Treasury Management.

2. Background

- 2.1 The Council is required to comply with the CIPFA Code of Practice on Treasury Management. The primary requirements of the code are:
- (i) Creation and maintenance of a Treasury Management Policy Statement, which sets out the policies and objectives of the Council’s treasury management activities.
 - (ii) Creation and maintenance of Treasury Management Practices, which set out the manner in which the Council will achieve those policies and objectives.
 - (iii) Receipt by the Cabinet and Council of an annual strategy report for the year ahead **and an annual review report of the previous year.**
 - (iv) The delegation by the Council of responsibilities for implementing and monitoring treasury management policies and practices and for the execution and administration of treasury management decisions.

3. Annual Report on Treasury Management 2018/19

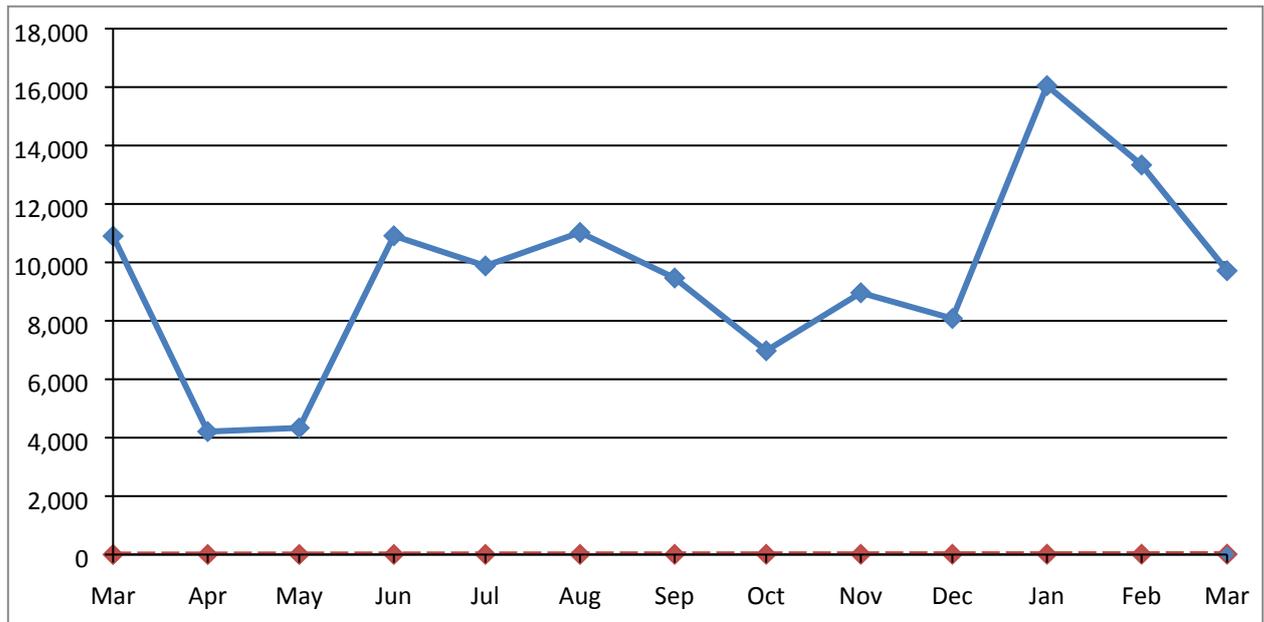
- 3.1 In July 2017 the Council took out a loan from the PWLB to finance the construction of the new Amersham Multi Storey car park following the approval of the business case and planning. The value of the loan was £10.8m, borrowed at an interest rate of 2.7% repayable over 40 years. There was no further borrowing in 2018/19.
- 3.2 The base rate was decreased from 0.5% to 0.25% in August 2016, with the rate having remained at 0.5% since March 2009. The base rate was increased to 0.5% on 2 November 2017 and remained at this level throughout 2018/19.
- 3.3 Officers invest cash flow surpluses with approved counter parties. During the year, officers invested funds in accordance with counter parties approved as part of the Treasury Management Strategy 2018/19 as in the table below.

	Duration	Maximum Amount	Fitch Rating	Comment
Money Market Funds	-	£5m	AAA	
UK Institutions	Up to 3 years	£5m	BBB+ or better	
Non UK Institution	Up to 3 years	£2m	A- or better	Sovereignty rating AA or better
Corporate Bonds/Bond Funds	Up to 3 years	£5m	A- or better	
Other Approved Investments (eg Property Funds)	-	£5m	-	-

- 3.4 Link Asset Services is engaged by the Council as its Treasury Management consultants providing advice on investment, performance and regulations where necessary.
- 3.5 A summary of the movements in the year is as follows:

	Fund Balance 1.4.2018 £000	Fund Withdrawals £000	Added to Fund £000	Fund Balance 31.3.2019 £000
Instant Access Deposits	900		815	1,715
Money Market Funds	10,000	(13,000)	11,000	8,000
Fixed Deposits	13,000	(13,000)	10,000	10,000
Total	23,900	(26,000)	21,815	19,715

- 3.6 The Instant Access deposit as at 31 March 2019 is held with our bankers Barclays.
- 3.7 The following graph shows how the level of cash and instant access investments has fluctuated over the year. The level of cash reserves has decreased slightly over the year owing to the build of the Amersham Multi Storey Car Park which used funds which were borrowed.



- 3.8 The weighted average interest rate earned on fixed rate investments in the year was 0.91%. By way of comparison, the weighted average interest rate earned in the year by South Bucks District Council was 0.79%.
- 3.9 A summary of the Council's Fixed Deposits as at 31st March 2019 is shown below:

UK Institutions	Fitch Credit Rating	Principal £	Interest Rate	Invested	Matures
Lloyds Banking Group	A+				
Fixed Deposit		1,000,000	1.05%	06/11/18	06/08/19
Fixed Deposit		1,000,000	1.05%	29/10/18	29/07/19
Fixed Deposit		1,000,000	1.00%	26/07/18	26/07/19
Fixed Deposit		2,000,000	1.05%	26/10/18	26/07/19
Santander	A				
Fixed Deposit		1,000,000	0.90%	15/05/18	15/05/19
Fixed Deposit		1,000,000	1.05%	26/07/18	26/07/19
Fixed Deposit		1,000,000	1.03%	26/10/18	26/07/19
Close Brothers	A				
Fixed Deposit		1,000,000	1.20%	15/10/18	15/10/19
Fixed Deposit		1,000,000	1.20%	20/11/18	20/11/19
Total Deposits		10,000,000			

4. Corporate Implications

- 4.1 A comparison between the actual and budgeted interest returns for 2018/19 is shown below:

	Budget 2018/19 £000	Actual 2018/19 £000
Interest	90	187

- 4.2 Actual interest received from investments is above the budgeted figure of £90,000. The budget was set at a modest level owing to uncertainty around probable interest rates. The budget assumed interest rates of 0.9% for fixed term investments and 0.35% for short term investments such as Money Market Funds. Actual interest rates earned were between 0.9% and 1.2% for fixed term investments and an average of 0.6% for short term investments, so the budgeted interest was exceeded. The budgeted income from investments for 2019/20 has been set at £40,000.

Background Papers:	None
---------------------------	------

SUBJECT:	<i>New Statutory Guidance on Overview and Scrutiny</i>
REPORT OF:	<i>Support Services Portfolio Holder – Cllr Mike Stannard</i>
RESPONSIBLE OFFICER	<i>Mat Bloxham – Democratic and Electoral Services Manager</i>
REPORT AUTHOR	<i>Clare Gray – clare.gray@chilternandsouthbucks.gov.uk</i>
WARD/S AFFECTED	<i>All</i>

1. Purpose of Report

The Ministry of Housing, Communities and Local Government has produced statutory guidance on overview and scrutiny in local authorities which aims to increase understanding in the purpose of scrutiny, what effective scrutiny looks like, how to conduct it and the benefits it can bring. Members are asked to note the new guidance which will need to be taken into account when designing the overview and scrutiny arrangements for the new unitary District Council.

RECOMMENDATIONS

That the Guidance be noted.

2. Content of Report

The new guidance contains a number of policies and practices authorities should consider when deciding how to carry out their overview and scrutiny functions. As it has the status of statutory guidance Councils must have regard to it and should follow it unless there is a good reason not to do so in a particular case. The key points in the guidance are summarised below.

Organisational culture

2.1 The guidance emphasises that prevailing organisational culture determines whether the scrutiny function succeeds or fails. Therefore the guidance recommends that members and officers should recognise and appreciate the importance and legitimacy that the scrutiny function is given by the law and to take steps to ensure scrutiny has a clear role and focus within the organisation. There should be early and regular engagement between the executive and scrutiny, especially with regard to the work programme but, the executive should not try to exercise control over the work of the scrutiny committee. On contentious issues the guidance refers to the importance of the executive and scrutiny working together to manage any disagreement and recommends that a framework could be developed to address this through an executive-scrutiny protocol. Call in should not be used as a party-political tool and with any scrutiny work members should be supported in having an independent mind-set.

2.2 The guidance states that scrutiny functions should be provided with the necessary support and staff should also be given the necessary access to information in order to facilitate discussions internally and externally, including providing impartial advice to scrutiny members. In addition Councils should ensure members and officers are made aware of the role the scrutiny committee plays in the organisation and its value and outcomes that can be delivered. Scrutiny should decide when it would be appropriate to submit reports for wider debate e.g

submitting reports to Council rather than Cabinet and also to ensure that the work of the scrutiny committee is publicised to raise its profile in the wider community.

Resourcing

2.3 The guidance notes that the resource an authority allocates to the scrutiny function plays a pivotal role in determining how successful that function is and the value it can add to the work of the authority. Effective resourcing of scrutiny has been shown to add value to Councils, including their ability to meet the needs of local people and helping policy formulation. The guidance provides further detail on officer resource models.

Selecting Committee Members

2.4 The guidance recommends that scrutiny committees should be made up of members who have the necessary skills and commitment and ability to act. The guidance emphasises that the committee chairman plays a leadership role as they are largely responsible for establishing its profile, influence and ways of working and they should guard the committee's independence. One suggestion for Councils is to consider selecting the chairman by secret ballot. The importance of ongoing training is also seen as key as well as using co-option and outside expertise.

Power to access information

2.5 When considering what information scrutiny needs, scrutiny members and the executive should be reminded of the legal rights that committees and their individual members have, as well as their need to receive timely and accurate information to carry out their duties effectively. When asking external organisations for information it is important that the officer explains the purpose of scrutiny and looks at how to encourage compliance with the request and the best person to approach.

Planning work

2.6 The guidance emphasises that effective scrutiny should have a defined impact on the ground with the committee making recommendations that will make a tangible difference to the work of the authority. Any inquiry work should be scoped out to ensure that the right topics are addressed in the right way and at the right time and to ensure that the right approach is taken to gathering evidence from the public, authority's partners and the executive. Key information includes performance, finance and risk, corporate complaints, business cases and options appraisals and other reports and recommendations. In terms of identifying topics the guidance suggests these could be shortlisted according to the benefits that scrutiny would bring to that particular area. Topics could be scrutinised as a single item, at a single meeting, at a task and finish group, or by establishing a standing panel.

Evidence Sessions

2.7 Evidence sessions are referred to as a key way in which scrutiny committees inform their work and the guidance provides information on how to plan and to develop recommendations, which should be evidence based and SMART.

3. Corporate Implications

Having an effective scrutiny function contributes to the corporate aims and objectives of all Councils by identifying improvements to service areas.

4. Links to Council Policy Objectives

As above

5. Next Step

Members are asked to note the report and consider any actions arising. The guidance will inform future scrutiny arrangements for the new unitary District Council.

Background Papers:	None other than referred to in the report
---------------------------	---



Ministry of Housing,
Communities &
Local Government

Statutory Guidance on Overview and Scrutiny in Local and Combined Authorities



© Crown copyright, 2019

Copyright in the typographical arrangement rests with the Crown.

You may re-use this information (not including logos) free of charge in any format or medium, under the terms of the Open Government Licence. To view this licence visit <http://www.nationalarchives.gov.uk/doc/open-government-licence/version/3/>

This document/publication is also available on our website at www.gov.uk/mhclg

If you have any enquiries regarding this document/publication, complete the form at <http://forms.communities.gov.uk/> or write to us at:

Ministry of Housing, Communities and Local Government
Fry Building
2 Marsham Street
London
SW1P 4DF
Telephone: 030 3444 0000

For all our latest news and updates follow us on Twitter: <https://twitter.com/mhclg>

May 2019

ISBN: 978-1-4098-5458-6

Contents

Ministerial Foreword	4
About this Guidance	5
1. Introduction and Context	7
2. Culture	8
3. Resourcing	13
4. Selecting Committee Members	15
5. Power to Access Information	18
6. Planning Work	21
7. Evidence Sessions	25
Annex 1: Illustrative Scenario – Creating an Executive-Scrutiny Protocol	27
Annex 2: Illustrative Scenario – Engaging Independent Technical Advisers	28
Annex 3: Illustrative Scenario – Approaching an External Organisation to Appear before a Committee	30

Ministerial Foreword

The role that overview and scrutiny can play in holding an authority's decision-makers to account makes it fundamentally important to the successful functioning of local democracy. Effective scrutiny helps secure the efficient delivery of public services and drives improvements within the authority itself. Conversely, poor scrutiny can be indicative of wider governance, leadership and service failure.

It is vital that councils and combined authorities know the purpose of scrutiny, what effective scrutiny looks like, how to conduct it and the benefits it can bring. This guidance aims to increase understanding in all four areas.

In writing this guidance, my department has taken close note of the House of Commons Select Committee report of December 2017, as well as the written and oral evidence supplied to that Committee. We have also consulted individuals and organisations with practical involvement in conducting, researching and supporting scrutiny.

It is clear from speaking to these practitioners that local and combined authorities with effective overview and scrutiny arrangements in place share certain key traits, the most important being a strong organisational culture. Authorities who welcome challenge and recognise the value scrutiny can bring reap the benefits. But this depends on strong commitment from the top - from senior members as well as senior officials.

Crucially, this guidance recognises that authorities have democratic mandates and are ultimately accountable to their electorates, and that authorities themselves are best-placed to know which scrutiny arrangements are most appropriate for their own individual circumstances.

I would, however, strongly urge all councils to cast a critical eye over their existing arrangements and, above all, ensure they embed a culture that allows overview and scrutiny to flourish.



A handwritten signature in blue ink, appearing to read 'Rishi Sunak'.

Rishi Sunak MP
Minister for Local Government

About this Guidance

Who the guidance is for

This document is aimed at local authorities and combined authorities in England to help them carry out their overview and scrutiny functions effectively. In particular, it provides advice for senior leaders, members of overview and scrutiny committees, and support officers.

Aim of the guidance

This guidance seeks to ensure local authorities and combined authorities are aware of the purpose of overview and scrutiny, what effective scrutiny looks like, how to conduct it effectively and the benefits it can bring.

As such, it includes a number of policies and practices authorities should adopt or should consider adopting when deciding how to carry out their overview and scrutiny functions.

The guidance recognises that authorities approach scrutiny in different ways and have different processes and procedures in place, and that what might work well for one authority might not work well in another.

The hypothetical scenarios contained in the annexes to this guidance have been included for illustrative purposes, and are intended to provoke thought and discussion rather than serve as a 'best' way to approach the relevant issues.

While the guidance sets out some of the key legal requirements, it does not seek to replicate legislation.

Status of the guidance

This is statutory guidance from the Ministry of Housing, Communities and Local Government. Local authorities and combined authorities must have regard to it when exercising their functions. The phrase 'must have regard', when used in this context, does not mean that the sections of statutory guidance have to be followed in every detail, but that they should be followed unless there is a good reason not to in a particular case.

Not every authority is required to appoint a scrutiny committee. This guidance applies to those authorities who have such a committee in place, whether they are required to or not.

This guidance has been issued under section 9Q of the Local Government Act 2000 and under paragraph 2(9) of Schedule 5A to the Local Democracy, Economic Development and Construction Act 2009, which requires authorities to have regard to this guidance. In addition, authorities may have regard to other material they might choose to consider, including that issued by the Centre for Public Scrutiny, when exercising their overview and scrutiny functions.

Terminology

Unless 'overview' is specifically mentioned, the term 'scrutiny' refers to both overview and scrutiny.¹

Where the term 'authority' is used, it refers to both local authorities and combined authorities.

Where the term 'scrutiny committee' is used, it refers to an overview and scrutiny committee and any of its sub-committees. As the legislation refers throughout to powers conferred on scrutiny committees, that is the wording used in this guidance. However, the guidance should be seen as applying equally to work undertaken in informal task and finish groups, commissioned by formal committees.

Where the term 'executive' is used, it refers to executive members.

For combined authorities, references to the 'executive' or 'cabinet' should be interpreted as relating to the mayor (where applicable) and all the authority members.

For authorities operating committee rather than executive arrangements, references to the executive or Cabinet should be interpreted as relating to councillors in leadership positions.

Expiry or review date

This guidance will be kept under review and updated as necessary.

¹ A distinction is often drawn between 'overview' which focuses on the development of policy, and 'scrutiny' which looks at decisions that have been made or are about to be made to ensure they are fit for purpose.

1. Introduction and Context

1. Overview and scrutiny committees were introduced in 2000 as part of new executive governance arrangements to ensure that members of an authority who were not part of the executive could hold the executive to account for the decisions and actions that affect their communities.
2. Overview and scrutiny committees have statutory powers² to scrutinise decisions the executive is planning to take, those it plans to implement, and those that have already been taken/implemented. Recommendations following scrutiny enable improvements to be made to policies and how they are implemented. Overview and scrutiny committees can also play a valuable role in developing policy.

Effective overview and scrutiny should:

- Provide constructive 'critical friend' challenge;
- Amplify the voices and concerns of the public;
- Be led by independent people who take responsibility for their role; and
- Drive improvement in public services.

3. The requirement for local authorities in England to establish overview and scrutiny committees is set out in sections 9F to 9FI of the Local Government Act 2000 as amended by the Localism Act 2011.
4. The Localism Act 2011 amended the Local Government Act 2000 to allow councils to revert to a non-executive form of governance - the 'committee system'. Councils who adopt the committee system are not required to have overview and scrutiny but may do so if they wish. The legislation has been strengthened and updated since 2000, most recently to reflect new governance arrangements with combined authorities. Requirements for combined authorities are set out in Schedule 5A to the Local Democracy, Economic Development and Construction Act 2009.
5. Current overview and scrutiny legislation recognises that authorities are democratically-elected bodies who are best-placed to determine which overview and scrutiny arrangements best suit their own individual needs, and so gives them a great degree of flexibility to decide which arrangements to adopt.
6. In producing this guidance, the Government fully recognises both authorities' democratic mandate and that the nature of local government has changed in recent years, with, for example, the creation of combined authorities, and councils increasingly delivering key services in partnership with other organisations or outsourcing them entirely.

² Section 9F of the Local Government Act 2000; paragraph 1 of Schedule 5A to the Local Democracy, Economic Development and Construction Act 2009.

2. Culture

7. The prevailing organisational culture, behaviours and attitudes of an authority will largely determine whether its scrutiny function succeeds or fails.
8. While everyone in an authority can play a role in creating an environment conducive to effective scrutiny, it is important that this is led and owned by members, given their role in setting and maintaining the culture of an authority.
9. Creating a strong organisational culture supports scrutiny work that can add real value by, for example, improving policy-making and the efficient delivery of public services. In contrast, low levels of support for and engagement with the scrutiny function often lead to poor quality and ill-focused work that serves to reinforce the perception that it is of little worth or relevance.
10. Members and senior officers should note that the performance of the scrutiny function is not just of interest to the authority itself. Its effectiveness, or lack thereof, is often considered by external bodies such as regulators and inspectors, and highlighted in public reports, including best value inspection reports. Failures in scrutiny can therefore help to create a negative public image of the work of an authority as a whole.

How to establish a strong organisational culture

11. Authorities can establish a strong organisational culture by:

- a) **Recognising scrutiny's legal and democratic legitimacy** – all members and officers should recognise and appreciate the importance and legitimacy the scrutiny function is afforded by the law. It was created to act as a check and balance on the executive and is a statutory requirement for all authorities operating executive arrangements and for combined authorities.

Councillors have a unique legitimacy derived from their being democratically elected. The insights that they can bring by having this close connection to local people are part of what gives scrutiny its value.

- b) **Identifying a clear role and focus** – authorities should take steps to ensure scrutiny has a clear role and focus within the organisation, i.e. a niche within which it can clearly demonstrate it adds value. Therefore, prioritisation is necessary to ensure the scrutiny function concentrates on delivering work that is of genuine value and relevance to the work of the wider authority – this is one of the most challenging parts of scrutiny, and a critical element to get right if it is to be recognised as a strategic function of the authority (see chapter 6).

Authorities should ensure a clear division of responsibilities between the scrutiny function and the audit function. While it is appropriate for scrutiny to pay due regard to the authority's financial position, this will need to happen in the context of the formal audit role. The authority's section 151 officer should advise scrutiny on how to manage this dynamic.

While scrutiny has no role in the investigation or oversight of the authority's whistleblowing arrangements, the findings of independent whistleblowing investigations might be of interest to scrutiny committees as they consider their wider implications. Members should always follow the authority's constitution and associated Monitoring Officer directions on the matter. Further guidance on whistleblowing can be found at:

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/415175/bis-15-200-whistleblowing-guidance-for-employers-and-code-of-practice.pdf.

- c) **Ensuring early and regular engagement between the executive and scrutiny** – authorities should ensure early and regular discussion takes place between scrutiny and the executive, especially regarding the latter's future work programme. Authorities should, though, be mindful of their distinct roles:

In particular:

- The executive should not try to exercise control over the work of the scrutiny committee. This could be direct, e.g. by purporting to 'order' scrutiny to look at, or not look at, certain issues, or indirect, e.g. through the use of the whip or as a tool of political patronage, and the committee itself should remember its statutory purpose when carrying out its work. All members and officers should consider the role the scrutiny committee plays to be that of a 'critical friend' not a de facto 'opposition'. Scrutiny chairs have a particular role to play in establishing the profile and nature of their committee (see chapter 4); and
- The chair of the scrutiny committee should determine the nature and extent of an executive member's participation in a scrutiny committee meeting, and in any informal scrutiny task group meeting.

- d) **Managing disagreement** – effective scrutiny involves looking at issues that can be politically contentious. It is therefore inevitable that, at times, an executive will disagree with the findings or recommendations of a scrutiny committee.

It is the job of both the executive and scrutiny to work together to reduce the risk of this happening, and authorities should take steps to predict, identify and act on disagreement.

One way in which this can be done is via an 'executive-scrutiny protocol' (see annex 1) which can help define the relationship between the two and mitigate any differences of opinion before they manifest themselves in unhelpful and unproductive ways. The benefit of this approach is that it provides a framework for disagreement and debate, and a way to manage it when it happens. Often,

the value of such a protocol lies in the dialogue that underpins its preparation. It is important that these protocols are reviewed on a regular basis.

Scrutiny committees do have the power to ‘call in’ decisions, i.e. ask the executive to reconsider them before they are implemented, but should not view it as a substitute for early involvement in the decision-making process or as a party-political tool.

- e) **Providing the necessary support** – while the level of resource allocated to scrutiny is for each authority to decide for itself, when determining resources an authority should consider the purpose of scrutiny as set out in legislation and the specific role and remit of the authority’s own scrutiny committee(s), and the scrutiny function as a whole.

Support should also be given by members and senior officers to scrutiny committees and their support staff to access information held by the authority and facilitate discussions with representatives of external bodies (see chapter 5).

- f) **Ensuring impartial advice from officers** – authorities, particularly senior officers, should ensure all officers are free to provide impartial advice to scrutiny committees. This is fundamental to effective scrutiny. Of particular importance is the role played by ‘statutory officers’ – the monitoring officer, the section 151 officer and the head of paid service, and where relevant the statutory scrutiny officer. These individuals have a particular role in ensuring that timely, relevant and high-quality advice is provided to scrutiny.
- g) **Communicating scrutiny’s role and purpose to the wider authority** – the scrutiny function can often lack support and recognition within an authority because there is a lack of awareness among both members and officers about the specific role it plays, which individuals are involved and its relevance to the authority’s wider work. Authorities should, therefore, take steps to ensure all members and officers are made aware of the role the scrutiny committee plays in the organisation, its value and the outcomes it can deliver, the powers it has, its membership and, if appropriate, the identity of those providing officer support.
- h) **Maintaining the interest of full Council in the work of the scrutiny committee** – part of communicating scrutiny’s role and purpose to the wider authority should happen through the formal, public role of full Council – particularly given that scrutiny will undertake valuable work to highlight challenging issues that an authority will be facing and subjects that will be a focus of full Council’s work. Authorities should therefore take steps to ensure full Council is informed of the work the scrutiny committee is doing.

One way in which this can be done is by reports and recommendations being submitted to full Council rather than solely to the executive. Scrutiny should decide when it would be appropriate to submit reports for wider debate in this way, taking into account the relevance of reports to full Council business, as well as full Council’s capacity to consider and respond in a timely manner. Such

reports would supplement the annual report to full Council on scrutiny's activities and raise awareness of ongoing work.

In order to maintain awareness of scrutiny at the Combined Authority and provoke dialogue and discussion of its impact, the business of scrutiny should be reported to the Combined Authority board or to the chairs of the relevant scrutiny committees of constituent and non-constituent authorities, or both. At those chairs' discretion, particular Combined Authority scrutiny outcomes, and what they might mean for each individual area, could be either discussed by scrutiny in committee or referred to full Council of the constituent authorities.

- i) **Communicating scrutiny's role to the public** – authorities should ensure scrutiny has a profile in the wider community. Consideration should be given to how and when to engage the authority's communications officers, and any other relevant channels, to understand how to get that message across. This will usually require engagement early on in the work programming process (see chapter 6).
- j) **Ensuring scrutiny members are supported in having an independent mindset** – formal committee meetings provide a vital opportunity for scrutiny members to question the executive and officers.

Inevitably, some committee members will come from the same political party as a member they are scrutinising and might well have a long-standing personal, or familial, relationship with them (see paragraph 25).

Scrutiny members should bear in mind, however, that adopting an independent mind-set is fundamental to carrying out their work effectively. In practice, this is likely to require scrutiny chairs working proactively to identify any potentially contentious issues and plan how to manage them.

Directly-elected mayoral systems

12. A strong organisational culture that supports scrutiny work is particularly important in authorities with a directly-elected mayor to ensure there are the checks and balances to maintain a robust democratic system. Mayoral systems offer the opportunity for greater public accountability and stronger governance, but there have also been incidents that highlight the importance of creating and maintaining a culture that puts scrutiny at the heart of its operations.
13. Authorities with a directly-elected mayor should ensure that scrutiny committees are well-resourced, are able to recruit high-calibre members and that their scrutiny functions pay particular attention to issues surrounding:
 - rights of access to documents by the press, public and councillors;
 - transparent and fully recorded decision-making processes, especially avoiding decisions by 'unofficial' committees or working groups;
 - delegated decisions by the Mayor;
 - whistleblowing protections for both staff and councillors; and
 - powers of Full Council, where applicable, to question and review.

14. Authorities with a directly-elected mayor should note that mayors are required by law to attend overview and scrutiny committee sessions when asked to do so (see paragraph 44).

3. Resourcing

15. The resource an authority allocates to the scrutiny function plays a pivotal role in determining how successful that function is and therefore the value it can add to the work of the authority.
16. Ultimately it is up to each authority to decide on the resource it provides, but every authority should recognise that creating and sustaining an effective scrutiny function requires them to allocate resources to it.
17. Authorities should also recognise that support for scrutiny committees, task groups and other activities is not solely about budgets and provision of officer time, although these are clearly extremely important elements. Effective support is also about the ways in which the wider authority engages with those who carry out the scrutiny function (both members and officers).

When deciding on the level of resource to allocate to the scrutiny function, the factors an authority should consider include:

- Scrutiny's legal powers and responsibilities;
- The particular role and remit scrutiny will play in the authority;
- The training requirements of scrutiny members and support officers, particularly the support needed to ask effective questions of the executive and other key partners, and make effective recommendations;
- The need for ad hoc external support where expertise does not exist in the council;
- Effectively-resourced scrutiny has been shown to add value to the work of authorities, improving their ability to meet the needs of local people; and
- Effectively-resourced scrutiny can help policy formulation and so minimise the need for call-in of executive decisions.

Statutory scrutiny officers

18. Combined authorities, upper and single tier authorities are required to designate a statutory scrutiny officer,³ someone whose role is to:
- promote the role of the authority's scrutiny committee;
 - provide support to the scrutiny committee and its members; and
 - provide support and guidance to members and officers relating to the functions of the scrutiny committee.

³ Section 9FB of the Local Government Act 2000; article 9 of the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017

19. Authorities not required by law to appoint such an officer should consider whether doing so would be appropriate for their specific local needs.

Officer resource models

20. Authorities are free to decide for themselves which wider officer support model best suits their individual circumstances, though generally they adopt one or a mix of the following:

- Committee – officers are drawn from specific policy or service areas;
- Integrated – officers are drawn from the corporate centre and also service the executive; and
- Specialist – officers are dedicated to scrutiny.

21. Each model has its merits – the committee model provides service-specific expertise; the integrated model facilitates closer and earlier scrutiny involvement in policy formation and alignment of corporate work programmes; and the specialist model is structurally independent from those areas it scrutinises.

22. Authorities should ensure that, whatever model they employ, officers tasked with providing scrutiny support are able to provide impartial advice. This might require consideration of the need to build safeguards into the way that support is provided. The nature of these safeguards will differ according to the specific role scrutiny plays in the organisation.

4. Selecting Committee Members

23. Selecting the right members to serve on scrutiny committees is essential if those committees are to function effectively. Where a committee is made up of members who have the necessary skills and commitment, it is far more likely to be taken seriously by the wider authority.
24. While there are proportionality requirements that must be met,⁴ the selection of the chair and other committee members is for each authority to decide for itself. Guidance for combined authorities on this issue has been produced by the Centre for Public Scrutiny⁵.

Members invariably have different skill-sets. What an authority must consider when forming a committee is that, as a group, it possesses the requisite expertise, commitment and ability to act impartially to fulfil its functions.

25. Authorities are reminded that members of the executive cannot be members of a scrutiny committee.⁶ Authorities should take care to ensure that, as a minimum, members holding less formal executive positions, e.g. as Cabinet assistants, do not sit on scrutinising committees looking at portfolios to which those roles relate. Authorities should articulate in their constitutions how conflicts of interest, including familial links (see also paragraph 31), between executive and scrutiny responsibilities should be managed, including where members stand down from the executive and move to a scrutiny role, and vice-versa.
26. Members or substitute members of a combined authority must not be members of its overview and scrutiny committee.⁷ This includes the Mayor in Mayoral Combined Authorities. It is advised that Deputy Mayors for Policing and Crime are also not members of the combined authority's overview and scrutiny committee.

Selecting individual committee members

27. When selecting individual members to serve on scrutiny committees, an authority should consider a member's experience, expertise, interests, ability to act impartially, ability to work as part of a group, and capacity to serve.

⁴ See, for example, regulation 11 of the Local Authorities (Committee System) (England) Regulations 2012 (S.I. 2012/1020) and article 4 of the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017 (S.I. 2017/68).

⁵ See pages 15-18 of 'Overview and scrutiny in combined authorities: a plain English guide': <https://www.cfps.org.uk/wp-content/uploads/Overview-and-scrutiny-in-combined-authorities-a-plain-english-guide.pdf>

⁶ Section 9FA(3) of the Local Government Act 2000.

⁷ 2(3) of Schedule 5A to the Local Democracy, Economic Development and Construction Act 2009

28. Authorities should not take into account a member's perceived level of support for or opposition to a particular political party (notwithstanding the wider legal requirement for proportionality referred to in paragraph 24).

Selecting a chair

29. The Chair plays a leadership role on a scrutiny committee as they are largely responsible for establishing its profile, influence and ways of working.

30. The attributes authorities should and should not take into account when selecting individual committee members (see paragraphs 27 and 28) also apply to the selection of the Chair, but the Chair should also possess the ability to lead and build a sense of teamwork and consensus among committee members.

Chairs should pay special attention to the need to guard the committee's independence. Importantly, however, they should take care to avoid the committee being, and being viewed as, a de facto opposition to the executive.

31. Given their pre-eminent role on the scrutiny committee, it is strongly recommended that the Chair not preside over scrutiny of their relatives⁸. Combined authorities should note the legal requirements that apply to them where the Chair is an independent person⁹.

32. The method for selecting a Chair is for each authority to decide for itself, however every authority should consider taking a vote by secret ballot. Combined Authorities should be aware of the legal requirements regarding the party affiliation of their scrutiny committee Chair¹⁰.

Training for committee members

33. Authorities should ensure committee members are offered induction when they take up their role and ongoing training so they can carry out their responsibilities effectively. Authorities should pay attention to the need to ensure committee members are aware of their legal powers, and how to prepare for and ask relevant questions at scrutiny sessions.

34. When deciding on training requirements for committee members, authorities should consider taking advantage of opportunities offered by external providers in the sector.

Co-option and technical advice

35. While members and their support officers will often have significant local insight and an understanding of local people and their needs, the provision of outside expertise can be invaluable.

⁸ A definition of 'relative' can be found at section 28(10) of the Localism Act 2011.

⁹ See article 5(2) of the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017 (S.I. 2017/68).

¹⁰ Article 5(6) of the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017.

36. There are two principal ways to procure this:

- Co-option – formal co-option is provided for in legislation¹¹. Authorities must establish a co-option scheme to determine how individuals will be co-opted onto committees; and
- Technical advisers – depending on the subject matter, independent local experts might exist who can provide advice and assistance in evaluating evidence (see annex 2).

¹¹ Section 9FA(4) Local Government Act 2000

5. Power to Access Information

37. A scrutiny committee needs access to relevant information the authority holds, and to receive it in good time, if it is to do its job effectively.
38. This need is recognised in law, with members of scrutiny committees enjoying powers to access information¹². In particular, regulations give enhanced powers to a scrutiny member to access exempt or confidential information. This is in addition to existing rights for councillors to have access to information to perform their duties, including common law rights to request information and rights to request information under the Freedom of Information Act 2000 and the Environmental Information Regulations 2004.
39. When considering what information scrutiny needs in order to carry out its work, scrutiny members and the executive should consider scrutiny's role and the legal rights that committees and their individual members have, as well as their need to receive timely and accurate information to carry out their duties effectively.
40. Scrutiny members should have access to a regularly available source of key information about the management of the authority – particularly on performance, management and risk. Where this information exists, and scrutiny members are given support to understand it, the potential for what officers might consider unfocused and unproductive requests is reduced as members will be able to frame their requests from a more informed position.
41. Officers should speak to scrutiny members to ensure they understand the reasons why information is needed, thereby making the authority better able to provide information that is relevant and timely, as well as ensuring that the authority complies with legal requirements.

While each request for information should be judged on its individual merits, authorities should adopt a default position of sharing the information they hold, on request, with scrutiny committee members.

42. The law recognises that there might be instances where it is legitimate for an authority to withhold information and places a requirement on the executive to provide the scrutiny committee with a written statement setting out its reasons for that decision¹³. However, members of the executive and senior officers should take particular care to avoid refusing requests, or limiting the information they provide, for reasons of party political or reputational expediency.

¹² Regulation 17 - Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012; article 10 Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017.

¹³ Regulation 17(4) – Local Government (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012; article 10(4) Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017.

Before an authority takes a decision not to share information it holds, it should give serious consideration to whether that information could be shared in closed session.

43. Regulations already stipulate a timeframe for executives to comply with requests from a scrutiny member¹⁴. When agreeing to such requests, authorities should:
- consider whether seeking clarification from the information requester could help better target the request; and
 - Ensure the information is supplied in a format appropriate to the recipient's needs.

44. Committees should be aware of their legal power to require members of the executive and officers to attend before them to answer questions¹⁵. It is the duty of members and officers to comply with such requests.¹⁶

Seeking information from external organisations

45. Scrutiny members should also consider the need to supplement any authority-held information they receive with information and intelligence that might be available from other sources, and should note in particular their statutory powers to access information from certain external organisations.

46. When asking an external organisation to provide documentation or appear before it, and where that organisation is not legally obliged to do either (see annex 3), scrutiny committees should consider the following:

- a) **The need to explain the purpose of scrutiny** – the organisation being approached might have little or no awareness of the committee's work, or of an authority's scrutiny function more generally, and so might be reluctant to comply with any request;
- b) **The benefits of an informal approach** – individuals from external organisations can have fixed perceptions of what an evidence session entails and may be unwilling to subject themselves to detailed public scrutiny if they believe it could reflect badly on them or their employer. Making an informal approach can help reassure an organisation of the aims of the committee, the type of information being sought and the manner in which the evidence session would be conducted;

¹⁴ Regulation 17(2) – Local Government (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012; article 10(2) Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017.

¹⁵ Section 9FA(8) of the Local Government Act 2000; paragraph 2(6) of Schedule 5A to the Local Democracy, Economic Development and Construction Act 2009.

¹⁶ Section 9FA(9) of the Local Government Act 2000; paragraph 2(7) of Schedule 5A to the Local Democracy, Economic Development and Construction Act 2009.

- c) **How to encourage compliance with the request** – scrutiny committees will want to frame their approach on a case by case basis. For contentious issues, committees might want to emphasise the opportunity their request gives the organisation to ‘set the record straight’ in a public setting; and
- d) **Who to approach** – a committee might instinctively want to ask the Chief Executive or Managing Director of an organisation to appear at an evidence session, however it could be more beneficial to engage front-line staff when seeking operational-level detail rather than senior executives who might only be able to talk in more general terms. When making a request to a specific individual, the committee should consider the type of information it is seeking, the nature of the organisation in question and the authority’s pre-existing relationship with it.

Following ‘the Council Pound’

Scrutiny committees will often have a keen interest in ‘following the council pound’, i.e. scrutinising organisations that receive public funding to deliver goods and services.

Authorities should recognise the legitimacy of this interest and, where relevant, consider the need to provide assistance to scrutiny members and their support staff to obtain information from organisations the council has contracted to deliver services. In particular, when agreeing contracts with these bodies, authorities should consider whether it would be appropriate to include a *requirement* for them to supply information to or appear before scrutiny committees.

6. Planning Work

47. Effective scrutiny should have a defined impact on the ground, with the committee making recommendations that will make a tangible difference to the work of the authority. To have this kind of impact, scrutiny committees need to plan their work programme, i.e. draw up a long-term agenda and consider making it flexible enough to accommodate any urgent, short-term issues that might arise during the year.
48. Authorities with multiple scrutiny committees sometimes have a separate work programme for each committee. Where this happens, consideration should be given to how to co-ordinate the various committees' work to make best use of the total resources available.

Being clear about scrutiny's role

49. Scrutiny works best when it has a clear role and function. This provides focus and direction. While scrutiny has the power to look at anything which affects 'the area, or the area's inhabitants', authorities will often find it difficult to support a scrutiny function that carries out generalised oversight across the wide range of issues experienced by local people, particularly in the context of partnership working. Prioritisation is necessary, which means that there might be things that, despite being important, scrutiny will not be able to look at.
50. Different overall roles could include having a focus on risk, the authority's finances, or on the way the authority works with its partners.
51. Applying this focus does not mean that certain subjects are 'off limits'. It is more about looking at topics and deciding whether their relative importance justifies the positive impact scrutiny's further involvement could bring.
52. When thinking about scrutiny's focus, members should be supported by key senior officers. The statutory scrutiny officer, if an authority has one, will need to take a leading role in supporting members to clarify the role and function of scrutiny, and championing that role once agreed.

Who to speak to

53. Evidence will need to be gathered to inform the work programming process. This will ensure that it looks at the right topics, in the right way and at the right time. Gathering evidence requires conversations with:
- *The public* – it is likely that formal 'consultation' with the public on the scrutiny work programme will be ineffective. Asking individual scrutiny members to have conversations with individuals and groups in their own local areas can work better. Insights gained from the public through individual pieces of scrutiny work can be fed back into the work programming process. Listening to and participating in conversations in places where local people come together, including in online forums, can help authorities engage people on their own terms and yield more positive results.

Authorities should consider how their communications officers can help scrutiny engage with the public, and how wider internal expertise and local knowledge from both members and officers might make a contribution.

- *The authority's partners* – relationships with other partners should not be limited to evidence-gathering to support individual reviews or agenda items. A range of partners are likely to have insights that will prove useful:
 - Public sector partners (like the NHS and community safety partners, over which scrutiny has specific legal powers);
 - Voluntary sector partners;
 - Contractors and commissioning partners (including partners in joint ventures and authority-owned companies);
 - In parished areas, town, community and parish councils;
 - Neighbouring principal councils (both in two-tier and unitary areas);
 - Cross-authority bodies and organisations, such as Local Enterprise Partnerships¹⁷; and
 - Others with a stake and interest in the local area – large local employers, for example.

- *The executive* – a principal partner in discussions on the work programme should be the executive (and senior officers). The executive should not direct scrutiny's work (see chapter 2), but conversations will help scrutiny members better understand how their work can be designed to align with the best opportunities to influence the authority's wider work.

Information sources

54. Scrutiny will need access to relevant information to inform its work programme. The type of information will depend on the specific role and function scrutiny plays within the authority, but might include:

- Performance information from across the authority and its partners;
- Finance and risk information from across the authority and its partners;
- Corporate complaints information, and aggregated information from political groups about the subject matter of members' surgeries;
- Business cases and options appraisals (and other planning information) for forthcoming major decisions. This information will be of particular use for pre-decision scrutiny; and
- Reports and recommendations issued by relevant ombudsmen, especially the Local Government and Social Care Ombudsman.

¹⁷ Authorities should ensure they have appropriate arrangements in place to ensure the effective democratic scrutiny of Local Enterprise Partnerships' investment decisions.

As committees can meet in closed session, commercial confidentiality should not preclude the sharing of information. Authorities should note, however, that the default for meetings should be that they are held in public (see 2014 guidance on '*Open and accountable local government*':

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/343182/140812_Openness_Guide.pdf).

55. Scrutiny members should consider keeping this information under regular review. It is likely to be easier to do this outside committee, rather than bringing such information to committee 'to note', or to provide an update, as a matter of course.

Shortlisting topics

Approaches to shortlisting topics should reflect scrutiny's overall role in the authority. This will require the development of bespoke, local solutions, however when considering whether an item should be included in the work programme, the kind of questions a scrutiny committee should consider might include:

- Do we understand the benefits scrutiny would bring to this issue?
- How could we best carry out work on this subject?
- What would be the best outcome of this work?
- How would this work engage with the activity of the executive and other decision-makers, including partners?

56. Some authorities use scoring systems to evaluate and rank work programme proposals. If these are used to provoke discussion and debate, based on evidence, about what priorities should be, they can be a useful tool. Others take a looser approach. Whichever method is adopted, a committee should be able to justify how and why a decision has been taken to include certain issues and not others.

57. Scrutiny members should accept that shortlisting can be difficult; scrutiny committees have finite resources and deciding how these are best allocated is tough. They should understand that, if work programming is robust and effective, there might well be issues that they want to look at that nonetheless are not selected.

Carrying out work

58. Selected topics can be scrutinised in several ways, including:

- a) **As a single item on a committee agenda** – this often presents a limited opportunity for effective scrutiny, but may be appropriate for some issues or where the committee wants to maintain a formal watching brief over a given issue;
- b) **At a single meeting** – which could be a committee meeting or something less formal. This can provide an opportunity to have a single public meeting about a

given subject, or to have a meeting at which evidence is taken from a number of witnesses;

- c) **At a task and finish review of two or three meetings** – short, sharp scrutiny reviews are likely to be most effective even for complex topics. Properly focused, they ensure members can swiftly reach conclusions and make recommendations, perhaps over the course of a couple of months or less;
- d) **Via a longer-term task and finish review** – the ‘traditional’ task and finish model – with perhaps six or seven meetings spread over a number of months – is still appropriate when scrutiny needs to dig into a complex topic in significant detail. However, the resource implications of such work, and its length, can make it unattractive for all but the most complex matters; and
- e) **By establishing a ‘standing panel’** – this falls short of establishing a whole new committee but may reflect a necessity to keep a watching brief over a critical local issue, especially where members feel they need to convene regularly to carry out that oversight. Again, the resource implications of this approach means that it will be rarely used.

7. Evidence Sessions

59. Evidence sessions are a key way in which scrutiny committees inform their work. They might happen at formal committee, in less formal ‘task and finish’ groups or at standalone sessions.

Good preparation is a vital part of conducting effective evidence sessions. Members should have a clear idea of what the committee hopes to get out of each session and appreciate that success will depend on their ability to work together on the day.

How to plan

60. Effective planning does not necessarily involve a large number of pre-meetings, the development of complex scopes or the drafting of questioning plans. It is more often about setting overall objectives and then considering what type of questions (and the way in which they are asked) can best elicit the information the committee is seeking. This applies as much to individual agenda items as it does for longer evidence sessions – there should always be consideration in advance of what scrutiny is trying to get out of a particular evidence session.

Chairs play a vital role in leading discussions on objective-setting and ensuring all members are aware of the specific role each will play during the evidence session.

61. As far as possible there should be consensus among scrutiny members about the objective of an evidence session before it starts. It is important to recognise that members have different perspectives on certain issues, and so might not share the objectives for a session that are ultimately adopted. Where this happens, the Chair will need to be aware of this divergence of views and bear it in mind when planning the evidence session.
62. Effective planning should mean that at the end of a session it is relatively straightforward for the chair to draw together themes and highlight the key findings. It is unlikely that the committee will be able to develop and agree recommendations immediately, but, unless the session is part of a wider inquiry, enough evidence should have been gathered to allow the chair to set a clear direction.
63. After an evidence session, the committee might wish to hold a short ‘wash-up’ meeting to review whether their objectives were met and lessons could be learned for future sessions.

Developing recommendations

64. The development and agreement of recommendations is often an iterative process. It will usually be appropriate for this to be done only by members, assisted by co-optees where relevant. When deciding on recommendations, however, members should have due regard to advice received from officers, particularly the Monitoring Officer.

65. The drafting of reports is usually, but not always, carried out by officers, directed by members.
66. Authorities draft reports and recommendations in a number of ways, but there are normally three stages:
- i. the development of a 'heads of report' – a document setting out general findings that members can then discuss as they consider the overall structure and focus of the report and its recommendations;
 - ii. the development of those findings, which will set out some areas on which recommendations might be made; and
 - iii. the drafting of the full report.
67. Recommendations should be evidence-based and SMART, i.e. specific, measurable, achievable, relevant and timed. Where appropriate, committees may wish to consider sharing them in draft with interested parties.
68. Committees should bear in mind that often six to eight recommendations are sufficient to enable the authority to focus its response, although there may be specific circumstances in which more might be appropriate.

Sharing draft recommendations with executive members should not provide an opportunity for them to revise or block recommendations before they are made. It should, however, provide an opportunity for errors to be identified and corrected, and for a more general sense-check.

Annex 1: Illustrative Scenario – Creating an Executive-Scrutiny Protocol

An executive-scrutiny protocol can deal with the practical expectations of scrutiny committee members and the executive, as well as the cultural dynamics.

Workshops with scrutiny members, senior officers and Cabinet can be helpful to inform the drafting of a protocol. An external facilitator can help bring an independent perspective.

Councils should consider how to adopt a protocol, e.g. formal agreement at scrutiny committee and Cabinet, then formal integration into the Council's constitution at the next Annual General Meeting.

The protocol, as agreed, may contain sections on:

- The way scrutiny will go about developing its work programme (including the ways in which senior officers and Cabinet members will be kept informed);
- The way in which senior officers and Cabinet will keep scrutiny informed of the outlines of major decisions as they are developed, to allow for discussion of scrutiny's potential involvement in policy development. This involves the building in of safeguards to mitigate risks around the sharing of sensitive information with scrutiny members;
- A strengthening and expansion of existing parts of the code of conduct that relate to behaviour in formal meetings, and in informal meetings;
- Specification of the nature and form of responses that scrutiny can expect when it makes recommendations to the executive, when it makes requests to the executive for information, and when it makes requests that Cabinet members or senior officers attend meetings; and
- Confirmation of the role of the statutory scrutiny officer, and Monitoring Officer, in overseeing compliance with the protocol, and ensuring that it is used to support the wider aim of supporting and promoting a culture of scrutiny, with matters relating to the protocol's success being reported to full Council through the scrutiny Annual Report.

Annex 2: Illustrative Scenario – Engaging Independent Technical Advisers

This example demonstrates how one Council's executive and scrutiny committee worked together to scope a role and then appoint an independent adviser on transforming social care commissioning. Their considerations and process may be helpful and applicable in other similar scenarios.

Major care contracts were coming to an end and the Council took the opportunity to review whether to continue with its existing strategic commissioning framework, or take a different approach – potentially insourcing certain elements.

The relevant Director was concerned about the Council's reliance on a very small number of large providers. The Director therefore approached the Scrutiny and Governance Manager to talk through the potential role scrutiny could play as the Council considered these changes.

The Scrutiny Chair wanted to look at this issue in some depth, but recognised its complexity could make it difficult for her committee to engage – she was concerned it would not be able to do the issue justice. The Director offered support from his own officer team, but the Chair considered this approach to be beset by risks around the independence of the process.

She talked to the Director about securing independent advice. He was worried that an independent adviser could come with preconceived ideas and would not understand the Council's context and objectives. The Scrutiny Chair was concerned that independent advice could end up leading to scrutiny members being passive, relying on an adviser to do their thinking for them. They agreed that some form of independent assistance would be valuable, but that how it was provided and managed should be carefully thought out.

With the assistance of the Governance and Scrutiny Manager, the Scrutiny Chair approached local universities and Further Education institutions to identify an appropriate individual. The approach was clear – it set out the precise role expected of the adviser, and explained the scrutiny process itself. Because members wanted to focus on the risks of market failure, and felt more confident on substantive social care matters, the approach was directed at those with a specialism in economics and business administration. The Council's search was proactive – the assistance of the service department was drawn on to make direct approaches to particular individuals who could carry out this role.

It was agreed to make a small budget available to act as a 'per diem' to support an adviser; academics were approached in the first instance as the Council felt able to make a case that an educational institution would provide this support for free as part of its commitment to Corporate Social Responsibility.

Three individuals were identified from the Council's proactive search. The Chair and Vice-Chair of the committee had an informal discussion with each – not so much to establish their skills and expertise (which had already been assessed) but to give a sense about

their 'fit' with scrutiny's objectives and their political nous in understanding the environment in which they would operate, and to satisfy themselves that they will apply themselves even-handedly to the task. The Director sat in on this process but played no part in who was ultimately selected.

The independent advice provided by the selected individual gave the Scrutiny Committee a more comprehensive understanding of the issue and meant it was able to offer informed advice on the merits of putting in place a new strategic commissioning framework.

Annex 3: Illustrative Scenario – Approaching an External Organisation to Appear before a Committee

This example shows how one council ensured a productive scrutiny meeting, involving a private company and the public. Lessons may be drawn and apply to other similar scenarios.

Concerns had been expressed by user groups, and the public at large, about the reliability of the local bus service. The Scrutiny Chair wanted to question the bus company in a public evidence session but knew that she had no power to compel it to attend. Previous attempts to engage it had been unsuccessful; the company was not hostile, but said it had its own ways of engaging the public.

The Monitoring Officer approached the company's regional PR manager, but he expressed concern that the session would end in a 'bunfight'. He also explained the company had put their improvement plan in the public domain, and felt a big council meeting would exacerbate tensions.

Other councillors had strong views about the company – one thought the committee should tell the company it would be empty-chaired if it refused to attend. The Scrutiny Chair was sympathetic to this, but thought such an approach would not lead to any improvements.

The Scrutiny Chair was keen to make progress, but it was difficult to find the right person to speak to at the company, so she asked council officers and local transport advocacy groups for advice. Speaking to those people also gave her a better sense of what scrutiny's role might be.

When she finally spoke to the company's network manager, she explained the situation and suggested they work together to consider how the meeting could be productive for the Council, the company and local people. In particular, this provided her with an opportunity to explain scrutiny and its role. The network manager remained sceptical but was reassured that they could work together to ensure that the meeting would not be an 'ambush'. He agreed in principle to attend and also provide information to support the Committee's work beforehand.

Discussions continued in the four weeks leading up to the Committee meeting. The Scrutiny Chair was conscious that while she had to work with the company to ensure that the meeting was constructive – and secure their attendance – it could not be a whitewash, and other members and the public would demand a hard edge to the discussions.

The scrutiny committee agreed that the meeting would provide a space for the company to provide context to the problems local people are experiencing, but that this would be preceded by a space on the agenda for the Chair, Vice-chair, and representatives from two local transport advocacy groups to set out their concerns. The company were sent in

advance a summary of the general areas on which members were likely to ask questions, to ensure that those questions could be addressed at the meeting.

Finally, provision was made for public questions and debate. Those attending the meeting were invited to discuss with each other the principal issues they wanted the meeting to cover. A short, facilitated discussion in the room led by the Chair highlighted the key issues, and the Chair then put those points to the company representatives.

At the end of the meeting, the public asked questions of the bus company representative in a 20-minute plenary item.

The meeting was fractious, but the planning carried out to prepare for this – by channelling issues through discussion and using the Chair to mediate the questioning – made things easier. Some attendees were initially frustrated by this structure, but the company representative was more open and less defensive than might otherwise have been the case.

The meeting also motivated the company to revise its communications plan to become more responsive to this kind of challenge, part of which involved a commitment to feed back to the scrutiny committee on the recommendations it made on the night.

