



CAI.03 15/16

Challenge and Improvement Committee

30 June 2015

C

Subject: Challenge and Improvement Committee Operating Methodology for 2015/16

Report by:

Director of Resources

Contact Officer:

Ian Knowles
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Purpose / Summary:

To:
a) Outline the Role of The Committee with regards to undertaking reviews.
b) Outline the important considerations with regards to scrutiny and conduct.
c) Provide criteria for reviews and draft related processes

RECOMMENDATION(S):

That Members: -

- (a) approve the proposed Methodology as set out in report CAI.10 14/15 at Appendix 1 to this report;**
- (b) approve the proposed processes as set out in report CAI.10 14/15 at Appendix 1 to this report**

IMPLICATIONS

Legal: In line with the content of the Constitution

Financial : fin ref 35 -16 None

Staffing :None

Equality and Diversity including Human Rights :
n/a

Risk Assessment :
n/a

Climate Related Risks and Opportunities :
n/a

Title and Location of any Background Papers used in the preparation of this report:

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)

Yes

No

Key Decision:

A matter which affects two or more wards, or has significant financial implications

Yes

No

1 Introduction

- 1.1 At its meeting on 9 September 2014 the Challenge and Improvement Committee considered the report attached at Appendix 1 to this report and subsequently approved this as its Operating Methodology for the remainder of 14/15 civic year.
- 1.2 During April 2015 a review of each Committees' effectiveness was undertaken and feedback for the Challenge and Improvement Committee was very positive.
- 1.3 It is therefore proposed that the same methodology and processes be operated during the 15/16 civic year.
- 1.4 Working examples have been provided at Appendix 2.

2. Proposal

- 2.1 It is therefore proposed that Members: -
 - (a) approve the proposed Methodology as set out in report CAI.10 14/15 at Appendix 1 to this report;
 - (b) approve the proposed processes as set out in report CAI.10 14/15 at Appendix 1 to this report.



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| CAI.10 14/15 |
| Challenge and Improvement Committee |
| 9 September 2014 |

Subject: Challenge and Improvement Committee Operating Methodology for 2014/15

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| Report by: | Ian Knowles |
| Contact Officer: | <p>Alex Reeks Assistant Chief Executive</p> <p>01427 675 175 Alex.reeks@west-lindsey.gov.uk</p> |
| Purpose / Summary: | <p>To:</p> <ol style="list-style-type: none"> 1) Outline the role of the committee with regards to undertaking reviews 2) Outline important considerations with regards to scrutiny and conduct 3) Provide criteria for reviews and draft related processes |
| <p>RECOMMENDATION(S):</p> <ol style="list-style-type: none"> 1. That members approve the proposed Methodology as outlined at section 3 2. That members approve the proposed processes outlined at appendix 1 | |

IMPLICATIONS

Legal: None

Financial : None

Staffing : None

Equality and Diversity including Human Rights : Not applicable

Risk Assessment : Not applicable

Climate Related Risks and Opportunities : Not applicable

Title and Location of any Background Papers used in the preparation of this report:

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman) **Yes** **No**

Key Decision:

A matter which affects two or more wards, or has significant financial implications **Yes** **No**

1. Background

1.1. At the last meeting of the Challenge and Improvement Committee, the operating methodology for developing the work programme for 2014/15 was discussed. It was agreed that a further paper would be brought back to the committee to outline proposed methodology and processes.

2. Current Committee Functions

2.1. With regards to the current functions, the committee has the following functions listed clearly in the constitution:

| Work Area | Timing | Purpose | Source |
|---|---|---|--|
| 1. Performance Management | 1.1 After Policy Committees have considered performance and rectifications proposed | Scrutinise performance including any rectifications agreed by policy committees | Function 10. To maintain under review the arrangements for the performance monitoring of Council services; |
| 2. Policy or Performance Reviews | 2.1 Before a policy decision is made | Support the research and stakeholder analysis for proposed decisions. | By Request of another committee |
| 2. Policy or Performance Reviews | 2.2 After a policy decision is made (within five days of minutes publication) - Call In (see appendix 2 for the process) | To inform the relevant policy committee that, in the view of the Challenge and Improvement Committee, the evidence suggests that the policy committee(s) did not take the decision in accordance with the principles set out in Article 12. | Function 7. To exercise the powers of call in and scrutiny in relation to policy committee decisions made but not implemented, as set out in section 21(3) of the Local Government Act 2000 and challenge such decisions in accordance with the procedure set out in the Overview and Scrutiny Procedure Rules in Part V of this Constitution; |
| 3. Service and Budget Plans | 3.1 Prior to Policy Committee Approval | To provide pre scrutiny to service and budget plans | Function 8. To comment on the proposed annual service and budget plans for all council |

| Work Area | Timing | Purpose | Source |
|---|--------------------------------|--|---|
| | | | services before final approval by the Policy and Resources Committee and Council; |
| 4. Work of other public bodies operating within its area | 4.1 Before decisions are taken | To understand the priorities and plans of public bodies operating within the district. | Function 9. To take an overview of the policies, forward plans and related authorities of all public bodies and agencies as they affect the council's area or its inhabitants; |
| 5. Police and Justice Act 2006 | 5.1 | | Function 11. To discharge the statutory functions arising under section 19 of the Police and Justice Act 2006 relating to issues of crime and disorder and to develop and implement such procedures, protocols and criteria as deemed by the committee to be appropriate. |

3. Proposed Operating Methodology for 2014/15

3.1. The following table sets out how the Committee intends to fulfil the above functions.

| Work Area | Timing | Purpose |
|---|---|--|
| 1. Performance Management | 1.2 After at least two consecutive periods of missed targets and appropriate time for committee action to have been implemented | Scrutinise performance including any rectifications agreed by policy committees |
| 2. Policy or Performance Reviews | 2.3 Part way through project delivery and there are concerns the relevant committee | To review delivery to ensure that the project is delivering the desired objectives. Please Note: Project delivery would not stop during the review. |

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| | are not taking appropriate action | |
| 2. Policy or Performance Reviews | 2.4 After delivery | To review a project post-delivery to identify the benefits delivered against the original business case. |

3.2. Proposed processes are outlined at appendix 1.

4. External Bodies

4.1. A separate report on this agenda provides details of bodies external to the Council that deliver activities/services within the district boundaries. A number of these have representation from the elected caucus and/or officers with varying degrees of influence.

4.2. To fulfil the function of area 4 shown above, the Committee has suggested inviting these bodies to make presentations and enter into dialogue with the Council through the C & I Committee. This will provide an opportunity for committee members to gain greater understanding of the policies, strategies and activities of those bodies providing services and support to West Lindsey Residents.

4.3. It is important that in undertaking this role appropriate cognisance is taken of existing relationships, the role of other members and officers as representatives and the Councils own work in the relevant areas. It should also be noted that there is no compulsion on other bodies to attend these meetings and therefor it is likely there attendance will be in order to seek a better working relationship with the Council.

4.4. With this in mind it is proposed that the C & I Committee apply the following approach to inviting external bodies to C & I:

4.4.1. Selection of appropriate bodies is made by the Committee on the basis of current issues of concern or new developments within service areas.

4.4.2. That prior to an organisation attending, the committee receives a briefing paper from the appropriate officer/officers within the Council on current activity, collaboration and partnerships within that area of activity.

4.4.3. The invite to attend is sent with a clear articulation of the reason for the invite and the questions members are seeking to answer. (it is proposed that there should be no more than five questions set out in each invite)

4.4.4. Each session with an external body should be timetabled for no more than one hour of any meeting. If it is considered that a longer session is required then arrangement should be made outside the normal meeting arrangements.

4.4.5. To manage the time commitment of the Committee no more than four bodies should be invited in any one year.

4.5. In discussion with officers it has become clear that there is no recognised mechanism for responding to consultations from such external bodies and members may wish to consider whether this should become part of the C & I role under work area 4 above.

5. Membership and interests

5.1. For clarity, with regards to membership and interests, the constitution states:

5.1.1. All councillors with the exception of the Chairman, Leader of the Council, Deputy Leader of the Council, Leader of the Opposition and a policy committee chairman or vice-chairman may be members of the Challenge and Improvement Committee. However, no member may be involved in scrutinising a decision in which he/she has been directly involved.

5.1.2. A member must if he/she is involved in the consideration of a matter at a meeting of the Challenge and Improvement Committee of the Authority or a sub-committee of that Committee, regard himself/herself as having a personal and a prejudicial interest if that consideration relates to a decision made, or action taken, by another of the Council's –

- committees or sub-committees; or
- joint committees or joint sub-committees.

of which he/she may also be a member and took part in that decision making.

6. Conduct

6.1. The constitution also states with regards to conduct:

6.1.1. The guiding principle for the work of scrutiny is that it should be consensual and positive. The emphasis of the work should be on making an active and positive contribution to the development of policy and the discharge of the Council's functions and roles. This is best achieved by an inclusive process covering members, partners, service users and employees.

6.1.2. The Challenge and Improvement Committee may invite people to address it, discuss issues of local concern and/or answer questions on issues within the remit of the committee. The committee may, for example, wish to hear from residents, stakeholders and members and officers in other parts of the public sector and shall invite such people to attend.

6.1.3. Where the Challenge and Improvement Committee conducts investigations (e.g. with a view to policy development), the Committee may also ask people

to attend to give evidence at committee meetings which are to be conducted in accordance with the following principles:

(a) that the investigation be conducted fairly and all members of the Committee given the opportunity to ask questions of attendees, to contribute and speak;

(b) that those assisting the Committee by giving evidence be treated with respect and courtesy; and

(c) that the investigation be conducted so as to maximise the efficiency of the investigation or analysis.

Appendix 1 to report CAI.10 14/15 – Proposed Criteria and Processes for new methodology

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| Work Area | 1. Performance Management |
| Timing | 1.2 After two consecutive periods of missed targets |
| Purpose | To scrutinise the reasons for off track performance and the adequacy of rectifications (Service Performance Review) |
| Criteria | <ol style="list-style-type: none"> 1. The performance must have been off track for at least two consecutive reporting periods, 2. The actions of the appropriate committee have been implemented and given time to adjust performance 3. Four members on the Challenge and Improvement Committee wish to request a Service Performance Review with a view to identifying the reasons for off track performance and the rectifications proposed 4. No More than four Service Performance Reviews may be called with in a municipal year. |
| Process | <p>The procedure is as follows –</p> <p>If four members on the Challenge and Improvement Committee wish to request a Service Performance Review with a view to identifying the reasons for off track performance and the rectifications proposed</p> <ol style="list-style-type: none"> a) Any request must be in writing, be signed by the four members and set out the reasons for the review. The notice should be sent to the relevant officer for the Challenge and Improvement Committee at least 21 days prior to the next meeting of the Challenge and Improvement Committee. b) The Challenge and Improvement Committee at its next meeting will consider the request and decide if a review group is required. If a review group is required then terms of reference should also be considered. c) On receiving the review findings, the Challenge and Improvement Committee will report back to the relevant policy committee with regards to the review findings and the committee’s recommendations. d) The Chairman of the relevant committee for which the review has been requested shall be invited to the Challenge and Improvement Committee meeting when the review scope is considered. The Chairman of the Challenge and Improvement Committee (or his/her representative) shall attend the policy committee meeting when the Service Performance Review Report is considered. e) Where a policy committee does not wish to accept the recommendation(s) of the Challenge and Improvement Committee from a Service Performance Review, the decision shall be referred to Council. |

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| Work Area | 2. Policy or Performance Reviews |
| Timing | 2.3 Part way through project delivery (Gateway Review) and there are concerns the relevant committee is not taking appropriate action. Please Note: Project delivery would not stop during the review. |
| Purpose | To review delivery to ensure that a project is delivering the desired objectives |
| Criteria | <ol style="list-style-type: none"> 1. Four members on the Challenge and Improvement Committee wish to request a Gateway Review with a view to confirming that delivery is achieving the desired objectives and outcomes: 2. Only one Gateway Review per project may be called by the Challenge and Improvement Committee although additional reviews may be undertaken if requested by the relevant policy committee. 3. No More than four Gateway Reviews may be called with in a municipal year. |
| Process | <p>The procedure is as follows –</p> <p>If four members on the Challenge and Improvement Committee wish to request a Gateway Review with a view to confirming that delivery is achieving the desired objectives and outcomes:</p> <ol style="list-style-type: none"> a) Any request must be in writing, be signed by the four members and set out the reasons for the review. The notice should be sent to the relevant officer for the Challenge and Improvement Committee at least 21 days prior to the next meeting of the Challenge and Improvement Committee. b) The Challenge and Improvement Committee at its next meeting will consider the request and decide if a review group is required. If a review group is required then terms of reference should also be considered. c) On receiving the review findings, the Challenge and Improvement Committee will report back to the relevant policy committee with regards to the review findings and the committee’s recommendations. d) The Chairman of the relevant committee for which the review has been requested shall be invited to the Challenge and Improvement Committee meeting when the review scope is considered. The Chairman of the Challenge and Improvement Committee (or his/her representative) shall attend the policy committee meeting when the Gateway Review Report is considered. e) Where a policy committee does not wish to accept the recommendation(s) of the Challenge and Improvement Committee from a Gateway Review, the decision shall be referred to Council. |

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| Work Area | 2. Policy or Performance Reviews |
| Timing | 2.4 After delivery (Benefits Realisation Review) |
| Purpose | To review a project post-delivery to identify the benefits delivered against the original business case. |
| Criteria | <ol style="list-style-type: none"> 1. Four members on the Challenge and Improvement Committee wish to request a Benefits Realisation Review with a view to confirming that delivery has achieved the desired objectives and outcomes 2. Only one Benefits Realisation Review per project may be called by the Challenge and Improvement Committee. 3. No More than four Benefits Realisation Reviews may be called with in a municipal year. |
| Process | <p>The procedure is as follows –</p> <p>If four members on the Challenge and Improvement Committee wish to request a Benefits Realisation Review with a view to confirming that delivery has achieved the desired objectives and outcomes:</p> <ol style="list-style-type: none"> a) Any request must be in writing, be signed by the four members and set out the reasons for the review. The notice should be sent to the relevant officer for the Challenge and Improvement Committee at least 21 days prior to the next meeting of the Challenge and Improvement Committee. b) The Challenge and Improvement Committee at its next meeting will consider the request and decide if a review group is required. If a review group is required then terms of reference should also be considered. c) On receiving the review findings, the Challenge and Improvement Committee will report back to the relevant policy committee with regards to the review findings and the committee’s recommendations. d) The Chairman of the relevant committee for which the review has been requested shall be invited to the Challenge and Improvement Committee meeting when the review scope is considered. The Chairman of the Challenge and Improvement Committee (or his/her representative) shall attend the policy committee meeting when the Benefits Realisation Review Report is considered. e) Where a policy committee does not wish to accept the recommendation(s) of the Challenge and Improvement Committee from a Benefits Realisation Review, the decision shall be referred to Council. |

Appendix 2 – Call in Process

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| Work Area | 2. Policy or Performance Reviews |
| Timing | 2.2 After a policy decision is made (within five days of minutes publication) - Call In |
| Purpose | To inform the relevant policy committee that, in the view of the Challenge and Improvement Committee, the evidence suggests that the policy committee(s) did not take the decision in accordance with the principles set out in Article 12. |
| Source | Function 7. To exercise the powers of call in and scrutiny in relation to policy committee decisions made but not implemented, as set out in section 21(3) of the Local Government Act 2000 and challenge such decisions in accordance with the procedure set out in the Overview and Scrutiny Procedure Rules in Part V of this Constitution; |
| Criteria | <ol style="list-style-type: none"> 1. Four members on the Challenge and Improvement Committee wish to call in a decision with a view to requesting that the relevant policy committee reconsiders the decision, 2. This must be done within five working days of publication of the decision, provided the issue in question has not been recorded as urgent. 3. Where a matter is to be referred to another committee, call-in only applies after the matter has been considered by that other committee. 4. Call-in does not apply to recommendations to Council nor to Council decisions themselves. 5. The call-in procedure shall not apply where the decision being taken by the policy committee is urgent. A decision will be urgent if any delay likely to be caused by the call-in process would seriously prejudice the Council's or the public interest. 6. Urgency in this context goes further than the urgency provisions contained in the Local Government (Access to Information) Act 1985 relating to late reports. A report may well have been submitted to the relevant committee in good time but the implementation of the decision is nevertheless considered urgent. |
| Process | <p>Within five working days of the publication of the minutes:</p> <ol style="list-style-type: none"> 1. Identify four members on the Challenge and Improvement Committee who support the proposal to call-in the decision 2. Draft the request to call in a decision in writing setting out: <ol style="list-style-type: none"> a. the resolution to be considered, b. the reason(s) why the decision should be reconsidered 3. Get all four members to sign 4. Send the notice to the Chief Executive no later than 5pm on the fifth working day following publication of the decision. 5. The Call-in will be considered at the next meeting of the Challenge and Improvement Committee (unless the agenda for that meeting has already been published). |

6. After considering the decision the Challenge and Improvement Committee may:

- (i) refer back to the relevant policy committee for further consideration, setting out in writing its recommendations; or
- (ii) not refer back to the relevant policy committee and the decision shall take effect on the date of the overview and scrutiny meeting.

7. The Chairman of the committee whose decision has been called in shall be invited to the Challenge and Improvement Committee meeting when the item is considered. The Chairman of the Challenge and Improvement Committee (or his/her representative) shall attend the policy committee meeting when the called-in item goes back for consideration.

8. Where a policy committee does not wish to accept the recommendation(s) of the Challenge and Improvement Committee on a called-in decision, the decision shall be referred to Council.

APPENDIX 2 TO REPORT CAI.03 15/16

“TRADITIONAL CALL-IN” - FOLLOWING A POLICY DECISION

Context

Members would use this route when they are of the view the evidence suggests that a Policy Committee (ie Prosperous Communities or Policy and Resources) did not take a decision in accordance with the principles set out in Article 12 of the Constitution .

Article 12 states:

All decisions of the Council, its committees and those with delegated powers will be made in accordance with the following principles:

- (a) proportionality - the action proposed must be proportionate to the desired outcome;
- (b) due consultation and the taking of professional advice from officers;
- (c) respect for Human Rights;
- (d) in accordance with the law;
- (e) a presumption in favour of openness;
- (f) contribute to the well-being of the area; and
- (g) clarity of aims and desired outcomes.

Example Decision

The Prosperous Communities Committee decide to build a swimming pool but the business case is incomplete .

Process

The decision would appear in the published minutes of the Prosperous Communities Committee.

When the minutes of the Policy Committee are published they will be sent to all Members of the Council advising that they are subject to call-in. The call-in period will be specified, and this will always be five full clear working days.

Where a Member feels the “said” decision has not been made in accordance with any aspects of Article 12 (set out above) they can: -

1. Firstly identify **three other members** on the Challenge and Improvement Committee who support the proposal to call-in the decision.
2. Secondly Draft the request to call in the decision in writing (e-mail will suffice) This request **must include:**
 - a. the resolution to be considered, (ie quote the decision directly from the minutes)
 - b. the reason(s) why the decision should be reconsidered – this is where members should state which part (s) of Article 12 have not been adhered to
3. Get **all four members** to sign the request.

4. Send the notice to the Chief Executive (copied to Committee Admin) no later than 5pm (4.30 pm if a Friday) on the fifth working day following publication of the decision / the minutes (ie by the last date stated on the top of the minutes)

What happens Next

The Chief Executive / Lead Officer will determine whether the Call-in is valid.

If the Call-in is deemed **not valid** the Four Members concerned will be advised of the reasons why and this would be the end of the matter

If the Call-in is deemed **valid** then: -

The Call-in will be considered **at the next meeting** of the Challenge and Improvement Committee, (unless the agenda for that meeting has already been published). In this instance the item would fall to the next meeting.

The Chairman of the relevant Policy Committee whose decision has been called in shall be invited to attend the meeting .

At this meeting the Challenge and Improvement Committee can decide to either: -

- (a) refer the decision back to the relevant policy committee for further consideration, setting out in writing its recommendations; or
- (b) not refer back to the relevant policy committee and the decision (that was subject to the call-in) shall take effect on the date of the overview and scrutiny meeting, ie be cleared for implementation. This would be the end of the process.

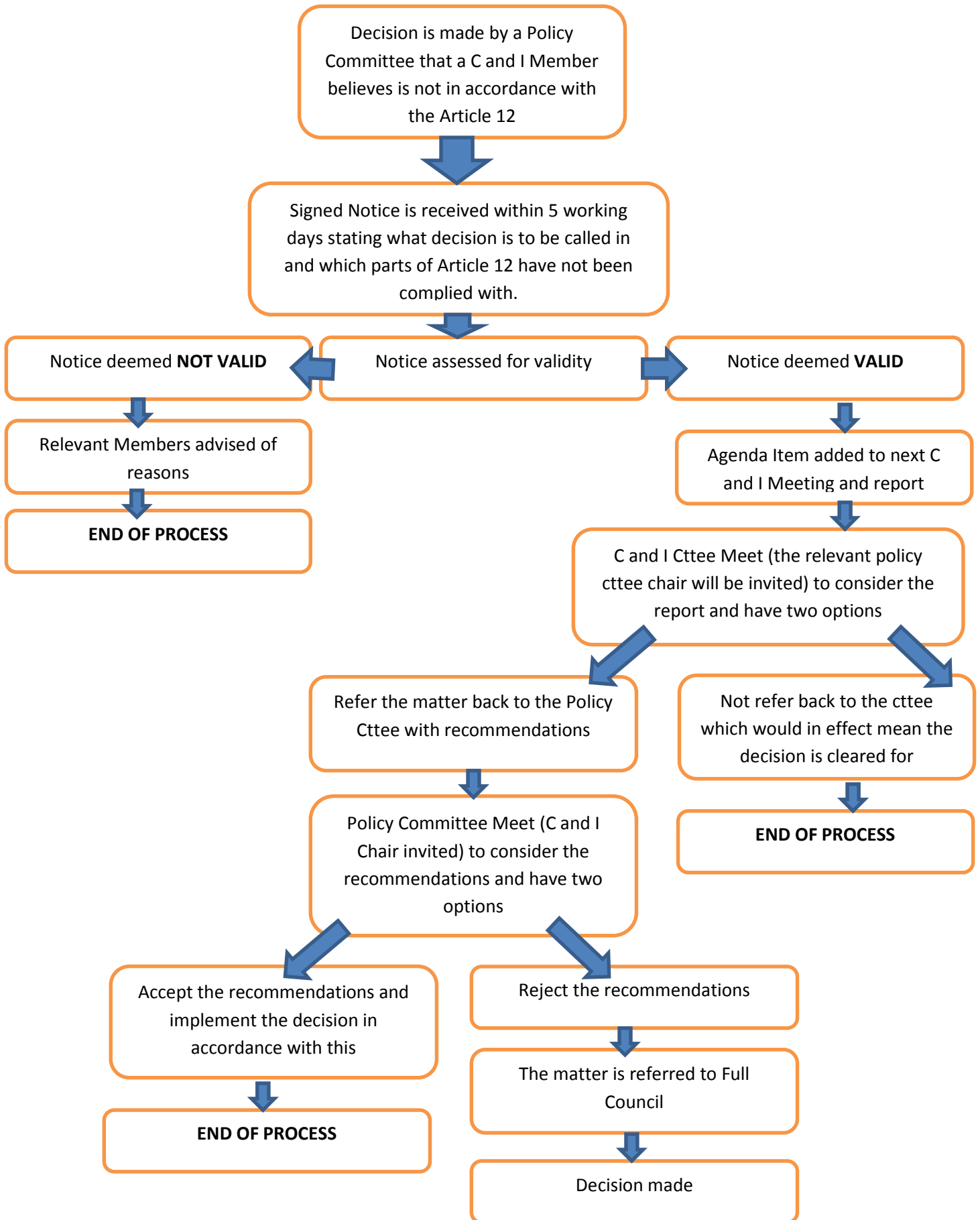
If the course of action agreed is (a) above then: -

- 1) The matter goes back to the relevant Policy Committee at the next meeting.
- 2) They can either :-
 - (a) accept the recommendations from C and I and proceed in accordance with these; - this would be the end of the matter or
 - (b) reject the recommendations from C and I

The Chairman of the Challenge improvement Committee would be invited to the Policy Committee meeting.

If the course of action agreed is (b) above then the decision would be referred to Full Council for a decision.

The flow chart below tries to demonstrate the process



“BENEFITS REALISATION CALL-IN” – FOLLOWING COMPLETION OF A PROJECT

Context

Members would use this route when they are of the view that there is evidence to suggest that a completed project may not have delivered the benefits identified in the original business case

Example

Members receive a Progress and Delivery Projects report, in which it states that a housing project has been completed during the period, however it's been delivered over budget and 6 months later than expected.

Process

Members will periodically receive a Progress and Delivery Projects Report for scrutiny purposes, there will be a section within it which identifies Projects recently completed.

Where a Member feels the project may not have delivered the benefits identified in the original business case, whether these be financial, social, economic etc they can: -

1. Firstly identify **three other members** on the Challenge and Improvement Committee who support the proposal to “call-in” the project.
2. Secondly Draft the request to call in the project in writing (e-mail will suffice)
This request **must include:**
 - a. the Title of the Project to be reviewed.
 - b. the reason(s) why the Project should be reviewed
3. Get **all four members** to sign the request.
4. Send the notice to Lead Officer for the Challenge and Improvement Committee (copied to Committee Admin) **at least 21 days prior to the next meeting of the Challenge and Improvement Committee** (this is in order that it becomes an agenda item at the next meeting. Notice not received within this timescale will mean the item of business falls to the next available meeting).

What happens Next

The Lead Officer will determine whether the Call-in is valid.

If the Call-in is deemed **not valid** the Four Members concerned will be advised of the reasons why and this would be the end of the matter

If the Call-in is deemed **valid** then: -

The Call-in will be considered **at the next meeting** of the Challenge and Improvement Committee.

The Chairman of the relevant Policy Committee whose Project has been called in shall be invited to attend the meeting.

At this meeting the Challenge and Improvement Committee can decide to either: -

- (a) Not accept the call-in, and give reasons. This would be the end of the process; or
- (b) Accept the call-in, Determine whether a review group should be established and agree the terms of reference / scope for the review.

If the course of action agreed is (b) above then: -

- 1) The established review group will undertake the necessary work, supported by Officers and create a findings report which will be referred back to the Challenge and Improvement Committee in the first stance.
- 2) The review group's report will be considered by the Challenge and Improvement Committee and any subsequent arising recommendations will submitted to the relevant Policy Committee for consideration.
- 3) On considering the recommendations report from the Challenge and Improvement Committee, the relevant Policy Committee concerned can either: -
 - (a) accept the recommendations from C and I and proceed in accordance with these; - this would be the end of the matter or
 - (b) reject the recommendations from C and I

The Chairman of the Challenge improvement Committee would be invited to the Policy Committee meeting.

If the course of action agreed is (b) above then the decision would be referred to Full Council for a decision.

The flow chart below tries to demonstrate the process.

NOTE: ONLY ONE BENEFITS REALISATION REVIEW PER PROJECT MAY BE CALLED BY THE C AND I CTTEE, AND NO MORE THAN FOUR IN TOTAL IN ANY ONE MUNICIPAL YEAR

Members receive at their meeting a Progress and Delivery Projects Report, Setting out recently completed projects but they feel there is evidence to so suggest the original benefits cited have not been achieved.

Notice signed by 4 Members of the Challenge and Improvement Committee is received stating what Project is to be called-in and the reasons for this. **If the notice is received not later than 21 days before the C and I Cttee next meets this matter will form agenda item on the next meeting.**

Notice deemed **NOT VALID**

Notice assessed for validity

Notice deemed **VALID**

Relevant Members advised of reasons

END OF PROCESS

Agenda Item added to next C and I Meeting and report

C and I Cttee Meet (the relevant policy cttee chair will be invited) to consider the request and have two options

Review Group undertakes agreed work and creates a findings report

Except the call, establish a Review Group and agree terms of reference / scope for the review

Not except the call-in and give reasons

END OF PROCESS

Findings report considered by the Challenge and Improvement Committee and any subsequent arising recommendations are submitted to the relevant Policy Committee

Policy Committee Meet (C and I Chair invited) to consider the recommendations and have two options

If there are no arising recommendations this would be the **END OF THE PROCESS**

Accept the recommendations and implement accordingly

END OF PROCESS

Reject the recommendations

The matter is referred to Full Council

Decision made

“GATEWAY REVIEW CALL-IN” – WHILST A PROJECT IS ONGOING*

IMPORTANT: - THE CALLING-IN OF A PROJECT USING THIS PROCESS WILL NOT STOP PROJECT DELIVERY WHILST THE REVIEW IS ON-GOING.

Context

Members would use this route when they are of the view that there is evidence to suggest that an ongoing project may not be delivering the benefits identified in the original business case

Example

Members receive a Progress and Delivery Projects report, in which it states that an ongoing housing project is running over budget and 6 months behind target. The matter has been reported to the relevant Policy Committee but from the Minutes there is little or no evidence that the Policy Committee is taking appropriate action.

Process

Members will periodically receive a Progress and Delivery Projects Report for scrutiny purposes, there will be a section within it which identifies any Projects which “are cause for concern”, this could be delivering timescales, financial costs, partner funding issues etc.

Such reports should also be accompanied by the arising Minute from the relevant Policy to assist C and I in ascertaining what corrective/ rectifying action, if any, has been put in place

Where a Member feels a project may not be delivering the benefits identified in the original business case, whether these be financial, social, economic etc, and they are not satisfied with the corrective/ rectifying action they can: -

1. Firstly identify **three other members** on the Challenge and Improvement Committee who support the proposal to “call-in” the project.
2. Secondly Draft the request to call in the project in writing (e-mail will suffice)
This request **must include:**
 - a. the Title of the Project to be reviewed.
 - b. the reason(s) why the Project should be reviewed
3. Get **all four members** to sign the request.
4. Send the notice to Lead Officer for the Challenge and Improvement Committee (copied to Committee Admin) **at least 21 days prior to the next meeting of the Challenge and Improvement Committee** (this is in order that it becomes an agenda item at the next meeting. Notice not received within this timescale will mean the item of business falls to the next available meeting).

What happens Next

The Lead Officer will determine whether the Call-in is valid.

If the Call-in is deemed **not valid** the Four Members concerned will be advised of the reasons why and this would be the end of the matter

If the Call-in is deemed **valid** then: -

The Call-in will be considered **at the next meeting** of the Challenge and Improvement Committee.

The Chairman of the relevant Policy Committee whose Project has been called in shall be invited to attend the meeting.

At this meeting the Challenge and Improvement Committee can decide to either: -

- (a) Not accept the call-in, and give reasons. This would be the end of the process; or
- (b) Accept the call-in, Determine whether a review group should be established and agree the terms of reference / scope for the review.

If the course of action agreed is (b) above then: -

- 1) The established review group will undertake the necessary work, supported by Officers and create a findings report which will be referred back to the Challenge and Improvement Committee in the first stance.
- 2) The review group's report will be considered by the Challenge and Improvement Committee and any subsequent arising recommendations will submitted to the relevant Policy Committee for consideration.
- 3) On considering the recommendations report from the Challenge and Improvement Committee, the relevant Policy Committee concerned can either: -
 - (a) accept the recommendations from C and I and proceed in accordance with these; - this would be the end of the matter or
 - (b) reject the recommendations from C and I

The Chairman of the Challenge improvement Committee would be invited to the Policy Committee meeting.

If the course of action agreed is (b) above then the decision would be referred to Full Council for a decision.

The flow chart below tries to demonstrate the process.

NOTE: ONLY ONE GATEWAY REVIEW PER PROJECT MAY BE CALLED BY THE C AND I CTTEE, AND NO MORE THAN FOUR IN TOTAL IN ANY ONE MUNICIPAL YEAR

Members receive at their meeting a Progress and Delivery Projects Report, which identifies a Project which “is cause for concern”, this could be delivering timescales, financial costs, partner funding issue etc **AND** they are not satisfied the relevant Policy Committee has sanctioned appropriate corrective/rectifying action

Notice signed by 4 Members of the Challenge and Improvement Committee is received stating what Project is to be called-in and the reasons for this. **If the notice is received not later than 21 days before the C and I Cttee next meets this matter will form agenda item on the next meeting.**

Notice deemed **NOT VALID**

Notice assessed for validity

Notice deemed **VALID**

Relevant Members advised of reasons

END OF PROCESS - PROJECT PROCEEDS AS BEFORE

Agenda Item added to next C and I Meeting and report

C and I Cttee Meet (the relevant policy cttee chair will be invited) to consider the request and have two options

Review Group undertakes agreed work and creates a findings report

Except the call, establish a Review Group and agree terms of reference / scope for the review

Not except the call-in and give reasons

END OF PROCESS - PROJECT PROCEEDS AS BEFORE

Findings report considered by the Challenge and Improvement Committee and any subsequent arising recommendations are submitted to the relevant Policy Committee

Policy Committee Meet (C and I Chair invited) to consider the recommendations and have two options

Accept the recommendations and implement accordingly

Reject the recommendations

If there are no arising recommendations this would be the **END OF THE PROCESS – PROJECT PROCEEDS AS BEFORE**

END OF PROCESS - PROJECT PROCEEDS ON A REVISED BASIS

The matter is referred to Full Council

Decision made

“PERFORMANCE MANAGEMENT CALL-IN”

Context

Members would use this route when Performance has been off track for at least two consecutive reporting periods; AND When the actions of the appropriate policy committee have been implemented and given time to adjust performance

Example

Members receive a Progress and Delivery Service Delivery report, in which it states that Land Charges performance is off track for the second consecutive period despite corrective action having been requested.

Process

Members will periodically receive a Progress and Delivery Service Delivery Report for scrutiny purposes, this will identify any areas where a service is delivering below the expected target . The report will also identify any areas of performance which have been off track for two or more consecutive reporting periods together with details of corrective measures which have been put in place.

Such reports should also be accompanied by the arising Minute from the relevant Policy Committee to assist C and I in ascertaining what corrective/ rectifying action, if any, has been put in place

Where a Member feels a service delivery is not at the level expected, for two or more consecutive periods and the actions of the appropriate policy committee have been implemented and given time to adjust performance but no service improvement has been seen they can: -

1. Firstly identify **three other members** on the Challenge and Improvement Committee who support the proposal to “call-in” the project.
2. Secondly Draft the request to call in the service performance in writing (e-mail will suffice) This request **must include:**
 - a. the Service Area / Measure to be reviewed.
 - b. the reason(s) why the Service Area / Measure should be reviewed
3. Get **all four members** to sign the request.
4. Send the notice to Lead Officer for the Challenge and Improvement Committee (copied to Committee Admin) **at least 21 days prior to the next meeting of the Challenge and Improvement Committee** (this is in order that it becomes an agenda item at the next meeting. Notice not received within this timescale will mean the item of business falls to the next available meeting).

What happens Next

The Lead Officer will determine whether the Call-in is valid.

If the Call-in is deemed **not valid** the Four Members concerned will be advised of the reasons why and this would be the end of the matter

If the Call-in is deemed **valid** then: -

The Call-in will be considered **at the next meeting** of the Challenge and Improvement Committee.

The Chairman of the relevant Policy Committee whose Project has been called in shall be invited to attend the meeting, Along with the relevant Service Manager / Director.

At this meeting the Challenge and Improvement Committee can decide to either: -

- (a) Not accept the call-in, and give reasons. This would be the end of the process; or
- (b) Accept the call-in, Determine whether a review group should be established and agree the terms of reference / scope for the review.

If the course of action agreed is (b) above then: -

- 1) The established review group will undertake the necessary work, supported by Officers and create a findings report which will be referred back to the Challenge and Improvement Committee in the first stance.
- 2) The review group's report will be considered by the Challenge and Improvement Committee and any subsequent arising recommendations will submitted to the relevant Policy Committee for consideration.
- 3) On considering the recommendations report from the Challenge and Improvement Committee, the relevant Policy Committee concerned can either: -
 - (a) accept the recommendations from C and I and proceed in accordance with these; - this would be the end of the matter or
 - (b) reject the recommendations from C and I

The Chairman of the Challenge improvement Committee would be invited to the Policy Committee meeting, Along with the Relevant Service Manager and Director.

If the course of action agreed is (b) above then the decision would be referred to Full Council for a decision.

The flow chart below tries to demonstrate the process.

Members receive at their meeting a Progress and Delivery Service Delivery Report for scrutiny purposes, which shows a service area has been delivering below the expected target for **two or more** consecutive reporting periods together with details of corrective measures which have been put in place but there is **little or no evidence that despite having time to take effect** no service improvements have been realised.

Notice signed by 4 Members of the Challenge and Improvement Committee is received stating what Service Area / Measure is to be called-in and the reasons for this. **If the notice is received not later than 21 days before the C and I Cttee next meets this matter will form agenda item on the next meeting.**

Notice deemed **NOT VALID**

Notice assessed for validity

Notice deemed **VALID**

Relevant Members advised of reasons

END OF PROCESS -

Agenda Item added to next C and I Meeting and report

C and I Cttee Meet (the relevant policy cttee chair / Director / Service Manager will be invited) to consider the request and have two options

Review Group undertakes agreed work and creates a findings report

Except the call, establish a Review Group and agree terms of reference / scope for the review

Not except the call-in and give reasons

END OF PROCESS

Findings report considered by the Challenge and Improvement Committee and any subsequent arising recommendations are submitted to the relevant Policy Committee

If there are no arising recommendations this would be the **END OF THE PROCESS**

Policy Committee Meet (C and I Chair / Director / Service Manager invited) to consider the recommendations and have two options

Accept the recommendations and implement accordingly

END OF PROCESS - PROCEEDS ON A REVISED BASIS

Reject the recommendations

The matter is referred to Full Council

Decision made