



CAI.10 16/17
<b>Challenge and Improvement Committee</b>
28 June 2016

C

**Subject: Challenge and Improvement Committee Operating Methodology for 2016/17**

Report by:	Ian Knowles
Contact Officer:	<b>Ian Knowles</b> Director of Resources  ian.knowles@west-lindsey.gov.uk
Purpose / Summary:	To:  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

**RECOMMENDATION(S):**

1. That members approve the proposed Methodology as outlined at sections 3, 4 and 5
2. That members approve the proposed processes outlined at appendix 1
3. That members note the accompanying flow charts at appendix 3

**IMPLICATIONS**

**Legal: None**

**Financial :**

**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 In October 2014 the Challenge and Improvement Committee agreed a methodology for the first time.
- 1.2 The methodology set out criteria for when any item would be called in for scrutiny either as an ongoing project, poor performance or for pre-scrutiny.
- 1.3 The approach has worked well and allowed the Committee to invite organisations that provide services within the District for discussions around issues of concern for members.
- 1.4 Whilst these sessions have been considered successful they have not led to any recommendations to policy committees for changes to WLDC strategy or approach.
- 1.6 The methodology detailed below is primarily the same as that which has been operated over the last two municipal years but has two proposed changes:
- 1 – It has an additional workflow diagram which now reflects the approach to pre-decision scrutiny (by selection from the forward plan);
  - 2 – It provides for the exclusion of re-discussion of an issue within six months of first consideration. This reflects the approach taken by Policy committees in the constitution.
  - 3 – It provides for Oversight Commissions to be undertaken to support the Policy Committees.

## 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
<b>1. Performance Management</b>	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;
<b>2. Policy or Performance Reviews</b>	Before a policy decision is made	Support the research and stakeholder analysis for	By Request of another committee / proposal to

<b>Work Area</b>	<b>Timing</b>	<b>Purpose</b>	<b>Source</b>
		proposed decisions.	establish a working group
<b>2b Policy / Performance or Service Reviews</b>	<p>Before a policy decision is made.</p> <p>To Aide this process at each meeting of the Committee they receive the full forward plan of all the Authority's business</p>	To identify any report which the Committee feels is likely to benefit from pre-scrutiny of the proposed decisions prior to those decisions being made	Article 7 – to consider the Forward Plan and comment as appropriate to the decision maker on proposed decisions which relate to services within their remit (before they are taken by the appropriate Policy Committee
<b>2c. Policy or Performance Reviews</b>	<p>After a policy decision is made (within five days of minutes publication) - Call In (see appendix 2 for the process)</p> <p>The traditional call in process</p>	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;
<b>3. Service and Budget Plans</b>	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 services before final approval by the Policy and Resources Committee and Council;
<b>4. Work of other public bodies operating within its area</b>	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

Work Area	Timing	Purpose	Source
			agencies as they affect the council's area or its inhabitants;
<b>5. Police and Justice Act 2006</b>			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.
<b>6. Oversight Commissions</b>	Before decisions are taken	To support the work of the Policy Committees	Function 2. To conduct reviews of policy, services or aspects of service referred by a Policy Committee (or Council)

### 3. Proposed Operating Methodology for 2014/15

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

Work Area	Timing	Purpose
<b>1. Performance Management</b>	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  Process A in the appendix refers
<b>2. Policy or Performance Reviews</b>	Part way through project delivery and there are concerns the relevant committee are not taking appropriate action	To review delivery to ensure that the project is delivering the desired objectives. <b>Please Note: Project delivery would not stop during the review.</b>  <b>Process B in the appendix refers</b>

<b>2. Policy or Performance Reviews</b>	After delivery	To review a project post-delivery to identify the benefits delivered against the original business case.  Process C in the appendix refers
<b>2 Policy / Performance or Service Reviews</b>	Before a decision is made	To identify any report from the Forward Plan which the Committee feels is likely to benefit from pre-scrutiny of the proposed decisions prior to those decisions being made  Process D in the appendix refers
<b>3. Service and Budget Plans</b>	Annually prior to budget / service plans being submitted to the Policy Committee	For the Committee to understand and agree the assumptions which will be made in preparing the next MTFP.
<b>4. Work of other public bodies operating within its area</b>	As and when the Committee resolves to invite a public body to attend  Further information as to how these Sessions will operate is included in Section 4 Below	To understand the priorities and plans of public bodies operating within the district.  And if appropriate make recommendations on to the relevant policy committee regarding its findings
<b>5. Police and Justice Act 2006</b>	Twice per year by means of a presentation from the Chief Inspector and his attendance at Committee	-
<b>6. Oversight Commissions</b>	Further information as to how these Sessions will operate is included in Section 5 Below	To Support the work of the Policy Committees

**3.2.** Proposed processes where referred to above are outlined at appendix 1 and flow charts for each process are attached at Appendix 3

#### **4. External Bodies**

**4.1.** The Committee has previously received 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 therefore it is likely their 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.

4.4.6 In addition, the approach being taken in the current administrative year is to invite outside bodies on a themed basis. The theme proposed by members has been Youth Unemployment. A series of sessions will be arranged with a view to the Committee reporting its findings to Prosperous Communities Committee.

## **5. Oversight Commissions**

5.1 Part of the role of the Challenge and Improvement Committee is to provide support to the two policy committees by holding commissions on specific areas as requested by those committees.

5.2 This would require the Prosperous Communities Committee and/ the Corporate Policy and Resources Committee to agree the purpose, scope and terms of reference of a commission and make a formal request via the Chair of Challenge and Improvement that a commission is established to investigate in detail a particular issue from a national, regional, sub-regional and local perspective.

5.3 The proposed report and terms of reference for a commission should be agreed with the Chair of Challenge and Improvement Committee prior to being submitted to the commissioning policy committee for agreement.'

5.4 In undertaking such a commission, the Challenge and Improvement Committee may hold inquiries and investigate options for future direction in policy development. They may appoint advisers and assessors to assist in this process. They may go on site visits, conduct public surveys, hold public meetings, commission research and do all other things that they reasonably consider necessary to inform their deliberations. They may ask witnesses to attend to address it on any matter under consideration and may pay to any advisers, assessors and witnesses a reasonable fee and expenses for doing so, as specified in the Constitutional operating procedures.

5.4 If a budget is required this will need to be agreed by the commissioning Committee.

5.5 The Challenge and Improvement Committee will report back their findings to the Commissioning Policy Committee.

## **6. Membership and interests**

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

6.2 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.

6.3 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.

## **7 Conduct**

7.1 The constitution also states with regards to conduct:



- 7.2** 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.
- 7.3 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.
- 7.4 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.07 16 – Proposed Criteria and Processes for new methodology**

<b>Work Area</b>	<b>1. Performance Management – PROCESS A</b>
<b>Timing</b>	1.2 After two consecutive periods of missed targets
<b>Purpose</b>	To scrutinise the reasons for off track performance and the adequacy of rectifications (Service Performance Review)
<b>Criteria</b>	<ol style="list-style-type: none"> <li>1. The performance must have been off track for at least two consecutive reporting periods,</li> <li>2. The actions of the appropriate committee have been implemented and given time to adjust performance</li> <li>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</li> <li>4. No More than four Service Performance Reviews may be called with in a municipal year.</li> <li>5. An item considered using this process is excluded from re-discussion within six months of first consideration.</li> </ol>
<b>Process</b>	<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"> <li>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.</li> <li>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.</li> <li>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.</li> <li>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.</li> <li>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.</li> </ol>

<b>Work Area</b>	<b>2. Policy or Performance Reviews – PROCESS B</b>
<b>Timing</b>	2.3 Part way through project delivery (Gateway Review) and there are concerns the relevant committee is not taking appropriate action. <b>Please Note: Project delivery would not stop during the review.</b>
<b>Purpose</b>	To review delivery to ensure that a project is delivering the desired objectives
<b>Criteria</b>	<ol style="list-style-type: none"> <li>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:</li> <li>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.</li> <li>3. No More than four Gateway Reviews may be called with in a municipal year.</li> <li>4. An item considered using this process is excluded from re-discussion within six months of first consideration.</li> </ol>
<b>Process</b>	<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"> <li>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.</li> <li>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.</li> <li>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.</li> <li>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.</li> <li>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.</li> </ol>

<b>Work Area</b>	<b>2. Policy or Performance Reviews – PROCESS C</b>
<b>Timing</b>	2.4 After delivery (Benefits Realisation Review)
<b>Purpose</b>	To review a project post-delivery to identify the benefits delivered against the original business case.
<b>Criteria</b>	<ol style="list-style-type: none"> <li>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</li> <li>2. Only one Benefits Realisation Review per project may be called by the Challenge and Improvement Committee.</li> <li>3. No More than four Benefits Realisation Reviews may be called with in a municipal year.</li> <li>4. An item considered using this process is excluded from re-discussion within six months of first consideration.</li> </ol>
<b>Process</b>	<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"> <li>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.</li> <li>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.</li> <li>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.</li> <li>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.</li> <li>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.</li> </ol>

<b>Work Area</b>	<b>2. Policy or Performance Reviews – PROCESS D</b>
<b>Timing</b>	One cycle before a Policy Committee decision is taken
<b>Purpose</b>	To consider a report identified from the Forward Plan which the Committee feels is likely to benefit from pre-scrutiny of the proposed decisions prior to those decisions being made. These could be items that are politically sensitive for example or of high public interest
<b>Criteria</b>	<ol style="list-style-type: none"> <li>1. By Proposer, seconder and majority vote an item can be selected from the Forward Plan</li> <li>2. No More than four Reviews using this process can be undertaken with in a municipal year.</li> <li>3. The Committee cannot dictate the timeline for this decision or prevent the decision being submitted to the relevant Policy Committee within the timeframes agreed by Policy Committees</li> <li>4. A Decision given pre-scrutiny under this process can then not be called in using the traditional call process.</li> <li>5. An item considered using this process is excluded from re-discussion within six months of first consideration.</li> </ol>
<b>Process</b>	<p>The procedure is as follows –</p> <p>The Committee at each meeting will receive the Forward Plan outlining all of the business for the Authority .</p> <p>By proposing, seconding and then by majority vote the Committee can select to see an item before it is submitted to the relevant Policy Committee</p> <p>The C and I Committee will receive the exact report which is due to be submitted to the Policy Committee , 1 cycle prior.</p> <p>The C and I Committee will make recommendations to/ raise concerns with the Policy Committee on areas where it feels further work or evidence is required to support the proposed decision.</p> <p>Following such a recommendation, the responsible report author will work with the Chairman and lead Members of the C and I Committee to revise the report where considered appropriate to address the recommendations made / concerns raised.</p> <p>The revised report together with the Minute from the C and I Committee and the original report will be submitted to the Policy Committee within the original specified timeframe, agreed by the Policy Committee.</p>

## Appendix 2 – Traditional Call in Process

<b>Work Area</b>	<b>2. Policy or Performance Reviews</b>
<b>Timing</b>	2.2 After a policy decision is made (within five days of minutes publication) - Call In
<b>Purpose</b>	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.
<b>Source</b>	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;
<b>Criteria</b>	<ol style="list-style-type: none"> <li>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,</li> <li>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.</li> <li>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.</li> <li>4. Call-in does not apply to recommendations to Council nor to Council decisions themselves.</li> <li>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.</li> <li>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.</li> </ol>
<b>Process</b>	<p>Within five working days of the publication of the minutes:</p> <ol style="list-style-type: none"> <li>1. Identify four members on the Challenge and Improvement Committee who support the proposal to call-in the decision</li> <li>2. Draft the request to call in a decision in writing setting out: <ol style="list-style-type: none"> <li>a. the resolution to be considered,</li> <li>b. the reason(s) why the decision should be reconsidered</li> </ol> </li> <li>3. Get all four members to sign</li> <li>4. Send the notice to the Chief Executive no later than 5pm on the fifth working day following publication of the decision.</li> <li>5. The Call-in will be considered at the next meeting of the Challenge and</li> </ol>

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 3 TO REPORT CAL.10 16/17

### “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.

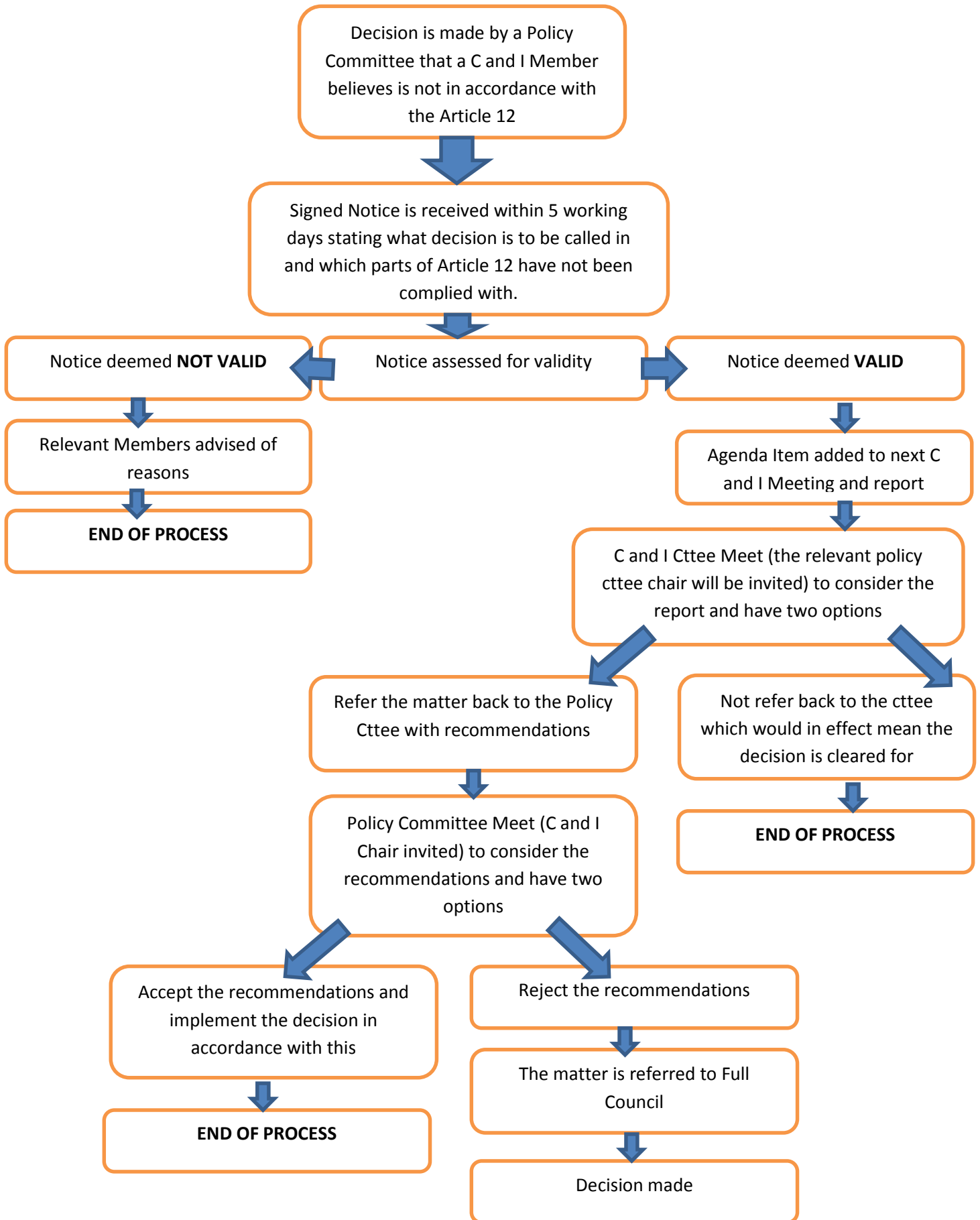
If the course of action agreed is (a) above then: -

- 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



## WORKING EXAMPLE OF PROCESS C

### “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

## WORKING EXAMPLE OF PROCESS B

### “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

Agenda Item added to next C and I Meeting and report

**END OF PROCESS - PROJECT PROCEEDS AS BEFORE**

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



**WORKING EXAMPLE OF PROCESS A**  
**“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

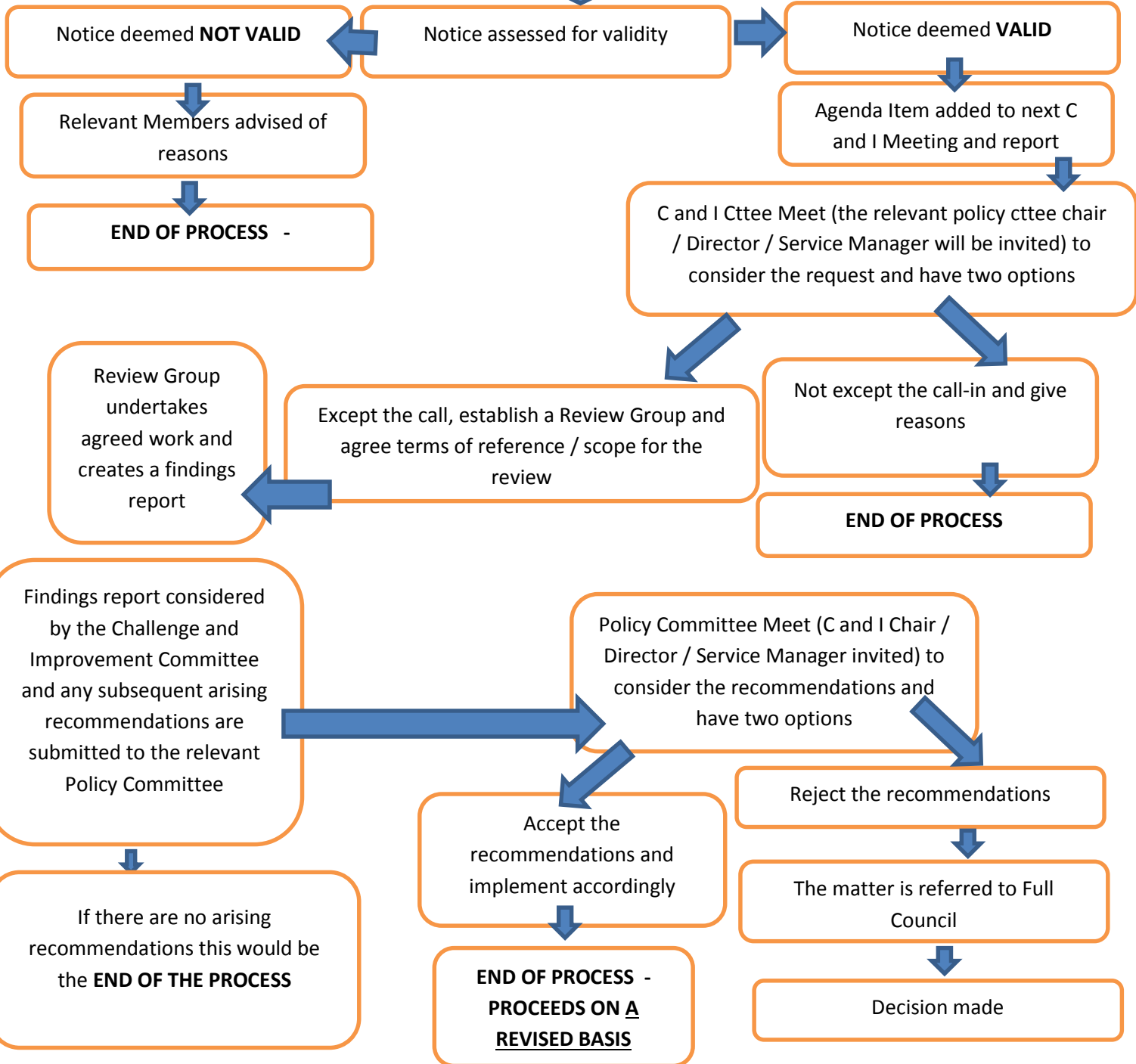
The Chairman of the Challenge improvement Committee would be invited to the Policy Committee meeting, Along with the Relevant Service Manager and Director.

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.

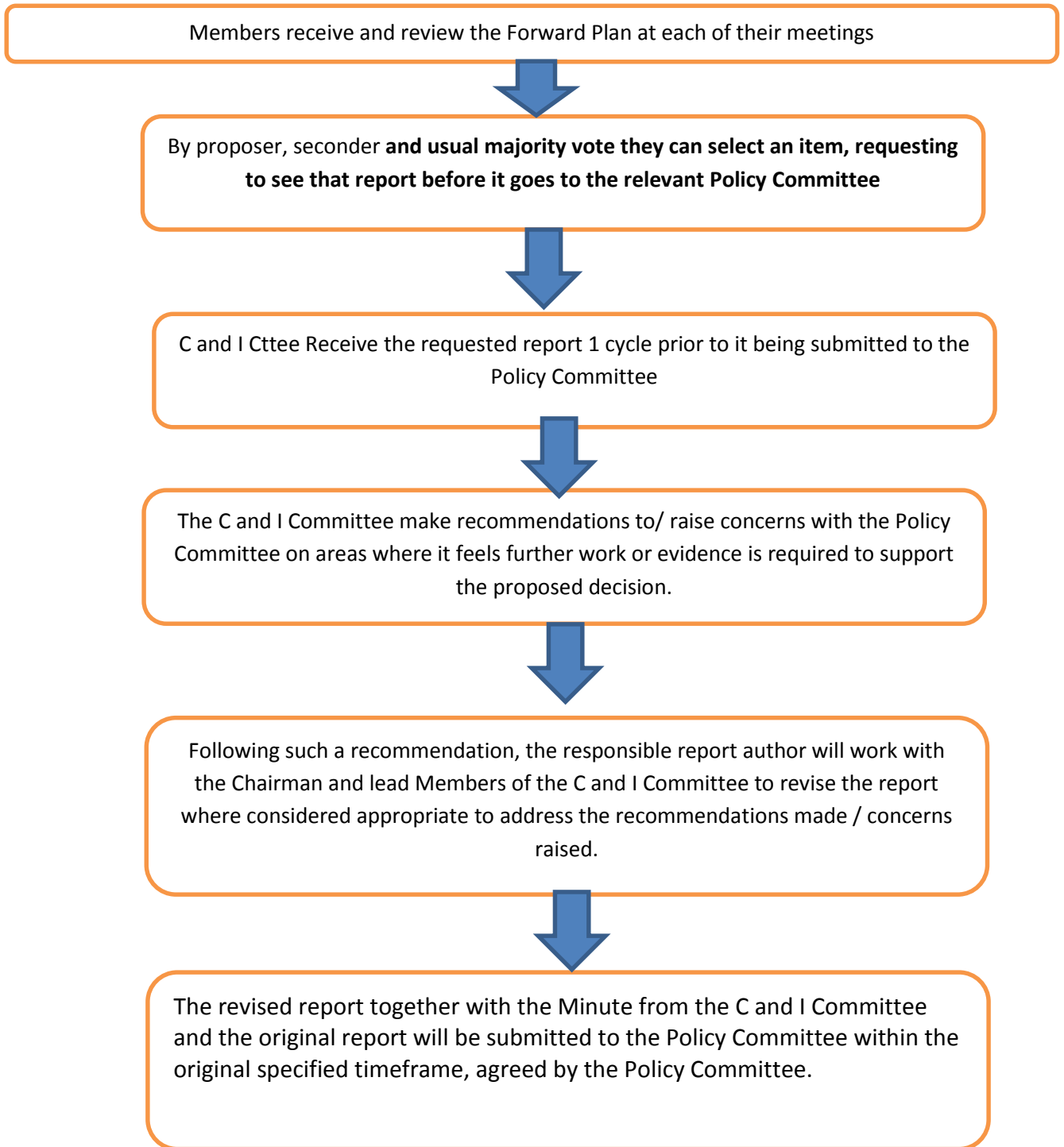
Members receive at their meeting a Progress and Delivery Service Delivery Report for scrutiny purposes, which shows a service area has been delivering below the expected target for **two or more** consecutive reporting periods together with details of corrective measures which have been put in place 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.**



## WORKING EXAMPLE OF PROCESS D

### “FORWARD PLAN SELECTION – PRE DECISION SCRUTINY ”



#### NOTES:

- No More than four Reviews using this process can be undertaken with in a municipal year.
- A Decision given pre-scrutiny under this process can then not be called in using the traditional call process.
- An item considered using this process is excluded from re-discussion within six months of first consideration.