



DEVELOPING RELATIONSHIPS BETWEEN THE EXECUTIVE AND OVERVIEW AND SCRUTINY

This protocol sets out practical working arrangements, which will help develop a unity of purpose between the Executive, overview and scrutiny committees as well as the Council's senior managers. This protocol provides a framework for positive relationships between the Executive and overview and scrutiny committees, but its effectiveness is dependent on all councillors and officers accepting the principles underlying this protocol.

The Executive accepts that discharging the Overview and Scrutiny function should be a core responsibility of the Council, with appropriate and meaningful support from the Chief Executive, other members of the Corporate Management Board, and all the Council's officers.

The Overview and Scrutiny Management Committee accepts that to be effective the scrutiny process must be positive, constructive, independent, fair and open. It should complement the decision-making powers of the Executive and enable the voice and concerns of the public to be heard.

Overview and Scrutiny should be challenging, as its aim is to identify areas for improvement, but the process should not be confrontational or simply a means through which to apportion blame if things go wrong. Overview and Scrutiny will act as a 'critical friend' to the Executive and other decision makers in order to promote better services, policies and decisions. Trust and tolerance are key to the success of this protocol.

Councillor Martin Hill
Leader of Lincolnshire County Council

Councillor Pat O'Connor
Chairman of the Overview and Scrutiny Management Committee

A. EARLY INVOLVEMENT IN POLICY DEVELOPMENT

The Executive would like to involve overview and scrutiny committees at an early stage in the development of new policies or changes to existing policies, or in the development of proposals for any significant changes in service provision. This early involvement extends beyond the provisions in the Constitution on the development of the policy and budget framework¹. Examples of the need for early involvement are when there are issues of a contentious nature, sizeable budgetary implications, an impact on the whole community, or an impact on outside bodies or organisations. Early involvement could be carried out in a number of different ways:-

- An overview and scrutiny committee may adopt an informal meeting arrangement or workshop, to which all members of the committee would be invited, or establish a working group, comprising a group of members from the committee. These approaches enable options to be explored in detail and the outcomes or statement from the informal meeting, workshop, or working group could be reported directly to the Executive or Executive Councillor, or to a subsequent meeting of the overview and scrutiny committee.
- Where a topic requires in-depth consideration, a Scrutiny Panel may be established, subject to the availability of resources, which would lead to the submission of an evidence-based report with recommendations for the new policy or a change to an existing policy or on changes to service provision.
- A cross party briefing could be held with senior officers to inform councillors of a particular issue and collaboratively explore options in detail, with the outcomes shared with the relevant overview and scrutiny committee.

In each of the early involvement scenarios listed above the Executive would expect information shared to be used to explore the options available rather than for political point-scoring. Statements from the overview and scrutiny committee will be acknowledged by the decision maker, and a response made to the committee. This could either take the form of a written or an oral report at the next relevant meeting of the committee, which can be recorded in the committee's minutes.

In the case of in depth scrutiny reviews, which contain evidence-based recommendations, there is a requirement that a formal response to the recommendations from the Executive or Executive Councillor be prepared within

¹ Rule 3 of the Policy and Budget Framework Procedure Rules (Lincolnshire County Council Constitution) and Regulation 4 of the Local Authorities (Functions and Responsibilities) (England) Regulations 2000.

two months², which will indicate whether recommendations have been accepted or rejected, with appropriate reasons. Ideally, the response will contain an action plan, indicating how the accepted recommendations will be implemented.

B. EXECUTIVE DECISION MAKING

Each relevant overview and scrutiny committee is encouraged to consider any proposed decisions, which are due to be made by the Executive or by an individual Executive Councillor, or any proposed key decision due to be made by a chief officer. This consideration would usually involve the relevant committee reviewing the report containing the proposed decision and preparing a statement on the proposals, including an indication of whether the committee supports the proposals, either wholly or in part. The committee's statement should be included in the report containing the proposed decision and submitted to the decision maker(s). If the statement is not available at the time the report is finalised due to exceptional circumstances, it will be circulated to the decision maker(s) for their consideration.

Consensus and Minority Views

When overview and scrutiny committees reach a consensus, this will be reflected in the committee's statement. However, there will be circumstances where the committee's statement will reflect a range of views, including majority and minority opinions, and these should be so indicated in the committee's statement.

Whenever possible statements from the overview and scrutiny committee will be acknowledged by the decision maker, and a response made to the committee, which could either take the form of a written or an oral report. Any responses will be recorded in the committee's minutes.

C. ATTENDANCE AT MEETINGS OF THE EXECUTIVE

The Chairman or Vice Chairman of the Overview and Scrutiny Management Committee will as far as possible attend each meeting of the Executive. Following these meetings the Chairman or Vice Chairman of the Overview and Scrutiny Management Committee will highlight any pertinent issues to the next meeting of the Overview and Scrutiny Management Committee. The Chairman may also raise any issues with any other overview and scrutiny committee of the Council.

² Section 9FE of the Local Government Act 2000.

The Chairmen or Vice Chairmen of overview and scrutiny committees should attend meetings of the Executive, where an item relevant to their committee's remit is being considered. Where chairmen or vice chairmen can attend, they will be invited to present any statements to the Executive. This will help to facilitate a good working relationship between the Executive and Overview and Scrutiny, and ensure that the Executive directly hears the reasons for the overview and scrutiny committee's recommendations and comments and to clarify the outcome from the overview and scrutiny committee.

Where an overview and scrutiny committee has requested an in-depth review, the Chairman or Vice Chairman of the overview and scrutiny committee will present the report and recommendations in conjunction with the Chairman of the Scrutiny Panel which undertook the in-depth review.

D. ATTENDANCE AT MEETINGS OF THE OVERVIEW AND SCRUTINY COMMITTEES

It is accepted that Executive Councillors may not be able to attend all meetings of their relevant overview and scrutiny committees. An overview and scrutiny committee may request the attendance of an Executive Councillor for a particular item on the agenda. In such cases if the Executive Councillor is not available he or she should be represented by the Executive Support Councillor.

Each overview and scrutiny committee should consider whether to include Statements from Executive Councillor(s) as a standard agenda item, where the Executive Councillor(s) or Executive Support Councillor(s) could advise the committee of any relevant matters, including any responses to statements or recommendations, in accordance with sections A and B above.

E. SETTING THE AGENDA

Briefing Meetings Between Executive Councillors and Overview and Scrutiny Committee Chairmen

Regular briefing meetings are recommended between the Chairmen and Vice Chairmen of overview and scrutiny committees and the relevant Executive Councillor(s) and Executive Support Councillor(s). These meetings should include the scrutiny officers, and any relevant officers if required. Ideally, such meetings should take place every quarter if possible. These meetings will support the development of a dialogue, leading to a unity of purpose, between overview and scrutiny and the Executive. The meetings could inform the content of the committee's work programme, with suggestions for future scrutiny reviews and

agenda topics, including items which would involve the committee in developing new policies or reviewing existing policies.

Setting the Agenda

Overview and scrutiny committees should not, as a general rule, involve themselves in relatively minor matters or individual cases, particularly where there are other processes, which can handle these issues more effectively. Overview and scrutiny committees should not be used as an opportunity to argue over issues which are of an overtly party political nature, which can be dealt with more appropriately through meetings of the County Council.

The management of the work programme of each scrutiny committee is a role for the Overview and Scrutiny Management Committee (OSMC). Each year the OSMC will draw up in advance the annual scrutiny programme, based on the results of meetings between the scrutiny chairmen, vice-chairmen and officers in the various service areas. Adequate resource should be identified for delivering the programme, with some unallocated time for unplanned scrutiny items.

At each meeting of an overview and scrutiny committee, there will be an opportunity to review the committee's future work programme. This provides an opportunity for individual members of each committee to ask for a particular item to be included but, depending on resource, this may be at the expense of something else in the programme. All members on an overview and scrutiny committee should be encouraged to bring forward important items of community interest to the committee whilst recognising that not all items will be taken up.

Requests by the Executive to Overview and Scrutiny Committees

The Leader of the Council, the Executive, or an individual Executive Councillor, may request an overview and scrutiny committee to consider a particular matter within its remit which could be related to issues of a contentious nature, sizeable budgetary implications, an impact on the whole community, or an impact on outside bodies or organisations. This could range from consideration of a matter at a single committee meeting to a full scrutiny review, taking place over several months.

Depending on the timing of the request, a report may be submitted to the next meeting of the committee. Alternatively, a request for a more extensive piece of work may be considered by the committee as part of its work programme item on its next agenda.

F. COUNTY COUNCIL OFFICERS

General

All officers are employees of the County Council as a whole. Corporate Management Board and other senior officers are responsible for day-to-day managerial and operational decisions. Whilst most of their work is directed to supporting the activities of the Executive, they have a role in supporting all councillors, including councillors involved in the overview and scrutiny function. The Chief Executive, as head of the paid service, will ensure that sufficient and independent support is given to the overview and scrutiny function.

The Role of Statutory Scrutiny Officer

The role of the statutory scrutiny officer is defined by statute³ as:

- (a) promoting the role of the Council's overview and scrutiny committees;
- (b) providing support to the Council's overview and scrutiny committees and their members; and
- (c) providing support and guidance to all members of the Council and its officers on the functions of the Council's overview and scrutiny committees.

The Council's Scrutiny Officers will support the Statutory Scrutiny Officer in their role and provide support to the overview and scrutiny function. The Council's Scrutiny Officers should play a proactive role in ensuring effective scrutiny of decision making. Accordingly there should be a close working relationship between Scrutiny Officers and councillors involved in scrutinising decisions. Both Scrutiny Officers and Scrutiny councillors should be involved in testing the merits of proposals under consideration with Scrutiny Officers acting in an advisory role with councillors.

³ Section 9FB of the Local Government Act 2000

Proposed Overview and Scrutiny Structure
May 2017

Overview and Scrutiny
Management Board

Scrutiny Committees

Health Scrutiny
Committee for
Lincolnshire

Environment, Economy
and Transport
Scrutiny Committee

* Flood and Drainage Management

Communities and
Public Protection
Scrutiny Committee

* Crime and Disorder Committee

Adult Care and
Public Health
Scrutiny Committee

Children and Young People
Scrutiny Committee

*Safeguarding Boards
Scrutiny Sub-Group*

*Corporate Parenting
Sub-Group*

Scrutiny Reviews

Scrutiny Panel

Scrutiny Panel

* The Environment, Economy and Transport Scrutiny Committee to serve as the Flood and Drainage Management Scrutiny Committee, with seven District Councillors.

* The Communities and Public Protection Scrutiny Committee to serve as the Crime and Disorder Committee.

| Overview and Scrutiny Management Board | |
|---|--|
| Overview and Scrutiny Functions | <ul style="list-style-type: none"> • Management of the Overview and Scrutiny Function • Call in and Councillor Call for Action Procedures • Setting and reviewing progress against the annual work programmes of the Scrutiny Committees • Allocating responsibility for issues which fall between more than one Scrutiny Committee • Governance • Budget and Performance Overview |
| How we do our business Enablers to the business Partnership engagement and support | <ul style="list-style-type: none"> • Information Management and Technology • Corporate Property • People Management • Legal Services • Commissioning Strategy and Support • Business Support • Finance, Treasury Management and Audit |
| Adult Care and Public Health Scrutiny Committee | |
| Adult Frailty, Long Term Conditions and Physical Disability | <ul style="list-style-type: none"> • Supporting Adult Frailty and Older People • Physical Disability • Dementia |
| Carers | <ul style="list-style-type: none"> • Adult and Young carers (includes Young Carers but not Parenting) |
| Specialist Adult Services | <ul style="list-style-type: none"> • Supporting Adults with Learning Disability • Mental health • Autism |
| Safeguarding Adults | <ul style="list-style-type: none"> • Adult Safeguarding (including Mental Capacity Act) • Ensure all vulnerable adults rights are protected to live in safety and free from abuse and neglect |
| Wellbeing | <ul style="list-style-type: none"> • Health Improvement, Prevention and Self-Management • Public Health statutory service • Mental Health • Registration, Celebratory and Coroners • Wellbeing Service • Sexual Health • Housing related support • Prevention and Treatment of Substance Misuse |
| Children and Young People Scrutiny Committee | |
| Readiness for School | <ul style="list-style-type: none"> • Children Centres • Early Education |
| Learn and Achieve | <ul style="list-style-type: none"> • School Support Services • School Improvement • Special Educational Needs and Disabilities • Home to school/college transport |
| Readiness for Adult Life | <ul style="list-style-type: none"> • 14-19 Education/Training and Apprenticeship • Careers Service • Positive activities for young people • Teenage Pregnancy • Supported Accommodation/Lodgings • Supported Employment • Lincolnshire Secure Unit • Leaving Care Service |
| Children are Safe and Healthy | <ul style="list-style-type: none"> • Healthy Schools and Healthy Child • Child Protection • Looked after Children • Targeted Support - young people • Fostering and Adoption Residential homes • Child and Adolescent Mental Health Services (CAMHS) • Family Support |

| Communities and Public Protection Scrutiny Committee | |
|---|---|
| Community Resilience and Assets | <ul style="list-style-type: none"> • Advice, Information and Support Services • Volunteering support • Adult Education • Financial Inclusion • Community Engagement and Development • Community Hubs • Library Services and Archives • Customer Service |
| Protecting the Public | <ul style="list-style-type: none"> • Preventing and Reducing Crime • Tackling Domestic Abuse • Preventing and Tackling Fires and Emergency Response • Protecting the Public through Trading Standards • Protecting the Public by Planning for and Responding to Emergencies • Improving Road Safety • Reducing Youth Offending • Reducing Anti-Social Behaviour |
| Crime and Disorder Scrutiny | <ul style="list-style-type: none"> • The Communities and Public Protection Scrutiny Committee also serves as the Crime and Disorder Committee. |
| Environment, Economy and Transport Scrutiny Committee | |
| Sustaining and Developing Prosperity Through Infrastructure | <ul style="list-style-type: none"> • Transport Commissioning, including Bus Network Support • Highway Network Management and Highways maintenance • New Transport Investments including highways improvements • Greater Lincolnshire Local Enterprise Partnership • Economic Development Projects including Broadband • Encouraging Enterprise through Support to Businesses • Heritage Services |
| Protecting and Sustaining the Environment | <ul style="list-style-type: none"> • Reducing Carbon Emissions • Flood Risk Management • Protecting and Enhancing the Natural and Built Environment • Waste Management • Waste Recovery and Recycling • Sustainable Planning |
| Sustaining and Growing Business and the Economy | <ul style="list-style-type: none"> • Improving Skills and Employability • Encourage enterprise through support to Business and our Growth Sectors • Attracting and Expanding Business Investment • Lobbying and Attracting Funding for Lincolnshire |
| Flood and Drainage Management Scrutiny | <ul style="list-style-type: none"> • The Environment, Economy and Transport Scrutiny Committee will also sit as the Flood and Drainage Management Scrutiny Committee with 7 District Councillors. |
| Health Scrutiny Committee for Lincolnshire | |
| <ul style="list-style-type: none"> • Review and scrutinise matters relating to the planning, commissioning, provision and operation of health services in Lincolnshire. • NHS Healthcare • Looking at decisions, policies or issues that affect local people • Making recommendations about how decisions or health services can be improved. | |
| Scrutiny Panels (x2) | |
| <ul style="list-style-type: none"> • Establishment of two Scrutiny Panels to undertake scrutiny review and other activity on behalf of the scrutiny committees, under the guidance of the Overview and Scrutiny Management Board. | |

SCRUTINY PRIORITISATION TOOLKIT

Prioritisation is a key tool for successful scrutiny, selecting the right topics where scrutiny can add value is essential in order for scrutiny to be a positive influence on the work of the Council. Scrutiny Committees must be selective about what they look at and need to work effectively with limited resources. Scrutiny activity should be targeted, focused and timely and include issues of corporate and local importance, where scrutiny activity can influence and add value.

Identifying Topics

The questions below are a guide to help members and officers consider and identify key areas of scrutiny activity for consideration.

1. Will Scrutiny input add value?

- Is there a clear objective for scrutinising the topic?
- What are the identifiable benefits to residents and the council?
- Is there evidence to support the need for scrutiny?
- What is the likelihood of achieving a desired outcome?
- Is the topic strategic and significant rather than relating to an individual complaint?
- Are there adequate resources to ensure scrutiny activity is done well?

2. Is the topic a concern to local residents?

- Does the topic have a potential impact for one or more section(s) of the local population?
- Has the issue been identified by Members through surgeries and other contact with constituents?
- Is there user dissatisfaction with service (e.g. increased level of complaints)?
- Has the topic been covered in the local media or social media?

3. Is it a Council or partner priority area?

- Does the topic relate to council corporate priority areas?
- Is there a high level of budgetary commitment to the service/policy area?
- Is it a poor performing service (evidence from performance indicators / benchmarking)?

4. Are there relevant external factors relating to the issue?

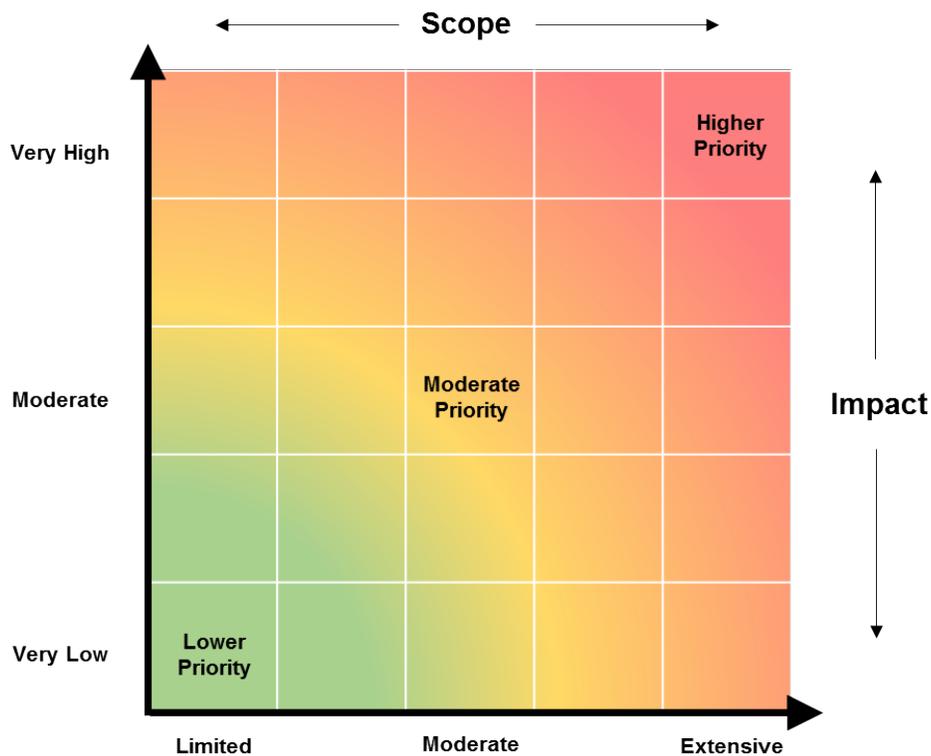
- Central government priority area
- New government guidance or legislation
- Issues raised by an internal or external audit or from formal inspections, etc.
- Key reports or new evidence provided by external organisations

5. Criteria for not considering topics

- There is no scope for scrutiny to add value/make a difference or have a clear impact.
- New legislation or guidance is expected within the next year.
- The issue is being examined elsewhere - e.g. by the Executive, working group, officer group or other body.
- The objective of scrutiny involvement cannot be achieved in the specified timescale required.

Prioritisation Matrix

The prioritisation matrix shown below is a framework to aid in prioritising a number of scrutiny options or topics. Each topic should be assessed in terms of the impact it would have and the overall scope of the activity.



When considering the scope and impact of a Scrutiny item it is important to consider the following areas:

- People / Communities
- Assets / Property
- Financial
- Environmental
- Reputation
- Likelihood of Impact
- Resource Required
- Cost Effectiveness

Prioritisation Tool

The prioritisation tool below can be used in deciding on whether an issue would warrant being considered by Scrutiny or the subject of a Scrutiny Review.

